

NDOT NEPA File Management and Documentation Guidance

As part of fulfilling NEPA responsibilities, NDOT must retain project and general administrative files. To that end, every decision-making document must be included in the project files within NDOT's document management system, OnBase. Resource specific guidance, the Environmental Process Outline (EPO), and the Environmental Procedure Manual's Chapter 3, "Project Documentation and Administrative Record" prescribes the documents to be included in the project file. The Federal Highway Administration (FHWA) will perform a monitoring review on NEPA actions and project files to ensure all required documentation is present.

OnBase Overview

This guidance contains information regarding OnBase, NDOT's primary document management system for purposes of maintaining project files. OnBase has been identified by the State of Nebraska, Office of the Chief Information Officer (OCIO) as a durable medium for purposes of meeting State record retention requirements (see Appendix A).

OnBase incorporates a security system based upon User Groups that reflect individual roles and responsibilities at NDOT. Documents are checked in and out to a single user for editing purposes. Only those with established permissions and who are included in the correct User Group may edit or delete the document. All others have Read-Only access. For example, an NDOT NEPA Specialist may edit and delete NEPA Documentation; however, a Professionally Qualified Staff (PQS) may not. Similarly, a PQS may edit or delete a PQS Memo; however, an NDOT NEPA Specialist may not.

The OnBase file architecture is document centric, meaning documents are defined based upon *document types*. *Document type* refers to common categories of documents which are typically included in a project file. NDOT Divisions are responsible for identifying documents to be retained in OnBase for general documentation purposes and/or to document decision-making, which leads to the formal creation of a *document type* by NDOT OnBase Administrators. Documents are retrieved within OnBase using filters that incorporate *document types*, *keywords*, and other metadata. OnBase *document types* and *keywords* used to upload documents of the environmental decision-making process are listed in the "NDOT Complete File Checklist" (Appendix B). As an example, the Floodplain Permit is stored in Onbase as "NDOT PD Waterway Permits – Floodplain Permit". "NDOT PD Waterway Permits" is the *document type* and "Floodplain Permit" is the *keyword*. Appendix C contains a tutorial on how external users access OnBase, and *Frequently Asked Questions* are provided in Appendix D.

File names are automatically generated by OnBase. Once an action for a resource area/technical document is approved, all draft documents preceding the final document should be deleted with limited exception; for example, retain a draft document if it is the only documentation of part of the deliberative process, or if the retention schedule provides for the retention of drafts. Final documents contained in OnBase are retained in accordance with retention schedules approved by the Nebraska Secretary of State, and will be used to prepare the Administrative Record in the event of litigation. NDOT retention schedules are reviewed internally for applicability and to ensure consistency with record-keeping requirements set forth in various State and Federal laws.

NDOT Complete File Checklist

The NDOT Complete File Checklist is used after NEPA documentation approval and prior to completion of the project's Green Sheet to review the project file for completeness (Appendix B). A draft Green Sheet is required prior to the final Project Coordination Meeting (PCM), and a final Green Sheet is required prior to PS&E project turn-in. Prior to completion of the Green Sheet, technical specialist assigned to the project will use the "Yes" selection in the form to identify the documents that are required for maintaining a complete project file and to ensure those documents have been uploaded to their correct file location on Onbase. An "N/A" (Not Applicable) selection indicates the listed document was not created and is not required for the project file. The Environmental Project Manager assigned to the project will review the selections made, approve the checklist with a signature and date, and upload it to *NDOT PD Complete File Checklist*. The checklist is updated when new *document types* and *keywords* are created that are required for the complete project file.

The Complete File Checklist is only one tool in helping to ensure a complete project file. NEPA Re-evaluations that occur after the completion of the Complete File Checklist can generate additional decision-making documentation (see EPM Chapter 7, "Re-evaluation"). NEPA Re-evaluations will be uploaded to Onbase using the document type and keyword "NDOT PD NEPA Documentation – NEPA Re-evaluation". NEPA Re-evaluations will not require the Complete File Checklist to be revised as the checklist is only a review of project file documentation at a particular time in project development.

Public Record Requests & Freedom of Information Act (FOIA)

NDOT provides access to public information in accordance with the Nebraska Public Records Act and NDOT's Public Record Requests Protocol, attached as Appendix E. Although FOIA is the legal term for requests made to the federal government, this term is often used generally to refer to public record requests made to NDOT under the Nebraska Public Records Act. Requests for public records may be submitted to NDOT by using a [link](#) on NDOT's webpage, or by sending a request to NDOT via email or mail.

APPENDIX A

Durable Medium Compliance Documentation for the OCIO's Enterprise Content Management Hosting Service

Revision Date: January 12, 2015

The Secretary of State as State Records Administrator, through Rule and Regulation adoption authority, developed the following definition of Durable Medium, which is found at [430 NAC Ch. 1, § 001.18](#), effective October 31, 2009.

