

Schedule 165-8

DEPARTMENT OF ADMINISTRATIVE SERVICES

PERSONNEL DIVISION

February 23, 2016

Nebraska Records Management Division
3242 Salt Creek Circle
Lincoln, NE 68504
(402) 471-2559

**REQUEST FOR APPROVAL
OF RECORDS RETENTION
AND DISPOSITION SCHEDULE**

SCHEDULE	165-8
AGENCY, BOARD OR COMMISSION	DEPARTMENT OF ADMINISTRATIVE SERVICES
DIVISION, BUREAU OR OTHER UNIT	PERSONNEL DIVISION
Supersedes Edition of February 26, 1990	

**TO: STATE RECORDS ADMINISTRATOR
STATE OF NEBRASKA**

PART I – AGENCY STATEMENT:

In accordance with Section 84-1212.01, R.R.S. 1943, approval of the attached records retention and disposition schedule by the State Records Administrator is hereby requested. Retention periods and dispositions have been recommended by this agency after a careful evaluation of all factors listed in Section 84-1212.01, R.R.S. 1943.

SIGNATURE

Maryon Bell

TITLE

State Personnel Director

DATE

2-10-2016

PART II – APPROVAL OF STATE ARCHIVES:

The attached schedule has been analyzed, all archival and historical material has been properly identified, no disposition except by transfer to the State Archives has been recommended for such material, and this schedule is approved as submitted.

SIGNATURE

Gayle Koutny

DATE

2/17/2016

PART III – APPROVAL OF AUDITOR OF PUBLIC ACCOUNTS:

The attached schedule has been reviewed, all audit material has been properly identified, and this schedule is approved as submitted.

SIGNATURE

Dean Hooper

DATE

2/23/16

PART IV – APPROVAL OF STATE RECORDS ADMINISTRATOR:

The attached schedule has been reviewed in accordance with Section 84-1212.01, R.R.S. 1943, and is approved as submitted.

SIGNATURE

Jim A. Lee

DATE

2/23/16

INSTRUCTIONS FOR USING THIS SCHEDULE

Records retention and disposition schedules are designed to serve as your records management guideline for storing and disposing of agency records, **regardless of the media on which they reside**, including paper, microfilm, diskettes, optical disks, CDs, DVDs, servers, computer hard drives, etc. This schedule was written specifically for records unique to your office and the State Agencies General Records Schedule #124 contains those records common to most state government agencies. This retention schedule, which is approved by the State Records Administrator, provides your only ongoing authority to dispose of records. Listed below are some basic procedures to follow when applying your schedule.

DISPOSING OF RECORDS

1. Check your schedules to see what the retention period is. Note: Your agency's unique schedule will take precedence over State Agencies General Records Schedule #124 for any items which have differences in retention requirements.
2. Dispose of records that have met their retention periods. Unless there is pending or on going, legal action, records request, or audit.
3. For records requiring a review of, or transfer to the **NE State Historical Society (State Archives)**, your agency is required to contact the State Archives to negotiate the transfer. Additionally, **once the records are accessioned into their collection, they become the property of the State Archives** (Neb. Rev. Stat. §82-105). The State Archives may remove selected records in accordance with standard archival practices to ensure efficient access, organization and enduring historical value (Neb. Rev. Stat. §82-107). Please contact their office by calling (402) 471-4783.
4. Complete a Records Disposition Report for the records you dispose. The Records Disposition Report form is located on the Secretary of State Records Management website. https://appengine.egov.com/apps/ne/sos_records_disposition_report. This report establishes that the destruction was performed in your normal course of business.

NON-SCHEDULED RECORDS

Contact a Records Management Specialist in Records Management to see whether the records will fit under an item already on the schedule. If they do not, they must be retained until they are added to the next revision of your schedule.

SCHEDULE UPDATE

It is the responsibility of each agency to periodically update their schedule. A Records Management Specialist in Records Management can assist you with the schedule update, which may involve adding new records series and making revisions to existing items. Keeping your schedule current will ensure you have the ongoing authority to discard records when their useful life has ended.

QUESTIONS

If you have any questions about these procedures, please contact your agency Records Officer or the Records Management Specialist in Records Management. They will help you with any questions the schedule may present, including: transferring records to the State Records Center or microfilming records, scanning records, etc.

**Records Management Division
3242 Salt Creek Circle
Lincoln, NE 68504
402-471-2559**

SCHEDULE 165-8
DEPARTMENT OF ADMINISTRATIVE SERVICES
PERSONNEL DIVISION
February 23, 2016

Retention requirements are for all records, regardless of the media on which they reside, unless otherwise noted.

