

# **Schedule 20**

# **WORKERS' COMPENSATION COURT**

**May 31, 2018**

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

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

SCHEDULE

20

AGENCY, BOARD OR COMMISSION

**WORKERS' COMPENSATION COURT**

DIVISION, BUREAU OR OTHER UNIT

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

Supersedes Edition of August 11, 2017

**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

*Jaqueline J. Boesen*

TITLE

*Court Administrator*

DATE

*May 4, 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

*Hayla Koutney*

DATE

*5/18/2018*

**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

*Dean Hauffman*

DATE

*5/30/18*

**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

*John D. Galt*

DATE

*5/31/18*

## **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.
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 the 2<sup>nd</sup> to 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 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  
440 South 8th Street, Suite 210  
Lincoln, NE 68508-2294  
402-471-2559**

**SCHEDULE 20  
WORKERS' COMPENSATION COURT**

**May 31, 2018**

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

<b>Supersedes Edition of August 11, 2017</b>				
<b>ITEM NUMBER</b>	<b>RECORD TITLE</b>	<b>DESCRIPTION/EXAMPLES</b>	<b>RETENTION</b>	<b>REFERENCE/COMMENTS</b>
20-46	<b>ANNUAL STATISTICAL REPORTS</b>	Report of injuries and benefit payments submitted to the court for the previous 10 years.	<b>PERMANENT::</b> Deposit 4 copies with the NE Publications Clearinghouse <b>COPIES:</b> When no longer of reference value	Electronic
20-1	<b>BACKUP COPIES OF ELECTRONIC DATA</b>	Backup copies of electronic data for the purpose of data recovery/business continuity (but not archiving).	<b>ORACLE DATA:</b> 7 days <b>ALL OTHER DATA:</b> 30 days	Electronic
20-47	<b>BUSINESS CONTINUITY PLAN</b>	Documentation for protection and re-establishment of agency services and equipment in case of disaster. Includes the plan, procedures, checklists and other significant information.	<b>After superseded</b>	Electronic
20-72	<b>CALENDARS</b>	Desk and pocket calendars, appointment books, and planners, including Outlook calendar entries.	<b>5 years</b>	•Paper •Electronic
20-73	<b>CANCELLATION / NON-RENEWAL (CNR) MONITORING RECORDS a. TEMPORARY FILES</b>	Temporary flat files used to create spreadsheet and CNR letters. Each flat file contains a list of employers with a cancel or non-renewal transaction in the proof of coverage database. May include: employer names, addresses, policy numbers, and other information.	<b>30 days</b>	Electronic
20-74	<b>CANCELLATION / NON-RENEWAL (CNR) MONITORING RECORDS b. SPREADSHEET</b>	Spreadsheet used to document employers sent a CNR letter and the response from the employer. The spreadsheet contains: employer names, addresses, policy numbers, dates CNR letters sent, certified mail data, responses, and other information.	<b>5 years</b>	Electronic
20-75	<b>CANCELLATION / NON-RENEWAL (CNR) MONITORING RECORDS c. FORM LETTERS</b>	Master copy of the form letter that is used to create CNR letters. Includes both the first and second notice letters. The CNR letters are created by merging the employer information contained in the CNR Monitoring Spreadsheet into the CNR form letter.	<b>After superseded</b>	Electronic

