

# **Schedule 82**

# **STATE RACING COMMISSION**

September 4, 2012

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

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

SCHEDULE

82

AGENCY, BOARD OR COMMISSION

**STATE RACING COMMISSION**

DIVISION, BUREAU OR OTHER UNIT

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

Supersedes Edition of September 25, 2006

**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

*[Signature]*  
Executive Secretary, State Racing Commission

DATE

08-24-2012

**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

*[Signature]*

08/28/2012

**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

*[Signature]*

8/30/12

**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

*[Signature]*

9/4/12

## 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 2<sup>nd</sup> 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 82  
STATE RACING COMMISSION**

**September 4, 2012**

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

Supersedes Edition of September 25, 2006

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
082-001-000-000-000-000-000	GENERAL - ANNUAL TRACK AUDIT REPORTS	Annual report submitted to the Commission by each racetrack. This is a financial report of racing activity at each track. Shows receipts and expenditures.	5 years	
082-002-000-000-000-000-000	GENERAL - BOOKKEEPER RACE TRACK REPORT	Report(s) prepared by the racetrack bookkeeper and used to verify other track reports received by the Commission. May include, but not limited to: winner of each race, owner, trainer and weather.	5 years	
082-003-000-000-000-000-000	GENERAL - DRUG SCREEN TEST RESULTS	Daily Report from a laboratory approved by the Commission giving test results for legal and illegal drugs.	2 years	
082-004-000-000-000-000-000	GENERAL - LABORATORY TAGS	The Commission retains half of tag when specimen samples are sent to a laboratory approved by the Commission for testing for legal and illegal drugs.	2 years	
082-005-000-000-000-000-000	GENERAL - NEBRASKA BRED CERTIFICATE	Copy of certificate given to owners of Nebraska bred horses. Lists each horse's name, sire, dam and breeder.	12 years	
082-006-000-000-000-000-000	GENERAL - OFFICIAL RACING PROGRAM	The Commission maintains one copy of each official racetrack program with results as marked by the State Steward and also supplies one copy of the identically marked programs in bound form to the NTBA (Nebraska Thoroughbred Breeders Association).	Transfer to State Archives after 5 years	Contact State Archives to negotiate transfer
082-007-000-000-000-000-000	GENERAL - PARIMUTUEL DAILY LIABILITY REPORTS	Daily report generated by the computerized tote system which shows the number of dollars wagered by wage type, breakage, track commission and amount paid to bettors.	5 years	Electronic only
082-008-000-000-000-000-000	GENERAL - RACING SECRETARY REPORTS	Reports submitted by racetracks racing secretary at the end of each meet. May include, but not limited to: rulings issued at the track, claimed horses and statistical summary of types of races.	5 years	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
082-009-000-000-000-000-000	GENERAL - SIMULCASTING RECORDS	Records resulting when one racetrack simulcasts its races to another racetrack. May include, but not limited to: application for simulcasting license by host track and receiving track, simulcast daily report and final simulcasting data. Each covers only one year.	5 years after racing season ends	
082-010-000-000-000-000-000	GENERAL - SURETY BONDS	Surety bonds submitted by racetracks as required, to hold race meets.	5 years	
082-011-000-000-000-000-000	GENERAL - TRANSFER BOOKS	Books show Steward's transfer of horse ownership or trainer ownership.	3 years	
082-012-000-000-000-000-000	GENERAL - VETERINARY TREATMENTS	Report filed by veterinarians listing drugs administered and/or prescribed to racehorses.	3 years	
082-013-000-000-000-000-000	LICENSING - APPRENTICE CERTIFICATES	Jockeys under 25 years of age serve an apprenticeship until they win a certain number of races. Old files included contracts between jockeys and trainers. Apprenticeship allows for an advantage on weight allowances.	75 years	
082-014-000-000-000-000-000	LICENSING - CASE FILES	Numerical files are maintained on people who are troublemakers at the racetracks. Files may cover patrons and/or track employees. May include, but not limited to: rulings, rap sheets, Thoroughbred Racing Association security reports, security officer reports, correspondence and hearing notes.	10 years after case is closed or as determined by the Agency Director (whichever is later)	
082-015-000-000-000-000-000	LICENSING - CRIMINAL HISTORY/FINGERPRINT CARDS	Applicant fingerprint cards, criminal history information, and/or affidavit authorizing other state racing commissions to release such information to the Nebraska Racing Commission.	6 years	
082-016-000-000-000-000-000	LICENSING - OCCUPATIONAL APPLICATIONS	Applications are submitted for all occupational licenses issued at racetracks. May include, but not limited to: name, address, DOB, social security number, fee collected, criminal violations and violation of racing rules.	6 years after application date	Renewed annually
082-017-000-000-000-000-000	LICENSING - RACETRACK APPLICATIONS	Applications submitted by racetracks to operate a racetrack in Nebraska and approved by the Commission. May include, but not limited to: name, location of track and race dates.	5 years after application date	Renewed annually
082-018-000-000-000-000-000	LICENSING - RACING COMMISSION AND STEWARD'S RULINGS	Original rulings resulting from hearings held by the Commission or Stewards.	20 years	
82-1-8	LASIX CARDS	Cards indicate which horse bleeder's medication.	Immediate Disposal	Obsolete 2004
82-1-11	OPEN CLAIM RECORDS	Files of people who have been declared eligible to exercise the option to open claim a horse. Open claim certificate good for one year.	Immediate Disposal	Obsolete 2004

<b>ITEM NUMBER</b>	<b>RECORD TITLE</b>	<b>DESCRIPTION/EXAMPLES</b>	<b>RETENTION</b>	<b>REFERENCE/COMMENTS</b>
<b>82-1-15</b>	<b>PARIMUTUEL POOL PRINTS</b>	Reports by each race which show money wagered in each pool by computer cycle.	<b>Immediate Disposal</b>	Obsolete 2008
<b>82-1-17</b>	<b>RACING FORMS</b>	Newspaper with horseracing news.	<b>Immediate Disposal</b>	Obsolete 2004

# RECORDS DISPOSITION REPORT

<b>TO: SECRETARY OF STATE RECORDS MANAGEMENT DIVISION 440 S. 8<sup>TH</sup> STREET SUITE 210 LINCOLN, NE 68508-2294</b>	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.)**

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