Supersedes Schedule 46, Edition of February 26, 1990

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
165-8-1	BENEFITS - ENROLLMENT DATA (NIS)	Enrollment Data (NIS) Required by ERISA (Employee Retirement Income Security Act), FMLA (Family Medical Leave Act), ADEA (Age Discrimination and Employment Act)	8 years	
165-8-2	BENEFITS - HEALTH, DENTAL, VISION, LIFE AND FLEXIBLE SPENDING (NIS)	Health, Dental, Vision, Life and Flexible Spending (NIS) Required by ERISA (Employee Retirement Income Security Act), FMLA (Family Medical Leave Act), ADEA (Age Discrimination and Employment Act)	8 years	
165-8-3	BENEFITS - LIFE AND LONG TERM DISABILITY AGREEMENT	Life and Long Term Disability Agreement Required by ERISA (Employee Retirement Income Security Act), FMLA (Family Medical Leave Act), ADEA (Age Discrimination and Employment Act)	8 years	
165-8-4	CLASSIFICATION - CLASS CODE AND TITLE DATA	Data regarding creations, change and inactivation of Job Information.	4 years	
165-8-5	CLASSIFICATION - COMPARISON OF PAY BY SALARY GRADE	Quarterly computer report contains classes by salary grade and all positions and people assigned to those classes. Includes employees, social security number, position number, F.T.E. and salary.	4 years	
165-8-6	CLASSIFICATION - EMPLOYEES HIRED DURING THE MONTH	Quarterly computer report identifies all state employees who have been hired at a salary rate other than the hiring rate in the current reporting period.	4 years	
165-8-7	CLASSIFICATION - ENTITY ACTION REQUEST	Form is used to create, change, or inactivate an entity and establish the relationship between reporting entities.	4 years	
165-8-8	CLASSIFICATION - INACTIVE POSITIONS DELETED (NEIS 048)	Computer report listing positions deleted during the previous year. Generated only when position purge is run.	4 years	
165-8-9	CLASSIFICATION - NOTIFICATION OF UPCOMING EMPLOYEE TRANSACTIONS	Monthly computer report provides notification of important upcoming payroll and personnel transactions. Also identifies overdue employee transactions which should have been processed.	4 years	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
165-8-10	CLASSIFICATION - PERSONNEL INFORMATION FORM	Input and turnaround document is completed when an employee is first hired with the state and to update or change information during the employee's employment with the state. Forms are sent to Personnel only for the purpose of being checked for accuracy.	4 years after review	
165-8-11	CLASSIFICATION - POSITION CONTROL DATA	Data regarding creation, change and deletion of positions for all agencies in the Classified Personnel System.	4 years after position deletion	
165-8-12	CLASSIFICATION - POSITION STAFFING REPORT	Monthly computer report provides a detailed account of all positions within the organizational structure of the agency. Includes the names of agency employees, position types, monthly rate and salary grade.	4 years after superseded	
165-8-13	CLASSIFICATION - REPORT OF PAY DISTRIBUTION	Computer report indicates number of employees in each segment of each salary grade and total employees in each salary grade.	4 years after superseded	
165-8-14	CLASSIFICATION - SALARY CHANGES BY AGENCY	Monthly computer report shows all position salary changes each month.	4 years	
165-8-15	CLASSIFICATION - SALARY GRADE CHANGE FORM	Form is used to create, change, and inactivate salary grades in the NEIS Salary Schedule Data Base.	4 years after verification	
165-8-16	CLASSIFICATION - SALARY SCHEDULES	Computer report provides data which verifies salary grade data within the system.	4 years	
165-8-17	CLASSIFICATION - SUMMARY OF OVERTIME REPORT	Cumulative monthly computer report provides a report of overtime worked by employees within agencies under the Department of Personnel.	4 years	
165-8-18	CLASSIFICATION - SUMMARY STAFFING REPORT	Monthly computer report provides information to monitor staffing patterns, such as minority employees, vacancies, positions, etc. by entity.	4 years after superseded	
165-8-19	CLASSIFICATION - VACANCY REPORT	Monthly computer report provides a centralized listing of all vacant positions in each agency.	4 years after superseded	
165-8-20	CLASSIFICATION AND PAY PLAN	Document showing job titles, assigned salary grades and overtime status.	4 years after superseded	
165-8-21	CLASSIFICATION TITLE MASTER-NUMERIC	Monthly computer report provides a master listing of classification titles, codes, and related salary grades.	4 years after superseded	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
165-8-22	EMPLOYEE BENEFITS	Employee Benefits (Request for Proposals)	3 years	<ul style="list-style-type: none"> •Material Division maintains originals •Required by ERISA (Employee Retirement Income Security Act)
165-8-23	EMPLOYEE INSURANCE PLANS	Contracts and proposals with third party administrators	4 years	
165-8-25	GENERAL - SALARY SURVEY DATA	Annual computer report includes position title, employee minimum and maximum pay rates.	3 years	State Statute 81-1307
165-8-26	PERSONNEL - JOB OPENINGS, CURRENT LISTING OF (I.E. JOB MARKET)	Nebraska State Jobs Career Center listing of available state jobs, description, and supplemental questions when required.	4 years after superseded	
165-8-27	PERSONNEL - POSITION DESCRIPTION QUESTIONNAIRE	Used to compare job positions for reclassification.	4 years	State Statute 81-1307
165-8-28	REQUEST FOR CERTIFICATION/ CERTIFICATE OF ELIGIBLE AND ACTION TAKEN (OBSOLETE)	Form is completed by an agency has a vacancy and requests a list of eligible applicants for that particular class and location	3 years	Guiding legal reference for this record is associated with the ADEA Employment Law.
165-8-29	RETIREE - HEALTH/DENTAL/VISION/ FSA BENEFIT CONTINUATION FORMS	Required by Consolidate Omnibus Budget Reconciliation Act (COBRA)	8 years	
165-8-30	RETIREE - MAIL LOG	Mail Log Required by Consolidate Omnibus Budget Reconciliation Act (COBRA)	8 years	
165-8-31	TEMPORARY PROGRAM - SPECIALIZED OFFICE SERVICES (SOS) APPLICANT PERSONNEL FILE	Includes: Interview, reference and expectations sheets; performance calls; counseling sessions; evaluations; accounting forms, doctors' notes and timecards.	4 years	
165-8-32	TURNOVER DATA, ANNUAL	Data which is used in salary evaluations and decisions regarding recruitment and retention.	3 years	State Statute 81-1307
46-4-4	AFFIRMATIVE ACTION - EEO-4 REPORTS			See AFFIRMATIVE ACTION RECORDS, Item 124-6
46-4-3	AFFIRMATIVE ACTION - QUARTERLY REPORT			See AFFIRMATIVE ACTION RECORDS, Item 124-6
46-4-9	AFFIRMATIVE ACTION ANNUAL REPORT			See AFFIRMATIVE ACTION RECORDS, Item 124-6
46-4-10	AFFIRMATIVE ACTION COMPLAINT			See COMPLAINT FILE, item 124-36