Durable Medium Definition

Durable medium shall be any information storage medium that is created by a durable process. A process shall be the combination of hardware, software, storage media, techniques and procedures used to manage, create, store, retrieve, and delete information belonging to the custodian agency.

A process shall be a durable process if it meets all of the following criteria:

- (1) The process is capable of creating and storing information for the required records retention period as specified by the Records Retention and Disposition Schedules approved by the State Records Administrator and the State Archivist;

RESPONSE:

Agencies can enter specific records retention periods into the Enterprise Content Management (ECM) software and assign these periods to their record types. The ECM software then can either automatically purge the information pursuant to the assigned period, or allow an agency Records Officer to purge the information or take such other actions as appropriate. The ECM software can also send permanent records to the State Archivist.

- (2) The process can be migrated to a successor process when necessary and will retain all information available in the original process after migration to the successor process;

RESPONSE:

The data in ECM is stored natively and on the OCIO SAN which makes the information accessible through other methods without compromising the information.

- (3) The process maintains the integrity of information in a readily accessible manner, makes it retrievable, makes it processable through an established usual or routine set of procedures using available hardware and software, and makes it accurately reproducible in a human readable form as determined by the needs of the custodian agency;

RESPONSE:

The data in ECM is stored natively and on the OCIO SAN which makes the information readily accessible, retrieval and processable through the ECM software and hardware or through other methods.

- (4) The process provides for disaster recovery backups, which are periodically, depending on a retention schedule, verified for restorability and readability, and can be stored in a separate geographical location from the original information.

RESPONSE:

Agencies provide the OCIO ECM Team with a backup schedule as defined in schedule 124-128 and 124-131. Those backups are stored in a different physical location. The OCIO ECM team once a year will randomly take one of the backups and restore it for verification.

- (5) The process is demonstrated to create and maintain information for the retention period as specified, in an accurate, reliable, trustworthy, dependable and incorruptible manner.

RESPONSE:

The ECM Hosting Service through the use of the ECM software and hardware has demonstrated the accuracy, reliability, trustworthiness, dependability and incorruptibility of the information in ECM.

- (6) The process allows the removal of information when it reaches the end of its required retention period.

RESPONSE:

See response to criteria (1) above.

- (7) The process is documented so as to demonstrate to a reasonable person compliance with these criteria.

RESPONSE:

The information provided in this document demonstrates that ECM meets the Durable Medium definition.

Written Best Practices and Procedures may be developed as voluntary guidelines for use by any agency in furtherance of implementation of the above definition of durable medium, as it relates to records retention and disposition schedules. Any Best Practices and Procedures developed are guidelines only and do not have the force and effect of rule and regulation or of law.

RESPONSE:

ECM has established guidelines and best practices on how agencies can setup their record retention processes in ECM.

GENERAL RESPONSE: This compliance documentation is limited to the functionality of the ECM Hosting Service. Custodial agencies are responsible for the format of their data and compliance with the Durable Media requirements.

Appendix B

NDOT Complete File Checklist

As part of fulfilling NEPA responsibilities, NDOT must retain project and general administrative files. To that end, every decision-making document must be included in the project files within NDOT’s document management system, OnBase. Resource specific guidance, the Environmental Process Outline (EPO), and the Environmental Procedure Manual, Chapter 3, “Project Documentation and Administrative Record” prescribes the documents to be included in the project file.

Prior to completion of the Green Sheet, technical specialists assigned to the project will use the “Yes” selection in the form to identify the documents that are required for maintaining a complete project file, and to ensure those documents have been uploaded to their correct file location on Onbase. An “N/A” (Not Applicable) selection indicates the listed document was not created and is not required for the project file. The Environmental Project Manager assigned to the project will review the selections made, approve the checklist with a signature and date, and upload it to *NDOT PD Complete File Checklist*. See NDOT File Management and Documentation Guidance.

Project Name:

CN:

Water Resources		
Wetland PQS memo <i>(NDOT PD Waterway Permits – Wetlands PQS Memo)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
Wetland Survey <i>(NDOT PD Wetland Delineations – Attachment 1, Desktop Determination, PRELIMINARY WETLAND DETERMINATION, FINAL WETLAND DETERMINATION)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
Section 404 Non-Notifying Memo <i>(NDOT PD Waterway Permits – Non-Notifying Memo)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
Section 404 Permit Application <i>(NDOT PD Waterway Permits – 404 Permit Application)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
Section 404 Permit Authorization <i>(NDOT PD Waterway Permits – 404 Permit Authorization)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
Section 404 Permit Correspondence <i>(NDOT PD Waterway Permits – 404 Permit Correspondence)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
401 WQC, Title 117 Authorization, Section 10 <i>(NDOT PD Waterway Permits – Other)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
Site Development Plan <i>(NDOT PD Waterway Permits – Site Development Plan)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
Floodplain Permit Application(s) <i>(NDOT PD Waterway Permits – Floodplain Permit Application)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
Floodplain Permit(s) <i>(NDOT PD Waterway Permits – Floodplain Permit)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
Additional Decision-Making Documentation <i>(NDOT PD EPU Pre-Letting Correspondence)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
Historic/Cultural Resources		
Section 106 PQS Memo <i>(NDOT PD Historic Properties – Section 106 Tier I, II, III, PQS Memo)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
Section 106 Supplemental Evaluation(s) <i>(NDOT PD Historic Properties – Section 106 Supplemental Evaluation)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>

