

Schedule 82

RACING AND GAMING COMMISSION

October 27, 2023

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

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

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| SCHEDULE |
| 82 |
| AGENCY, BOARD OR COMMISSION STATE RACING AND GAMING COMMISSION |
| DIVISION, BUREAU OR OTHER UNIT |
| Supersedes Edition of May 9, 2018 |

**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 *Diane Osterloo*
Diane Osterloo (Oct 26, 2023 15:12 CDT)

TITLE **Business Manager III**

DATE **Oct 26, 2023**

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 *Anna Holley*
Anna Holley (Oct 26, 2023 15:21 CDT)

DATE **Oct 26, 2023**

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 *Pat Reding*
Pat Reding (Oct 27, 2023 07:04 CDT)

DATE **Oct 27, 2023**

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 *Robert B. Evnen*
Robert B. Evnen (Oct 27, 2023 10:55 CDT)

DATE **October 27, 2023**

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. 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 82
RACING COMMISSION**

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

| Supersedes Edition of May 9, 2018 | | | | |
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| ITEM NUMBER | RECORD TITLE | DESCRIPTION/EXAMPLES | RETENTION | REFERENCE/COMMENTS |
| 82-1 | GENERAL - TRACK REPORTS | All Daily and annual reports submitted to the commission. May include Annual Track Audit reports, Bookkeeper race track reports, parimutuel daily liability reports, and Racing Secretary Reports. | 5 years after annual report is completed | |
| 82-3 | GENERAL - DRUG SCREEN TEST RESULTS | Daily Report and tags from a laboratory approved by the Commission giving test results for legal and illegal drugs. | 2 years | |
| 82-5 | GENERAL - NEBRASKA BRED CERTIFICATE | Copy of certificate given to owners of Nebraska bred horses. Lists each horse's name, sire, dam and breeder. | 12 years | |
| 82-6 | GENERAL - OFFICIAL RACING PROGRAM | The Commission maintains one copy of each official racetrack program with results as marked by the State Steward. | Transfer to State Archives after 5 years | Contact State Archives to negotiate transfer |
| 82-9 | GENERAL - SIMULCASTING RECORDS | Records resulting when one racetrack simulcasts its races to another racetrack. May include, but not limited to: application for simulcasting license by host track and receiving track, simulcast daily report and final simulcasting data. Each covers only one year. | 5 years after racing season ends | May be Electronic |
| 82-10 | GENERAL - SURETY BONDS | Surety bonds submitted by racetracks as required, to hold race meets. | 5 years | Electronic only |
| 82-11 | GENERAL - TRANSFER BOOKS | Books show Steward's transfer of horse ownership or trainer ownership. | 3 years | |
| 82-12 | GENERAL - VETERINARY TREATMENTS | Report filed by veterinarians listing drugs administered and/or prescribed to racehorses. | 3 years | |
| 82-13 | LICENSING - APPRENTICE CERTIFICATES | Jockeys under 25 years of age serve an apprenticeship until they win a certain number of races. Old files included contracts between jockeys and trainers. Apprenticeship allows for an advantage on weight allowances. | 75 years | |
| 82-14 | LICENSING - CASE FILES | Files may cover patrons and/or track employees. May include, but not limited to: rulings, rap sheets, Thoroughbred Racing Association security reports, security officer reports, correspondence and hearing notes. | 10 years after case is closed or as determined by the Agency Director (whichever is later) | |

| ITEM NUMBER | RECORD TITLE | DESCRIPTION/EXAMPLES | RETENTION | REFERENCE/COMMENTS |
|-------------|--|---|---|--------------------|
| 82-15 | LICENSING - CRIMINAL HISTORY/FINGERPRINT CARDS | Applicant fingerprint cards, criminal history information, and/or affidavit. | 5 years | |
| 82-16 | LICENSING - APPLICATIONS | Applications are submitted for all occupational and racetrack licenses issued at racetracks. May include, but not limited to: name, address, DOB, social security number, fee collected, criminal violations and violation of racing rules. | 5 years after application date | Renewed annually |
| 82-18 | LICENSING - RACING COMMISSION AND STEWARD'S RULINGS | Original rulings resulting from hearings held by the Commission or Stewards. | 10 years after case is closed or as determined by the Agency Director (whichever is later) | |