

Schedule 46

DEPARTMENT OF PERSONNEL

FEBRUARY 26, 1990

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 NUMBER	46
AGENCY, BOARD OR COMMISSION	DEPARTMENT OF PERSONNEL
DIVISION, BUREAU OR OTHER UNIT	
Supersedes Edition of April 5, 1989	

TO: STATE RECORDS ADMINISTRATOR STATE OF NEBRASKA
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PART I — AGENCY STATEMENT

<p>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.</p>	
SIGNATURE	
<p><i>Shelley McAdams</i></p>	
TITLE	DATE
<p><i>Records Officer</i></p>	<p><i>2-16-90</i></p>

PART II — ARCHIVAL APPROVAL

<p>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.</p>	
SIGNATURE	
<p><i>Andrea I. Paul</i></p>	
Asst. STATE ARCHIVIST	DATE
	<p><i>2/22/90</i></p>

PART III — APPROVAL BY STATE RECORDS ADMINISTRATOR

<p>The attached schedule has been reviewed in accordance with Section 84-1212.01, R.R.S. 1943, and is approved as submitted.</p>	
SIGNATURE	
<p><i>Allen J. Reermann</i></p>	
ADMINISTRATOR	DATE
	<p><i>February 20, 1990</i></p>

INSTRUCTIONS FOR USING THIS SCHEDULE

Records retention and disposition schedules are designed to serve as your records management guidelines 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. Complete a Records Disposition Report for the records you dispose. The Records Disposition Report form is 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 Consultant 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 Consultant in Records Management can assist you with the schedule update, which involves adding new records and making revisions to existing items. Keeping your schedule current will ensure that 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 Consultant in Records Management. We will help you with any questions the schedule may present, including: transferring records to the State Records Center or State Archives, microfilming records, scanning records, etc.

**Records Management Division
440 South 8th Street, Suite 210
Lincoln, NE 68508-2294
402-471-2559**

INDEX

SCHEDULE 46 DEPARTMENT OF PERSONNEL

	Item	Page
<u>AFFIRMATIVE ACTION OFFICE</u>	46-4	10
AFFIRMATIVE ACTION ANNUAL REPORT	46-4-9	11
AFFIRMATIVE ACTION COMPLAINT	46-4-10	11
AFFIRMATIVE ACTION PLAN	46-4-1	10
AFFIRMATIVE ACTION REPORT	46-4-2	10
AGENCY QUARTERLY REPORT	46-4-3	10
EEO-4 REPORTS	46-4-4	10
STATISTICAL QUARTERLY REPORT	46-4-6	10
TRAINING EVALUATION FORMS	46-4-7	11
TRAINING RECORDS (List).....	46-4-8	11
<u>GENERAL RECORDS</u>	46-1	6
FISCAL IMPACT NOTE	46-1-3	6
INTERGOVERNMENTAL PERSONNEL ACT (IPA) GRANTS	46-1-4	6
LABOR CONTRACT/NEGOTIATIONS	46-1-14	6
SALARY SURVEY DATA	46-1-8	6
TRANSMITTAL LISTING--HEALTH AND LIFE INSURANCE	46-1-12	6
TURNOVER REPORT, ANNUAL	46-1-13	6
<u>NEIS DOCUMENTS</u>	46-3	8
CLASS CODE AND TITLE FORM (NEIS C-1)	46-3-1	8
CLASSES BY SALARY GRADE (NEI 50205)	46-3-2	8
CLASSIFICATION TITLE MASTER-ALPHABETIC (NEI 50203)	46-3-3	8
CLASSIFICATION TITLE MASTER-NUMERIC (NEI 50201)	46-3-4	8
COMPARISON OF PAY BY SALARY GRADE	46-3-20	10
EMPLOYEES HIRED DURING THE MONTH (NEI 50222)	46-3-14	9
ENTITY ACTION REQUEST (NEIS D-1)	46-3-5	8
INACTIVE POSITIONS DELETED (NEIS 048)	46-3-22	10
NOTIFICATION OF UPCOMING EMPLOYEE TRANSACTIONS (NEI 50209)	46-3-6	9
PERSONNEL INFORMATION FORM (NEIS H-1)	46-3-8	9
POSITION STAFFING REPORT (NEI 50210)	46-3-9	9