Section 106 Project Package <i>(NDOT PD Historic Properties – Section 106 Project Package)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
SHPO Concurrence <i>(NDOT PD Historic Properties – SHPO Concurrence/Comments)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
THPO Concurrence / Comment <i>(NDOT PD Historic Properties – THPO Concurrence/Comments)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
CLG Concurrence / Comment <i>(NDOT PD Historic Properties – CLG Concurrence/Comments)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
Federal Agency Concurrence <i>(NDOT PD Historic Properties – Federal Agency Concurrence)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
NEPA, T&E and Section 106 Tribal Consultation <i>(NDOT PD Historic Properties – Tribal Consultation)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
Other Consulting Party <i>(NDOT PD Historic Properties – Other Consulting Party)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
ACHP e106 Form <i>(NDOT PD Historic Properties – ACHP e106 Form)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
Tribal or Agency Agreements with NDOT <i>(NDOT PD Historic Properties – Agreement Document)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
Section 106 Technical Report <i>(NDOT PD Historic Properties – Technical Report)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
Archeological Data Recovery <i>(NDOT PD Historic Properties – Archeological Data Recovery)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
Archeological Testing Plan <i>(NDOT PD Historic Properties – Archeological Testing Plan)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
Additional Decision-Making Documentation <i>(NDOT PD TDU Pre-Letting Correspondence – HISTORIC PROPERTIES)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
Threatened and Endangered Species		
T&E PQS Memorandum <i>(NDOT PD Threatened and Endangered Species – PQS MEMO)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
T&E No Effect Memo <i>(NDOT PD Threatened and Endangered Species – NO EFFECT AGREEMENT MEMO)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
T&E Re-evaluation Memo <i>(NDOT PD Threatened and Endangered Species – REEVALUTATION MEMO)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
Biological Assessment <i>(NDOT PD Threatened and Endangered Species – BIOLOGICAL ASSESSMENT)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
Species Survey Report <i>(NDOT PD Threatened and Endangered Species – SPECIES SURVEY REPORT)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
NGPC Concurrence <i>(NDOT PD Threatened and Endangered Species – NGPC Concurrence)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
USFWS Concurrence <i>(NDOT PD Threatened and Endangered Species – USFWS Concurrence)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
FHWA Signature Document <i>(NDOT PD Threatened and Endangered Species – FHWA SIGNATURE DOCUMENT)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
Tribal or Other Agency Coordination <i>(NDOT PD Threatened and Endangered Species – TRIBAL OR OTHER AGENCY)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
Early Agency Coordination <i>(NDOT PD Threatened and Endangered Species – EARLY AGENCY COORDINATION)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
Additional Decision-Making Documentation <i>(NDOT PD TDU Pre-Letting Correspondence – THREATENED AND ENDANGERED SPECIES)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
NEPA		
NDOT-53 <i>(NDOT PD NDOT 53)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
NEPA Determination	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>

