Schedule 4-2

GOVERNOR
ENERGY OFFICE

FEBRUARY 3, 1992

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 NUMBER
4-2

AGENCY, BOARD OR COMMISSION
NEBRASKA ENERGY OFFICE

TO: STATE RECORDS ADMINISTRATOR
STATE OF NEBRASKA

DIVISION, BUREAU OR OTHER UNIT

Supersedes Edition of October 20, 1988

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
Managing Administrator

DATE
1-21-92

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
*

TITLE
State Archivist

DATE
1/30/92

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
*

TITLE
Administrator

DATE
February 3, 1992
INSTRUCTIONS FOR USING THIS SCHEDULE

Records retention and disposition schedules are designed to serve as your records management guidelines 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. 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, 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 Consultant 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 Consultant in Records Management can assist you with the schedule update, which involves adding new records and making revisions to existing items. Keeping your schedule current will ensure that 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 Consultant in Records Management. We will help you with any questions the schedule may present, including: transferring records to the State Records Center or State Archives, 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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ENERGY OFFICE

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SCHEDULE 4-2 – GOVERNOR-ENERGY OFFICE

4-2-1  EXECUTIVE DIVISION

4-2-1-1  ADMINISTRATIVE CORRESPONDENCE
See General Records Schedule item no. 124-1-145.

4-2-1-2  GENERAL CORRESPONDENCE
See General Records Schedule item no. 124-1-146.

4-2-2  ADMINISTRATIVE DIVISION

4-2-2-1  ACTIVE FEDERAL GRANTS
A copy of the current contract award with budget pages is maintained in the office of the fiscal supervisor.
Dispose of 2 years after completion of the grant with which they are associated.

4-2-2-2  CASH TRANSACTIONS REPORT (Standard Form 272)
Cash report prepared quarterly which is required by and submitted to the applicable funding source. Form 272's indicate total monies received in the reporting period, cumulative monies received for the grant period, and cumulative expenditures.
Dispose of 10 years after completion of the grant with which it is associated.

4-2-2-3  CENTRAL FILES
Various general reference files kept alphabetically by subject. Files may include correspondence, publications, requests or any material deemed to have future reference value.
Transfer to the agency storage facility at the end of the fiscal year; dispose of after 15 years.

4-2-2-4  FINANCIAL STATUS REPORTS (FSR Form 269)
Financial reports prepared quarterly which are required by and submitted to the applicable federal funding source. FSR's indicate expenditures for the reporting period, cumulative expenditures for the grant period, and fund balances for the quarter ending.
Dispose of 10 years after completion of the grant with which they are associated.

4-2-2-5  LEGISLATIVE FISCAL NOTES
Forms received from Legislative Analysts regarding legislation that may affect the agency. Items or legislation that may impact the fiscal portion of the agency are directed to the Fiscal Supervisor. After responding to the inquiry, a copy of the fiscal note is maintained in the office of the Fiscal Supervisor.
Dispose of 2 years after the end of the legislative session with which they are associated.

4-2-2-6  RUNNING BUDGET INFORMATION
Computerized file of expenditures each month used to monitor the budget and stay on the budget plan.
MONTHLY PRINTOUT: Dispose of 3 years after grant is completed.
ON-LINE DATA: Dispose of after superseded.
4-2-3 STATE ENERGY CONSERVATION PROGRAM/ENERGY EXTENSION SERVICE (SECP/EES) DIVISION AND OTHER OIL OVERCHARGE PROJECTS

4-2-3-1 PROGRAM SUPPORT

4-2-3-1-1 ANNUAL SECP/EES PLAN/APPLICATION
The SECP/EES regulations require that an annual application be submitted to the federal government in order to receive financial assistance under the SECP/EES programs. The plan includes budgets and justification, descriptions of mandated and discretionary activities, required assurances of compliance with federal law, energy savings, program evaluation and monitoring plans. Amendments may be made to the plan and revised pages are both incorporated into the original plan document and maintained in separate files for each amendment. Four copies of the plan and any approved amendment are sent to the State Library Commission as required.

AMENDMENT FILES: Dispose of 5 years after SECP/EES programs are no longer active provided audit has been completed.¹
PLAN/APPLICATION: Dispose of 15 years after SECP/EES programs are no longer active provided audit has been completed.¹

4-2-3-1-2 LEGISLATIVE TRACKING FILES
All information used to track legislative and congressional action that the Energy Office might have an interest in.
Dispose of 2 years after last activity.

4-2-3-1-3 QUARTERLY REPORTS TO THE FEDERAL DEPARTMENT OF ENERGY
Federal Assistance Management Summary Reports and Program/Project Status Reports are required from the state by the federal government every three months. These contain detailed programmatic and financial information on the SECP/EES programs.
Dispose of 15 years after program year on which they report.

