

Schedule 52

PUBLIC SERVICE COMMISSION

August 12, 2008

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	52
AGENCY, BOARD OR COMMISSION	PUBLIC SERVICE COMMISSION
DIVISION, BUREAU OR OTHER UNIT	
Supersedes Schedule 52 Edition of April 11, 2000 and Schedule 35-10 Edition of November 22, 1991	

**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	<i>Michael J. Hall</i>
TITLE	<i>Executive Director</i>
DATE	<i>08-06-08</i>

PART II - ARCHIVAL APPROVAL

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
<i>Andrea I. Faling</i> STATE ARCHIVES	<i>Aug. 8, 2008</i>

PART III -- APPROVAL BY 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
<i>John D. Lee</i> STATE RECORDS ADMINISTRATOR	<i>August 12, 2008</i>

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. 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 or transfer to the NE State Historical Society (State Archives), your agency is required to contact the State Archives and negotiate the transfer. Additionally, once the records are accessioned to their collection, they become the possession of the State Archives. 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 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**

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SCHEDULE 52 – PUBLIC SERVICE COMMISSION

52-1 COMMUNICATIONS/ENGINEERING/PRIVATE WATER COMPANIES

52-1-1 ANNUAL FINANCIAL REPORTS FROM TELEPHONE COMPANIES

Report consists of a balance sheet, income statement, and an analysis with other supporting financial statements.

Transfer to the State Records Center after 3 years; dispose of after 10 years.

52-1-2 APPLICATION DOCKET BOOK

Docket book arranged in application number order, listing the name of the applicant, date filed, reason for request for authority, and date of final disposition.

Retain permanently for reference purposes only.

52-1-3 AUDIT WORKING PAPERS

Working papers used by accountants to do a financial audit of a communication company making an application for authority.

Retain the two most current audits; dispose of all others.

52-1-4 COMPLAINTS, TELEPHONE

Form filled out when complaints are made to the Commission. Includes phone number, name, address, date, nature of complaint, company contacted, disposition of the complaint and if an investigation is made by the Commission staff. Form printed after staff investigation completed.

Transfer to the State Records Center 3 years after complaint is filed; dispose of after 5 years.

52-1-5 MAPS

Maps indicate the service boundary of each telephone exchange in Nebraska.

Transfer to State Archives when no longer of reference value.

52-1-6 PRIVATE WATER COMPANY RATE DOCKETS

Applications by private water companies for any type of rate action. File may contain application, correspondence, copy of notice sent to The Daily Record, copy of order and exhibits.

Transfer to the State Records Center 3 years after application is filed; dispose of after 10 years.

52-1-7 PRIVATE WATER COMPANY RATE LISTS

Includes current rates charged to private water company customers.

Dispose of 5 years after receipt provided rate/rules are no longer in effect.

52-1-8 RELAY CONTRACTS

Retain the two most recent contracts; dispose of all other copies.

52-1-9 RELAY SERVICE EQUIPMENT PROGRAM VOUCHERS

File contains paid Telecommunication Relay Service (TRS) vouchers with applications and any related correspondence.

Dispose of after 5 years.

52-1-10 RELAY SERVICE MONTHLY INVOICES

Monthly Relay Provider Invoice, including activity reports.

Transfer to the State Records Center after 3 years; dispose of 5 years after date received.

52-1-11 TARIFFS FOR TELEPHONE COMPANIES

Rates and rules filed with the Public Service Commission regulating telephone companies.

Dispose of 5 years after receipt provided rate/rules are no longer in effect.

52-1-12 TELECOMMUNICATIONS DOCKETS (FORMERLY TELECOMMUNICATIONS APPLICATIONS)

Each is a separate application for authority to increase rates or any other action. File generally contains: application, financial statement, correspondence, Notice of Public Hearing, exhibits for the case, copy of the order, and all other pertinent information.

Transfer to the State Records Center 3 years after Docket is closed; dispose of 10 years after application is filed.

52-1-13 TRANSMISSION LINE APPLICATIONS

Applications for authority to construct a new power line over 700 volts. File generally contains: application, correspondence, receipt for filing fee, copy of order, exhibits (route map and specifications), and completion notice.

Transfer to the State Records Center 3 years from date the final Completion Notice is received, provided docket is closed; dispose of after 10 years.

