### Schedule 31-5

# DEPARTMENT OF AGRICULTURE

# BUREAU OF ANIMAL INDUSTRY

August 28, 2018

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

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

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

SCHEDULE
31-5
AGENCY, BOARD OR COMMISSION
DEPARTMENT OF AGRICULTURE
DIVISION, BUREAU OR OTHER UNIT
BUREAU OF ANIMAL INDUSTRY
Supersedes Edition of July 17, 2006

#### PART I – AGENCY STATEMENT:

retention and disposition schedule by the State requested. Retention periods and dispositions I after a careful evaluation of all factors listed in S	have been recommended by this agency
SIGNATURE Welln	
Director	DATE 8-15-18

In accordance with Section 84-1212.01, R.R.S. 1943, approval of the attached records

#### 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

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#### 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 DATE

8/28/18

#### PART IV - APPROVAL OF STATE RECORDS ADMINISTRATOR:

The attache	d schedule has been revi	ewed in accordan	ce with Section 84-1212.01,	
R.R.S. 1943	, and is approved as sub	mitted.		
SIGNATURE	Jun A.x	Yace	B/28/18	
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**RMA 01005D** 

#### 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. <a href="https://appengine.egov.com/apps/ne/sos-records-disposition-report">https://appengine.egov.com/apps/ne/sos-records-disposition-report</a>. 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 31-5 DEPARTMENT OF AGRICULTURE BUREAU OF ANIMAL INDUSTRY

August 28, 2018

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

Supersedes Edition of July 17, 2006

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
31-5-8	ADMINISTRATIVE RECORDS- BRUCELLOSIS VACCINATION RECORD (VS 4-26)	Records prior to 1/1/2017 Records are entered into AS-400 and filed in batch files by Julian date. Records on or after 1/1/2017 - Records are scanned and indexed in OnBase.	ORIGINAL RECORD: (Prior to 1/1/2017) Transfer to State Records Center after 2 years; 20 years ORIGINAL RECORD: (On or after 1/1/2017): Shred after scanning and indexing is complete and verified ELECTRONIC RECORD: 20 Years	
31-5-15	ADMINISTRATIVE RECORDS- LIVESTOCK AUCTION MARKET FILES	Records are scanned and indexed in OnBase. Includes application forms (original, renewal, and transfer), bonding certifications, and copies of licenses, copies of checks, and inspection fee receipts.	ORIGINAL RECORD: Shred after scanning and indexing is complete and verified RENEWAL LICENSE: 5 years INSPECTION FEE RECEIPTS: 5 years ORIGINAL AND TRANSFER APPLICATIONS: 5 years after market is closed or sold	
31-5-13	ADMINISTRATIVE RECORDS- LIVESTOCK AUCTION MARKET INSPECTION FORM	Inspections are completed by inspectors on tablet computers and uploaded to OnBase. Facilities are inspected on a quarterly basis.	3 years	
31-5-14	ADMINISTRATIVE RECORDS- LIVESTOCK DEALER FILES	Records are scanned and indexed in OnBase. Includes application forms, copies of checks, bonding certifications, copies of licenses, and correspondence.	ORIGINAL RECORD: Shred after scanning and indexing is complete and verified ELECTRONIC RECORD: 3 years after expiration, 5 years	
31-5-16	ADMINISTRATIVE RECORDS-PET FEED AND RENDERING PLANT FILES	Includes application forms, copies of licenses, inspection reports, correspondence, shipping documents, etc. Applications, licenses, checks, and correspondence are scanned and indexed on OnBase. Inspections are completed by inspectors on tablet computers and uploaded to OnBase. Shipping documents are filed and sent to Records Center annually.	SHIPPING DOCUMENTS: 3 years SCANNED DOCUMENTS: Shred after scanning and indexing is complete and verified ELECTRONIC RECORD: 5 years	
31-5-9	ADMINISTRATIVE RECORDS- REPORT OF BACKTAGS APPLIED	Reports are scanned and indexed in OnBase.	ORIGINAL RECORD: Shred after scanning and indexing is complete and verified ELECTRONIC RECORD: 3 Years	
31-5-4	ADMINISTRATIVE RECORDS- SWINE BRUCELLOSIS TEST CHARTS	Tests are data entered into USDA CoreOne data base.	TEST CHARTS: Transfer to State Records Center after 1 year; 10 years	

