

*The Committee to Approve Schedules for the
Retention and Disposition of Official State Records
The “State Records Committee”
Minutes for November 8th 2017*

1: Call to Order, Welcome, Roll Call

- The meeting was called to order at 1:18 pm. The meeting was held at the Nevada State Library and Archives Board Room, at 100 N. Stewart St, Carson City, NV.

Committee Members:

Kimberley Perondi, for Barbara K. Cegavske, Secretary of State - Present

Kathryn Etcheverria, Governors Appointee - Present

Sarah Bradley, for Adam Laxalt, Nevada Attorney General - Present

Jeff Kintop, Administrator, Nevada State Library, Archives and Public Records – Present

Stacie Hancock, For Patrick Cates, Director of the Department of Administration – Present

Alisanne Maffei, for Shannon Rhaming, Administrator, Enterprise Information Technology Services – Present

Staff:

Sara Martel, State Records Manager, NSLAPR – Present

Bobbie Church, Senior Records Analyst, NSLAPR – Present

Adan Aguilera, Administrative Assistant II, NSLAPR – Present

Kimbra Ellsworth, Department of Transportation – Present

Teri J. Mark, Assistant Administrator, NSLAPR – Present

Scott Anderson, Chief Deputy, Secretary of State - Excused

Guests Present:

Tiffani Prentice, Department of Transportation– Present

Kandee Bahr Worley, Department of Transportation – Present

Ana M. Andrews, Risk Management – Present

Jason Dietrich, Department of Education – Present via teleconference

Michael Arakawa, Department of Education – Present via teleconference

2: Public Comment

Comment may be limited to 5 minutes at the discretion of the Chairman.

- No comment.

3: Review and Approve the Minutes for August 9, 2017

- The minutes were approved as amended. The amendments were typographical and or grammatical in nature and were given to committee staff to correct before and after the committee meeting. Before the meeting Kathryn Etcheverria submitted the following changes:
 - p. 10 - B, under Justification for Modification etc.: 3rd line, to should be the, e.g. “allows the records...”
 - p. 13 - F, Discussion and vote 4th line, add the word “to” after “added”.
 - p. 16 - C, Justification for Modifications etc.: 1st line, delete the word “to.”
 - p. 26 - C, Justification for Deletion etc.: last line, delete the word “the.”
 - p. 27 - E, Justification for Deletion etc.: 2nd to the last line, same as above.
 - p. 28 - F, Justification for Deletion etc.: 2nd to the last line, same as above.
 - p. 28 - H, Title: remove semi-colon.

After the committee meeting The Chair Kim Perondi submitted the following changes:

- p. 9 - #4, Discussion and vote: last line, add a period after “Jim Earl” and Capitalize “the” in the last sentence.
- p. 10 – B, Under Authorized Retention “end of promotion” was crossed out.
- p. 11 – C, Justification for New RDA etc.: Last line add period after “licensees”.
- p. 13 - #5, Discussion and vote add a period after “Kathryn Etcheverria” and Capitalize “The” in the last sentence.
- p. 13 - #6, Discussion and vote, add a period after “Jim Earl” and Capitalize “the” in the last sentence.
- p. 14 - #7, Discussion and vote: last line, add a period after “Jim Earl” and Capitalize “the” in the last sentence.
- p. 15 – C, Justifications for Modification etc.: 4th line, add a comma after “dockets were closed”
- p. 17 - #8, Discussion and vote: last line, add a period after “Teri Mark” and capitalize “the” in the last sentence.
- p. 17 - #8. Discussion and vote: 1st line, add a period sentence after “A and D”.
- p. 20 – D & E, Justification for Deletion etc.: add a period to the last sentence.
- p. 22 - #9, Discussion and vote: last line, add a period after “Teri Mark” and Capitalize “the” in the last sentence.
- p. 23 – Public comment: 6th line after “committee that Adan” change the word “was” to “had”.

The motion was made by Sara Bradley and the second was by Kathryn Etcheverria. The vote was unanimous.

4: Introduction of New Members and Re-Appointment of Member at Large (Discussion Only)

It was announced to the committee that, Bobbie Church is the new senior records analyst for State Records, and will be added as staff to the committee. In addition, Alisanne Maffei has been appointed to replace Jim Earl on the committee for Shannon Rhaming, Administrator for Enterprise

Information Technology services. Lastly, Kathryn Etcheverria was re-appointed for the Governor to serve on the committee as a citizen at large.

5: Department of Education, Office of Educator Licensure

A.	2007081	Licensure Disciplinary (Suspended or Revoked) Files	Modify
B.	2007082	Licensure Suspense (Denied and/or Incomplete) Files	Modify
C.	2007080	Background Investigation Files: Applications	Delete
D.	2007115	Background Investigation Files: Disciplinary Actions	Delete
E.	2007071	Licensure Files	Delete
F.	2007084	Professional Development Files	Delete
G.	2007083	Professional Development Suspense (Incomplete) Files	Delete
H.	2009070	National Board Certification Financial Award Files	Transfer

A. Recommended Modification:

Title: Licensure Disciplinary (Suspended or Revoked) Files

RDA: 2007081

Description:

These records document ~~and control~~ the licensure of educational personnel (See NRS and NAC Chapter 391). The files may contain, but are not limited to: licensure documentation **and supportive documentation**; checklists (~~including background investigation checklist~~); contact information (~~including changes~~); notification of arrest documentation ~~from school district or charter school (See 2007 Statutes of Nevada Chapter 142 [AB 313])~~; copy of Notice of Entry of Judgement from the State Board of Education (or other notification), and; related correspondence ~~and similar documents~~.

