

# **Schedule 159**

# **BOARD OF GEOLOGIST**

**December 7, 2018**

Nebraska Records Management Division  
3242 Salt Creek Circle  
Lincoln, NE 68508  
(402) 471-2559

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

SCHEDULE

**159**

AGENCY, BOARD OR COMMISSION

**BOARD OF GEOLOGIST**

DIVISION, BUREAU OR OTHER UNIT

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

Supersedes Edition of March 22, 2012

**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

Chairman, Board of Geologists

DATE

11/19/2018

**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



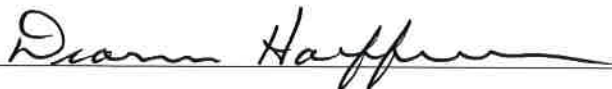
DATE

12/6/2018

**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



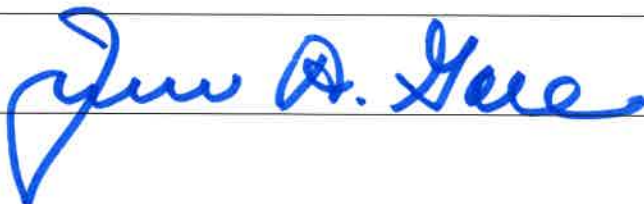
DATE

12/7/18

**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

12/7/18

## **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.

**Records Management Division  
3242 Salt Creek Circle  
Lincoln, NE 68504  
402-471-2559**

**SCHEDULE 159  
BOARD OF GEOLOGIST**

**December 7, 2018**

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

Supersedes Edition of March 22, 2012

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
159-1	<b>CERTIFICATE OF AUTHORIZATION FILES</b>	Files established by organizations for authorization to practice or offer to practice geology in Nebraska. Files may include, but not limited to: an the application. notices of change(s) to contact information, responsible charge, organization's officers; and biennial renewal notices returned with payment.	<b>ORIGINAL RECORD:</b> Scan to WORK FILE upon board action; dispose after verification of images <b>CHANGE NOTICES:</b> Scan to WORK FILE after processing; dispose of after image verification <b>RENEWALS:</b> Scan to WORK FILE after processing; dispose of after image verification; also see ACCOUNTS RECEIVABLE, item 124-3 <b>DATABASE RECORD:</b> 100 years after expiration OR when no longer of administrative value as determined by the Chairperson (whichever is later) <b>WORK FILE:</b> 20 years after expiration OR when no longer of administrative value as determined by the Chairperson (whichever is later)	Neb. Rev. Stats. §81-3528
159-4	<b>COMPLIANCE/INVESTIGATION FILES</b>	Files established as a result of receiving notice of possible infraction(s) of The Geologists Regulation Act. Files may include, but are not limited to: original complaint, correspondence between the complainant and/or respondent, resolution and/or consent order(s) related to the complaint.	<b>ORIGINAL RECORD:</b> 5 years after final decision date OR when no longer of administrative value as determined by the Compliance Officer (whichever is later) NOTE: A copy of final decision/order is to be retained in the respondent's record file when applicable. <b>DATABASE:</b> 20 years after final decision date or when no longer of administrative value as determined by the Compliance Officer (whichever is later)	Records contained in paper files and electronic files, but summary may be in the agency's database
159-5	<b>COMPLIANCE/INVESTIGATION-FORMAL HEARING FILES</b>	Records of contested cases heard in accordance with Title 53, Nebraska Administrative Code, Chapter 4 of the Nebraska Department of Justice.	<b>ORIGINAL RECORD:</b> 20 years after date of final order or when no longer of administrative value as determined by the Compliance Officer (whichever is later) <b>COPY FINAL ORDERS:</b> 1 copy; 50 years NOTE: A copy of final decision/order is retained in the respondent's record file when applicable.	•Records contained in paper files and electronic files, but summary may be in the agency's database

