

Schedule 159

BOARD OF GEOLOGIST

March 22, 2012

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

159

AGENCY, BOARD OR COMMISSION

BOARD OF GEOLOGIST

DIVISION, BUREAU OR OTHER UNIT

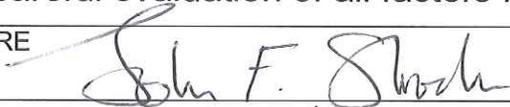
**TO: STATE RECORDS ADMINISTRATOR
STATE OF NEBRASKA**

Supersedes Edition of August 18, 2004

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

Chairperson - NE Board of Geologists

DATE

14 March 2012

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

21 March 2012

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



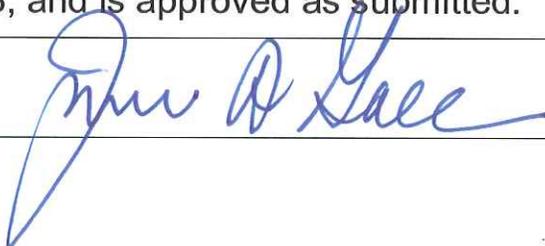
DATE

3/21/12

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

3/22/12

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 159
BOARD OF GEOLOGIST**

March 22, 2012

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

Supersedes Edition of August 18, 2004

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
159-001-000-000-000-000-000	CERTIFICATE OF AUTHORIZATION FILES	Files which may include, but not limited to: an application completed by an organization for authorization to practice or offer to practice geology in Nebraska.	ORIGINAL RECORD: Scan to WORK FILE 5 years after expiration; dispose after verification of images ELECTRONIC RECORD: DATABASE: 5 years after expiration or when no longer of administrative value as determined by the Chairperson (whichever is later) WORK FILE: 5 years after scanned or when no longer of administrative value as determined by the Chairperson (whichever is later)	Neb. Rev. Stats. §81-3528
159-002-000-000-000-000-000	CERTIFICATE OF AUTHORIZATION FILES-CHANGE NOTICES	Notices of change(s) received on an organization's original certificate of authorization which may include, but is not limited to: contact information, geologist in charge, or change in the organization's officers.		File in CERTIFICATE OF AUTHORIZATION FILES, item 159-001
159-003-000-000-000-000-000	CERTIFICATE OF AUTHORIZATION FILES-RENEWALS	Biennial renewal notices sent to organization holding a current certificate of authorization and returned with payment.		File in CERTIFICATE OF AUTHORIZATION FILES, item 159-001
159-004-000-000-000-000-000	COMPLIANCE- INVESTIGATION FILES	Files established as a result of receiving notice of possible infraction(s) of The Geologists Regulation Act. Files may include, but are not limited to: original complaint, correspondence between the complainant and/or respondent, resolution and/or consent order(s) related to the complaint.	ORIGINAL RECORD: 5 years after final decision date or when no longer of administrative value as determined by the Chairperson or Executive Director (whichever is later) and <i>if Respondent licensed in Nebraska, transfer 1 copy of final decision to licensee's GEOLOGIST PROFESSIONAL RECORDS, item 159-013</i> DATABASE: 20 years after final decision date or when no longer of administrative value as determined by the Compliance Officer (whichever is later)	Records contained in paper files, but summary may be in the agency's database

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
159-005-000-000-000-000-000	COMPLIANCE-FORMAL HEARING FILES	Records of contested cases heard.	ORIGINAL RECORD: 20 years after date of final order or when no longer of administrative value as determined by the Compliance Officer (whichever is later) FINAL ORDERS: 1 copy; 50 years and <i>if Respondent licensed in Nebraska, transfer 1 copy of final decision to licensee's GEOLOGIST PROFESSIONAL RECORDS, item 159-013</i>	<ul style="list-style-type: none"> Title 53, Nebraska Administrative Code, Chapter 4, Nebraska Department of Justice Records contained in paper files, but summary may be in the agency's database
159-006-000-000-000-000-000	DATABASE DISASTER RECOVERY DATA	Data (records) from the agency's licensing database are copied to backup on the agency's server by the agency Information Technology (IT) staff for the purpose of disaster recovery preparation. The data is used for system restoration in the event of a disaster or system failure. Disaster recovery backups are never to be used or considered for records access or management purposes.	HOURLY: Erase after 2 days DAILY: Erase after 14 days WEEKLY: Erase after 60 days MONTHLY: Backed up to electronic media; after 2 years	
159-007-000-000-000-000-000	EXAMINATION RESULTS MATERIAL	May include, but not limited to: Results of the ASBOG (National Association of State Boards of Geologists) examinations, examination results tabulated by the Nebraska Board of Geologists, examination questions, solution books, and answer keys.	ORIGINAL RECORD: Scan to WORK FILE 15 years after examination date; dispose after verification of images ELECTRONIC WORK FILE: 100 years after scanned or when no longer of administrative value as determined by the Chairperson (whichever is later)	
159-008-000-000-000-000-000	EXAMINEE APPLICATION FILES-DEFERRED	An individual's application file which has been deferred by the Board until all examination prerequisites have been met. Files may contain, but are not limited to: application, correspondence, and supporting documents.	ORIGINAL RECORD: Scan to WORK FILE 5 years after last contact from applicant or deferment date (whichever is later); dispose after verification of images ELECTRONIC RECORD: DATABASE: 10 years after last contact, deferment date or when no longer of administrative value as determined by the Chairperson (whichever is later) WORK FILE: 10 years after scanned or when no longer of administrative value as determined by the Chairperson (whichever is later)	Records contained in agency database and paper files