Authorized Retention:

Retain these records for a period of fifty (50) calendar years from the date of determination from the State Board of Education.

Recommended Disposition:

Destroy Securely

Agency review:

The appraisal is supported by Department of Education, Office of Educator Licensure Records Officer.

NSLAPR staff recommendation:

The retention meets administrative and legal needs.

Justification for Modification of RDA 1995005:

Although it is rare that a petition for disciplinary action presented to the State Board of Education does not result in a suspension or revocation of the license, it is beneficial and good business practice to keep the investigation files regarding disciplinary actions to be maintained in the same manner and duration as the suspended or revoked files. This will enable the Office of Educator Licensure to monitor for repeat offenders and respond to requests from other states. Accordingly, the description of this record series is being modified to include records from RDA 2007115 which is recommended for deletion.

B. Recommended Modification:

Title: Licensure Suspense (~~Denied and/or~~ Incomplete) Files

RDA: 2007082

Description:

These records are incomplete applications for the licensure of educational personnel (see NRS and NAC chapter 391). The files may contain, but are not limited to: initial license application; checklists, contact information (including changes); supporting documentation (including educational transcripts, continuing education units, proof of citizenship, residency documentation, etc.), and; related correspondence and similar documents.

Authorized Retention:

Retain ~~these records~~ for a period of one (1) calendar year *ninety (90) days* from the date of receipt of the application. ~~Supporting documentation may be returned to the applicant or disposed of when no longer needed.~~

Recommended Disposition:

Destroy Securely

Agency review:

The appraisal is supported by Department of Education, Office of Educator Licensure Records Officer.

NSLAPR staff recommendation:

The retention meets administrative and legal needs.

Justification for Modification of RDA 2007082:

The record series documents incomplete applications for licensure and not denied applications. Per statute, applicants are required to resubmit all related documents when an application is deemed incomplete. However, as a matter of courtesy, the Office of Educator Licensure provides an additional 30 days for the applicant to submit the missing documentation. Once the added 30 days have expired, the office has no legal or administrative need to maintain the records.

The records for denied applications are filed with RDA 2007071 "Licensure Files". See agenda item # (E) on this agenda.

C. Recommended Deletion:

Title: ~~Background Investigation Files: Applications~~

RDA: 2007080

Description:

~~These records are used to investigate an applicant for initial licensee (see NRS 391.311 to 391.361). The files may contain, but are not limited to: checklist for Identifying Investigative Procedures; application; copies of written request to applicant for further information and applicant's response; denial or invalidation notification; appeal with associated supportive documentation (including appeal summary statement, appeal outcome notification, etc.) and; related correspondence and similar documents.~~

Authorized Retention:

~~Retain the records of individuals cleared for a period of one (1) calendar year from the date the case was closed by the Office of Teacher Licensure.~~

Recommended Disposition:

~~Destroy Securely~~

Agency review:

The appraisal is supported by Department of Education, Office of Educator Licensure Records Officer.

NSLAPR staff recommendation:

Delete this RDA

Justification for Deletion of RDA 2007080:

The records for these applications are filed with RDA 2007071 "Licensure Files". It is recommended that RDA 2007071 "Licensure Files" be deleted so the office can follow the General Schedule RDA 2006059 "Licensing: Professional and Occupational Licensing" which has a retention of 30 years from the expiration, termination, suspension or revocation of the license. It is beneficial and good business practice to keep all application records for the duration of the active license.

D. Recommended Deletion:

~~Title: Background Investigation Files: Disciplinary Actions —~~

RDA: 2007415

Description:

~~These records are used to investigate an applicant for an initial license or a licensee who has been or can be charged with a criminal act or professional misconduct (see NRS 391.311 to 391.361). The files may contain, but are not limited to: checklist for Identifying Investigative Procedures, copies of written request to applicant for further information and applicants response; denial or invalidation notification; appeal with associated supportive documentation (including appeal summary statement, appeal outcome notification, etc.); notification of arrest documentation from school district or charter school (see 2007 Statutes of Nevada Chapter 142 [AB 313]); court documents (including Indictment, Entry of Judgment, sentencing documentation, etc.); copy of request for hearing and associated documentation, and; related correspondence and similar documents.~~

Authorized Retention:

~~Retain these records for a period of three (3) calendar years from the date of determination by the State Board of Education or other closure of the case.~~

Recommended Disposition:

~~Destroy Securely~~

Agency review:

The appraisal is supported by Department of Education, Office of Educator Licensure Records Officer.

NSLAPR staff recommendation:

Delete this RDA

Justification for Deletion of RDA 2007115:

It is beneficial and good business practice to keep the investigation files regarding disciplinary actions to be maintained in the same manner and duration as the background investigation files. This will enable the Office of Educator Licensure to monitor for repeat offenders and respond to requests from other states. Accordingly, the description RDA 2007081 “Licensure Disciplinary (Suspended or Revoked) Files” is being modified to include records from this record series.

E. Recommended Deletion:

Title: Licensure Files

RDA: 2007074

Description:

~~These records document and control the licensure of educational personnel (See MRS and NAC chapter 391). The files may contain, but are not limited to: initial license application; renewal applications; checklists; name change forms; contact information (including changes); additional endorsement applications; special qualification license applications; supporting documentation (including educational transcripts, continuing education units, proof of citizenship, residency documentation, etc.); and ; related correspondence and similar documents.~~

Authorized Retention:

~~Retain these records for a period of three (3) years after the expiration, voluntary surrender or other closure of the license. Supporting documentation may be returned to the applicant or disposed of when no longer needed.~~

Recommended Disposition:

~~Destroy Securely~~

Agency review:

The appraisal is supported by Department of Education, Office of Educator Licensure Records Officer.