<i>(NDOT PD NEPA Documentation – Minor Categorical Exclusion; Level 1; Level 2; Level 3; Excess Land Disposal; ERCE)</i>		
Draft EA/EIS <i>(NDOT PD NEPA Documentation – Draft Environmental Assessment; Draft Environmental Impact Statement)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
Final EA/EIS <i>(NDOT PD NEPA Documentation – Final Environmental Assessment; Finding of No Significant Impact; Final Environmental Impact Statement; Record of Decision)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
NEPA Re-evaluation <i>(NDOT PD NEPA Documentation – NEPA Re-evaluation)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
CE QC Review - NDOT <i>(NDOT PD NEPA Documentation – QC Review - NDOT)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
CE QC Review - Consultant <i>(NDOT PD NEPA Documentation – QC Review - Consultant)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
Section 4(f) Initial Assessment <i>(NDOT PD 4(f) and 6(f) – Section 4(f) Initial Assessment)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
Section 4(f) Use Documentation <i>(NDOT PD 4(f) and 6(f) – Section 4(f) Exception; Determination of Section 4(f) Use; Section 4(f) Individual Evaluation; Section 4(f) Programmatic Evaluation)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
Section 6(f) Use Documentation <i>(NDOT PD 4(f) and 6(f) – Section 6(f) Conversion)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
Section 6(f) Consultation <i>(NDOT PD 4(f) and 6(f) – Section 6(f) Consultation)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
NRCS Farmland Impact Rating Conversion Form <i>(NDOT PD NRCS Farmland Impact Form)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
Wild & Scenic Rivers or Nationwide Rivers Inventory Coordination <i>(NDOT PD W&SR or NRI)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
Floodplain PQS Memo <i>(NDOT RD Floodplain PQS Memo)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
Tribal Consultation <i>(NDOT PD EDU Pre-Letting Correspondence)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
Civil Rights Analysis (Title VI, EJ, LEP) <i>(NDOT Civil Rights Title VI Documents – CIVIL RIGHTS ANALYSIS)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
Public Involvement Report <i>(NDOT COMM Public Involvement Report)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
Airport Coordination <i>(NDOT RD Airport Coordination)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
PCM Minutes <i>(NDOT RD Project Coordination Meetings – 20; 30; 35; 50; 70; 80; 90)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
Additional Decision-Making Documentation <i>(NDOT PD EDU Pre-Letting Correspondence)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
Air, Noise and Hazmat		
Hazmat PQS Memo <i>(NDOT PD Hazardous Materials – Hazardous Materials Review (PQS Memo))</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
Hazmat HMR <i>(NDOT PD Hazardous Materials – Hazardous Materials Review (HMR))</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
Visual Reconnaissance <i>(NDOT PD Hazardous Materials – Site Reconnaissance)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
ACM Survey <i>(NDOT PD Hazardous Materials – Asbestos Containing Material (ACM) survey report)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
Phase I/II Environmental Site Assessment <i>(NDOT PD Hazardous Materials – Phase I/II Environmental Site Assessment)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
Additional Decision-Making Documentation <i>(NDOT PD Hazardous Materials – Other)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
Air Quality PQS Memo <i>(NDOT PD Air Quality – Mobile Source Air Toxics Report/Memo)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
Air Study Report	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>

<i>(NDOT PD Air Quality – Air Study Report)</i>		
Noise PQS Memo <i>(NDOT PD Noise Mitigation – Noise Study Determination)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
Noise Study <i>(NDOT PD Noise Mitigation – Noise Study Report)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
Impaired Waters, MS4, Section 402		
Water Quality PQS Memo <i>(NDOT PD Water Quality PQS Memo)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>
Additional Decision-Making Documents <i>(NDOT PD RDC Pre-Letting Correspondence)</i>	Yes <input type="checkbox"/>	N/A <input type="checkbox"/>

Technical Specialist Comments:

Environmental Project Manager Comments:

Environmental Project Manager Signature:

Date:

Appendix C

External Access (FHWA) to OnBase

FHWA OnBase Access

FHWA will need to utilize the following link to log in to the external OnBase Web Client. Contained in this link is also a link they will utilize to register for an account. Once they have registered and set their password they will need to let PPD know what their username is.

<https://ecmdorp.nebraska.gov/AppNet/Login.aspx>



When logging into the OnBase Web Client, please ensure that the user is selecting the HTML radio button. Please note that depending on what browser is being used, the user may need to turn their pop-up blocker off for this website. They may also need to install an initial ActiveX control.

PUBLIC LOGIN

Domain

User Name

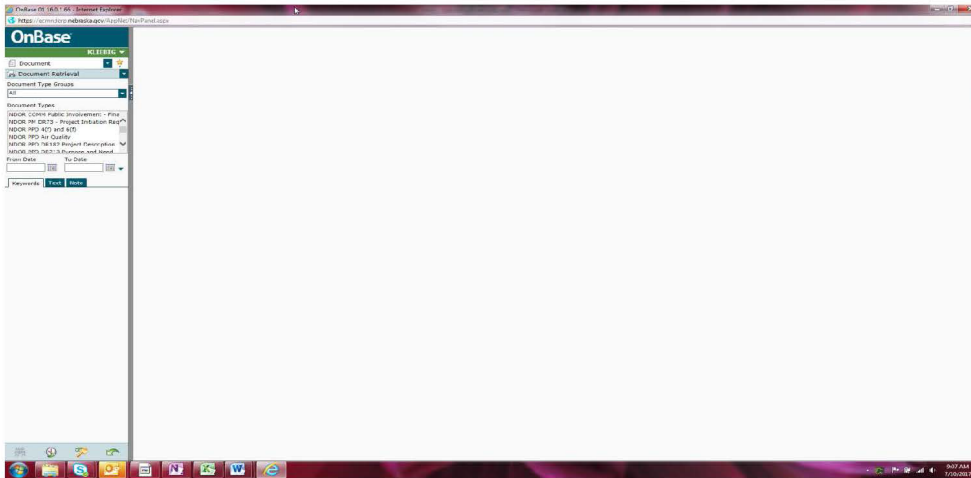
Password

ActiveX HTML

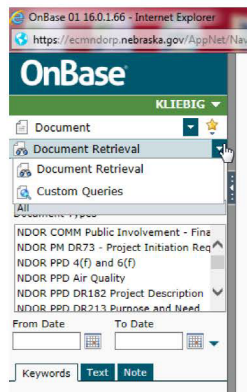
[Reset Password \(Non-State Employees\)](#)