52-2 GENERAL ADMINISTRATION

52-2-1 AGENCY PHOTOGRAPHS

Includes all photographs of commissioners and staff.

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

52-2-2 CASE FILES, NEBRASKA STATE SUPREME COURT

Court case decisions which involve the Commission. Includes original transcript and exhibits of public hearing.

Dispose of 7 years after date of opinion rendered.

52-2-3 COMPLAINTS, FORMAL

These records are complaints filed by various individuals or companies against motor carriers, warehouses, telephone companies or railroads. File generally contains: exhibits, copies of legal papers filed, answers, and copy of the order.

Transfer to the State Records Center 3 years after complaint is filed; dispose of after 5 years.

52-2-4 FACSIMILE TRANSMISSION REPORTS

Transmission report of documents sent by facsimile machine. Used to monitor use by each division and for verification with telephone billing.

Dispose of after 2 years, provided audit has been completed.¹

52-2-5 OFFICIAL ORDERS OF THE COMMISSION

Commission decisions and directives concern type of application, complaint, or situation where official action is needed. Subsequent amending orders are called Supplements.

ORIGINAL RECORD: Microfilm annually for security; transfer to the State Archives when no longer of reference value.

SECURITY MICROFILM: Transfer to the State Archives.

MICROFILM WORK COPY: Retain permanently.

52-2-6 TRANSCRIPTS OF PUBLIC HEARINGS

Written testimony of the Commission hearings including exhibits entered and cross-examination of parties giving testimony.

Transfer to the State Records Center 3 years after file date; dispose of after 5 years.

52-3 GRAIN WAREHOUSE DEPARTMENT

52-3-1 GRAIN DEALER BOND FILE

File contains bonds and bond endorsements or riders that were filed as security for Grain Dealer Licenses and subsequently replaced and canceled, as well as bonds filed for licenses that have canceled or expired without being renewed.

Dispose of 10 years after date of cancellation stamp on bond.

52-3-2 GRAIN DEALER CLAIM CASES/LICENSE REVOCATION FILES

File contains information relative to grain dealer license revocations where proceeds from security call were distributed. May include license revocation orders, affidavits of claims and relative correspondence.

Transfer to the State Records Center after 3 years; dispose of after 10 years.

52-3-3 GRAIN DEALER'S LICENSE FILE

File contains correspondence, application for license, financial statement, security filing, security change endorsement(s) and a copy of the Grain Dealer's License(s). Continuous Grain Dealer's security is transferred to the current license file until canceled.

Dispose of after 5 years.

52-3-4 GRAIN WAREHOUSE BOND FILE

File contains bonds and bond endorsements or riders that were filed as security for Grain Warehouse Licenses and subsequently replaced and canceled, as well as bonds filed for licenses that have been canceled or expired without being renewed.

Dispose of 10 years after date of cancellation stamp on bond.

52-3-5 GRAIN WAREHOUSE CCC EXAM LISTS, TRANSMITTALS AND INVOICES (OBSOLETE 2007)

File generally contains copies of lists sent to Commodity Credit Corporation (CCC) listing any examinations conducted on warehouses that have a Uniform Grain and Rice Storage Agreement with CCC. CCC makes quarterly payments for these examinations. Transmittals list any examinations forwarded to CFSA. Invoices are for separate billings made for special examinations conducted at request of CCC.

Dispose of after 5 years.

52-3-6 GRAIN WAREHOUSE CLAIM CASES/LICENSE REVOCATION FILES

File contains information relative to warehouse closures and license revocations where grain was sold and proceeds from the sale and/or security call were distributed. May include license revocation orders, grain sale notice copies, load out records, affidavits of claims and relevant correspondence.

Transfer to the State Records Center after 3 years; dispose of after 10 years.

52-3-7 GRAIN WAREHOUSE COMPUTER DATABASE

Database containing all pertinent information related to Warehouse Department including grain warehouse, grain dealer, moisture testing and mechanical probe records.

ORIGINAL RECORD: Dispose of after entered and verified.

ELECTRONIC RECORD: Dispose after 5 years.