REPORT OF PAY DISTRIBUTION (NEI 50216)	46-3-10	9
SALARY CHANGES BY AGENCY	46-3-11	9
SALARY GRADE CHANGE FORM (NEIS A-1)	46-3-12	9
SALARY SCHEDULES (NEI 50217)	46-3-13	9
SUMMARY OF OVERTIME REPORT	46-3-21	10
SUMMARY STAFFING REPORT	46-3-19	10
VACANCY REPORT (NEI 50212)	46-3-16	9
<u>PERSONNEL ADMINISTRATION</u>	46-2	7
APPLICATION FILE (Not Hired)	46-2-4	7
CLASSIFICATION SPECIFICATIONS	46-2-5	7
COMPLAINT RECORDS	46-2-1	7
EXAM BOOKLETS (Obsolete)	46-2-17	7
GRIEVANCE FILE/APPEAL HEARINGS	46-2-8	7
JOB ANALYSIS QUESTIONNAIRE FOR EXAMINATION DEVELOPMENT (JQ2)	46-2-18	8
JOB DESCRIPTIONS	46-2-12	7
JOB OPENINGS, CURRENT LISTING OF	46-2-13	7
JOB ORDER FORM	46-2-19	8
POSITION ACTION REQUEST (NEIS E-I)	46-2-14	7
REQUEST FOR CERTIFICATION/CERTIFICATE OF ELIGIBLE AND ACTION TAKEN.....	46-2-20	8
TEST ANSWER SHEET	46-2-21	8

SCHEDULE 46 – DEPARTMENT OF PERSONNEL

46-1 GENERAL RECORDS

46-1-1 AND 46-1-2 DELETED

46-1-3 FISCAL IMPACT NOTE

Report shows the budgetary impact of legislative bills on the department.

Dispose of after 2 years.

46-1-4 INTERGOVERNMENTAL PERSONNEL ACT (IPA) GRANTS

Files are maintained on projects which receive federal funds under the Intergovernmental Personnel Act. May include grant applications, correspondence, contracts, copies of federal cash transactions, narratives regarding completed projects, and training manuals resulting from the funding of the program. **Dispose of after 3 years provided audit has been completed.**¹

46-1-5 THRU 46-1-7 DELETED

46-1-8 SALARY SURVEY DATA

Annual computer report includes position title, employee minimum and maximum pay rates.

Dispose of after 3 years.

46-1-9 THRU 46-1-11 DELETED

46-1-12 TRANSMITTAL LISTING--HEALTH AND LIFE INSURANCE

Insurance information is arranged in social security number order by agency code. Computer report includes total amount due, total health insurance, state coverage, employee deduction, total life insurance, state contribution, and employee deduction.

Dispose of when superseded or obsolete.

46-1-13 TURNOVER REPORT, ANNUAL

Quarterly report which is used in salary evaluations.

Dispose of after 3 years.

46-1-14 LABOR CONTRACT/NEGOTIATIONS

Labor contracts with affected agencies, minutes of meetings and other substantiating material used during negotiations.

Transfer to the State Records Center 3 years after approval of contract; dispose of 5 years after approval of contract.

46-2 PERSONNEL ADMINISTRATION

46-2-1 COMPLAINT RECORDS

Confidential materials relating to employee or employer dissatisfaction which may result in grievance proceedings. May include suspension letters, unsigned performance reports, performance reports submitted upon the termination of the employee, reprimands and/or other unsigned documents affecting the individual.

Dispose of after 2 years.

46-2-2 AND 46-2-3 DELETED

46-2-4 APPLICATION FILE (Not Hired)

Dispose of after 4 years OR 4 years after reactivation, whichever is later.

46-2-5 CLASSIFICATION SPECIFICATIONS

Original specifications filed in the Department when a position is created or changed.

Transfer to the State Archives when no longer of reference value; retain permanently.