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ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
31-5-11	ADMINISTRATIVE RECORDS-TAG IDENTIFICATION LOG	Logs are scanned and indexed in OnBase.	ORIGINAL RECORD: Shred after scanning and indexing is complete and verified ELECTRONIC RECORD: 20 years after date tag was issued	
31-5-32-3		Includes hearing <u>orders</u> , notices, warning letters, stop- movement orders, and other enforcement documents.	5 years	
31-5-32-5	COMMERCIAL DOG AND CAT OPERATOR INSPECTION PROGRAM- SUPPORTING DOCUMENTATION	Includes Invoices (annual fees; late fees; reinspection fees) and out of business submissions.	5 years	
31-5-32-4	COMMERCIAL DOG AND CAT OPERATOR INSPECTION	Correspondence related to the operation and enforcement of the program. Includes record requests, veterinary medical records, foster home	5 years	
31-5-32-6	PROGRAM-ELECTRONIC DATA	All license applications are entered in a database from which license numbers are assigned and licenses printed. When a license is no longer active because of non-renewal, the electronic file is moved to the electronic data archives.	10 years	
31-5-32-2	COMMERCIAL DOG AND CAT OPERATOR INSPECTION PROGRAM-LICENSE APPLICATIONS AND ANNUAL FEE UPDATE FORMS	Applications are filed by licensing year in license number order. Includes license application and copy of license issued.	5 years	
31-5-32-1	COMMERICAL DOG AND CAT OPERATOR INSPECTION	File includes inspection reports and complaints for all licensing categories of the COMMERCIAL DOG AND CAT OPERATOR INSPECTION PROGRAM. Reports are filed by date of inspection.	5 years	
31-5-33-1		Records are scanned and indexed in OnBase. Records in files include DCA permit applications; copies of checks, DCA inspection reports; herd inventory reports and worksheets; chronic wasting disease, tuberculosis, and brucellosis herd status letters and applications; correspondence pertaining to the facility; and photographs of the facility.	ORIGINAL RECORD: Shred after scanning and indexing is complete and verified ELECTRONIC RECORD: 10 years	
31-5-25	EQUINE INFECTIOUS ANEMIA LAB TEST REPORT (VS 10-11)	horses which must be tested for infectious anemia.	ORIGINAL RECORD: Shred after scanning and indexing is complete and verified ELECTRONIC RECORD: 3 years	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
31-5-17-1	HEALTH CERTIFICATES- NEBRASKA HEALTH CERTIFICATES AND CERTIFICATES OF INSPECTION (ALL LARGE ANIMAL SPECIES)	accredited veterinarian to move livestock from	ORIGINAL RECORD: Shred after scanning and indexing is complete and verified ELECTRONIC RECORD: 15 years	
31-5-17-3	HEALTH CERTIFICATES-OUT-OF- STATE HEALTH CERTIFICATES AND CERTIFICATES OF INSPECTION (ALL LARGE ANIMAL SPECIES)	_ · · · · · · · · · · · · · · · · · · ·	indexing is complete and verified	
31-5-17-5	HEALTH CERTIFICATES-SMALL ANIMAL HEALTH CERTIFICATES	accredited veterinarian to move small animals (pets)	ORIGINAL RECORD: Shred after scanning and indexing is complete and verified ELECTRONIC RECORD: 3 years	
31-5-30-1	IMPORT RECORDS-CATTLE IMPORT PERMIT FORMS	moving into Nebraska from other states. Permit forms are completed either by a telephone request or on a preassigned permit form. Information is entered	PERMIT FORMS: Transfer to State Records Center at end of calendar year; 5 years ELECTRONIC RECORD: 5 years SECURITY BACKUP COPY: Backup weekly; after superseded	
31-5-30-2	IMPORT RECORDS-CATTLE RETURNING TO NEBRASKA FROM GRAZING	Nebraska producers sending cattle to a neighboring state for grazing purposes will be allowed to return to Nebraska without testing for brucellosis if certain conditions are met.	Transfer to State Records Center after December 31; 5 years	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