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
20-76	<b>CANCELLATION / NON-RENEWAL (CNR) MONITORING RECORDS</b> <b>d. CNR LETTERS AND RESPONSES</b>	Copies of CNR letters sent to employers and the documents received in response to those letters. CNR letters that are sent and the responses that are received are scanned and stored in a PDF file. May include: copies of the CNR letter; certified mail green cards; returned mail; insurance policy information; and other information and correspondence.	<b>PAPER RECORD:</b> 4 years after scanned, verified, and stored in electronic (PDF) file. <b>ELECTRONIC RECORD:</b> 5 years after end of fiscal year in which the corresponding spreadsheet was created.	<ul style="list-style-type: none"> <li>•Paper</li> <li>•Electronic</li> </ul>
20-2	<b>COMPENSATION INSURANCE RECORDS</b>	Proof of coverage information filed by insurance companies to report issuance, renewal or cancellation of compensation insurance.	<b>HARD COPY ORIGINAL RECORD:</b> 75 years after creation date <b>SECURITY MICROFILM:</b> Transfer to State Record Center; 75 years after roll creation date <b>MICROFILM WORK COPY:</b> 75 years after roll creation date <b>ELECTRONIC RECORD:</b> 75 years after policy expiration date	<ul style="list-style-type: none"> <li>•Paper, microfilm and electronic</li> <li>•Formats and years in use:               <ol style="list-style-type: none"> <li>1) Original insurance cards including cancellation (1969-1972)</li> <li>2) Computer punch cards created by the court from information submitted to the court (1972-1973)</li> <li>3) Microfiche (1973-1979)</li> <li>4) Insurance cards &amp; punch cards (1976-1978)</li> <li>5) Computer (green bar) printouts and microfilm copies (1979-1988)</li> <li>6) Computer alpha listing printouts (1989-1995)</li> <li>7) Records of compensation insurance (mainframe computer runs) (1978-1995)</li> <li>8) Nebraska Record of Compensation Insurance - Intergovernmental Risk Management Pool (Form 12P) (1/1/1988 and forward)</li> <li>9) Electronic records (1978 and forward)</li> </ol> </li> </ul>
20-3	<b>COMPENSATION INSURANCE RECORDS</b> <b>a. TRANSMITTAL REPORTS</b>	Transmittal reports (NWCC Form 12-Record of Compensation Insurance and electronic transmittal reports) for COMPENSATION INSURANCE RECORDS (electronic), item 20-2.	<b>2 years after processed with quality control checks and rejected or entered into COMPENSATION INSURANCE RECORDS (electronic), item 20-2</b>	<ul style="list-style-type: none"> <li>•Paper (prior to 8/1/1996)</li> <li>•Electronic (8/1/1996 and forward)</li> </ul>

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
20-4	<b>COMPENSATION INSURANCE RECORDS</b> <b>b. PROCESSING FILES</b>	Processing files for creating and updating COMPENSATION INSURANCE RECORDS (electronic), item 20-2. Transaction records used to process COMPENSATION INSURANCE RECORDS a. TRANSMITTAL REPORTS (electronic), item 20-3.	<b>CREATION DATE:</b> <b>PRIOR TO 2/1/2006 (NCCI CONVERSION RECORDS):</b> 75 years after conversion date (2/1/2006) <b>ON OR AFTER 2/1/2006:</b> 5 years after creation date	Electronic
20-5	<b>COMPENSATION INSURANCE RECORDS</b> <b>c. ACKNOWLEDGEMENTS</b>	Reports acknowledging acceptance or rejection of COMPENSATION INSURANCE RECORDS a. TRANSMITTAL REPORTS (electronic), item 20-3.	<b>2 years after report creation date</b>	Electronic
20-6	<b>COMPENSATION INSURANCE RECORDS</b> <b>d. CARRIER INFORMATION</b>	Electronic information regarding carriers (insurance companies, self-insured employers, and risk management pools) providing workers' compensation insurance coverage in the State of Nebraska.	<b>75 years after carrier inactive date if no reference to the carrier exists in COMPENSATION INSURANCE RECORDS (electronic), item 20-2</b>	Electronic
20-7	<b>COMPENSATION INSURANCE RECORDS</b> <b>e. CARRIER INFORMATION TRANSMITTAL REPORTS</b>	Paper and/or electronic notifications (e-mail transmission with attachment) regarding additions, changes and/or corrections, needing to be made to COMPENSATION INSURANCE RECORDS d. CARRIER INFORMATION, item 20-6.	<b>After processed with quality control checks and rejected or entered into COMPENSATION INSURANCE RECORDS d. CARRIER INFORMATION, item 20-6</b>	•Paper •Electronic
20-8	<b>COMPENSATION INSURANCE RECORDS</b> <b>f. HISTORICAL INSURANCE CARRIER CODE LISTS</b>	Information used to identify the carrier on historical proof of coverage information.	<b>Concurrent with the last paper records found in COMPENSATION INSURANCE RECORDS, item 20-2.</b>	•Paper •Electronic
20-9	<b>COMPENSATION INSURANCE RECORDS</b> <b>g. DOCUMENTATION RELATED TO EDI PROOF OF COVERAGE (POC) RECORDS</b>	Information used in edit control, confirmation, explanation, and translation of POC records.	<b>After superseded</b>	Electronic
20-10	<b>COMPENSATION INSURANCE RECORDS</b> <b>h. PROOF OF COVERAGE (POC) JOB PROCESSING REPORTS</b>	Daily reports of POC computer runs used in evaluating and troubleshooting the success or failure of POC computer runs.	<b>2 years after record creation date</b>	Electronic