46-2-6 AND 46-2-7 DELETED

46-2-8 GRIEVANCE FILE/APPEAL HEARINGS

Confidential file is maintained on employee grievances which result in a decision by the State Personnel Board. May include "Grievance Record", "Appeal to the State Personnel Board", correspondence and related decisions by the Board.

ORIGINAL RECORD: Dispose of 5 years after Board's decision.

CASSETTE TAPE RECORDING: Dispose of after 4 years.

46-2-9 THRU 46-2-11 DELETED

46-2-12 JOB DESCRIPTIONS

Used to compare job positions for reclassification.

Dispose of when no longer of reference value.

46-2-13 JOB OPENINGS, CURRENT LISTING OF

Dispose of when superseded or obsolete.

46-2-14 POSITION ACTION REQUEST (NEIS E-I)

Input and turnaround document is used to create, change or inactivate position information. Forms are sent to Personnel only for the purpose of being checked for accuracy.

Dispose of after review.

46-2-15 AND 46-2-16 DELETED

46-2-17 EXAM BOOKLETS (Obsolete)

Questions for jobs requiring an examination.

Retain permanently.

46-2-18 JOB ANALYSIS QUESTIONNAIRE FOR EXAMINATION DEVELOPMENT (JQ2)

Multi-part questionnaire which job experts complete to provide information when a new selection procedure is being developed.

Dispose of 3 years after exam becomes obsolete or is updated.

46-2-19 JOB ORDER FORM

Form completed by agencies outlining a position vacancy and job requirements for the hiring of a qualified applicant.

Dispose of after 3 years.

46-2-20 REQUEST FOR CERTIFICATION/CERTIFICATE OF ELIGIBLE AND ACTION TAKEN

Form is completed when an agency has a vacancy and requests a list of eligible applicants for that particular class and location.

Dispose of after 3 years.

46-2-21 TEST ANSWER SHEET

Includes answer sheets for all written, typing and shorthand tests.

Dispose of after 3 years.

46-3 NEIS DOCUMENTS

46-3-1 CLASS CODE AND TITLE FORM (NEIS C-1)

Form is used to create, change, and inactivate classification codes and titles in the NEIS Classification Code and Title Data Base.

Dispose of after 1 year.

46-3-2 CLASSES BY SALARY GRADE (NEI 50205)

Quarterly computer report is used to review class titles grouped within each salary grade.

Dispose of when superseded or obsolete.

46-3-3 CLASSIFICATION TITLE MASTER-ALPHABETIC (NEI 50203)

Monthly computer report provides a master listing of classification titles, codes, and related salary grades.

Dispose of when superseded or obsolete.

46-3-4 CLASSIFICATION TITLE MASTER-NUMERIC (NEI 50201)

Monthly computer report provides a master listing of classification titles, codes, and related salary grades.

Dispose of when superseded or obsolete.

46-3-5 ENTITY ACTION REQUEST (NEIS D-1)

Form is used to create, change or inactivate an entity and establish the relationship between reporting entities.

Dispose of after 1 month.

46-3-6 NOTIFICATION OF UPCOMING EMPLOYEE TRANSACTIONS (NEI 50209)

Monthly computer report provides notification of important upcoming payroll and personnel transactions. Also identifies overdue employee transactions which should have been processed.

Dispose of after 1 month.

46-3-7 DELETED

46-3-8 PERSONNEL INFORMATION FORM (NEIS H-1)

Input and turnaround document is completed when an employee is first hired with the state and to update or change information during the employee's employment with the state. Forms are sent to Personnel only for the purpose of being checked for accuracy.

Dispose of after review.

46-3-9 POSITION STAFFING REPORT (NEI 50210)

Monthly computer report provides a detailed account of all positions within the organizational structure of the agency. Includes the names of agency employees, position types, monthly rate and salary grade.

Dispose of when superseded or obsolete.

46-3-10 REPORT OF PAY DISTRIBUTION (NEI 50216)

Computer report indicates number of employees in each segment of each salary grade and total employees in each salary grade.

Dispose of when superseded or obsolete.

46-3-11 SALARY CHANGES BY AGENCY

Monthly computer report shows all position salary changes each month.

Dispose of after 1 month.