52-3-8 GRAIN WAREHOUSE EXAMINER/INSPECTOR FILES

File generally contains copies of weekly reports submitted by Examiners/Inspectors showing weekly itineraries and schedules for upcoming week plus any other items to be brought to the attention of the department.

Dispose of after 2 years, provided audit has been completed.¹

52-3-9 GRAIN WAREHOUSE ISSUED NEGOTIABLE AND NON-NEGOTIABLE RECEIPTS

One copy of each warehouse receipt issued by state-licensed grain warehouses is sent to the commission to be stamped registered and kept in active receipt file until canceled.

When receipts are canceled, Commission copy is stamped, canceled and transferred to canceled receipt file.

Dispose of 5 years after cancellation, provided audit has been completed.¹

52-3-10 GRAIN WAREHOUSE LICENSE COPY FILE

A copy of Grain Warehouse licenses issued are maintained in order by auditor number.

Dispose of after 2 years, provided audit has been completed.¹

52-3-11 GRAIN WAREHOUSE LICENSE FILE

File generally contains correspondence, application for license, changes in storage capacity, grain warehouse security filing and endorsements, financial statement, stock insurance evidence, examinations conducted during license period and original S-2 (original capacity chart and diagram). Copies of continuous security, if filed, stock insurance evidence and original S-2s are transferred to the current license file each license period, as long as licenses are in effect.

Transfer to the State Records Center after 3 years; dispose of after 10 years.

52-3-12 GRAIN WAREHOUSE RATE FILES

File of rate schedules approved by the Commission for storable commodities. Files generally contain:

Schedule "A" – Grains; Schedule "E" - Dry Edible Beans and Popcorn; Special Rates - for deviation from the above rates.

Transfer to the State Records Center after 3 years; dispose of after 10 years.

52-3-13 GRAIN WAREHOUSE RECEIPT BOOK LEDGER

All grain warehouse receipt books purchased from the Commission are recorded in a ledger, in order by receipt blocks of 50, showing date issued, to whom issued, license number of warehouse, cash receipt number, amount of money paid and date of cash receipt.

Retain permanently for reference purposes only.

52-3-14 MOISTURE TESTER APPROVAL STICKER RECORD

File includes listing of all moisture tester approval stickers assigned to inspectors for attachment to testers that meet Commission approval, as well as a listing of any obsolete stickers destroyed by the Commission.

Dispose of after 2 years, provided audit has been completed.¹

52-3-15 MOISTURE TESTER COUNTY LIST

Lists users of inspected moisture testing devices in Nebraska. File includes location of tester, applicable license(s), type of tester, approval and/or rejection number issued after testing and date tested.

Dispose of after 2 years, provided audit has been completed.¹

52-3-16 MOISTURE TESTER INSPECTION FILES

File includes moisture tester inspection reports completed on all locations in Nebraska and are arranged by federal/state license number or alphabetically, if not licensed.

Dispose of after 2 years, provided audit has been completed.¹

52-3-17 SOYBEAN AUDIT EXAMINATION REPORTS

Reports from soybean check-off audits with clients of the Nebraska Soybean Board.

Dispose of after 5 years.

**52-4 HOUSING AND RECREATIONAL VEHICLE
DEPARTMENT**

52-4-1 GENERAL RECORDS

52-4-1-1 MISCELLANEOUS DEPARTMENT FORMS

Miscellaneous information which may be pertinent to each of the different programs within the Housing and Recreational Vehicle Department. May include plan reviews, inspection schedules, trip assignments, etc.

Dispose of after 3 years.

52-4-2 MANUFACTURED HOMES DIVISION

52-4-2-1 CONSUMER COMPLAINT FILES

Division case files for complaints by consumers concerning Nebraska manufacturing plants.

Retain in accordance with 24 CFR 3282.404; dispose of after 5 years.

52-4-2-2 INSPECTION REPORTS

Inspection report of requirements for manufactured housing. The inspections can take place at the manufacturing plant, dealer lot, etc. by complaint and/or as a re-inspection.

Retain in accordance with 24 CFR 3282; dispose of after 5 years.

52-4-2-3 LABEL RECEIVING FORM

Receipt of Manufactured Home Certification labels from the label manufacturer and the statement of their condition.

Retain in accordance with 24 CFR 3282, until the Federal Department of Housing and Urban Development reduces the retention of manufactured home records from “permanent”.