NSLAPR staff recommendation:

Delete this RDA

Justification for Deletion of RDA 2007071:

It is recommended that RDA 2007071 “Licensure Files” be deleted so the office can follow the General Schedule RDA 2006059 “Licensing: Professional and Occupational Licensing” which has a retention of 30 years from the expiration, termination, suspension or revocation of the license. It is

beneficial and good business practice to keep all application records for the duration of the active license so the office has a complete history of the licensee including any disciplinary actions.

F. Recommended Deletion:

Title: Professional Development Files

RDA: 2007084

Description:

~~This record series documents the professional development training required for renewal of a professional license. The files may include, but are not limited to: “Application for Renewal of Nevada License”; course attendance rolls; confirmation of course attendance/completion; CEU (continuing education unit) credit receipts; CE/training forms; related correspondence and similar documents.~~

Authorized Retention:

~~Retain these records for a period of (5) calendar years from the date of receipt of the application for renewal. Supporting documentation may be returned to the applicant or disposed of when no longer needed.~~

Recommended Disposition:

~~Destroy Securely~~

Agency review:

The appraisal is supported by Department of Education, Office of Educator Licensure Records Officer.

NSLAPR staff recommendation:

Delete this RDA

Justification for Deletion of RDA 2007084:

These records are supportive records to RDA 2007071 “Licensure Files”. Although RDA 2007071 is recommended for deletion, for these records the agency will follow the General Schedule RDA 2006059 “Licensing: Professional and Occupational Licensing” which has a retention of 30 years from the expiration, termination, suspension or revocation of the license. It is beneficial and good business practice to keep all application records for the duration of the active license so the office has a complete history of the licensee including any disciplinary actions.

G. Recommended Deletion:

Title: Professional Development Suspense (Incomplete) Files

RDA: 2007083

Description:

~~This record series documents the professional development training files submitted by an applicant for renewal of a license. The files may include, but are not limited to: “Application for Renewal of Nevada License; course attendance rolls; CE/Training forms, and; related correspondence and similar documents.~~

Authorized Retention:

~~Retain these records for a period of one (1) calendar year from the date of receipt of the application. Supporting documentation may be returned to the applicant or disposed of when no longer needed.~~

Recommended Disposition:

~~Destroy Securely~~

Agency review:

The appraisal is supported by Department of Education, Office of Educator Licensure Records Officer.

NSLAPR staff recommendation:

Delete this RDA

Justification for Deletion of RDA 2007083:

The records in this series are supportive records to RDA 2007082 “Licensure Suspense (Incomplete) Files.

H. Recommended Transfer:

Title: National Board Certification Financial; Award Files

RDA: 2009070

Description:

This record series documents the professional development training files submitted by an applicant for renewal of a license. The files may include, but are not limited to: “Application for Renewal of Nevada License; course attendance rolls; CE/Training forms, and; related correspondence and similar documents.

Authorized Retention:

Retain these records for a period of one (1) calendar year from the date of receipt of the application. Supporting documentation may be returned to the applicant or disposed of when no longer needed.

Recommended Disposition:

Destroy Securely

Agency review:

The appraisal is supported by Department of Education, Office of Educator Licensure Records Officer.

NSLAPR staff recommendation:

Transfer this RDA

Justification for Transfer of RDA 2009070:

The Office of Educator Licensure is no longer the office of record for the record series. The office of record is now the Office of Educator Development and Support. They have been notified and agree to the proposed transfer.

Discussion and Vote:

This item was approved as presented. The motion was made by Kathryn Etcheverria and the second was by Sarah Bradley. The vote was unanimous.

6: Division of Public and Behavioral Health, Medical Marijuana

A. 2017041 Medical Marijuana Cardholder Request for New
Application – Non Activated

A. Recommended New RDA:

Title: Medical Marijuana Cardholder Request for Application – Non Activated **RDA:** 2017041

Description:

These records document potential patrons who have applied for the Medical Marijuana Card but who did not complete the application process. The files may contain, but are not limited to: application with associated documentation and related correspondence. (NRS 453A.700)

Authorized Retention:

Retain these records for a period of one (1) year from the end of the calendar year in which the request for application was received.

Recommended Disposition:

Destroy Securely

NSLAPR staff recommendation:

The retention period meets administrative need.

Agency review:

The appraisal is supported by the Division of Public and Behavioral Health, Medical Marijuana's Records Officer.

Justification for New RDA 2017041:

A current schedule does not exist for this record series. Applicants submit a request for application and a "unique application" is then sent to the requester but due to a variety of reasons they may not return the application for processing into the program. One year retention period will allow for applicants who did not complete the application process to activate their application without resubmitting while establishing timelines for staff to purge non-responses to the applications. Having an application that is not activated does not preclude a patron from submitting an application at a later date. This series contains confidential information and must be destroyed securely. (NRS 453A.700)

Discussion and Vote:

This item was approved as presented. The motion was made by Sarah Bradley and the second was by Kathryn Etcheverria. The vote was unanimous.