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
46-4-1	AFFIRMATIVE ACTION PLAN			See AFFIRMATIVE ACTION RECORDS, Item 124-6
46-2-4	APPLICATION FILE (NOT HIRED)			See APPLICATIONS AND OTHER SUPPLEMENTAL MATERIAL USED TO HIRE AND NOT HIRE PERSONS, item 124-11
46-2-1	COMPLAINT RECORDS			See COMPLAINT FILE, item 124-36
165-8-24	EXAM BOOKLETS			Obsolete 1990 See APPLICATIONS AND OTHER SUPPLEMENTAL MATERIAL USED TO HIRE AND NOT HIRE PERSONS, Item 124-11
46-1-3	FISCAL IMPACT NOTE			See PROPOSED LEGISLATION, item 124-95
46-2-8	GRIEVANCE FILE/APEAL HEARINGS			Transferred to Schedule 165-9 GRIEVANCE FILE/ APEAL HEARINGS, Item 165-9-3
46-1-4	INTERGOVERNMENTAL PERSONNEL ACT (IPA) GRANTS			See GRANTS, item 124-63
46-1-14	LABOR CONTRACT/ NEGOTIATIONS			See LABOR CONTRACTS, Item 124-72
46-2-5	PERSONNEL - CLASSIFICATION SPECIFICATIONS			See ADVERTISEMENTS/ NOTICES TO THE PUBLIC OR EMPLOYEES, Item 124-5
46-2-18	PERSONNEL - JOB ANALYSIS QUESTIONNAIRE FOR EXAMINATION DEVELOPMENT			See APPLICATIONS AND OTHER SUPPLEMENTAL MATERIAL USED TO HIRE AND NOT HIRE PERSONS, item 124-11
46-2-19	PERSONNEL - JOB ORDER FORM			See APPLICATIONS AND OTHER SUPPLEMENTAL MATERIAL USED TO HIRE AND NOT HIRE PERSONS, item 124-11
46-2-21	PERSONNEL - TEST ANSWER SHEET			See APPLICATIONS AND OTHER SUPPLEMENTAL MATERIAL USED TO HIRE AND NOT HIRE PERSONS, item 124-11

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
46-4-2	AFFIRMATIVE ACTION REPORT		Immediate disposal	Obsolete
46-4-6	AFFIRMATIVE ACTION - STATISTICAL QUARTERLY REPORT		Immediate disposal	Obsolete
46-4-7	AFFIRMATIVE ACTION - TRAINING EVALUATION FORMS		Immediate disposal	Obsolete
46-4-8	AFFIRMATIVE ACTION - TRAINING RECORDS		Immediate disposal	Obsolete
46-2-14	POSITION ACTION REQUEST (NEIS E-I)		Immediate disposal	Obsolete
46-1-12	TRANSMITTAL LISTING - HEALTH AND LIFE INSURANCE		Immediate disposal	Obsolete