

# **Schedule 165-9**

## **DEPARTMENT ADMINISTRATIVE SERVICES**

### **EMPLOYEE RELATIONS DIVISION**

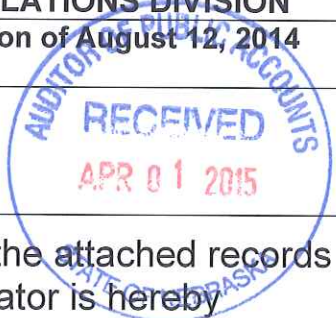
**April 2, 2015**

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

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

SCHEDULE	<b>165-9</b>
AGENCY, BOARD OR COMMISSION	<b>DEPARTMENT OF ADMINISTRATIVE SERVICES</b>
DIVISION, BUREAU OR OTHER UNIT	<b>EMPLOYEE RELATIONS DIVISION</b>
	Supersedes Edition of August 12, 2014

**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	<i>Wm. B. Mc</i>
TITLE	<i>Acting Director</i>
DATE	<i>3-12-15</i>

**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	<i>Dayna Kocot</i>
DATE	<i>3/31/2015</i>

**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	<i>Dean Haffner</i>
DATE	<i>4/2/15</i>

**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	<i>Jim A. Lee</i>
DATE	<i>4/2/15</i>

## **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](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.

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402-471-2559**

**SCHEDULE 165 - 9**  
**DEPARTMENT OF ADMINISTRATIVE SERVICES**  
**EMPLOYEE RELATIONS DIVISION**  
**April 2, 2015**

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

Supersedes 165-9 Edition of August 12, 2014

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
165-9-1	AGENCY LAYOFF OR FURLOUGH PLANS	All Agency layoff or furlough plans affecting State employees covered by a labor contract are received and reviewed by Employee Relations staff before implementation.	5 years after date of layoff or furlough	
165-9-2	APPEAL DOCKET	Tracking document of all third step appeals received in the Division. After final decision of Arbitrator/Personnel Board, file in binder.	50 years after appeal file is closed OR when no longer of reference value as determined by the Employee Relations Administrator (whichever is later)	
165-9-3	GRIEVANCE FILE/APPEAL HEARING	File is maintained on employee grievances which result in a decision by the State Personnel Board. May include, but is not limited to: Grievance Record, Appeal to the State Personnel Board, correspondence and related decisions by the Board or an Arbitrator.	ARBITRATION OR HEARING OFFICER/BOARD (NOT PURSUED): 1 year after case dismissed ALL OTHERS: 5 years after Board's/Arbitrator's decision DIGITAL/AUDIO RECORDINGS: 4 years	Confidential record
165-9-4	GRIEVANCE STATISTICS	Monthly reports created within the Division from third step grievances received in the office.	Superseded	
165-9-5	LABOR CONTRACT - INTERPRETATIONS	File of interpretations of various sections of the labor contract. Updated every two years after new labor contract is in effect and after the previous labor contract has expired.	Superseded	
165-9-6	LABOR CONTRACT - NEGOTIATIONS	Labor contracts, minutes of meetings and other substantiating material used during negotiations.	5 years after approval of contract	
165-9-7	MINI-HEARING FILE/ HEARING DECISIONS	Confidential file is maintained on Step 2.5 employee grievance appeals which result in a decision by the Employee Relations Administrator or his designee. May include narratives and related decisions by the Employee Relations Administrator or his designee.	2 years after date of mini-hearing decision	Confidential record

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
165-9-8	<b>STEP 3 APPEALS IN MICROSOFT ACCESS DATABASE FILE</b>	All Step 3 Grievance Appeals are logged into Microsoft Access <b>database</b> and litigation is updated until Appeal file is closed.	<b>50 years after appeal file is closed OR when no longer of reference value as determined by the Employee Relations Administrator (whichever is later)</b>	
165-9-9	<b>UNION DUES DEDUCTION REPORTS</b>	Monthly report created within the Division from EnterpriseOne system statistics.	<b>Superseded</b>	