7: Department of Corrections, Operations

A. 1991532 Certificates and Records of Marriage Delete
A. Recommended Deletion:

Title: ~~Certificates and Records of Marriage~~

RDA: 1991532

Description:

~~This records series contains the original certificate and records of marriage performed by the Senior Chaplain of the Department which may be received as presumptive evidence of the fact of the marriage (pursuant to NRS Chapter 122.032(2) and 122.062.~~

Authorized Retention:

~~Retain for a period of five (5) calendar years from effective date.~~

Recommended Disposition:

~~Permanent: Transfer to State Archives~~

NSLAPR staff recommendation:

Delete this RDA

Agency review:

The appraisal is supported by the Department of Corrections, Operation's Records Officer.

Justification for New RDA 2017041:

The initial appraisal of these records by NSLAPR analysts determined that the original certificate and records of marriage would be retained by minister solemnizing the marriage, and that since marriages performed within the Department of Corrections are not performed by a state employee, the records are not an official state record. Per NRS Chapter 122.130(1) (a) and (b), each person who solemnizes a marriage shall make a record of it and, within 10 days after the marriage, shall deliver to the county clerk or recorder. Thus, the official record is held with the county and not the State.

NRS 122.130 Certificate of marriage: Recording; loss or destruction before recording; replacement certificate; fees.

1. Each person who solemnizes a marriage shall make a record of it and, within 10 days after the marriage, shall deliver to:

(a) If the board of county commissioners has adopted an ordinance pursuant to [NRS 246.100](#), the county clerk of the county where the license was issued the original certificate of marriage required by [NRS 122.120](#).

(b) If the board of county commissioners has not adopted an ordinance pursuant to [NRS 246.100](#), the county recorder of the county where the license was issued the original certificate of marriage required by [NRS 122.120](#).

Discussion and Vote:

This item was approved as presented. The motion was made by Kathryn Etcheverria and the second was by Alisanne Maffei. The vote was unanimous.

8: Department of Administration, Risk Management Division

A.	2008010	Indoor Air Quality Files	Modify
B.	2008009	Safety Program Files	Modify
C.	2010018	Volunteer Workers Compensation Files	Modify
D.	2010020	Hazmat Certification Files	Modify

A. Recommended Modification:

Title: Indoor Air Quality Files

RDA: 2008010

Description:

These records consist of indoor air quality claims against the state and are used for risk analysis purposes (see NRS *Chapter* 331.184). The record may include but is not limited to: incident/accident reports (including photos); copy of court documents; medical effects (with supportive documentation), and related correspondence.

Authorized Retention:

Retain ~~these records~~ for a period of fifteen (15) calendar years from the end of the calendar year ~~to~~ which they pertain *in which the claim was settled*.

Recommended Disposition:

Destroy Securely

Agency review:

The appraisal is supported by the Department of Administration, Risk Management Division Records Officer.

NSLAPR staff recommendation:

The retention meets administrative and legal needs.

Justification for Modification of RDA 2008010:

Changing “to which they pertain” to “in which the claim was settled” in the retention statement makes a more defined and accurate trigger event.

B. Recommended Modification:

Title: Safety Program Files

RDA: 2008009

Description:

These records document the oversight of the safety programs of the executive branch of government (see NRS *Chapters* 618.383 and 331.184 (9)). The record may include but is not limited to: yearend safety report; copies of safety committee minutes; building/site safety surveys; Life Fire surveys; semi-annual reports; and; related correspondence.

Authorized Retention:

Retain ~~these records~~ for a period of five (5) calendar years from the end of the calendar year ~~to~~ which they pertain *in which the yearend report was submitted*.

Recommended Disposition:

Permanent: Transfer to State Archives

Agency review:

The appraisal is supported by the Department of Administration, Risk Management Division Records Officer.

NSLAPR staff recommendation:

The retention meets administrative needs.

Justification for Modification of RDA 2008009:

Changing “to which they pertain” to “in which the yearend report was submitted” in the retention statement makes a more defined and accurate trigger event.

C. Recommended Modification:

Title: Volunteer Workers Compensation Files

RDA: 2010018

Description:

These records document the collection and payment/*reporting* of Workers Compensation premiums for volunteer workers and board members. The record may include but is not limited to: volunteer/board member application; volunteer, inmate, intern and board member activity form or description of duties; Memorandum of Understanding, fiscal documentation, and; related correspondence.

Authorized Retention:

Retain these records for a period of three (3) ~~fiscal~~ *calendar years* from the end of the ~~fiscal~~ *calendar year* to which they pertain *in which* the premium was paid ~~or the reporting was done~~.

Recommended Disposition:

Destroy

Agency review:

The appraisal is supported by the Department of Administration, Risk Management Division Records Officer.

NSLAPR staff recommendation:

The retention meets administrative and fiscal needs.

Justification for Modification of RDA 2010018:

Changing “to which they pertain” to “in which the premium was paid or the reporting was done” in the retention statement makes a more defined and accurate trigger event.

D. Recommended Modification:

Title: Hazmat Certification Files

RDA: 2010020

Description:

These records document the Hazardous Materials (Hazmat) medical examinations conducted in accordance with NRS Chapter 618, 29CFR 1910.120 (b) and 29 CFR 1910.134 (e). The record may include but is not limited to: Physician reports and related documentation; Hazmat exam reports; Respirator fit tests, and; Related correspondence

Authorized Retention:

The record shall be maintained for the duration of employment plus ~~Retain for a period of three (3)~~ **thirty (30)** calendar years from the date of the examination.

Recommended Disposition:

Destroy Securely

Agency review:

The appraisal is supported by the Department of Administration, Risk Management Division Records Officer.

NSLAPR staff recommendation:

The retention meets administrative and fiscal needs.