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
20-11	<b>COMPENSATION INSURANCE RECORDS</b> <b>i. SELF-INSURER FILES</b>	Financial and application information filed by organizations approved for self-insurance by the Nebraska Workers' Compensation Court. May include, but not limited to: application(s) for authority, Nebraska self-insurance certificate(s), annual report(s), assessment(s), surety bond(s) or other forms of security, excess insurance policies, parental guaranty(s), financial information, payroll classification information, benefit paid information, analytical worksheets, and other information or correspondence.	<b>75 years after self-insurance authority termination date</b>	<ul style="list-style-type: none"> <li>•Paper</li> <li>•Electronic</li> </ul>
20-12	<b>COMPENSATION INSURANCE RECORDS</b> <b>j. SELF-INSURANCE NON-APPROVED APPLICATIONS</b>	Financial and application information filed by organizations not approved for self-insurance by the Nebraska Workers' Compensation Court. May include, but not limited to: application(s) for authority, financial information, payroll classification information, benefit paid information, analytical worksheets, and other information or correspondence.	<b>10 years after non-approval of application</b>	Paper
20-13	<b>COMPENSATION INSURANCE RECORDS</b> <b>k. SELF-INSURANCE AUDIT AND REVIEW FILES</b>	Documents/information submitted by self-insurers for audit and review purposes to support information provided on the application(s) for authority and annual reports. May include, but not limited to: financial information, payroll classification information, benefit paid information, analytical worksheets, and other information or correspondence.	<b>7 years after self-insurance audit completed</b>	<ul style="list-style-type: none"> <li>•Paper</li> <li>•Electronic</li> </ul>
20-77	<b>COMPLIANCE CASE FILES</b>	Files relating to compliance activities. May include correspondence between the court and the complainant, workers' compensation insurance carriers, doctors, or attorneys regarding claims handling issues. May also include attachments to correspondence such as call logs, copies of emails, medical bills, etc.	<b>COMPLAINTS (NO ACTION):</b> 3 years <b>COMPLAINTS (RESULTING IN ACTION):</b> 3 years after action and appeals are complete and final	<ul style="list-style-type: none"> <li>•Neb. Rev. Stat. 48-146.02</li> <li>•Paper</li> </ul>
20-14	<b>CORPORATE EXECUTIVE OFFICER WAIVERS</b>	Records allowing a person who owns 25% of Nebraska corporate common stock to waive coverage by the Workers' Compensation Act.	<b>ORIGINAL RECORD:</b> Microfilm; 5 years <b>SECURITY MICROFILM:</b> Transfer to the State Records Center; 75 years <b>MICROFILM WORK COPY:</b> 75 years	Forms 10W and 10T