To Access Documents:

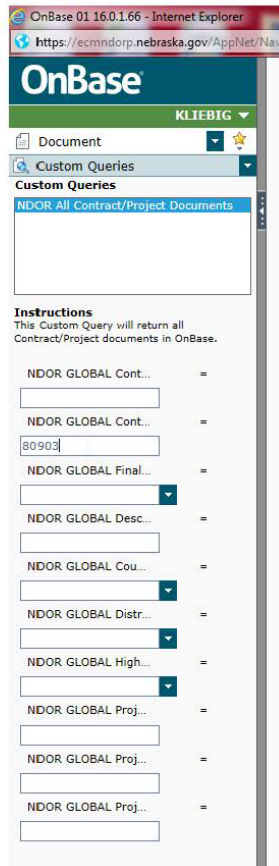
- Visit, <https://ecmndorp.nebraska.gov/AppNet/Login.aspx>.
- Select HTML radio button
- Login and make sure that pop-ups are allowed for this website as the OnBase portal will open in a new window upon successful login.



- Once successfully logged, the following window will open.



- FHWA users will be able to retrieve project documents two ways: Document Retrieval or Custom Queries.
- If you are unsure of what exact files you need select “Custom Queries”. This query will provide a list of all available document types for the project.
 - Left click on “NDOR All Contract/Project Documents”
 - Enter the project’s 5 digit control number in the second text box and hit Enter



- A populated window will appear to the right of the text boxes showing all document types available for FHWA to view with the selected project.
- Select the document type you would like to review and double click.
- The selected document should open in a separate window.
- If you know the exact files you need for a project select the “Document Retrieval” option
- Select the document type in the drop down and then enter the project’s 5 digit control number in the second text box and hit enter to open the document.

APPENDIX D

Frequently Asked Questions about OnBase

1. **How do users access OnBase?**
 - a. Appendix C provides a general tutorial regarding how to access OnBase.
2. **How are users authorized to access OnBase?**
 - a. Authorized users are each issued a State of Nebraska User ID (employee, or external consultant/contractor/FHWA/local).
 - b. Each Authorized User is added to appropriate OnBase groups depending on role; user accesses and/or restrictions (read only/edit) are applied based on user roles and responsibilities and are applied by NDOT OnBase Administrators.
 - c. Non-state devices are required to go through RemoteApp and multifactor authentication.
3. **How are documents organized within OnBase?**
 - a. OnBase is document centric, meaning documents are defined by a document type name within OnBase.
 - b. NDOT OnBase Administrators (five staff) have access to create and configure document types.
 - c. NDOT OnBase Business Leads (located in each division) have the authority to request creation of new document types as needs are identified.
 - d. Document types are retrieved based on keyword metadata associated with each document type.
 - e. NDOT construction project documents are indexed by one of two key index values; either the control number (for documents generated prior to construction), or contract id for documents generated as part of construction. Additional standard index values are part of an autofill function that keeps project related metadata (e.g., Control Number) in sync with NDOT's other project systems (Clarity, Mainframe, Site Manager, etc.).
4. **How are documents secured within OnBase?**
 - a. Active Directory Groups
 - b. Document type securities (list options here on what can be granted/removed)
 - c. Role at agency defines specific securities as defined by business leads in divisions.
5. **How are changes managed within OnBase?**
 - a. NDOT has established business leads in each division that defined the requirements for OnBase configuration during out implementation.
 - b. Changes requested are approved by Division leads- once approved a Service Ticket is generated in the states IT work management system (Service Manager). NDOT OnBase developers perform the work in a test environment, the business lead or user will test the changes, and once approved the developer schedules the changes to be made in the production environment. This ensures the appropriate business lead authorizes changes, and they are tested before migrated to the production system.
6. **Backups/recovery/redundancy – How is information in OnBase protected from major disasters/destruction?**
 - a. Backups/recovery/redundancy for State Agencies utilizing OnBase is managed by OCIO.

