

# **Schedule 150-5**

# **DEPARTMENT OF HEALTH AND HUMAN SERVICES**

## **HUMAN RESOURCES**

**April 26, 2011**

Nebraska Records Management Division  
3242 Salt Creek Circle  
Lincoln, NE 68504  
(402) 471-2559

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

SCHEDULE
<b>150-5</b>
AGENCY, BOARD OR COMMISSION <b>DEPARTMENT OF HEALTH AND HUMAN SERVICES</b>
DIVISION, BUREAU OR OTHER UNIT <b>HUMAN RESOURCES</b>
Supersedes Schedule 150-3-1-3 Edition of December 20, 2001

**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

TITLE

*[Handwritten Signature]*  
*Chief Operating Officer*

DATE

*3-29-11*

**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

*[Handwritten Signature]*  
*Dagen Koetting*

*4/21/2011*

**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

*[Handwritten Signature]*  
*Dawn Haffner*

*4/25/11*

**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

*[Handwritten Signature]*  
*John A. Gall*

*4/26/11*

## **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. This retention schedule, which is approved by the State Records Administrator, provides 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. Unless there is pending or on going, legal action, records request, or audit.
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 located on the Secretary of State Records Management website. [https://appengine.egov.com/apps/ne/sos\\_records\\_disposition\\_report](https://appengine.egov.com/apps/ne/sos_records_disposition_report). This report establishes that the destruction was performed in your normal course of business.

### **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 the Records Management Specialist in Records Management. They will help you with any questions the schedule may present, including: transferring records to the State Records Center or microfilming records, scanning records, etc.

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## **SCHEDULE 150-5 – DEPARTMENT OF HEALTH AND HUMAN SERVICES – HUMAN RESOURCES**

### **150-5-1 AGENCY TURNOVER REPORTS**

Report provides agency employee turnover information by specific titles, by facility, service area, division, and total agency.

**Dispose of after 20 years.**

### **150-5-2 EMPLOYEE/TEACHER FILES**

Files may include, but not limited to:

Employment History: Adjusted Service Date Worksheet, Application, Background Checks, Employment Verifications, Demotion letters, Name/Address Change Form, NEIS Position Action Forms (PAF's) and Personnel Information Forms (PIF's), New Employee Orientation Checklist, New Hire Checklist, Personnel Action Documents, Post Employment Information Sheet, Promotion letters, Reclassification decisions, Release of Information, Reorganization Letters, Resume, Training Records, Transcripts, Welcome/Hire Letter, Work Area Orientation Checklist, Schedule, Work week or pay cycle changes, Employment History Information

Benefits, Retirement and Optional Deductions: New Hire Benefits Enrollment Form, Combined Campaign Pledge Slip, Credit Union Deductions, Deferred Comp Enrollments/Changes, Dependent Life Insurance Claims, Disability Insurance Forms, Life Insurance Enrollment Forms, Life Insurance Beneficiary Updates, NAPE Membership Agreement/Revocation Notice, Open Enrollment Final Confirmation Statement, Parking Forms, Retirement Forms & Documentation, Savings Bond Enrollment/Changes, Benefit Status Change Forms & Documentation, Other Deductions – YMCA, Zoo, etc

Payroll and Timekeeping: Direct Deposit, Documentation of Leave & Benefits, Adjustments/Overrides, Miscellaneous Payroll, Leave Usage – Documentation and Tracking, Pay Changes, Payroll Exception History Records, W-4

Permanent Verification: Immigration Documents, I-9

Performance: Disciplinary Actions - Notice of Allegations, Notice of Discipline, Performance Correspondence, Licenses/Certifications, Performance Evaluations

Inactive Only: COBRA Form, Exit List, Final Leave Balances, Leave Payout Calculation Worksheet, Non-Contributing Member Form, PAWS, Separation Documentation, Separation Checklist and other documentation

Rules & Policies: Defensive Driving Confirmation, Notices of Policy/Procedures Changes, Workplace Policy Acknowledgement

Medical Information: Medical Information, Drug testing, Catastrophic Leave, FMLA

Miscellaneous Items: Items included in Employee File which do not fall under previous categories.

**PAPER RECORD: Scan to OnBase system and dispose of after 30 days.**

**ELECTRONIC RECORD:**

**EMPLOYEE: Dispose of 10 years after termination/retirement.**

**TEACHER: Dispose of 50 years after termination/retirement.**

### **150-5-3 EMPLOYEE INVESTIGATIVE FILES**

Documents used for investigation of employee infractions. May include internal complaints.

**Dispose of after 5 years.**

**150-5-4 EMPLOYEE LISTING BY CLASS CODE, ENTITY, AND POSITION NUMBER**

May include entity, name, position number, social security number, type, bargaining unit, current rate, pay bases, salary grade, FTE used, pay center, and adjusted service date.  
**Dispose of when superseded.**

**150-5-5 EMPLOYEE OF THE MONTH/QUARTER/YEAR FILE**

File of nominations and awards of employee of the month/quarter/year.  
**Dispose of after 2 years.**

**150-5-6 EMPLOYMENT APPLICATIONS AND OTHER SUPPLEMENTAL MATERIAL**

See **APPLICATIONS AND OTHER SUPPLEMENTAL MATERIAL USED TO HIRE AND NOT HIRE PERSONS, (Schedule 124).**

**150-5-7 JOB DESCRIPTION FORM/COMPREHENSIVE POSITION QUESTIONNAIRE**

Position description form used for reclassification.  
**Dispose of after 10 years.**

**150-5-8 NEW HIRE LISTING (OBSOLETE 2011)**

May include name, title, work location, date of hire, home address.  
**Immediately dispose of obsolete records.**

**150-5-9 PART-TIME INSURANCE DEDUCTIONS (OBSOLETE 2011)**

May include entity, name, social security number, position, vendor, category, plan, FTE used, employee deduction amount last pay period, employee last pay period deducted, state contribution amount last pay period, state number pay periods continue adjustment, and employee assigned status.  
**Immediately dispose of obsolete records.**

**150-5-10 SEPARATION LISTING (OBSOLETE 2011)**

May include name, title, date of hire, work location, date of separation.  
**Immediately dispose of obsolete records.**

**150-5-11 UNEMPLOYMENT INSURANCE RECORDS**

Includes wage and separation information, notice of Labor deputy's determination, appeal hearing notifications and decision of administrative law judge in hearing cases.  
**Dispose of 6 months after initial contact, provided audit has been completed. <sup>1</sup>**

**150-5-12 VACATION POSTING SCHEDULES (NAPE/AFSCME CONTRACT)**

A completed list posted on March 15 of each year identifying each bargaining unit employee's vacation schedule for the year  
**See LABOR CONTRACTS, (Schedule 124).**

**150-5-13 WORKER'S COMPENSATION – WORKING FILES**

Reports, correspondence etc. relating to worker's compensation claims.  
**Dispose of 10 years after closure of claim.**

**DELETED RECORDS**

**150-3-1-3-4**

**EMPLOYEE LISTING BY EMPLOYEE NAME**

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**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.*