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
20-15	<b>DOCKET RECORDS</b> <b>a. DOCKET BOOKS (JUNE 29, 1935 TO PRESENT)</b>	Journal of Workers' Compensation Court judicial proceedings and index by party of those proceedings.	<b>HARD COPY ORIGINAL RECORD: (6/29/1935 to 10/17/2001):</b> Microfilm after all cases in book are closed; 2 years after microfilming <b>SECURITY MICROFILM:</b> Transfer to State Archives; Permanent <b>MICROFILM WORK COPY:</b> Permanent <b>ELECTRONIC RECORD (10/18/2001 and forward):</b> Permanent	Neb. Rev. Stat. §48-157(3)
20-16	<b>DOCKET RECORDS</b> <b>b. PLEADINGS</b>	Pleadings relating to the judicial proceedings of the Nebraska Workers' Compensation Court.	<b>ORIGINAL RECORD:</b> Microfilm or electronic format in accordance with RETENTION / DESTRUCTION REFERENCE LIST, item 20-19 (permanent records only); Dispose of after microfilming or conversion to electronic format <b>SECURITY MICROFILM:</b> Transfer to State Records Center; Permanent <b>MICROFILM WORK COPY:</b> Permanent <b>ELECTRONIC FORMAT:</b> Permanent	•Neb. Rev. Stat. §48-157(4) & (5) •Contact WCC Records Officer for current Retention / Destruction Reference List, item 20-19
20-17	<b>DOCKET RECORDS</b> <b>c. EXHIBITS</b>	Exhibits relating to the judicial proceedings of the Nebraska Workers' Compensation Court.	<b>ORIGINAL RECORD:</b> Microfilm or electronic format in accordance with RETENTION / DESTRUCTION REFERENCE LIST, item 20-19 (permanent records only); Dispose of after microfilming or conversion to electronic format <b>ALL OTHER RECORDS:</b> See RETENTION / DESTRUCTION REFERENCE LIST, item 20-19. Dispose of at the discretion of the Clerk of the Court <b>SECURITY MICROFILM:</b> Transfer to State Records Center; Permanent <b>MICROFILM WORK COPY:</b> Permanent <b>ELECTRONIC FORMAT:</b> Permanent	•Neb. Rev. Stat. §48-157(4) & (5) •Contact WCC Records Officer for current Retention / Destruction Reference List, item 20-19
20-18	<b>DOCKET RECORDS</b> <b>d. MISCELLANEOUS CASE DOCUMENTS</b>	Correspondence and other documents relating to the judicial proceedings of the Nebraska Workers' Compensation Court which the Clerk of the Court deems to be irrelevant, unimportant or superfluous.	<b>At discretion of the Clerk of the Court</b>	Neb. Rev. Stat. §48-157(5)



ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
20-19	<b>DOCKET RECORDS</b> <b>e. RETENTION /</b> <b>DESTRUCTION REFERENCE</b> <b>LIST</b>	List of records to be microfilmed, converted to electronic format, or destroyed in accordance with DOCKET RECORDS b. PLEADINGS, item 20-16, DOCKET RECORDS c. EXHIBITS, item 20-17, and DOCKET RECORDS d. MISCELLANEOUS CASE DOCUMENTS, item 20-18.	<b>Permanent</b>	Electronic
20-20	<b>DOCKET RECORDS</b> <b>f. BILL OF EXCEPTIONS</b>	Transcribed copies of testimony and evidence taken in judicial proceedings of the Nebraska Workers' Compensation Court prepared for appellate review and certified by the court reporter.	<b>75 years after final disposition of a case</b>	Paper
20-21	<b>DOCKET RECORDS</b> <b>g. TRANSCRIPTS OF</b> <b>PLEADINGS</b>	A certified copy of the relevant pleadings and decisions relating to the judicial proceedings of the Nebraska Workers' Compensation Court prepared by the clerk's office to be forwarded for appellate review.	<b>2 years after final disposition of a case</b>	Paper
20-48	<b>EDI</b> <b>a. IMPLEMENTATION</b> <b>GUIDES</b>	Implementation Guides for electronic filing of First Report of Injury (FROI), Subsequent Report of Injury (SROI), and Proof of Coverage (POC). Policies and procedures for POC records.	<b>5 years after superseded</b>	<ul style="list-style-type: none"> <li>•Electronic</li> <li>•Neb. Rev. Stat. §§48-144, 48-144.01, 48-144.02</li> <li>•Workers' Comp. Ct. R. of Proc. 29, 30, and 32</li> </ul>
20-49	<b>EDI</b> <b>b. ADVISORY NOTICES</b>	Notices regarding reports submitted to the court through Electronic Data Interchange (EDI). Includes changes to the EDI Implementation Guides and changes/reminders regarding EDI processing and procedures.	<b>5 years</b>	<ul style="list-style-type: none"> <li>•Electronic</li> <li>•Neb. Rev. Stat. §48-144</li> <li>•Workers' Comp. Ct. R. of Proc. 29, 30, and 32</li> </ul>
20-50	<b>EDI</b> <b>c. AFFIDAVITS</b>	Affidavits signed by the court administrator certifying approval and publication of EDI Implementation Guides and Advisory Notices.	<b>After superseded</b>	<ul style="list-style-type: none"> <li>• Paper: Original</li> <li>•Electronic: Copies</li> <li>•Neb. Rev. Stat. §48-144</li> <li>•Workers' Comp. Ct. R. of Proc. 29, 30, and 32</li> </ul>
20-51	<b>EDI</b> <b>d. TRADING PARTNER</b> <b>DOCUMENTS</b>	Documents required for trading partner approval and submission of EDI reports. Includes trading partner agreement, trading partner profile, transmission profile sender's response, waivers, claims acquisition notification, and related databases, files, and correspondence.	<b>After superseded or 3 years after termination of submissions</b>	<ul style="list-style-type: none"> <li>•Paper</li> <li>•Electronic</li> </ul>
20-25	<b>FEDERAL GRANT</b> <b>a. ANNUAL OCCUPATIONAL</b> <b>INJURIES AND ILLNESS</b> <b>SURVEY</b>	Records relating to survey conducted by the court for the Bureau of Labor Statistics (BLS). Includes employment statistics, type of business surveyed, and occupational injury and illness summary.	<b>1 year after publishing the final data file for the reference year</b>	<ul style="list-style-type: none"> <li>•Paper</li> <li>•OSHA No. 300</li> </ul>