Justification for Modification of RDA 2010020:

Changing the retention from three (3) years to thirty (30) years to meet the minimum requirement according to federal regulations in accordance with 29 CFR 1910.1020 (d).

Discussion and Vote:

This item was approved as amended. The motion was made by Sarah Bradley and the second was by Alisanne Maffei. The vote was unanimous. The amendment was made on item C in the “Authorized Retention” portion, the words “...the premium was paid, or” were removed so it will read “...in which the reporting was done”.

9: General Schedule

A. 2006059	Licensing: Professional and Occupational Licensing	Discuss
-------------------	---	----------------

A. For Committee Discussion and Possible Modification:

Title: Licensing: Professional and Occupational Licensing

RDA: 2006059

Description:

These records document the process and monitoring of individuals receiving professional and occupational licenses, certification, registration and similar functions from a licensing agency. The record may consist of, but is not limited to: Original application with supportive documentation; examination results; informational documentation on the licensee; continuing education and training verification documents; formal actions on complaints, the order initiating discipline and other information considered by the board in dispensing discipline and; related documentation.

Authorized Retention:

Retain these records for a period of thirty (30) calendar years from the expiration, termination, suspension or revocation of the license.

Recommended Disposition:

Destroy Securely

Committee review:

The Committee wished to discuss the professional/occupational licensure 30 year retention. State Records sent out any material relating to RDA 2006059 Licensing: Professional and Occupational Licensing to the Boards and Commissions in regards to why the retention period is 30 years and asked for a response as to if they felt the time period was too long.

Discussion and Vote:

This item was tabled for a future agenda. Sarah Bradley explained to the committee that the 30 year retention on this RDA was to protect the public from persons who could hypothetically move out of state to get away from any felonious records they may have accrued in Nevada, while being professionally or occupationally licensed in Nevada. The Chair proposed amending this RDA to possibly include some exceptions for persons who have violations so that only their records need to be kept for 30 years. Jeff agreed with Sarah on 30 years retention but noted that this item will need to be researched further to address the issues related to disciplinary records on licensed professionals. Sara Martel mentioned that some of the state boards had considered these records burdensome due to the amount of time the records are kept active. She wanted the committee to consider how long the official record is even needed before its retention period can begin. The committee has asked staff to bring more information regarding this RDA for further discussion at a future meeting.

10: Nevada Department of Transportation

A.	2014148	Standard Plans and Specifications (Administrative)	Modify
B.	2014031	Construction Contract: Contract Form	Modify
C.	2014032	(Administrative) Construction Contract: Work Management and	Modify
D.	2014058	Resource Files (Administrative) Facilities Construction Contract: Contract Form	Modify
E.	2014059	(Administrative) Facilities Construction Contract: Work Management	Modify
F.	2014124	and Resource Files (Administrative)	Modify
G.	2014126	Quality Based Procurement: Agreement Files (Non Federally Funded) (Administrative)	Modify
H.	2014127	Quality Based Procurement: RFA, RFI, RFQ or RFP - Unsuccessful Proposals (Administrative)	Modify
I.	2017044	Quality Based Procurement: Unsolicited Proposals – Unsuccessful (Administrative)	New
J.	2014028	Records Retention Schedule	Delete

K.	2014029	Construction Contract: "As Built" Plan Sets (Administrative)	Delete
L.	2014030	Construction Contract: Certified Payroll Reports (Administrative)	Delete
M.	2014056	Construction Contract: Contract Approvals (Administrative)	Delete
N.	2014057	Facilities Construction Contract: "As Built" Plan Sets (Administrative)	Delete
O.	2014212	Facilities Construction Contract: Contract Approvals (Administrative)	Delete
P.	2014168	Quality Based Procurement: Agreement Files (Federally Funded) (Administrative) Unsuccessful Bids for Construction or Facilities Construction Contracts (Administrative)	Delete

A. Recommended Modification:

Title: ~~Construction Project Library~~ Standard Plans and Specifications (Administrative)
TRDA: 2014148

Description:

Records related to the development and publication of ~~These records consist of the NDOT standards published for road and bridge construction, including Standard Plans, and Standard Specifications, and Qualified Product Lists for Road and Bridge Construction.~~

Authorized Retention:

Retain *permanently in the electronic records repository.* ~~at the Department as long as administratively useful.~~

Recommended Disposition:

Permanent. ~~Transfer each publication to State Archives at the time of publication.~~

Agency review:

The appraisal is supported by the Nevada Department of Transportation, Records Officer.

Justification for Modification of TRDA 2014148

Standard Plans, Standard Specifications, and Qualified Product Lists for road and bridge construction projects are published periodically, and apply to all NDOT construction projects for the applicable period. These revisions add Qualified Product Lists to the construction project library series, and adjust the retention language to meet the agency's administrative needs. These records have permanent value to the department for research and administrative use.

B. Recommended Modification:

Title: Construction ~~Project History Files~~ Contract: Contract Form (Administrative)
TRDA: 2014031

Description:

These files comprise the permanent records of a construction project and may include, but are not limited to: As-Built plan sets, Processing Memo, Contract Form or Agreement, Special Provisions, Plans, contractor's proposal, change orders, certifications and reports.

~~These records comprise the Contract Form including: "Contract Form", "Special Provisions", "Plans", "Invitation to Bid" and "Contractor's Proposal".~~ This series also applies to specialty *agreements for road and bridge construction* agreement files (e.g. Design Build, CMAR, P3, etc.) and construction services agreements.

Authorized Retention:

Retain permanently in the electronic records repository. Retain for seven (7) calendar years from the date of final pay of the contract.