52-4-2-4 MANUFACTURED HOME FILES

Applications, calculations, tests, floor plans, quality control manual, typical details, construction compliance certificates, obsolete drawings, specifications, and manuals due to plant closing, recertification, revisions or cancellation.

Retain in accordance with 24 CFR 3282; dispose of after 3 years.

52-4-2-5 MANUFACTURED HOME IDENTIFICATION FORM

Monthly report from the manufacturer to the Commission indicating the manufactured home identification number, the HUD label number that corresponds to it, date of the unit manufacturing, destination of unit, type and model name.

Retain in accordance with 24 CFR 3282, until the Federal Department of Housing and Urban Development reduces the retention of manufactured home records from “permanent”.

52-4-2-6 MANUFACTURED HOME SEAL HISTORY FORM

Record of all issued manufactured home seals. Information includes: the seal number, date of issuance to the manufacturers.

Retain in accordance with 24 CFR 3282, until the Federal Department of Housing and Urban Development reduces the retention of manufactured home records from “permanent”.

52-4-2-7 MANUFACTURER'S REQUEST FOR LABELS AND PAYMENT OF MONITORING FEE

Request and payment for HUD manufactured home certification labels to be affixed to manufactured home units or sections of units by the manufacturer.

Retain in accordance with 24 CFR 3282, until the Federal Department of Housing and Urban Development reduces the retention of mobile home records from “permanent”.

52-4-2-8 MONTHLY HUD REPORTS

Copies of monthly inspection and progress reports to HUD regarding the manufactured home inspection program.

Retain in accordance with 24 CFR 3282, until the Federal Department of Housing and Urban Development reduces the retention of manufactured home records from “permanent”.

52-4-2-9 NATIONAL CONFERENCE OF STATES ON BUILDING CODES AND STANDARDS (NCSBCS) MONITORING REPORT

Inspection report of manufactured home manufacturing plant by Commission authorities administering the federal standards.

Retain in accordance with 24 CFR 3282; dispose of after 5 years.

52-4-3 MODULAR HOUSING DIVISION

52-4-3-1 AGREEMENTS

Agreements for modular housing plan reviews and/or plant inspections.

Dispose of 5 years after terms of agreement have been fulfilled.¹

52-4-3-2 CONTRACTS

Contracts between the department and a third party for modular housing plant inspections.

Dispose of 5 years after terms of contract have been fulfilled.

52-4-3-3 INSPECTION REPORTS

Inspection report of manufacturing requirements for modular housing. The inspections can take place at the manufacturing plant, dealer lot, etc., by complaint and/or as a re-inspection.

Dispose of after 3 years.

52-4-3-4 MODULAR HOUSING FILES

Applications, calculations, tests, floor plans, quality control manual, typical details and construction compliance certificates, obsolete drawings, specifications and manuals due to plant closing, recertification, revision or cancellation.

Dispose of after 3 years.

52-4-3-5 MODULAR HOUSING SEAL HISTORY FORM

Record of all issued modular housing seals. Information includes seal number, date of manufacturing, dealer, purchaser, etc.

Dispose of after 15 years.

52-4-3-6 MODULAR HOUSING SEAL REQUEST

Request from the manufacturer for compliance seals.

Dispose of after 15 years.

52-4-3-7 QUALITY ASSURANCE COMPLIANCE MANUAL

Assurance Compliance Manual for the State of Nebraska provided by the manufacturer of modular housing indicating their building specifications.

Dispose of after 3 years.

52-4-4 RECREATIONAL VEHICLES DIVISION

52-4-4-1 AGREEMENTS

Agreements for recreational vehicle plan reviews and/or plant inspections.

Dispose of 5 years after terms of agreement have been fulfilled.¹

52-4-4-2 INSPECTION REPORT

Inspection report of manufacturing requirements for recreational vehicles. The inspections can take place at the manufacturing plant, dealer lot by complaint and/or as a re-inspection.

Dispose of after 3 years.

52-4-4-3 RECREATIONAL VEHICLE FILES

Applications, calculations, tests, floor plans, quality control manuals, typical details, construction compliance certificates, obsolete drawings, specifications and manuals due to plant closing, recertification, revision or cancellation.

Dispose of after 3 years.