4-2-3-1-4 SECP/EES PROGRAM CONTRACTS
Includes contracts for products or services made with outside entities as part of the SECP/EES plan. This includes contracts funded by any sources approved in the plan, such as: Department of Energy SECP/EES appropriations, Section 155, or Exxon funds. Contract files include at a minimum: original signed contract and any amendments, contract development documentation, reimbursement requests and payment vouchers, work products, correspondence or telephone logs, reports, and contract close-out documentation.
Dispose of 10 years after contract is completed provided audit has been completed.¹

4-2-3-1-5 SECP/EES PROGRAM GUIDANCE
Any material, instructions, procedures or correspondence regarding the administration of the SECP/EES programs. This could be received from the federal government or developed by the Energy Office. Examples include: regional meeting proceedings, workshop materials, Department of Energy monitoring reports, etc.
Dispose of 1 year after SECP/EES program has expired provided audit has been completed.¹
4-2-3-1-6 SECP/EES PROJECT FILES
Documentation of SECP/EES program activities for specific projects. Files generally contain correspondence, work plans, work products, reference materials, etc. relating directly to projects.
Dispose of 5 years after project is completed.

4-2-3-1-7 OTHER OIL OVERCHARGE PROJECTS
Oil overcharge projects managed within the SECP/EES Division, but not included in the SECP/EES plan.
Dispose of according to corresponding items 4-2-3-1-1 and 4-2-3-1-3 through 43-2-3-1-6 above.

4-2-3-1-8 WORKING FILES
Information kept for use in the everyday course of business for projects and research purposes.
Dispose of when no longer of reference value.

4-2-3-2 RESEARCH AND DATA

4-2-3-2-1 ENERGY DATA BASE FOR NEBRASKA
Computerized statistical files kept on various energy data in Nebraska. Files contain information on energy consumption, price, and other information affecting energy consumption. Provides record of energy consumption, price, and information to support an emergency energy situation. Data is also used to identify trends and plan for the future. Once a certain type of data is kept, each month's/year's data is added to produce an historical data series.
ON-LINE ANNUAL DATA: Dispose of after data series is superseded or obsolete.
ON-LINE MONTHLY DATA: Dispose of after 20 years or after data is superseded or obsolete, whichever is sooner.
PRINTOUT: Dispose of when no longer of reference value.

4-2-3-2-2 ENERGY SOURCE AND DISPOSITION REPORTS
Reports received from OPPD, NPPD, and LES are statistical reports which give information on sources of energy and disposition of energy (used, lost, transferred to other states, etc.). Same information is given on Monthly Electric Utility Sales and Revenue Report which LES does not file.
OPPD AND NPPD REPORTS: Dispose of after 1 year.
LES REPORTS: Dispose of after 3 years.

4-2-3-2-3 MONTHLY ELECTRIC UTILITY SALES AND REVENUE REPORT
Statistical report received from OPPD and NPPD. Report gives volume of sales, revenue and number of customers. Information is used to track consumption patterns in Nebraska.
Dispose of after 3 years.

4-2-3-2-4 MONTHLY POWER PLANT REPORT
Form received from electric utilities in Nebraska which reports electricity generated, fuel consumed, and fuel stocks.
Dispose of after 3 years.
4-2-3-2-5 MONTHLY REPORT OF PETROLEUM PRODUCTS SOLD INTO STATES FOR CONSUMPTION
Form filed by each company that supplies a petroleum product to someone in Nebraska. Gives actual and projected sales.
Dispose of after superseded.

4-2-3-2-6 MOTOR FUELS TAX STATISTICS
Computer report received from the Nebraska Department of Revenue. Report provides aggregate information on sales of gallons of fuel that tax was collected on.
Dispose of after 1 year.

4-2-3-2-7 PETROLEUM STATUS REPORTS
Reports made monthly and annually of fuel types imported into Nebraska. Provides statistical and historical data for the month and year to date.
Dispose of after superseded.

4-2-3-2-8 REPORT OF GAS SUPPLY AND REQUIREMENTS
Report filed by companies that wholesale natural gas in Nebraska. Contains monthly information, by customer, on amount of gas supplied and projections for the coming year.
Dispose of after 3 years.

4-2-3-2-9 RESEARCH REPORTS
All reports that may result from a research project. Report can be contracted for or generated by the Energy Office.
BACKGROUND MATERIAL: Dispose of after completion of report.
REPORT: Dispose of after 5 years subject to review by the State Archivist before disposal for possible accession.

4-2-3-3 PUBLIC INFORMATION

4-2-3-3-1 NEWSCLIPPING FILE
Various newspaper/magazine clippings are kept by the Energy office for reference and research purposes.
Dispose of 18 months after publication date.