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20-26	FEDERAL GRANT b. CENSUS OF FATAL OCCUPATIONAL INJURIES (CFOI) FILE	Records regarding work-related fatalities and illnesses. May include but not limited to: death certificate, news paper articles, motor vehicle accident reports, sheriff report, injury first reports, OSHA 36 reports, OSHA 170 reports, OSHA 101 reports, autopsy reports, employer reports and any additional correspondence pertaining to the fatality.	1 year after publishing the final data file for the reference year	Paper
20-78	FIRST REPORT OF INJURY (FRI) REQUEST a. FRI CASE FILES	Electronic records related to First Report of Injury (FRI) requests. May include: employee name and SSN, date of injury, employer and insurance coverage information, case number, FRI request letter, responses, and green cards.	5 years	Electronic
20-79	FIRST REPORT OF INJURY (FRI) REQUEST b. FORM LETTERS	Master form letters used to request a FRI. Includes first and second notices.	After superseded	Electronic
20-80	FIRST REPORT OF INJURY (FRI) REQUEST c. SCANNED DOCUMENTS	Original paper documents received and scanned into Edocuments table.	1 year after scanned, verified, and stored in the Edocuments table	Paper
20-27	FIRST/SUBSEQUENT REPORTS a. WORKERS' COMPENSATION CASE/CLAIM FILES	<ul style="list-style-type: none"> <li>•Paper records regarding non-litigated cases (July 5, 1966 through November 30, 2003): May include, but not limited to: First Report of Alleged Occupational Injury or Illness report (Form 1), Receipt of Payment Report/Compensation &amp; Expense Report/Subsequent Report (Form 4), First Treatment Medical Report, medical reports, correspondence regarding disability or benefit rate, vocational rehabilitation field sheets, vocational rehabilitation field notes, vocational rehabilitation payment histories, vocational rehabilitation plans, authorizations for payment from Vocational Rehabilitation Trust Fund, requests for liens, and materials signed by workers compensation judges.</li> <li>•Electronic claim files: Individual claim files consisting of current injury, claim, and payment information as reported in FIRST/SUBSEQUENT REPORTS c. TRANSMITTAL REPORTS, item 20-29.</li> </ul>	<b>7/5/1966 THROUGH 11/30/2003:</b> <b>ORIGINAL RECORD:</b> 2 years after microfilming (all original records have been microfilmed) <b>SECURITY MICROFILM:</b> Transfer to State Records Center; 50 years after roll creation date <b>MICROFILM WORK COPY:</b> 50 years after roll creation date <b>ELECTRONIC RECORD:</b> Dispose of individual claim file 50 years after last update of that file	<ul style="list-style-type: none"> <li>•Microfilm (7/5/1966 - 11/30/2003)</li> <li>•Electronic</li> </ul>
20-28	FIRST/SUBSEQUENT REPORTS b. WORKERS' COMPENSATION CASE FILES- INDEXES	Alpha indexes (employee name list) of FIRST/SUBSEQUENT REPORTS a. WORKERS' COMPENSATION CASE/ CLAIM FILES (paper) (7/5/1966 THROUGH 11/30/2003), item 20-27.	Concurrent with last roll of microfilm of FIRST/SUBSEQUENT REPORTS a. WORKERS' COMPENSATION CASE/CLAIM FILES (paper) (7/5/1966 THROUGH 11/30/2003, item 20-27	<ul style="list-style-type: none"> <li>•Microfilm</li> <li>•Electronic</li> </ul>