31-5-30-4	IMPORT RECORDS-COMMUTER CATTLE AGREEMENT FILES	Computer permits are issued for cattle moving interstate from a farm of origin or returning interstate to a farm or origin in the course of normal ranching operations without a change of ownership. The movement should be directly to or from another premises owned, leased, or rented by the same individual. The commuter permit exempts the cattle from the brucellosis testing and vaccination requirements. The commuter permit should originate from the state veterinarian's office in the same state where the producer is located. The original commuter permit is retained in the Nebraska BAI office, a copy is sent to the applicant, and a copy is also sent to the neighboring State Veterinarian's office. Individual files are made for each agreement and filed alphabetically by herd owner. Agreements expire December 31 of each year.	Transfer to State Records Center after 1 year; 2 years	
31-5-30-6	IMPORT RECORDS- CORRESPONDENCE (IMPORTS)			SEE SCHEDULE 124-29 THROUGH 124-35
31-5-30-7	IMPORT RECORDS- DISCREPANCY LETTERS	compliance with Nebraska import regulations. If a	IMPORT CHECKLIST: After Discrepancy Letter (BAE) is completed ALL OTHER RECORDS: 2 years	
31-5-30-9	IMPORT RECORDS-GENERATED FROM IMPORT PERMITS	The following reports are generated as needed: Cattle Permit Import Summary, Cattle Permit Quarantine Report, Cattle Permit Listing-Printed Weekly, etc.	When no longer of reference value or when superseding report has been generated, whichever is sooner	
31-5-30-3	IMPORT RECORDS-GRAZING PERMIT AGREEMENT FILES	Issued for (non-OCV) cattle from neighboring states coming into Nebraska for grazing or foraging purposes. Expired agreements are filed in a folder for the year.	Transfer to State Records Center after December 31; 5 years after agreement has expired	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
31-5-30-8	IMPORT RECORDS-QUARANTINE OF LIVESTOCK	Quarantines are issued on livestock moving into Nebraska which need to meet specific import requirements. Livestock may be quarantined for:  A. TB test on Arrival,  B. Brucellosis Retest,  C. Spay or castrate on Arrival,  D. Import Violation  E. General  Quarantines issued for "A. through D." are placed in a call-up file by which they are due in the office.  Quarantines for "e." are placed in individual files and filed alphabetically by herd owner. When the requirements of quarantine "A. through D." have been met, quarantine is released and they are placed in alphabetical order by herd owner in a close-out file for the current year.	Transfer those records in which the quarantine has been released to State Records Center after end of current year; 2 years after release of quarantine	
31-5-26	INCOMING AND OUTGOING CORRESPONDENCE			SEE SCHEDULE 124-29 THROUGH 124-35
31-5-29-1	INVESTIGATION FILES-CASE FILES	contain Complaint Record/Disposition Form, Documentation of Investigation Report, Documents Pertinent to the Investigation, Uniform Investigative Report, Supplemental Report, etc.	CASE FILES CLOSED WITHOUT A COURT HEARING: Transfer to State Records Center after end of calendar year; 20 years CASE FILED WITH THE COUNTY COURT: Transfer to State Records Center after end of calendar year closed; 20 years after closed, Subject to review by the State Archives for possible accession	
31-5-29-4	INVESTIGATION FILES-IMPORT PATROL RECORDS	. ,	ORIGINAL RECORD: INNOCENT PLEA TO CITATION COMPLAINT: See CASE FILES, Item 31-5-30 ALL OTHER RECORDS: 3 years after completion date YEAR-END SUMMARY REPORT: 5 years ELECTRONIC RECORD: 3 years after completion date SECURITY BACKUP COPY: Backup weekly; after superseded	
31-5-29-2	INVESTIGATION FILES-INDEX CARD FILE	·	20 years, subject to review by the State Archives for possible accession	