APPENDIX E

Public Records Request & FOIA

Protocol



Memorandum

DATE March 13, 2018

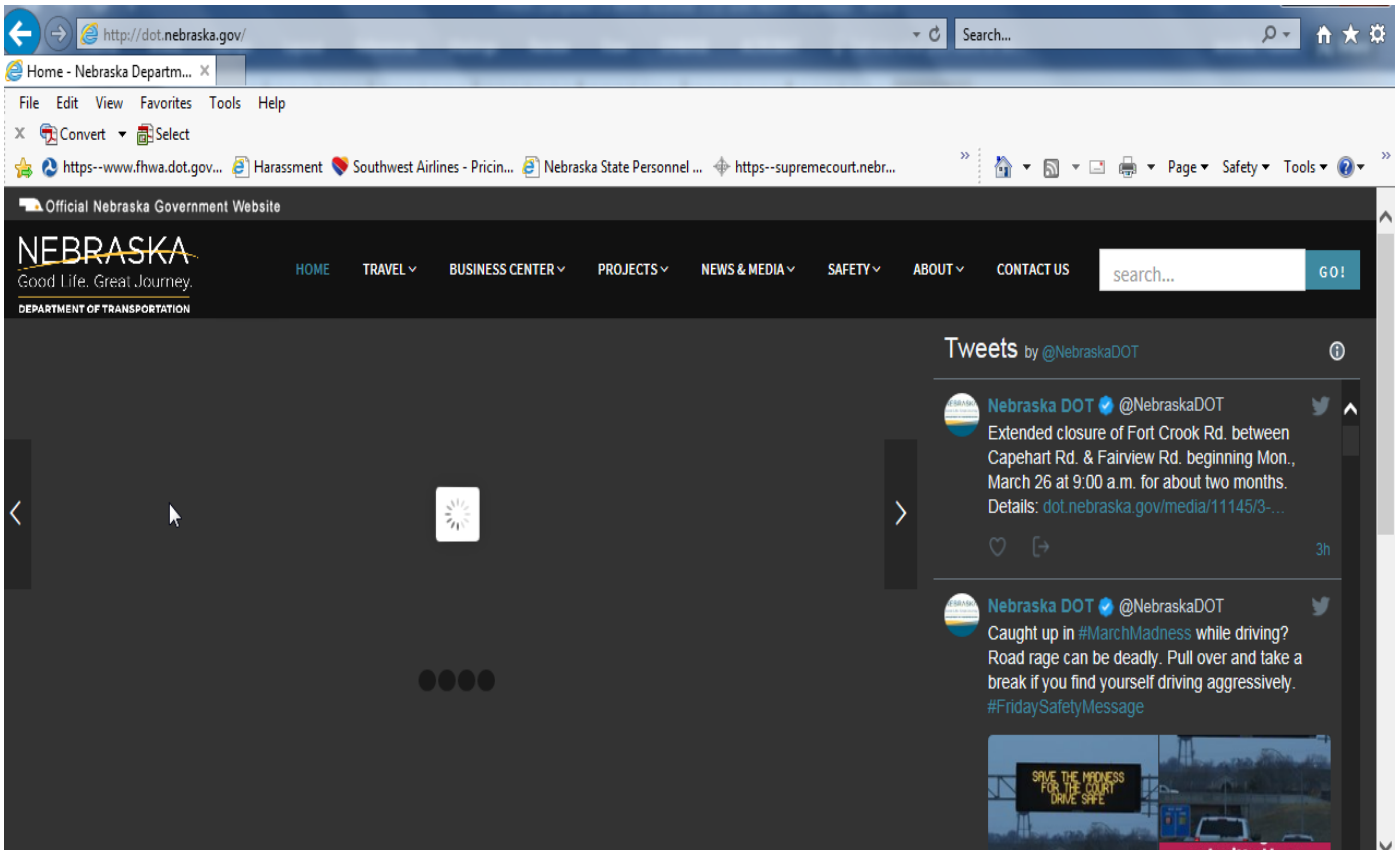
TO Communication Services Staff

FROM Jeni Campana, Communication Services Manager 

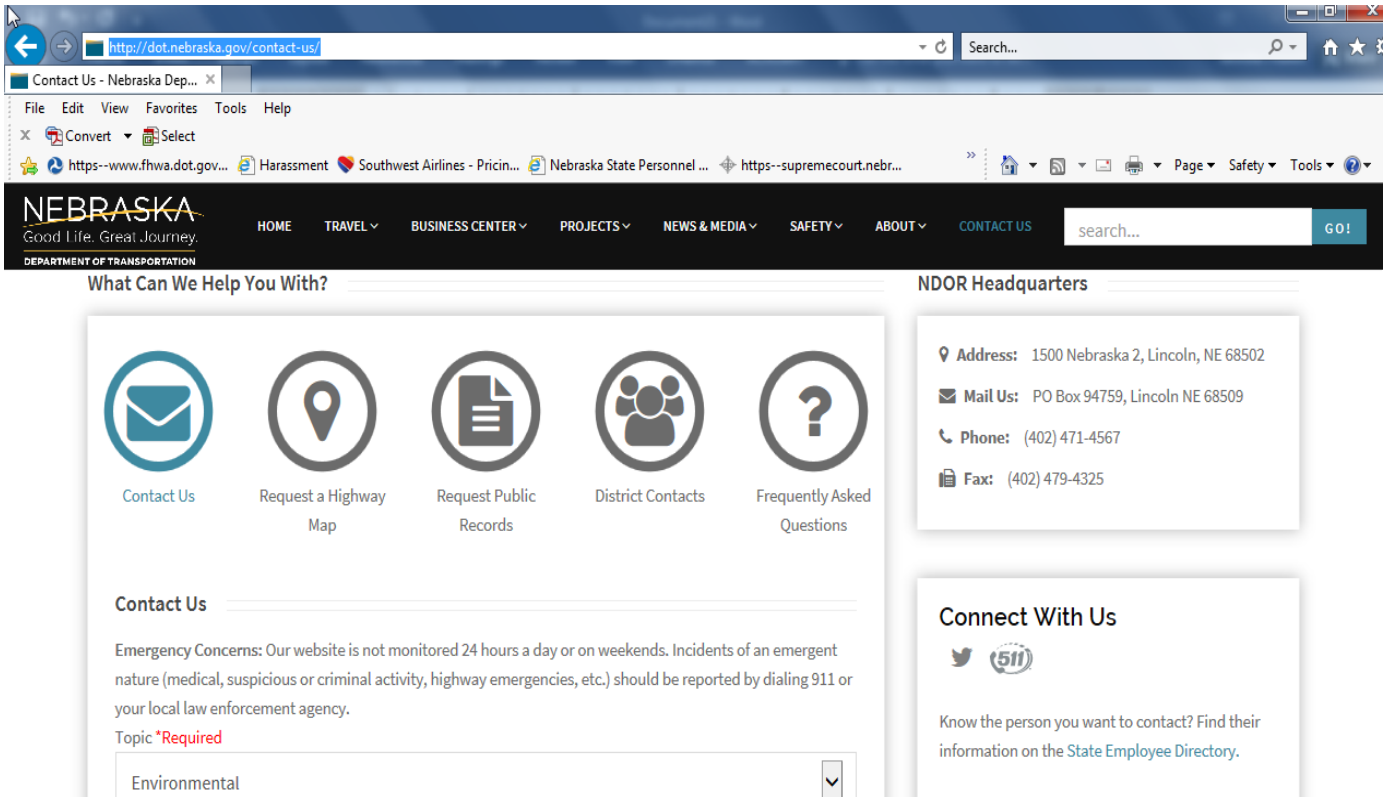
SUBJECT Public Record Requests Protocol

1. Formal request for records under the Nebraska Public Records Act is received by Communication Division, Communications Services Section (CSS).
2. Request for records is screened by CSS, then distributed to the NDOT subject matter expert (SME), with a deadline to respond.
 - a. If additional time is needed to complete the request, SME notifies CSS who then notifies the requestor that additional time will be needed to respond. (84-712(4))
 - b. If response will be voluminous, CSS notifies requestor of potential costs involved, in accordance with the statute. (84-712(3)(b))
3. Communication Division prepares the response, in coordination with Legal Division.