Recommended Disposition:

Permanent. ~~Transfer to NDOT Records Management at, or before, final pay. Transfer to State Archives after retention.~~ Caution: some of the documents within this record series may be considered a "Restricted Record" in accordance with the 2003 Homeland Security Act.

Agency review:

The appraisal is supported by the Nevada Department of Transportation, Records Officer.

Justification for Modification of TRDA 2014031:

These revisions combine all contract records that require permanent retention into one record series, and adjust the retention language to meet the agency's administrative needs. These records have permanent value to the department for research and administrative use.

C. Recommended Modification:

Title: Construction Contract: Work Management and Resource Files (Administrative
TRDA: 2014032

Description:

These ~~records~~ *files* are comprised of the working records of a *construction* contract and may include, but are not limited to: project release documents, *invitation to bid*, contractor bulletin, award and NTP documents, construction diaries, field reports, *certified payroll reports*, payment documentation, claims correspondence, general correspondence, etc. This series also applies to specialty agreements *for road and bridge construction* files (e.g. Design Build, CMAR, P3, etc.) and construction services agreements.

Authorized Retention:

Retain for a seven (7) calendar years from the date of final pay of the contract. *Transfer to NDOT Records Management at or before final pay.*

Recommended Disposition:

Destroy or destroy securely. ~~Transfer to NDOT Records Management at, or before, final pay. Destroy after retention.~~ Caution: some of the documents within this record series may be considered a "Restricted Record" in accordance with the 2003 Homeland Security Act and/or contain confidential information. Review all files to determine the need for secure destruction.

Agency review:

The appraisal is supported by the Nevada Department of Transportation, Records Officer.

Justification for Modification of TRDA 2014032:

These revisions combine all of the non-permanent contract records that require the seven years retention into one record series. This retention period meets the agency's administrative needs.

D. Recommended Modification:

Title: Facilities Construction *History Files* ~~Contract: Contract Form~~ (Administrative)

TRDA: 2014058

Description:

These *files comprise the long-term records of a facility construction project and may include, but are not limited to: As-Built plan sets, Processing Memo, Contract Form or Agreement, scope of work, contractor's proposal, plans, and change orders.* records comprise the "Contract Form" including: "Contract Form" (or agreement) "Scope of Work", "Plans", "Invitation to Bid" and "Contractor's Proposal".

Note: these files are not to be confused with road and bridge construction projects and road and bridge construction services agreements; see TRDA 2014031 and 2014032.

Authorized Retention:

Retain for three (3) calendar years from the date the facility was abandoned, sold, demolished or otherwise vacated. *Transfer to NDOT Records Management at or before final pay of the contract.*

Recommended Disposition:

Destroy *or destroy* securely. Caution: some of the documents within this record series may be considered a "Restricted Record" in accordance with the 2003 Homeland Security Act. *Review all files to determine the need for secure destruction.*

Agency review:

The appraisal is supported by the Nevada Department of Transportation, Records Officer.

Justification for Modification of TRDA 2014058:

These revisions combine all facility construction records that require long-term retention (three years from the disposition of the facility) into one record series. These records have long-term value to the department for research and administrative use.

E. Recommended Modification:

Title: Facilities Construction Contract: Work Management and Resource Files (Administrative)

TRDA: 2014059

Description:

These ~~records~~ *files* are comprised of the working records of a *facility construction* contract and may include, but are not limited to: project release documents, *invitation to bid*, award and NTP documents, construction diaries, field reports, payment documentation, claims correspondence, general correspondence, etc. *This series also applies to specialty agreements for facility*

construction (e.g. Design Build, CMAR, P3, etc.) and facility construction services agreements.

Authorized Retention:

Retain for a period of seven (7) calendar years from the date of final pay of the contract. *Transfer to NDOT Records Management at or before final pay.*

Recommended Disposition:

Destroy or destroy securely. ~~Transfer to NDOT Records Management at or before final pay.~~

~~Destroy after retention.~~ Caution: some of the documents within this record series may be considered a “Restricted Record” in accordance with the 2003 Homeland Security Act and/or contain confidential information. Review all files to determine the need for secure destruction.

Agency review:

The appraisal is supported by the Nevada Department of Transportation, Records Officer.

Justification for Modification of TRDA 2014059:

These revisions combine all of the non-permanent facilities construction records that require the seven years retention into one record series. This retention period meets the agency’s administrative needs.

F. Recommended Modification:

Title: Quality Based Procurement: Agreement Files (~~Non Federally Funded~~) (Administrative)
TRDA: 2014124

Description:

These *files comprise the* records *for agreements and may include* ~~contain~~, but are not limited to: the successful proposal, agreement, amendments, and task orders, agreement-related general correspondence, Review Ranking Spreadsheets, Form 2A, and *related* payment vouchers for quality based procurement.

Note: these files are not to be confused with specialty agreements for road or facility construction projects (e.g. Design Build, CMAR, P3, etc.) or construction services agreements; see TRDAs 2014031, 2014032, 2014058 and 2014059.

Authorized Retention:

Retain for seven (7) calendar years from the date of ~~final audit or~~ agreement close *or final pay of the last project (EA) associated with the agreement*, whichever is later. *Transfer to NDOT Records Management at or before the close of the agreement.*

Recommended Disposition:

Destroy or destroy securely. ~~Transfer to NDOT Records Management at or before Agreement execution.~~ ~~Destroy after retention.~~ Caution: some of the documents within this record series may be considered a “Restricted Record” in accordance with the 2003 Homeland Security Act and/or contain confidential information. Review all files to determine the need for secure destruction.