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
159-6	<b>DATABASE DISASTER RECOVERY DATA</b>	Data (records) from the agency's licensing database are copied to backup on the agency's server by the agency staff for the purpose of disaster recovery preparation. The data is used for system restoration in the event of a disaster or system failure. Disaster recovery backups are never to be used or considered for records access or management purposes.	<b>DAILY:</b> 7 days <b>MONTHLY:</b> Backed up to electronic media; after 2 years	Schedule 124
159-7	<b>EXAMINATION RESULTS</b>	Includes results of the ASBOG (National Association of State Boards of Geologists) examinations. Results are received electronically from ASBOG and entered into the database for processing.	<b>ORIGINAL RECORD:</b> Save to WORK FILE upon receipt. <b>ELECTRONIC WORK FILE:</b> 100 years after scanned or when no longer of administrative value as determined by the Chairperson (whichever is later)	Records contained in agency database and electronic files
159-8	<b>EXAMINATION APPLICATION FILES</b>	Files established by an individual to begin the examination process in Nebraska with the Board. Files may contain, but are not limited to: the application, correspondence, supporting documentation, examination results, approved, deferred, and denied files.	<b>ORIGINAL RECORD:</b> Scan to WORK FILE upon board action; dispose after verification of images; move to PROFESSIONAL FILE, item 159-13, upon issuance of license. <b>FG EXAM PASSED:</b> Move to INTERN FILE, item 159-016, once exam results are processed and Geologist Intern certificate is issued. <b>DATABASE RECORD:</b> 100 years or when no longer of administrative value as determined by the Chairperson (whichever is later) <b>ELECTRONIC WORK FILE:</b> 20 years after scanned or when no longer of administrative value as determined by the Chairperson (whichever is later)	Records contained in agency database and electronic files
159-12	<b>INACTIVE APPLICATION FILES</b>	Files established by individuals in which all required documentation has not been received to begin the examination approval or licensing process in Nebraska with the Board. Files may included, but are not limited to: applications, examination results, correspondence, and supporting documents.	<b>ORIGINAL RECORD:</b> Scan to WORK FILE 1 year after receipt of application; dispose after verification of images <b>DATABASE RECORD:</b> 10 years or when no longer of administrative value as determined by the Chairperson (whichever is later) <b>ELECTRONIC WORK FILE:</b> 10 years or when no longer of administrative value as determined by the Chairperson (whichever is later)	Records contained in agency database and paper and electronic files
159-13	<b>PROFESSIONAL FILES</b>	Individual files of Nebraska professional geologists currently licensed in the state. Files may include, but are not limited to: application, intern documentation, correspondence, college transcripts, reference forms, exam results, and other related documentation.	<b>DATABASE RECORD:</b> 100 years after death notification, non-renewal date or when no longer of administrative value as determined by the Chairperson (whichever is later) <b>WORK FILE:</b> 20 years after scanned or when no longer of administrative value as determined by the Chairperson (whichever is later)	Records contained in agency database and paper and electronic files



ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
159-18	NEWSLETTERS	Yearly newsletter compiled and sent to professional geologists currently licensed in Nebraska.	<b>PAPER COPY:</b> Transfer 1 copy to the NE Library Commission Publications Clearinghouse; 1 copy permanent <b>ELECTRONIC FILE:</b> 50 years or when no longer of administrative value as determined by the Chairperson (whichever is later)	Schedule 124-97 Agency historical record
159-19	PROFESSIONAL APPLICATION FILES	Files established by individuals to begin the licensing or reinstatement process in Nebraska with the Board. Files may contain, but are not limited to: the application, correspondence and supporting documentation as requested by the Board.	<b>APPROVED:</b> Scan to individual's PROFESSIONAL FILE, item 159-13, after board action; dispose of after image verification <b>DEFERRED/DENIED:</b> Scan to individual's PROFESSIONAL FILE, item 159-13 after board action; dispose of after image verification <b>DATABASE RECORD:</b> 10 years or when no longer of administrative value as determined by the Chairperson (whichever is later) <b>ELECTRONIC WORK FILE;</b> 10 years or when no longer of administrative value as determined by the Chairperson (whichever is later)	Neb. Rev. Stat. § 81-3539 Records contained in agency database and paper and electronic files
159-23	ROSTERS-ONLINE	Online license searches of records. The database used for the online license search may include, but is not limited to: licensee's name, contact information, license number, certificate number, expiration and related information.	<b>ELECTRONIC RECORD:</b> Dispose of after superseded	
159-24	TEMPORARY PERMIT FILES	Application files established for temporary permits issued to professional geologists licensed in another jurisdiction. Files may contain, but are not limited to: application, correspondence and supporting documents.	<b>ORIGINAL RECORD:</b> Scan to WORK FILE after board action; dispose after verification of images <b>DATABASE RECORD:</b> 20 years after expiration of permit or when no longer of administrative value as determined by the Chairperson (whichever is later) <b>ELECTRONIC WORK FILE:</b> 20 year after scanned or when no longer of administrative value as determined by the Chairperson (whichever is later)	Records contained in agency database and paper and electronic files
159-25	PUBLICATIONS AND PUBLICATION FILES			See 124-97 Publications and Publication Files
159-26	SOCIAL MEDIA	Agency created content for use on social media platforms, including, but not limited to: Facebook, Twitter, Instagram, LinkedIn, etc. A log is maintained of all posts which contains, but not limited to: subject, date, and removal date, if applicable	<b>REMOVED POSTS:</b> Retain a WORK COPY for 5 years after removal OR when no longer of administrative value as determined by the Public Information Officer (whichever is later)	Schedule 124-082 and 124-125