 - a. Legal Division ensures response complies with the Public Records Act
4. Response is provided to requestor, redacted as necessary, or denied with reason for denial provided. (84-712.04)
5. Response retained in accordance with retention schedule.

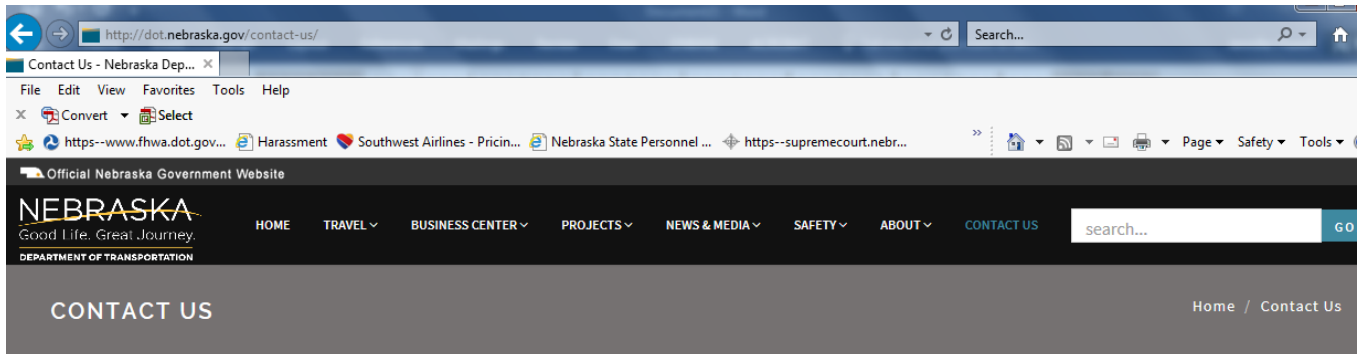
1. Visit the NDOT website, and click on contact us.



2. Clicking on “Contact us” takes you to the dashboard below.



3. Select “Request Public Record” generates the screen below:



And the following form to complete:

The screenshot shows a web browser window with the URL <http://dot.nebraska.gov/contact-us/>. The page title is "Contact Us - Nebraska Dep...". The browser's address bar shows the URL and a search box. The page features a navigation menu with links for HOME, TRAVEL, BUSINESS CENTER, PROJECTS, NEWS & MEDIA, SAFETY, ABOUT, and CONTACT US. A search bar is located in the top right corner of the page.

