

Schedule 82

RACING COMMISSION

May 9, 2018

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

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

SCHEDULE

82

AGENCY, BOARD OR COMMISSION

RACING COMMISSION

DIVISION, BUREAU OR OTHER UNIT

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

Supersedes Edition of September 4, 2012

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



TITLE

Director

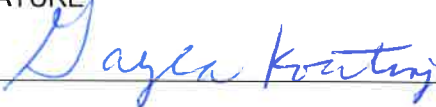
DATE

4-22-18

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



DATE

5/3/2018

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



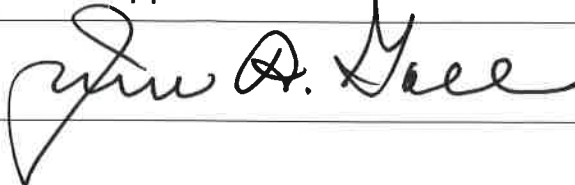
DATE

5/9/18

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



DATE

5/9/18

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.

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

SCHEDULE 82 RACING COMMISSION

May 9, 2018

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

Supersedes Edition of September 4, 2012

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
82-1	GENERAL - ANNUAL TRACK AUDIT REPORTS	Annual report submitted to the Commission by each racetrack. This is a financial report of racing activity at each track. Shows receipts and expenditures.	5 years	
82-2	GENERAL - BOOKKEEPER RACE TRACK REPORT	Report(s) prepared by the racetrack bookkeeper and used to verify other track reports received by the Commission. May include, but not limited to: winner of each race, owner, trainer and weather.	5 years	
82-3	GENERAL - DRUG SCREEN TEST RESULTS	Daily Report from a laboratory approved by the Commission giving test results for legal and illegal drugs.	2 years	
82-4	GENERAL - LABORATORY TAGS	The Commission retains half of tag when specimen samples are sent to a laboratory approved by the Commission for testing 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
82-7	GENERAL - PARIMUTUEL DAILY LIABILITY REPORTS	Daily report generated by the computerized tote system which shows the number of dollars wagered by wage type, breakage, track commission and amount paid to bettors.	5 years	Electronic only
82-8	GENERAL - RACING SECRETARY REPORTS	Reports submitted by racetracks racing secretary at the end of each meet. May include, but not limited to: rulings issued at the track, claimed horses and statistical summary of types of races.	5 years	
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

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
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)	
82-15	LICENSING - CRIMINAL HISTORY/FINGERPRINT CARDS	Applicant fingerprint cards, criminal history information, and/or affidavit authorizing other state racing commissions to release such information to the Nebraska Racing Commission.	5 years	
82-16	LICENSING - OCCUPATIONAL APPLICATIONS	Applications are submitted for all occupational 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
82-17	LICENSING - RACETRACK APPLICATIONS	Applications submitted by racetracks to operate a racetrack in Nebraska and approved by the Commission. May include, but not limited to: name, location of track and race dates.	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)	