52-4-4-4 RECREATIONAL VEHICLE NUMBERS

Listing of identification numbers assigned to manufacturing plants, the address of the plant, date numbers submitted and comments.

Dispose of after 5 years.

52-4-4-5 RECREATIONAL VEHICLE SEAL HISTORY FORM

Record of all issued recreational vehicle seals. Information may include seal number, R number, coach serial number, date of manufacturing, dealer, town and state, purchaser, purchaser's address, etc.

Dispose of after 15 years.

52-4-4-6 RECREATIONAL VEHICLE SEAL REQUEST FORM

Request from the manufacturer of recreational vehicles for compliance seals.

Dispose of after 5 years, provided audit has been completed.¹

52-5 NATURAL GAS AND PIPELINE DEPARTMENT

52-5-1 ANNUAL FINANCIAL REPORTS FROM JURISDICTIONAL UTILITIES

Report consists of statement of revenues and number of meters.

Transfer to the State Records Center 3 years after date of filing; dispose of after 10 years.

52-5-2 APPLICATION DOCKET LIST

Docket list arranged in application number order, listing the name of the applicant, date filed, reason for request for authority, and date of final disposition.

Retain permanently for reference purposes only.

52-5-3 ASSESSMENT RECORDS

Documentation of assessments to jurisdictional utilities and other applicants. Includes a copy of assessment order, letter to jurisdictional utility or other applicant with summary invoice from vendor, Commission-generated invoice and remittance stub, copy of check and receipt report.

Dispose of after 3 years, provided audit has been completed.¹

52-5-4 COMPLAINTS, NATURAL GAS

Form filled out when complaints are made to the Commission by telephone, electronic mail or letter. Includes phone number, name, address, date, nature of complaint, company contacted, and disposition of the complaint.

Transfer to the State Records Center 3 years after complaint is filed; dispose of after 5 years.

52-5-5 FEDERAL FILINGS

Copies of applications, tariffs or other filings with federal agencies made by natural gas utilities.

Dispose of 3 years after receipt.

52-5-6 JURISDICTIONAL UTILITY RATE APPLICATIONS

Applications by jurisdictional utilities for general rate change. File may contain application, correspondence, legal notices, discovery, other legal filings, copy of orders and exhibits. **Transfer to the State Records Center 3 years after application is filed; dispose of after 10 years.**

52-5-7 JURISDICTIONAL UTILITY TARIFF FILINGS

Rates and rules filed with the Public Service Commission regulating jurisdictional utilities. **Dispose of 5 years after receipt, provided rate/rules are no longer in effect.**

52-5-8 NATURAL GAS AND PIPELINE APPLICATIONS

Each is a separate application for authority or other action. File generally contains: application, financial statement, correspondence, public notices, exhibits, copy of orders and other pertinent information, including transcript if public hearing was held. **Transfer to the State Records Center 3 years after application is filed; dispose of after 10 years.**

**52-6 NEBRASKA TELECOMMUNICATIONS
INFRASTRUCTURE AND PUBLIC SAFETY
DEPARTMENT**

52-6-1 UNIVERSAL SERVICE FUND DEPARTMENT

52-6-1-1 ADVISORY BOARD RESOLUTIONS/RECOMMENDATIONS

Resolutions or Recommendations entered into by advisory board. **Transfer to the State Records Center 3 years after date on document; dispose of after 10 years.**

52-6-1-2 APPLICATION DOCKET BOOK

Docket book arranged in application number order, listing the name of the applicant, date filed, reason for request for funding and date of final disposition. **Retain permanently for reference purposes.**

52-6-1-3 APPLICATION FILES

Each file is an application of either a telecommunications carrier or the Commission opening a docket to investigate and/or resolve specific issues regarding the administration of the NUSF; complaints that have been brought by the Commission against specific telecommunications carriers that have not adhered to Commission rules and orders. These files general contain: petitions/motions/supporting documentation from applicant, comments filed by interested parties, working documents of Commission and copies of official orders of Commission, hearing transcripts and all other pertinent information. **Transfer to the State Records Center after 3 years from date of receipt, provided an audit has been completed; dispose of after 10 years.¹**

52-6-1-4 CARRIER AUDIT FILES

Carriers required to submit NUSF Remittance Worksheet audits and/or NUSF Payment audits. Consists of Agreed Upon Procedure letter to Department Director and third party examination report. **Transfer to the State Records Center after 3 years, provided an audit has been completed; dispose of after 10 years.¹**

52-6-1-5 CORRESPONDENCE (ANNUAL)

Correspondence received and sent to the Department, filed by year.