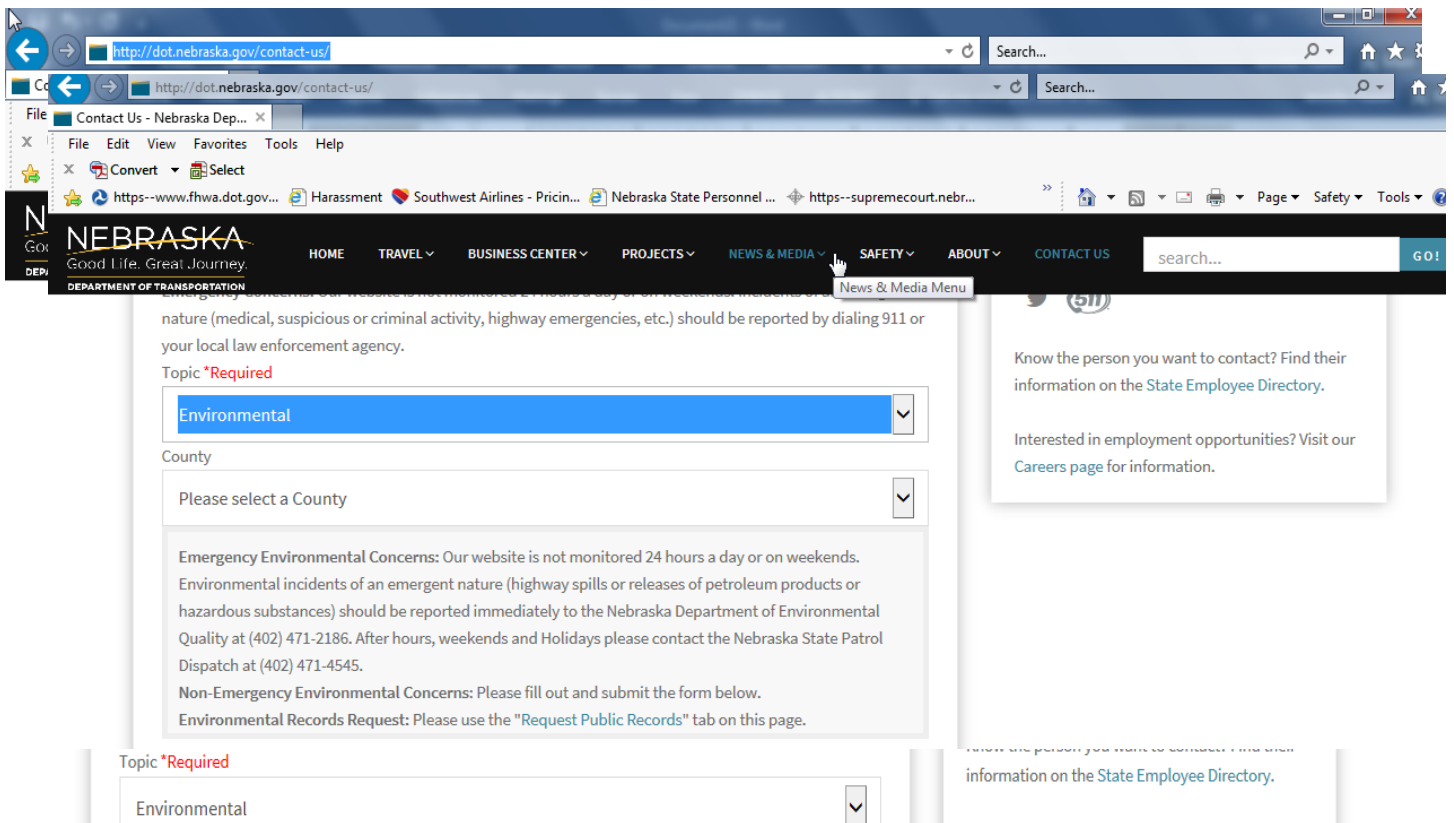
The main content area contains a "Request Public Records" form with the following fields:

- Full Name
- Email
- Phone
- Address
- City
- State
- Zip
- Which records are you requesting? (Include date range if applicable.)

There is a checkbox labeled "Send a copy to my e-mail address" at the bottom of the form.

On the right side of the page, there is a "Connect With Us" sidebar containing social media icons for Twitter and 511, and text that reads: "Know the person you want to contact? Find their information on the State Employee Directory." and "Interested in employment opportunities? Visit our Careers page for information."

4. If the individual misses the “Request Public Records” tab and clicks into “Contact Us”, they can still select the “Environmental” concern:



5. The screen below is generated, and the individual is directed back to the “Public Records” link: