

Schedule 34-12

SECRETARY OF STATE

RECORDS MANAGEMENT DIVISION

November 7, 2013

Nebraska Records Management Division
440 South 8th Street, Suite 210
Lincoln, NE 68508
(402) 471-2559

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

SCHEDULE

34-12

AGENCY, BOARD OR COMMISSION

SECRETARY OF STATE

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

DIVISION, BUREAU OR OTHER UNIT

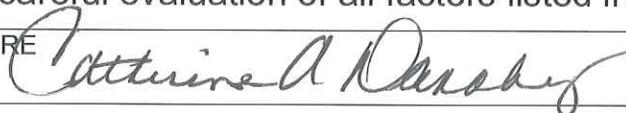
RECORDS MANAGEMENT DIVISION

Supersedes Edition of November 8, 2008

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

Chief Deputy Secretary of State

DATE

November 5, 2013

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

11/5/2013

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



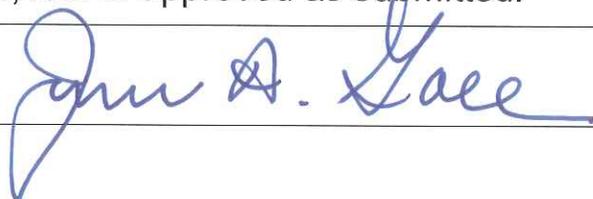
DATE

11/6/13

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

11/7/13

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. These retention schedules, which are approved by the State Records Administrator, provide 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.
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 the 2nd to the last page of this schedule. Remove the form, photocopy it, complete the form, make a photocopy for your records, and send the completed form to the Records Management Division at the address below. If you wish, you may receive this form electronically by contacting the Records Management Division. This report establishes that the destruction was performed in your normal course of business. **Please remember to retain the blank form for future use.**

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 your Records Management Specialist in Records Management. We 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
440 South 8th Street, Suite 210
Lincoln, NE 68508-2294
402-471-2559**

SCHEDULE 34-12
SECRETARY OF STATE
RECORDS MANAGEMENT DIVISION
November 7, 2013

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

Supersedes Edition of November 8, 2008

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
034-012-001-000-000-000-000	ADMINISTRATIVE - APPLICATIONS FOR AUTHORITY FOR RECORDS ACTION		10 years	Form # RMA 1
034-012-002-000-000-000-000	ADMINISTRATIVE - MICROGRAPHICS EQUIPMENT OWNERSHIP TRANSFER	Records of the transfer of all state-owned micrographics equipment to Records Management Division. Includes stickers of property numbers, credit description, correspondence, verification of transfer correspondence and micrographics equipment survey forms.	After all items are surplused	Neb. Rev. Stat. §84-1222
034-012-003-000-000-000-000	ADMINISTRATIVE - NEBRASKA STATE RECORDS BOARD	Includes all records pertaining to the Nebraska State Records Board business, including meeting minutes. Scan to network, then file.	ORIGINAL RECORD: Scan to network and microfilm for security annually; permanent ELECTRONIC RECORD: Permanent HEARING TAPES: 15 years SECURITY MICROFILM: Transfer to the State Archives MICROFILM WORK COPY: Transfer to Secretary of State's Office; permanent	Contact State Archives to negotiate transfer
034-012-004-000-000-000-000	ADMINISTRATIVE - RECORDS DISPOSITION REPORT	Form completed by state agencies and local governmental units, listing the schedule number used and the volume of records destroyed.	5 years	•Form # RMA 03006D •Neb. Rev. Stat. §84-1212.02
034-012-005-000-000-000-000	DISC - MICROFILM CAMERA LOGBOOK	Document Imaging Service Center (DISC) record of project number, roll number, number of documents filmed, and filming of retakes for each microfilm project performed by Records Management. Logbook also has record of camera repair. This information is duplicated, in part, on the Microfilm Operator Certificate.	2 years	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
034-012-006-000-000-000-000	DISC - MICROFILM INSPECTION LOG	Report of inspection of microfilm and number of retakes made.	6 months	
034-012-007-000-000-000-000	DISC - MICROFILM LAB SERVICE FORMS	Used to create Microfilm Services Invoices. Filed and used for reference.	5 years	Form # RMA 02005C
034-012-008-000-000-000-000	DISC - MICROFILM LABORATORY JOURNAL	Record of equipment repair, receipt of equipment and supplies, equipment loan, test results and lab activities.	10 years	
034-012-009-000-000-000-000	DISC - MICROFILM NONPERMANENT SECURITY DATABASE	Database of all nonpermanent microfilm sent to storage.	Concurrently with the microfilm listed	
034-012-010-000-000-000-000	DISC - MICROFILM PROJECT CERTIFICATES	Includes Operator's Certificates, retake certificates and certificates of addition for each microfilm project.	Transfer to the SRC at the end of the fiscal year in which they are completed; 2 years	
034-012-011-000-000-000-000	DISC - MICROFILM PROJECT REGISTRATION	Contains types of records, document description, film, equipment, filming procedures and disposition.	ORIGINAL RECORD: Permanent ELECTRONIC RECORD: Permanent PRINTOUTS: Superseded	Form # RMA 03004B
034-012-012-000-000-000-000	DISC - MICROFILM PROJECT SPECIFICATIONS	Detailed project instructions and targets used for microfilm projects.	ELECTRONIC RECORD: Superseded or obsolete PRINTOUT: After completion, superseded, or discontinuance of project (whichever is later)	
034-012-013-000-000-000-000	DISC - MICROGRAPHICS EQUIPMENT FORM	Form used to request micrographics equipment, have it transferred from one division of an agency to another or return equipment to Records Management Division. Shows equipment property number, description, requesting agency and destination of equipment.	Transfer to DISC - MICROGRAPHICS EQUIPMENT HISTORY FILE, item 034-012-014	Form # RMA 03001B
034-012-014-000-000-000-000	DISC - MICROGRAPHICS EQUIPMENT HISTORY FILE	Record of all equipment and equipment's required service.	After surplus	
034-012-015-000-000-000-000	DISC - MICROGRAPHICS EQUIPMENT SERVICE REQUEST	Form used to request a service call on micrographics equipment. Information included is equipment description and property number, agency malfunction, action taken and dates time of call and response.	Transfer to DISC - MICROGRAPHICS EQUIPMENT HISTORY FILE, item 034-012-014	Form # RMA 02004A