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
159-009-000-000-000-000-000	EXAMINEE APPLICATION FILES-DENIED	An individual's application file which has been denied by the Board to begin the exam process in Nebraska. Files may contain, but are not limited to: application, correspondence, and supporting documents.	<p>ORIGINAL RECORD: Scan to WORK FILE 5 years after last contact from applicant or denial date (whichever is later); dispose after verification of images</p> <p>ELECTRONIC RECORD:</p> <p>DATABASE: 10 years after last contact, denial date or when no longer of administrative value as determined by the Chairperson (whichever is later)</p> <p>WORK FILE: 10 years after scanned or when no longer of administrative value as determined by the Chairperson (whichever is later)</p>	Records contained in agency database and paper files
159-010-000-000-000-000-000	EXAMINEE APPLICATION FILES-EXAM PASSED	Files showing the applicant has taken and passed either of the geologists exams, but have not completed the licensure process in Nebraska. Exams may include, but are not limited to: ASBOG (National Association of State Boards of Geology) Fundamentals of Geology (FG) and Practice of Geology (PG) exams.	<p>ORIGINAL RECORD: Scan to WORK FILE 5 years after last contact from applicant or date of last exam (whichever is later); dispose after verification of images</p> <p>ELECTRONIC RECORD:</p> <p>DATABASE: 100 years after last contact, date of last exam or when no longer of administrative value as determined by the Chairperson (whichever is later)</p> <p>WORK FILE: 20 years after scanned or when no longer of administrative value as determined by the Chairperson (whichever is later)</p>	Records contained in agency database and paper files
159-011-000-000-000-000-000	EXAMINEE APPLICATION FILES-EXAM PHASE	Files for which applicants have been approved to begin either of the geologist's exams, but has not completed or passed the exam/s.	<p>ORIGINAL RECORD: Scan to WORK FILE 5 years after last contact from applicant or date of last exam (whichever is later); dispose after verification of images</p> <p>ELECTRONIC RECORD:</p> <p>DATABASE: 10 years after last contact, date of last exam or when no longer of administrative value as determined by the Chairperson (whichever is later)</p> <p>WORK FILE: 10 years after scanned or when no longer of administrative value as determined by the Chairperson (whichever is later)</p>	Records contained in agency database and paper files

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
159-012-000-000-000-000-000	EXAMINEE APPLICATION FILES-INACTIVE	An individual's application file in which all required documentation has not been received.	ORIGINAL RECORD: Scan to WORK FILE 5 years after last contact from applicant; dispose after verification of images ELECTRONIC RECORD: DATABASE: 10 years after last contact or when no longer of administrative value as determined by the Chairperson (whichever is later) WORK FILE: 10 years after scanned or when no longer of administrative value as determined by the Chairperson (whichever is later)	Records contained in agency database and paper files
159-013-000-000-000-000-000	GEOLOGISTS PROFESSIONAL RECORDS	Individual files of Nebraska professional geologists currently licensed in the state. Files may include, but are not limited to: application, intern documentation, correspondence, college transcripts, reference forms, exam results, interview sheets, and other related documentation.	ORIGINAL RECORD: Scan to WORK FILE 5 years after death notification or non-renewable date; dispose after verification of images ELECTRONIC RECORD: DATABASE: 100 years after death notification, non-renewal date or when no longer of administrative value as determined by the Chairperson (whichever is later) WORK FILE: 20 years after scanned or when no longer of administrative value as determined by the Chairperson (whichever is later)	Records contained in agency database and paper files
159-014-000-000-000-000-000	GEOLOGISTS PROFESSIONAL RECORDS RENEWALS	License renewals for professional geologists. These records are retained for financial audit purposes only and do not become part of the licensee's professional file.	PAPER RECORDS: See ACCOUNTS RECEIVABLE, item 124-001 DATABASE RECORD: 5 years or when on longer of administrative value as determined by the Chairperson (whichever is later)	
159-015-000-000-000-000-000	HISTORICAL FILES	A variety of documents and other items which pertain to the history of the board as determined by the Chairperson.	Permanent	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
159-016-000-000-000-000-000	INTERN FILES	Files for individual's who have been certified as a Geologist-in-Training (GIT) in Nebraska. Files may include, but are not limited to: application, correspondence and supporting documents.	<p>PG EXAM OR PROFESSIONAL APPLICATION RECEIVED: File in individual's GEOLOGISTS PROFESSIONAL RECORDS, item 159-013</p> <p>NO PG OR PROFESSIONAL APPLICATION RECEIVED: Scan to WORK FILE 10 years after last contact from intern or date of certificate (whichever is later); dispose after verification of images</p> <p>ELECTRONIC WORK FILE: 20 years after last contact, date of certification or when no longer of administrative value as determined by the Chairperson (whichever is later)</p>	Records contained in agency database and paper files
159-017-000-000-000-000-000	MEETING MINUTES AND MATERIALS	May include, but not limited to: original and/or staff copies of minutes, agendas and other meeting materials/handouts.	<p>BOARD OF GEOLOGISTS (MINUTES AND AGENDA ONLY): Permanent (1 copy), subject to review by the State Archives for possible accession</p> <p>ALL OTHER MINUTES AND AGENDAS: 5 years or when no longer of administrative value as determined by the Chairperson (whichever is later)</p> <p>OTHER MATERIALS AND HANDOUTS: 5 years or when no longer of administrative value as determined by the Chairperson (whichever is later)</p>	Paper and electronic
159-018-000-000-000-000-000	NEWSLETTERS	Yearly newsletter compiled and sent to professional geologists currently licensed in Nebraska.	<p>PAPER COPY: Transfer 1 copy to the State Archives and the NE Library Commission Publications Clearinghouse; 1 copy permanent</p> <p>ELECTRONIC FILE: 50 years or when no longer of administrative value as determined by the Chairperson (whichever is later)</p>	Agency historical record
159-019-000-000-000-000-000	PROFESSIONAL APPLICATION FILES-APPROVED	Files may contain, but are not limited to: the application, correspondence and supporting documentation as requested by the Board.		<ul style="list-style-type: none"> •File in individual's GEOLOGIST PROFESSIONAL RECORD, item 159-013 •Records contained in agency database and paper files