Agency review:

The appraisal is supported by the Nevada Department of Transportation, Records Officer.

Justification for Modification of TRDA 2014124:

These revisions combine all of the agreement records, regardless of Federal or State funding sources, into one record series. This retention period meets the agency’s administrative needs.

G. Recommended Modification:

Title: ~~Quality Based Procurement: RFA, RFI, RFQ or RFP~~—Unsuccessful *Bids and* Proposals (Administrative) **TRDA:** 2014126

Description:

Unsuccessful *bid packages and unsuccessful* proposals (*including but not limited to those submitted in response to an RFA, RFI, RFQ or RFP*), and any related documents associated with unsuccessful *bids or* proposals, including documentation regarding denied award disputes, *and unsolicited proposals*.

Note: these files are not to be confused with “Alternative Technical Concepts;” see TRDA 2014127.

Authorized Retention:

Retain *until execution (or rejection/cancellation) of the contract or agreement, or* for a period of one (1) calendar year from the date of submittal, *whichever comes first*.

Recommended Disposition:

Destroy. *Return or release any bid bond to contractor before destruction.* ~~or destroy securely. Caution: some of the documents within this record series may be considered a “Restricted Record” in accordance with the 2003 Homeland Security Act and/or contain confidential information. Review all files to determine the need for secure destruction.~~

Agency review:

The appraisal is supported by the Nevada Department of Transportation, Records Officer.

Justification for Modification of TRDA 2014126:

These revisions combine all of the unsuccessful bid and proposal records (for quality based procurement, construction and facility construction contracts) that require short-term retention. This retention period meets the agency’s administrative needs.

H. Recommended Modification:

Title: Quality Based Procurement: *Alternative Technical Proposals* ~~Unsuccessful~~ Proposals— (Administrative) **TRDA:** 2014127

Description:

Alternative Technical Proposals ~~Unsuccessful~~ proposals that are *stipended and* not converted into an NDOT project or contract *file* ~~(successful, unsolicited proposals will become part of a project or contract file).~~

Authorized Retention:

Retain for ten (10) calendar years from *the* date of submittal. *Transfer to NDOT Records Management at execution of the contract or agreement, or one (1) calendar year from the date of submittal, whichever comes first.*

Recommended Disposition:

Destroy securely. Caution: some of the documents within this record series may be considered a “Restricted Record” in accordance with the 2003 Homeland Security Act and/or contain confidential *or proprietary* information.

Agency review:

The appraisal is supported by the Nevada Department of Transportation, Records Officer.

Justification for Modification of TRDA 2014127:

These proposed changes clarify the types of proposals in this record series, which have longer-term retention value. The retention period meets the agency’s administrative needs.

I. Recommended New:

Title: *Records Retention Schedule*

TRDA: *2017044*

Description:

This schedule is a listing of approved dispositions for official state records in the legal custody of the department, and the minimum retention periods that are established to satisfy the administrative, fiscal, legal and historical requirements for each record series.

Authorized Retention:

Retain for five (5) calendar years after the schedule is superseded.

Recommended Disposition:

Permanent. Transfer to State Archives.

Agency review:

The appraisal is supported by the Nevada Department of Transportation, Records Officer.

Justification for New TRDA 2017044:

This proposed change adds the NDOT records retention schedule as a new record series with an assigned TRDA number, which is consistent with current practices for the agency-specific schedule. The proposed retention and disposition are the same as the requirements in the NSLAPR schedule for Archives and Records, Records Retention Schedule RDA 1992435.

J. Recommended Deletion:

Title: ~~Construction Contract: “As-Built” Plan Sets (Administrative)~~

TRDA: ~~2014028~~

Description:

~~These records comprise “As-Built” plan sets for construction contracts. This series also applies to specialty agreement files (e.g. Design-Build, CMAR, P3, etc.) and construction services agreements.~~

Authorized Retention:

~~Retain for seven (7) calendar years from the date of final pay of the contract.~~

Recommended Disposition:

~~Permanent. Transfer to NDOT Records Management at, or before, final pay. Transfer to State Archives after retention. Caution: some of the documents within this record series may be considered a "Restricted Record" in accordance with the 2003 Homeland Security Act.~~

Agency review:

The appraisal is supported by the Nevada Department of Transportation, Records Officer.

Justification for Deletion of TRDA 2014028:

These records are now covered under TRDA 2014031, above.

K. Recommended Deletion:

~~Title: Construction Contract: Certified Payroll Reports (Administrative) TRDA: 2014029~~

Description:

~~These records consist of reports from contractors and sub-contractors for construction projects (both highway construction and facilities construction) documenting compliance with State and Federal regulations.~~

Authorized Retention:

~~Retain for seven (7) calendar years from the date of final pay of the contract.~~

Recommended Disposition:

~~Destroy securely.~~

Agency review:

The appraisal is supported by the Nevada Department of Transportation, Records Officer.

Justification for Deletion of TRDA 2014029:

These records are now covered under TRDA 2014032, above.

L. Recommended Deletion:

~~Title: Construction Contract: Contract Approvals (Administrative) TRDA: 2014030~~

Description:

~~These records comprise the approvals to advertise and award construction contracts and may include but are not limited to: approval to advertise (processing memo) or FHWA; approval and concurrence to award correspondence; enterprise approval (DBE/SBE memo); Qualified Product List and change order approvals.~~

Authorized Retention:

~~Retain for seven (7) calendar years from the date of final pay of the contract.~~

Recommended Disposition:

Permanent: Transfer to NDOT Records Management at, or before, final pay. Transfer to State Archives after retention. Caution: some of the documents within this record series may be considered a “Restricted Record” in accordance with the 2003 Homeland Security Act.