Transfer to the State Records Center 3 years after receipt/sent; dispose of after 10 years.

52-6-1-6 FUND PAYMENT FILES

Payments are done on a monthly basis, and on occasion, an emergency payment will be made. Each payment that is made is considered to be its own file. Payment records are maintained on paper. The calculation of the payment is also maintained electronically, permanently on the Commissions server.

ORIGINAL RECORD: Transfer to the State Records Center after 3 years provided an audit has been completed; dispose of after 10 years.¹

ELECTRONIC RECORD: Dispose of after 10 years.

52-6-1-7 NEBRASKA TELEPHONE ASSISTANCE PROGRAM (NTAP)

Applications from Nebraska citizens seeking to receive NTAP credits on their monthly telephone bills. Applicant's file may consist of original application, correspondence, copies of program documentation, and/or copies of power of attorney.

ORIGINAL RECORD: Retain until bi-yearly recertification has been completed, then transfer all applications to electronic format prior to transfer to the State Records Center; dispose of after 10 years.¹

ELECTRONIC RECORD: Dispose of after 10 years.

52-6-1-8 REMITTANCE DEPOSIT DOCUMENTS/JOURNAL ENTRIES/FUND TRANSFER DOCUMENTS

Monthly and/or quarterly remittance deposits by ACH Credit or ACH Debit. Journal Entry document created to move monies from one Fund to another or created to correct an error of entry. Fund Transfers and the associated Journal Entry to move monies from the NUSF to the E-911 Funds to split out dual Fund payments.

Transfer to the State Records Center after 3 years, provided an audit has been completed; dispose of after 10 years.¹

52-6-1-9 REMITTANCE WORKSHEETS

Monthly and/or quarterly remittance worksheets filed by each carrier that remits surcharge payments to the NUSF. Remittance files also contain any true-up requests and supporting documentation; correspondence; banking information for ACH transactions; company contact information.

ORIGINAL RECORD: Transfer to the State Records Center after 3 years, provided an audit has been completed; dispose of after 10 years.¹

ELECTRONIC RECORD: Dispose of after 10 years.

52-6-1-10 TELEHEALTH FILES

Applications for funding from all eligible hospitals in Nebraska. Applicants file may consist of original application(s), correspondence, Support Schedules, invoices from provider, proof of federal funding, and results of audit(s) on the account(s).

ORIGINAL RECORD: Transfer to the State Records Center after 3 years, provided an audit has been completed; dispose of after 10 years.¹

ELECTRONIC RECORD: Dispose of after 10 years.

52-6-2 WIRELESS E911 DEPARTMENT

52-6-2-1 ADVISORY BOARD RESOLUTIONS/RECOMMENDATIONS

Resolutions or Recommendations entered into by advisory board.

Transfer to the State Records Center 3 years after date on document; dispose of after 10 years.

52-6-2-2 APPLICATION DOCKET BOOK

Docket book arranged in application number order, listing the name of the applicant, date filed, reason for request for funding and date of final disposition.

Retain permanently for reference purposes.

52-6-2-3 CORRESPONDENCE (ANNUAL)

Correspondence received and sent from the Department, filed by year.

Transfer to the State Records Center 3 years after receipt/sent; dispose of after 10 years.

52-6-2-4 INVOICES/PAYMENT INFORMATION

Detailed invoices received from wireless carriers, local exchange carriers, GIS vendors, equipment vendors, PSAPs and PSC documentation supporting payment.

Transfer to the State Records Center after 3 years, provided an audit has been completed; dispose of after 10 years.¹

52-6-2-5 QUARTERLY REPORTING OF WIRELESS CARRIERS

Quarterly reports of wireless carriers detailing subscriber information by county in the State and reflecting the total number of towers each respective wireless carrier has in each county in the State.

ORIGINAL RECORD: Transfer to the State Records Center after 3 years, provided an audit has been completed; dispose of after 10 years.¹

ELECTRONIC RECORD: Dispose of after 10 years.