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
034-012-016-000-000-000-000	DISC - SCANNING, OPERATOR LOG SHEETS	Log sheets on which operator records scanning information like number of documents and files.	5 years following the end of the fiscal year to which the record pertains	
034-012-017-000-000-000-000	DISC - SCANNING, PROJECT SPECIFICATIONS	Detailed project instructions for projects.	ELECTRONIC RECORD: Completion, superseded, or discontinuance of project (whichever is later) PRINTOUT: Completion, superseded, or discontinuance of project (whichever is later)	
034-012-018-000-000-000-000	DISC - SCANNING, REQUISITION LOG SHEETS	Created with information from operator logs and used for billing.	5 years following the end of the fiscal year to which the record pertains	
034-012-019-000-000-000-000	RRP - ANALYSIS DATABASE	Records Retention Program (RRP) list of records officers assigned to each state agency.	Superseded	
034-012-020-000-000-000-000	RRP - APPOINTMENT OF RECORDS OFFICER FORM	Completed and signed form used by a state agency to appoint a records officer. Form information includes the name of the records officer and the name, title and signature of the individual making the appointment.	Data entry to Analysis database; superseded	Form # RMA 01083A
034-012-021-000-000-000-000	RRP - RECORDS RETENTION SCHEDULE FILES	May include correspondence pertaining to proposed records retention and disposition schedules, including drafts, notes, client holding update spreadsheet, schedule check off sheet and copy of superseded schedule.	Superseded or when no longer of reference value (whichever is later)	
034-012-022-000-000-000-000	RRP - RECORDS RETENTION SCHEDULES	Records Retention and Disposition Schedules which have been officially approved and signed by the State Records Administrator.	ORIGINAL RECORD: Scan to network; transfer to the State Archives after superseded REFERENCE COPY: Permanent ELECTRONIC RECORD: Permanent WEBSITE COPY: Superseded	
034-012-023-000-000-000-000	RRP - SCHEDULE TRACKING RECORDS	Documents used to track the update status of schedules in the review process or to track potential record retention items/issues for future schedule updates.	Superseded or schedule updated (whichever applies)	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
034-012-024-000-000-000-000	SRC - CLIENT HOLDINGS REPORT	This report is requested by an agency and lists the record collections stored within the SRC grouped by account number.	6 months after distribution	
034-012-025-000-000-000-000	SRC - DAILY RUN SHEET	Form filled out by Records Management Division staff to facilitate pickup or delivery of transfers each day for tapes, boxes and documents.	3 months	
034-012-026-000-000-000-000	SRC - DAILY TRIP LOG	Daily log used to record SRC van run; includes agency contacts, stop locations, and boxes/file pouches to be picked up or delivered.	3 months	Form # RMA 01090A
034-012-027-000-000-000-000	SRC - DATABASE	Inventory of all SRC holdings and activity.	Update as needed; permanent	
034-012-028-000-000-000-000	SRC - MONTHLY BILLING SHEET	Summarized data used for billing to identify total requests with data tapes and total boxes received along with various SRC service charges.	ORIGINAL RECORD: 5 years ELECTRONIC RECORD: 1 year	Form # RMA 01002E
034-012-029-000-000-000-000	SRC - MONTHLY STATISTICAL REPORT	Monthly statistics of all agencies records activities (requests/boxes) within the SRC. A compilation of various tracking stats along with charts maintained in a spreadsheet.	ELECTRONIC RECORD: 10 years PAPER RECORD: 1 year	
034-012-030-000-000-000-000	SRC - PERMANENT BOX REMOVAL REQUEST FORM	Form used by an agency to request the permanent removal of boxes. This provides a method of updating the SRC database.	ELECTRONIC RECORD: 2 years PAPER RECORD: 1 year	
034-012-031-000-000-000-000	SRC - QUARTERLY RECORDS DISPOSITION REPORT (STATE AGENCIES)	Report generated from SRC database with a listing of agency records which have been processed out of the SRC.	5 years	
034-012-032-000-000-000-000	SRC - RECORDS REFERENCE REQUEST WORKSHEET (MONTHLY)	Record of reference requests by agency.	Transfer information to SRC - MONTHLY STATISTICAL REPORT, item 034-012-031 and destroy	
034-012-033-000-000-000-000	SRC - RECORDS REFERENCE REQUESTS	State agency record requests submitted to the SRC.	1 year	
034-012-034-000-000-000-000	SRC - RECORDS TRANSFER FORM	This form is completed by agencies to record the contents of boxes submitted to the SRC for storage.	1 year	Form # RMA 03003F