31-5-29-3	INVESTIGATION FILES-LOG BOOK (BAI 78)	year.	LOG BOOK: 5 years YEAR END SUMMARY REPORT: 5 years ELECTRONIC RECORD: 2 years SECURITY BACKUP COPY: Backup weekly; after superseded	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
31-5-21		Results of tests run for diseases other than brucellosis, pseudorabies, tuberculosis, scrapie, scabies, and EIA are batch filed by calendar year.	5 years	
31-5-18	FORMS		AGREEMENT FORMS: 2 years after expiration INSPECTION FORMS: 2 years	
31-5-19	OUT-OF-STATE POULTRY PERMIT FILES	Poultry permit applications are issued yearly. Permits expire September 1st of each year. The permit allows the entry of poultry and/or hatching eggs into the state of Nebraska. Applications are received and then issued a permit number. Original applications are batch filed by year (September 1 through August 31st). A copy of the application is forwarded to the University of Nebraska Poultry and Egg Division.		
31-5-34-1	PREMISES IDENTIFICATION REGISTRATION FILES	File contains original registration forms which were received from producers to apply for a Premises Identification Number.	20 years	
31-5-31-9	PSEUDORABIES RECORDS-TEST CHARTS		2 year	No longer have fee basis
31-5-20		Record of quarantine of livestock and poultry with communicable diseases.	3 years after release of quarantine	
31-5-24	SCRAPIE FILES	correspondence, etc.	10 years after release of quarantine	
31-5-22	TUBERCULOSIS TEST FILES	File may contain Accredited Area Surveillance for Tuberculosis, Accredited Herd Certificate Cooperative Tuberculosis Eradication, Progress Worksheet, Closing Report of Herd Investigation of Tuberculosis Lesions or Thoracic Granulomas in Regular Kill Animals, Investigation of Evidence of Tuberculosis, and Proceeds from Animals Sold for Slaughter, etc. Test records are batch filed by month, by year.	Transfer to State Records Center after 1 year; 25 years	
31-5-27	VACCINE APPROVAL	Requests are received from laboratories to conduct field trials and studies on experimental vaccine.	3 years	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
31-5-28	VETERINARIAN FILES	Individual files alphabetically by name. Contains copy of accreditation letter, discrepancy letter, change of address, and correspondence.	DISCREPANCY LETTERS AND CORRESPONDENCE: 3 years ACCREDITATION LETTER: Permanent or dispose of when notified of retirement, death, moved out of state or no longer practices in Nebraska, whichever is sooner	
31-5-1	ADMINISTRATIVE RECORDS- AGREEMENT TO APPLY BACKTAGS		2 years after termination of contract	OBSOLETE
31-5-3	ADMINISTRATIVE RECORDS-BRUCELLOSIS HERD FILES-CATTLE		CERTIFIED BRUCELLOSIS FREE HERDS: ORIGINAL RECORD: Microfilm and destroy SECURITY MICROFILM: Transfer to security storage, 20 years after date of test MICROFILM WORK COPY: 2 COPY OF TEST RECORD: Send to USDA/APHIS/VS INFECTED HERDS: ORIGINAL RECORD: Microfilm and destroy after herd is released from quarantine SECURITY MICROFILM: Transfer to security storage; 20 years after herd is released from quarantine MICROFILM WORK COPY: 20 years after herd is released from quarantine COPY OF TEST RECORD: Send to USDA/APHIS/VS POSITIVE/NEGATIVE: GREEN COPY: 1 month ORIGINAL TEST CHART: Send to USA/APHIS/VS PROGRAM HERDS: NEGATIVE ORIGINAL RECORDS: Microfilm and destroy SECURITY MICROFILM: Transfer to security storage; 20 years MICROFILM WORK COPY: 20 years	OBSOLETE
31-5-6	ADMINISTRATIVE RECORDS- BRUCELLOSIS LAB CHART		DAILY CHARTS: After monthly listing is generated MONTHLY CHARTS: 3 years ELECTRONIC RECORD: 2 years SECURITY BACKUP COPY: Backup weekly, after superseded	OBSOLETE
31-5-7	ADMINISTRATIVE RECORDS- BRUCELLOSIS RING TEST FILES		7 years	OBSOLETE

