

Schedule 150-5

DEPARTMENT OF HEALTH AND HUMAN SERVICES

HUMAN RESOURCES

April 26, 2011

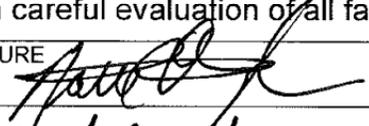
Nebraska Records Management Division
440 South 8th Street, Suite 210
Lincoln, NE 68508
(402) 471-2559

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

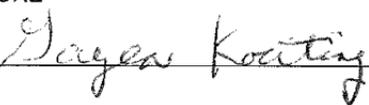
SCHEDULE
150-5
AGENCY, BOARD OR COMMISSION DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION, BUREAU OR OTHER UNIT HUMAN RESOURCES
Supersedes Schedule 150-3-1-3 Edition of December 20, 2001

**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 <i>Chief Operating Officer</i>	DATE <i>3-29-11</i>

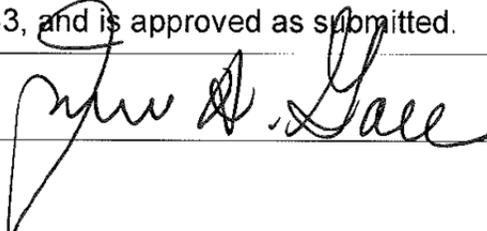
PART II – APPROVAL OF STATE ARCHIVES:

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 <i>4/21/2011</i>

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 <i>4/25/11</i>

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 <i>4/26/11</i>

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**. The State Archives may remove selected records in accordance with standard archival practices to ensure efficient access, organization and enduring historical value (Nebr. 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 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 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. ¹

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

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. 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