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
034-012-035-000-000-000-000	SRC/DISC - RECORDS DISPOSAL AUTHORIZATION (SIGNED)	The Records Disposal Notice Report is reviewed by Agency staff and signed off by the Agency Records Officer. The signed copy is retained by the Agency and a copy returned to the SRC and/or DISC for processing.	ORIGINAL RECORD: 25 years SECURITY MICROFILM: Transfer to the Secretary of State's office; 25 years MICROFILM WORK COPY: 25 years	Microfilming ended in 2013
034-012-036-000-000-000-000	SRC/DISC - RECORDS DISPOSAL NOTICE	Report generated from SRC/DISC database with a listing of agency records ready for disposition from the SRC and/or DISC. These notices are produced on a quarterly basis.	ORIGINAL RECORD: 3 months EMAIL/PDF COPIES: After signed authorizations are returned	Notices are distributed via email in electronic PDF format
34-12-5-1	AUTHORIZATION FOR ACCESS TO RECORDS FORM (COMPLETED AND SIGNED FORMS) (RMA 01062A)	Form that contains list of agency's staff members authorized to access records stored in the SRC. It is signed by the agency head.	Immediate disposal	Obsolete
34-12-5-5	NEBRASKA STATE RECORDS CENTER MONTHLY ACTIVITY LOG	Record by agency and division of volume, receipts, actions of dispositions and running balance for records center reports.	Immediate disposal	Obsolete
34-12-3-1-14	PROCESSOR CONTROL LOG	Record of date and equipment setting for each control strip run through the processors. Includes graph of results and control strips.	Immediate disposal	Obsolete 2012
34-12-1-5	RATE SCHEDULE DEVELOPMENT DATA	Data used annually to set rates for charge-back services for the new fiscal year.	Immediate disposal	Obsolete
34-12-3-1-16	THIOSULPHATE TEST RESULTS	Monthly record of samples sent to Kodak for test of residual thiosulphate on film.	Immediate disposal	Obsolete 2012
34-12-1-4	PROFIT/LOSS ANALYSIS	Accounting spreadsheet including revenue, expenses, profit/loss for month and fiscal year to date.		Transferred to the SOS-Administration Schedule 34-1

RECORDS DISPOSITION REPORT

TO: SECRETARY OF STATE RECORDS MANAGEMENT DIVISION 440 S. 8TH STREET SUITE 210 LINCOLN, NE 68508-2294	AGENCY
	DIVISION
	SUB-DIVISION

REQUIRED INFORMATION:

In accordance with the Records Management Act, records of this agency have been disposed of under the authorization granted by the following schedule(s):

SCHEDULE NUMBER(S) ONLY (DO NOT INCLUDE SECTION AND ITEM NUMBERS)	TOTAL VOLUME DISPOSED (SEE REVERSE)

OPTIONAL INFORMATION (FOR YOUR USE ONLY):

You may include detailed information which will be useful to you in recording exactly what records were disposed of and under what authority. This might include such things as schedule section and item numbers, title of records, inclusive dates of records, etc. This information is not required to be filed with Records Management.

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DATE	SIGNATURE
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SEND ORIGINAL TO RECORDS MANAGEMENT. MAKE A PHOTOCOPY FOR YOUR RECORDS.

RMA 03006D

VOLUME ESTIMATING GUIDE

(PLEASE NOTE THAT FOR REPORTING PURPOSES, A BALLPARK ESTIMATE OF THE TOTAL VOLUME OF MATERIAL DISPOSED IS ADEQUATE.)

Container	Cubic Feet	Weight (lbs)	Sheets of Paper (8.5" x 11")	Electronic Data Equivalent
			1	20 Kb
			52	1 Mb (1024 Kb)
			53,687	1 Gb (1024 Mb)
N/A	N/A	2,204 lbs (1 metric ton)	220,000	4.1 Gb
Records center carton	1 Cu. Foot	16.66 lbs	1,667	32 Mb
Vertical File Cabinet, 4 drawer letter- size	6 Cu. Feet	100 lbs	10,000	190 Mb
Vertical File Cabinet, 4 drawer legal- size	8 Cu. Feet	133.3 lbs	13,333	254 Mb
About a pickup load	50 Cu. Feet	7,500 lbs	748,638	14 Gb