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
159-020-000-000-000-000-000	PROFESSIONAL APPLICATION FILES-DEFERRED/DENIED	Files may contain, but are not limited to: the application, correspondence and supporting documentation as requested by the Board. The application has been deferred and denied licensure in Nebraska.	ORIGINAL RECORD: Scan to WORK FILE 5 years after last contact from applicant or deferred/denial date (whichever is later); dispose after verification of images ELECTRONIC RECORD: DATABASE: 10 years after last contact, deferred/denial date or when no longer of administrative value as determined by the Chairperson (whichever is later) WORK FILE: 10 years after scanned or when no longer of administrative value as determined by the Chairperson (whichever is later)	Records contained in agency database and paper files
159-021-000-000-000-000-000	PROFESSIONAL LICENSE APPLICATION FILES-INACTIVE	An individual's application file in which all required documentation has not been received.	APPLICANT FILE: Scan to WORK FILE 5 years after last contact from applicant; dispose after verification of images ELECTRONIC RECORD: DATABASE: 10 years after last contact or when no longer of administrative value as determined by the Chairperson (whichever is later) WORK FILE: 10 years after scanned or when no longer of administrative value as determined by the Chairperson (whichever is later)	Records contained in agency database and paper files
159-022-000-000-000-000-000	REINSTATEMENT APPLICATIONS	Application completed by an applicant whose license to practice geology has expired and is in a <i>nonrenewable</i> status. Files may include, but are not limited to: the application, affidavits, and correspondence.	APPLICATION/AFFIDAVITS: File in licensee's GEOLOGIST PROFESSIONAL RECORDS, item 159-013 ALL OTHER RECORDS: After Board approval of application	Records contained in paper files, but summary may be in the agency's database
159-023-000-000-000-000-000	ROSTERS	Online license searches of records and public information requests received from the public on Professional Geologists. The database used for the online license search may include, but is not limited to: licensee's name, license number, expiration and related information. Public rosters may include name, address, license number and other information.	ELECTRONIC RECORD: Superseded PUBLIC INFORMATION REQUESTS: 3 years or no longer of administrative value as determined by the Public Information Officer (whichever is later) DENIED PUBLIC INFORMATION REQUESTS: 10 years	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
159-024-000-000-000-000-000	TEMPORARY PERMIT FILES	Files established for temporary permits issued to professional geologists. Files may contain, but are not limited to: application, correspondence and supporting documents.	<p>ORIGINAL RECORD: Scan to WORK FILE 5 years after expiration of the permit; dispose after verification of images</p> <p>ELECTRONIC RECORD:</p> <p>DATABASE: 20 years after expiration of permit or when no longer of administrative value as determined by the Chairperson (whichever is later)</p> <p>WORK FILE: 20 year after scanned or when no longer of administrative value as determined by the Chairperson (whichever is later)</p>	Records contained in agency database and paper files

RECORDS DISPOSITION REPORT

TO: SECRETARY OF STATE RECORDS MANAGEMENT DIVISION 440 S. 8 TH 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