Agency review:

The appraisal is supported by the Nevada Department of Transportation, Records Officer.

Justification for Deletion of TRDA 2014030:

The records previously grouped in this series are now covered under TRDAs 2014032, 2014031, and 2014148, above. The processing memos and change orders have permanent value as part of the construction project history file (2014031). The Qualified Product Lists are not part of the project file, but part of the construction project library (2014148). The other “approval” documents comprise part of the project “work management records” (2014032) and do not have permanent retention value.

M. Recommended Deletion:

~~Title: Facilities Construction Contract: “As-Built” Plan Sets (Administrative)~~ **TRDA: 2014056**

Description:

~~These records comprise “As-Built” plan sets for facilities construction contracts. This series also applies to specialty agreement files (e.g. Design Build, CMAR, P3, etc.) and construction services agreements.~~

Authorized Retention:

~~Retain for seven (7) calendar years from the date of final pay of the contract.~~

Recommended Disposition:

~~Destroy securely. Transfer to NDOT Records Management at, or before, final pay. Caution: some of the documents within this record series may be considered a “Restricted Record” in accordance with the 2003 Homeland Security Act and/or contain confidential information.~~

Agency review:

The appraisal is supported by the Nevada Department of Transportation, Records Officer.

Justification for Deletion of TRDA 2014056:

These records are now covered under TRDA 2014058, above.

N. Recommended Deletion:

~~Title: Facilities Construction Contract: Contract Approvals (Administrative)~~ **TRDA: 2014057**

Description:

~~These records comprise the approvals to advertise and award construction contracts and may include but are not limited to: approval to advertise (processing memo); approval and concurrence to award correspondence; enterprise approval (DBE/SBE memo); “Qualified Product Lists” and change order approvals.~~

Authorized Retention:

~~Retain three (3) calendar years from the date the facility was abandoned, sold, demolished or otherwise vacated.~~

Recommended Disposition:

~~Permanent: Transfer to NDOT Records Management at, or before, final pay. Transfer to State Archives after retention. Caution: some of the documents within this record series may be considered a “Restricted Record” in accordance with the 2003 Homeland Security Act.~~

Agency review:

The appraisal is supported by the Nevada Department of Transportation, Records Officer.

Justification for Deletion of TRDA 2014057:

The records previously grouped in this series are now covered under TRDAs 2014058 and 2014059, above. The processing memos and change orders have long-term value as part of the facility construction project history file (2014058). The other “approval” documents comprise part of the project “working records” (2014059) and do not have long-term retention value.

O. Recommended Deletion:

Title: ~~Quality Based Procurement: Agreement Files (Federally Funded) (Administrative)~~

TRDA: 2014212

Description:

~~These records may contain, but are not limited to, the successful proposal; agreement; amendments and task orders; agreement related general correspondence; Review Ranking spreadsheet; Form 2A and payment vouchers for quality based procurement.~~

Authorized Retention:

~~Retain for seven (7) calendar years from the date of final pay of the last project (EA) associated with the agreement.~~

Recommended Disposition:

~~Destroy or destroy securely. Transfer to NDOT Records Management at Agreement execution. Destroy after retention. Caution: some of the documents within this record series may be considered a “Restricted Record” in accordance with the 2003 Homeland Security Act and/or contain confidential information. Review all files to determine the need for secure destruction.~~

Agency review:

The appraisal is supported by the Nevada Department of Transportation, Records Officer.

Justification for Deletion of TRDA 2014212:

These records are now covered under TRDA 2014124, above.

P. Recommended Deletion:

Title: ~~Unsuccessful Bids for Construction or Facilities Construction Contracts (Administrative)~~
TRDA: 2014168

Description:

~~These records are the unsuccessful bid packages for construction and facilities construction contracts.~~

Authorized Retention:

~~Retain until execution (or rejection/cancellation) of contract.~~

Recommended Disposition:

~~Destroy. Return or release bid bond to contractor before destruction.~~

Agency review:

The appraisal is supported by the Nevada Department of Transportation, Records Officer.

Justification for Deletion of TRDA 2014168:

These records are now covered under TRDA 2014126, above.

Discussion and Vote:

This item was tabled for a future agenda. The committee would like for staff to work with NDOT to modify their RDA's as well as provide more information for discussion in regards to their proposed changes.

11: E-Records Forum Update (Discussion Only)

Sara Martel informed the committee that the E-records forum had great speakers with good information. Secretary of State Barbara Cevgaske gave an opening speech at the forum. There will be another E-Records forum in 2 years. Pictures of the forum will be available soon.

12: Discuss future agenda items:

Sara Martel reminded the committee of the updating that is being done with all the departments, divisions and agencies retention schedules. So there is still plenty of schedules to present to the committee for approval in the coming year. The Chair Kim Perondi asked that the committee staff remove "For Possible Action" from agenda item "Discuss future agenda items" on future agendas.

13: Public Comment

Comment may be limited to 5 minutes at the discretion of the Chairman

- There was no public comment.

14: Determine time of next meeting

- The next meeting will be held December 13, 2017 at 1:15 pm in the Nevada State Library and Archives Board room.

15: Adjourn

- The meeting was adjourned at 3:55 pm with the motion made by Sarah Bradley the second by Kathryn Etcheverria. The vote was unanimous.