52-6-2-6 REMITTANCE WORKSHEETS

Remittance worksheets of those company's remitting E911 surcharge payments.

ORIGINAL RECORD: Transfer to the State Records Center after 3 years, provided an audit has been completed; dispose of after 10 years.¹

ELECTRONIC RECORD: Dispose of after 10 years.

52-6-2-7 REQUEST FOR PROPOSAL; RESPONSES TO REQUEST FOR PROPOSAL

Request for proposals for offerings/equipment received by all Vendors.

ORIGINAL RECORD: Transfer to the State Records Center after 3 years, provided an audit has been completed; dispose of after 10 years.¹

ELECTRONIC RECORD: Dispose of after 10 years.

52-6-2-8 WIRELESS 911 APPLICATIONS

Each is a separate application requesting funding for cost recovery or reimbursement of expenses related to local exchange carrier charges, wireless service provider charges, geographical information system (GIS) data and/or equipment charges, or 911 equipment charges necessary to receive wireless Phase I/II service or other actions of the Commission. File generally contains: request for funding and supporting documentation from applicant, comments filed by interested parties, working documents of Commission and copies of official orders of Commission, hearing transcripts and all other pertinent information.

Transfer to the State Records Center after 3 years, provided an audit has been completed; dispose of after 10 years.¹

52-7 TRANSPORTATION DEPARTMENT

52-7-1 GENERAL RECORDS

52-7-1-1 APPLICATION DOCKET BOOK

Docket book is by application number listing the name and address of the applicant, date filed, date published, hearing date, reason for request for authority, and date of final disposition.

Retain permanently for reference purposes only.

52-7-1-2 CAB CARDS

Copies of cards (white, yellow and pink) issued annually to intrastate motor carriers registered by the Commission.

Dispose of after 2 years, provided they have been cross-checked by the Nebraska Department of Roads.

52-7-1-3 COMPLAINT DOCKET BOOK

Complaints are recorded by complaint number giving parties involved, nature of complaint and date filed.

Transfer to the State Records Center after 2 years; dispose of after 5 years.

52-7-1-4 INTRASTATE APPLICATION FILE

Applications by all intrastate motor carriers in Nebraska for the authority to operate. File generally contains: application, financial statement, hearing notice, inspector's report, Commission order, receipt for fees, complaints, certification notice, certificate of insurance (Forms E, H, C, K), copies of leases, and correspondence.

Transfer to State Records Center 3 years from date application was filed; dispose of 3 years after the motor carrier file becomes inactive.

52-7-1-5 INTRASTATE MASTER CARD FILE (OBSOLETE 2007)

Card file on all intrastate motor carriers who have been granted authority to operate. It shows name of owner, name of business, application number, and date of revocation or transfer.

Retain permanently.

52-7-1-6 MOTOR CARRIER LEASES

Leases for power units and/or trailers or semi-trailers and power units and drivers.

Dispose of after 3 years.

52-7-1-7 PUBLIC SERVICE COMMISSION PLATE APPLICATION

Annual applications of power units needing Commission plates. Gives information describing the power unit and the Commission number. A receipt is also attached. **Dispose of after 1 year following the end of the fiscal year to which the records pertain, provided audit has been completed.**¹

52-7-2 RAILROAD DIVISION

52-7-2-1 ANNUAL FINANCIAL REPORTS FROM RAILROAD COMPANIES (OBSOLETE 2007)

Report consists of a balance sheet, income statement, and an analysis with other supporting financial statements.

Transfer to the State Records Center after 2 years; dispose of after 3 years.

52-7-2-2 APPLICATION DOCKET BOOK (OBSOLETE 2007)

Docket book is by application number listing the name of the applicant, date filed, reason for request for authority, and date of final disposition.

Retain permanently for reference purposes only.

52-7-2-3 DAILY INSPECTION REPORT (OBSOLETE 2007)

Report of activities and man-hours spent per job on a monthly basis.

Dispose of after 2 years, provided audit has been completed.¹

52-7-2-4 MOTIVE POWER AND EQUIPMENT REPORT (FORM FRA F6180-96)

Report is made to note defects on violations, motive power and equipment, name of carrier, date of inspection, and corrective action necessary. Two copies of the report are sent to the Federal Railroad Administration.