4-2-3-4 OTHER OIL OVERCHARGE

4-2-3-4-1 ENERGY SHORTAGE MANAGEMENT PLAN RECORDS
Records of development and updating of the Energy Shortage Management Plan. The plan is required by state statute and prescribes methods of energy conservation and processes for managing energy shortage emergencies. File generally contains background papers, advisory committee records and planning documents.
Dispose of 3 years after superseded subject to review by the State Archivist before disposal for possible accession.
4-2-3-4-2  GRANT APPLICATION FILES
Records of rejected grant applications submitted under a competitive grant process for Exxon oil overcharge monies. Funded applications were transferred to the SECP/EES Division (see 4-2-3-1-4). Files include original application, working copy of application, review notes, and copy of letter to applicant explaining reason for denial.
Dispose of 4 years after deadline for filing application.

4-2-3-4-3  OIL OVERCHARGE CONSENT ORDER RECORDS
Files consist of planning division copies of originals and working papers. Included are records of awards, applications, orders approving applications, and final reports on the use of funds awarded in oil overcharge cases through the Office of Hearing and Appeals, Department of Energy.
Dispose of 3 years after date of final report.

4-2-3-4-4  QUARTERLY REPORTS TO THE DEPARTMENT OF ENERGY
Project status reports sent to the Department of Energy as required under the Tier I program. Includes approach changes, performance variances, accomplishments or problems, status assessment and forecast.
Dispose of 3 years after grant is completed provided audit has been completed.¹

4-2-3-4-5  TIER 1 PROGRAM DEVELOPMENT RECORDS
All records used in the design of program components as the Tier 1 Program is developed. The program is developed under a grant received by the Energy Office.
Dispose of 3 years after grant is completed.

4-2-4  WEATHERIZATION DIVISION

4-2-4-1  ANNUAL WEATHERIZATION STATE APPLICATION
The annual State Plan for the Weatherization Program which is a requirement to receive federal Department of Energy funding. The plan/application includes allocations, budgets, priority measures/work standards, minimum program requirements and monitoring/training activities. The Weatherization Division Chief maintains the original.
ORIGINAL RECORD: Transfer to the agency storage facility 3 years after completion of the contract period with which it is associated; dispose of 15 years after completion of the contract period with which it is associated provided audit has been completed.¹
ALL OTHER COPIES: Dispose of 1 year after completion of the contract period with which it is associated provided audit has been completed.¹

4-2-4-2  BUILDING CHECK AND JOB ORDER SHEETS
A detailed description of all materials installed on each weatherized unit. Monitoring personnel maintain a file copy and the information is also entered on computer. The purpose of these records is to create a database of materials and their associated costs on a statewide basis.
PAPER FILE: Transfer to the agency storage facility after completion of the contract period with which they are associated; dispose of 3 years after completion of the contract period with which they are associated.
FLOPPY DISC: Dispose of after 5 years.
4-2-4-3  FORMAL MONITORING REPORT
Annual report per subgrantee agency reflecting the status of agency system operations, fiscal operations, and unit completion operations. The purpose is to fulfill the Department of energy monitoring requirement as well as to assess total subgrantee performance. Transfer to the agency storage facility after 3 years; dispose of after 10 years.

4-2-4-4  INFORMAL MONITORING REPORTS
Detailed summary of individual house inspections made by the Energy Office monitoring staff. This report is generated monthly per subgrantee to reflect the quality of weatherization work performed by each agency.
ADMINISTRATIVE ASSISTANT'S COPIES: Transfer to the agency storage facility 1 year after completion of the contract period with which they are associated; dispose of 3 years after completion of the contract period with which they are associated.
MONITORING STAFF COPIES: Dispose of 1 year after completion of the contract period with which they are associated.

4-2-4-5  MONTHLY REPORTS TO THE DEPARTMENT OF ENERGY
Federal Assistance Management Summary Reports that are required monthly by the federal funding source. These reports contain detailed programmatic and financial information on the Weatherization Assistance Program. Transfer to the agency storage facility 3 years after completion of the contract period with which they are associated; dispose of 10 years after completion of the contract period with which they are associated.

4-2-4-6  MONTHLY REPORTS TO SUBGRANTEES
Report generated monthly detailing the financial status of each subgrantee. Information includes funds remaining to expend, per house averages for weatherization, number of units completed and budget figures. Transfer to the agency storage facility 3 years after the completion of the contract period with which they are associated; dispose of 5 years after completion of the contract period with which they are associated.

4-2-4-7  MUNICIPAL NATURAL GAS REGULATION REVOLVING LOAN FUND FILES
File kept on each Natural Gas Rate Area that applies for a loan to finance the review of proposed natural gas rate increases. Files generally contain application, request for payment, bills, and correspondence. Dispose of 3 years after loan is paid or application is denied, whichever applies.