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
31-5-12	ADMINISTRATIVE RECORDS-		10 years	OBSOLETE
	CARD AND PLATE TEST PERMITS			
31-5-5	ADMINISTRATIVE RECORDS- MARKET CATTLE TEST FILES		MCI REACTOR HERD OF ORIGIN: ORIGINAL RECORD: Microfilm and destroy after herd has tested negative or animal is slaughtered SECURITY MICROFILM: Transfer to security storage; 20 years after herd tested negative or animal is slaughtered MICROFILM WORK COPY: 20 years after herd tested negative or animal is slaughtered NEGATIVE: BRUCELLOSIS TEST RECORD: Send to USDA/APHIS/VS	OBSOLETE
31-5-10	ADMINISTRATIVE RECORDS- REPORTS OF BRUCELLOSIS CONTROL ACTIVITIES		2 years	OBSOLETE Reports are prepared by BAI and sent to Veterinary Services APHIS in Hyattsville, Maryland
31-5-17-2	HEALTH CERTIFICATES- NEBRASKA HEALTH CERTIFICATES AND CERTIFICATES OF INSPECTION- SHEEP & CERVINE		Transfer to State Records Center after December 31 of each year, 5 years	OBSOLETE
31-5-17-4	HEALTH CERTIFICATES-OUT-OF- STATE HEALTH CERTIFICATES AND CERTIFICATES OF INSPECTION- SHEEP AND CERVINE		Transfer to State Records Center after 1 year; 5 years	
31-5-31-1	PSEUDORABIES RECORDS- APPLICATION FORMS		1 year	OBSOLETE
31-5-31-11	PSEUDORABIES RECORDS- MANUFACTURER'S REPORT ON VACCINE SOLD		ORIGINAL RECORD: 1 year ELECTRONIC RECORD: Move to history and after 1 year and delete HISTORY TAPES: 1 year SECURITY BACKUP COPIES: Backup electronic data and history tapes weekly; after superseded	OBSOLETE

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
31-5-31-3	PSEUDORABIES RECORDS- QUARANTINED HERDS		ORIGINAL RECORD: Transfer to State Records Center 2 years after date quarantine is released; 6 years after date quarantine is released ELECTRONIC RECORD: Retain while herd is under quarantine; move to history 3 years after date quarantine was released and delete HISTORY TAPES: 6 years after quarantine released SECURITY BACKUP COPY: 3 years	OBSOLETE
31-5-31-5	PSEUDORABIES RECORDS- SLAUGHTER TEST CHARTS		1 year	OBSOLETE
31-5-31-6	PSEUDORABIES RECORDS- SLAUGHTER WORKSHEETS		1 year	OBSOLETE
31-5-31-7	PSEUDORABIES RECORDS- SWINE BACKTAG REPORT		1 year	OBSOLETE
31-5-31-14	PSEUDORABIES RECORDS- TRACE FORMS		1 year	OBSOLETE
31-5-31-10	PSEUDORABIES RECORDS- VACCINATION APPROVAL FORMS		Transfer to State Records Center after 1 year; 2 years	OBSOLETE