46-3-12 SALARY GRADE CHANGE FORM (NEIS A-1)

Form is used to create, change, and inactivate salary grades in the NEIS Salary Schedule Data Base.

Dispose of after verification of information in employee database.

46-3-13 SALARY SCHEDULES (NEI 50217)

Computer report provides data which verifies salary grade data within the system.

Dispose of after 1 year.

46-3-14 EMPLOYEES HIRED DURING THE MONTH (NEI 50222)

Quarterly computer report identifies all state employees who have been hired at a salary rate other than the hiring rate in the current reporting period.

Dispose of when superseded or obsolete.

46-3-15 DELETED

46-3-16 VACANCY REPORT (NEI 50212)

Monthly computer report provides a centralized listing of all vacant positions in each agency.

Dispose of when superseded or obsolete.

46-3-17 AND 46-3-18 DELETED

46-3-19 SUMMARY STAFFING REPORT

Monthly computer report provides information to monitor staffing patterns, such as minority employees, vacancies, positions, etc. by entity.

Dispose of when superseded or obsolete.

46-3-20 COMPARISON OF PAY BY SALARY GRADE

Quarterly computer report contains classes by salary grade and all positions and people assigned to those classes. Includes employees, social security number, position number, F.T.E. and salary.

Dispose of when superseded or obsolete.

46-3-21 SUMMARY OF OVERTIME REPORT

Cumulative monthly computer report provides a report of overtime worked by employees within agencies under the Department of Personnel.

MONTHLY REPORT: Dispose of when superseded or obsolete.

END OF YEAR: Dispose of after 1 year.

46-3-22 INACTIVE POSITIONS DELETED (NEIS 048)

Computer report listing positions deleted during the previous year. Generated only when position purge is run.

Dispose of after 1 year.

46-4 AFFIRMATIVE ACTION OFFICE

46-4-1 AFFIRMATIVE ACTION PLAN

Plan includes agency policy statement, workforce analysis, goals and timetables.

Return to agency after 2 years.

46-4-2 AFFIRMATIVE ACTION REPORT

Computer report includes agency information, employee name, class code, sex, years of service, ethnicity minority, age and salary grade.

Dispose of when superseded or obsolete.

46-4-3 AGENCY QUARTERLY REPORT

Quarterly report includes agency objectives, progress to date and planned agency action.

Return to agency after 2 years.

46-4-4 EEO-4 REPORTS

Report shows statistical totals by job categories within functions, by salary increment, male and female distribution and ethnicity.

Transfer to the State Records Center after 3 years; dispose of after 7 years.

46-4-5 DELETED

46-4-6 STATISTICAL QUARTERLY REPORT

Report includes statistical totals of full time employees, male and female distribution and ethnicity by agency.

Dispose of after 5 years.

46-4-7 TRAINING EVALUATION FORMS

Form is completed by participants evaluating training sessions.

Dispose of after 1 year.

46-4-8 TRAINING RECORDS (List)

Lists of people and agency represented who have had affirmative action training.

Dispose of after 3 years.

46-4-9 AFFIRMATIVE ACTION ANNUAL REPORT

Report provides an analysis of State AA progress through analysis of agency practices, attitudes, level of support, etc. regarding Affirmative Action.

Transfer one copy to the State Archives for permanent retention; dispose of other copies when no longer of reference value.

46-4-10 AFFIRMATIVE ACTION COMPLAINT

Record of complaints lodged against State agencies with the Affirmative Action Office.

Transfer to the State Records Center after 4 years; dispose of after 7 years.

NOTE

1. These records may be disposed of after the required retention period, provided the audit has been completed with the audit report released and all related audit comments resolved. Check with the organization that performed the audit, and, if applicable, the Federal cognizant agency if there is a question whether resolution is complete

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.)

Vertical File Cabinet, 4 drawer letter-size	6 cubic feet
Vertical File Cabinet, 4 drawer legal-size.....	8 cubic feet
Lateral File, 4 drawer/shelf letter-size	9 cubic feet
Lateral File, 4 drawer/shelf legal-size.....	12 cubic feet
Records center carton.....	1 cubic foot
About a pickup load	50 cubic feet