Dispose of after 5 years or 1 year after remedial action is taken, whichever is later.

52-7-2-5 RAIL EQUIPMENT ACCIDENT/INCIDENT REPORT (FORM 6180-54)

Forms used to report derailments of trains and must be made within 24 hours. Narrative reports may be written and filed with the completed forms.

Dispose of after 5 years.

52-7-2-6 RAIL HIGHWAY GRADE CROSSING ACCIDENT/INCIDENT REPORT (FORM 6180-57)

Report is required of the railroad to send notice of an accident at a crossing.

Dispose of after 5 years.

52-7-2-7 RAILROAD ABANDONMENT FILE

Files are maintained on each railroad which is abandoned in the State. File generally contains correspondence and information regarding the abandonment.

Transfer to the State Archives after 1 year.

52-7-2-8 RAILROAD ACCIDENT REPORTS

Railroads are required to report accidents to the Commission. Commission investigation report also is filed with the Federal Railroad Administration.

Dispose of after 5 years.

52-7-2-9 RAILROAD INJURY AND ILLNESS SUMMARY (FORM 6180-55 and FORM 6180-55a)

Monthly report of railroad accidents of employees, accidents at crossings or derailment accidents. Report may also contain a Form 6180-552 for personal injury summary.

Dispose of after 5 years.

52-7-2-10 TRACK INSPECTION REPORT (FORM FRA F6180-96)

Report is made to note defects on violations, location by milepost, specific track, name of carrier, date of inspection, and corrective action necessary. Two copies of the report are sent to the Federal Railroad Administration.

Dispose of after 5 years or 1 year after remedial action is taken, whichever is later.

52-7-3 RATE DIVISION

52-7-3-1 ANNUAL FINANCIAL REPORTS FROM MOTOR CARRIERS

Report consists of a balance sheet, income statement, and an analysis with other supporting financial statements.

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

52-7-3-2 MOTOR CARRIER RATE APPLICATIONS

Applications by motor carriers for any type of rate action. File generally contains application, receipt for fees, correspondence, copy of notice sent to The Daily Record, copy of order, receipt for certified mail, and audit working papers.

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

52-7-3-3 NEBRASKA MOTOR CARRIER TARIFFS

All rates established by the Commission regulating intrastate motor carriers.

Dispose of 5 years after receipt, provided rate/rules are no longer in effect.

52-7-3-4 RATE APPLICATION DOCKET BOOK

Docket book is by application number listing the name of the applicant, date filed, reason for request of authority, date of publication in The Daily Record, notice expiration date, and date of final disposition.

Retain permanently for reference purposes only.

52-7-3-5 TARIFFS FOR INTERSTATE MOTOR CARRIERS

Rates established by motor carriers and regional bureaus which are used to regulate interstate carriers. Retain tariffs on file until canceled by the applicable rate bureau or carrier.

Dispose of 5 years after cancellation date.

52-8 DISASTER RECOVERY BACK-UPS FOR ELECTRONIC RECORDS:

Back-up tapes or other storage media are only to be used for system restoration in the event of a disaster. Disaster recovery back-ups are never to be used or considered for records management or archiving purposes. The Office of the Secretary of State contracts with the Department of Administrative Services-Chief Information Office to provide this service. Tapes will be maintained and then overwritten or destroyed following these rotations:

E-MAIL RECORDS:

Daily Back-ups: Erase (scrub; wipe) after 1 week.

End-of-Week Back-ups: Erase (scrub; wipe) after 1 month.

End-of-Month Backups: Erase (scrub; wipe) after 12 months.

End-of-Year Backups: Retain Permanently.

ALL OTHER ELECTRONIC RECORDS:

Differentials (Monday-Thursday): Dispose of after 1 week.

Weekly: Dispose of after 4 weeks.

Bio-monthly: 1 copy onsite; 1 copy offsite: Dispose of after 2 months.

NOTE

- 1. These records may be disposed of after the required retention period, provided the audit of the Comprehensive Annual Financial Report (CAFR) is complete and any required federal audit is complete and all related audit comments have been resolved. Check with the organization that performed the audit, either the Auditor of Public Accounts or 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.

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, AN 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