4-2-4-8  SUBGRANTEE CORRESPONDENCE FILES
Files contain original correspondence from weatherization subgrantees including letters, complaints, material samples, and proposals. Dispose of after 2 years.

4-2-4-9  SUBGRANTEE CPA AUDITS
One complete copy of each annual CPA audit performed for each subgrantee agency. These required annual audits detail the financial records of each subgrantee for 12 month periods (normally agency fiscal years). Transfer to the agency storage facility after 3 years; dispose of after 10 years.
4-2-4-10 SUBGRANTEE MONTHLY REIMBURSEMENT CLAIMS
Fiscal claims from subgrantees for reimbursement of monthly expenditures. Those are
detailed reports of categorical expenditures as well as total expenditures.
Transfer to the agency storage facility after 4 years; dispose of after 10 years.

4-2-4-11 WEATHERIZATION ASSISTANCE PROGRAM CONTRACTS WITH
NEBRASKA SUBGRANTEES
Contracts with non-profit and/or community action agencies stipulating the requirements
for administering the weatherization program during the specified contract periods and
establishing a budget for the expenditure of the contact amounts.
Transfer to the agency storage facility 3 years after completion of the contract
period; dispose of 10 years after completion of the contract period provided audit
has been completed.¹

4-2-5 ENERGY FINANCE DIVISION

4-2-5-1 DOLLAR AND ENERGY SAVINGS LOAN PROGRAM FILES
Files kept on each residential, small business, non-profit, local government, agricultural,
and rural long term care facilities application received from a participating lender. Files
generally contain project and loan application forms, copies of bids and promissory notes,
correspondence, disbursements, and monitoring reports. For individual loans, files are
maintained on payments received from participating lenders detailing borrower payments.
Dispose of 3 years after loan is paid or application is denied or withdrawn,
whichever applies, provided audit has been completed.¹

4-2-5-2 INSTITUTIONAL CONSERVATION PROGRAM GRANT CYCLE
FILES
Files used to review and document awarding of grants and for review by the Department
of Energy. Files generally contain selection criteria, ranking lists, correspondence with the
Department of Energy, record of contacts with the review advisory committee, and
program rules, regulations, and state plans.
Dispose of 3 years after end of grant cycle provided audit has been completed.¹

4-2-5-3 INSTITUTIONAL CONSERVATION PROGRAM GRANT FILES
Public and private schools and hospitals apply for grants for energy conservation
purposes. A file is kept on each grantee and generally contains application, telephone
logs, correspondence and monitoring reports.
Dispose of 3 years after grant is closed provided audit has been completed.¹

4-2-5-4 SCHOOL WEATHERIZATION GRANT FILES
File kept on each school that applies for a grant for weatherization projects. Files
generally contain application, award, energy study, correspondence and monitoring
reports.
Dispose of 3 years after grant is closed provided audit has been completed.¹

4-2-5-5 SCHOOL WEATHERIZATION LOAN FILES
File kept on each school that applies for a loan for weatherization projects. Files generally
contain project inquiry, application, energy analysis, bid documents, loan agreement,
promissory note, correspondence, and inspection reports.
Dispose of 3 years after loan is paid or application is denied, whichever applies
provided audit has been completed.¹
4-2-5-6 SCHOOL WEATHERIZATION PROGRAM FILES
Files used for operation of the program. Files generally consist of rules and regulations, correspondence, and required reports.
Dispose of 3 years after end of program.

NOTES
1. These records may be disposed of after the required retention period, provided the audit has been completed with the audit report released and all related audit comments resolved. Check with the organization that performed the audit, and, if applicable, 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

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):

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<th>SCHEDULE NUMBER(S) ONLY (DO NOT INCLUDE SECTION AND ITEM NUMBERS)</th>
<th>TOTAL VOLUME DISPOSED (SEE REVERSE)</th>
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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

SEND ORIGINAL TO RECORDS MANAGEMENT. MAKE A PHOTOCOPY FOR YOUR RECORDS.

RMA 03006D

(14)
VOLUME ESTIMATING GUIDE

(PLEASE NOTE THAT FOR REPORTING PURPOSES, A BALLPARK ESTIMATE OF THE TOTAL VOLUME OF MATERIAL DISPOSED IS ADEQUATE.)

Vertical File Cabinet, 4 drawer letter-size .......................................................... 6 cubic feet
Vertical File Cabinet, 4 drawer legal-size ............................................................ 8 cubic feet
Lateral File, 4 drawer/shelf letter-size ................................................................. 9 cubic feet
Lateral File, 4 drawer/shelf legal-size ................................................................. 12 cubic feet
Records center carton ......................................................................................... 1 cubic foot
About a pickup load ............................................................................................ 50 cubic feet