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
20-29	FIRST/SUBSEQUENT REPORTS c. TRANSMITTAL REPORTS	Transmittal reports (First Reports of Alleged Occupational Injury or Illness and Compensation & Expense Report/ Subsequent Report) for FIRST/SUBSEQUENT REPORTS a. WORKERS' COMPENSATION CASE/CLAIM FILES (electronic), item 20-27. Paper filed from 12/1/2003, electronic filed beginning 5/1/1997.	2 years after processed with quality control checks and rejected or entered into FIRST/SUBSEQUENT REPORTS b. WORKERS' COMPENSATION CASE/CLAIM FILES (electronic), item 20-27	•Paper •Electronic
20-30	FIRST/SUBSEQUENT REPORTS d1. PROCESSING FILES TEMPORARY RECORDS	Processing records used for creating and updating FIRST/SUBSEQUENT REPORTS a. WORKERS' COMPENSATION CASE/CLAIM FILES (electronic), item 20-27. Used in translating FIRST/SUBSEQUENT REPORTS c. TRANSMITTAL REPORTS, item 20-29.	30 days after record creation date	Electronic
20-31	FIRST/SUBSEQUENT REPORTS d2. PROCESSING FILES TRANSLATED TRANSMITTAL REPORTS	Processing records used for creating and updating FIRST/SUBSEQUENT REPORTS a. WORKERS' COMPENSATION CASE/CLAIM FILES (electronic), item 20-27. Translated FIRST/SUBSEQUENT REPORTS c. TRANSMITTAL REPORTS, item 20-29.	2 years after record creation date	Electronic
20-32	FIRST/SUBSEQUENT REPORTS d3. PROCESSING FILES TRANSACTION RECORDS	Processing records used for creating and updating FIRST/SUBSEQUENT REPORTS a. WORKERS' COMPENSATION CASE/CLAIM FILES (electronic), item 20-27. Used to process Translated FIRST/SUBSEQUENT REPORTS c. TRANSMITTAL REPORT, item 20-29.	5 years after record creation date	•Electronic
20-33	FIRST/SUBSEQUENT REPORTS e. ACKNOWLEDGEMENTS	Reports acknowledging acceptance or rejection of FIRST/SUBSEQUENT REPORTS c. TRANSMITTAL REPORT, item 20-29.	2 years after report creation date	Electronic
20-34	FIRST/SUBSEQUENT REPORTS f. DELETION FILES	Records of deletions from FIRST/SUBSEQUENT REPORTS a. WORKERS' COMPENSATION CASE/CLAIM FILES (electronic), item 20-27	50 years after record creation date	Electronic
20-35	FIRST/SUBSEQUENT REPORTS g. PAYMENT EXCEPTION FILES	Records of payment discrepancies in subsequent reports of injury.	2 years after discrepancy is resolved	Electronic
20-81	FORMER EMPLOYEE ELECTRONIC FILES a. F:\ DRIVE FILES	A former employee's electronic files on the F:\ drive.	<b>ORIGINAL:</b> After a copy is created and placed in the new employee's or the section manager's F:\ drive folder. <b>COPY:</b> 4 years after the former employee's termination date or when no longer of reference value, whichever is later.	Electronic

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20-82	<b>FORMER EMPLOYEE ELECTRONIC FILES</b> <b>b. OUTLOOK .PST FILES</b>	.PST file containing a former employee's Outlook email, calendar, and contacts files. Includes a copy of the .PST file which is provided to the new employee or the section manager.	<b>ORIGINAL .PST FILE:</b> 4 years after the employee's termination date. <b>COPY:</b> When no longer of reference value.	Electronic
20-52	<b>HOSPITAL AND AMBULATORY SURGICAL CENTER SERVICES FEE SCHEDULE</b>	Schedule of fees for hospital and ambulatory surgical center services provided to workers' compensation claimants. Established by the court pursuant to §48-120(1)(b).	<b>5 years after superseded</b>	•Electronic •Neb Rev. Stat. §48-120(1)(b)
20-53	<b>IMPLANTABLE MEDICAL DEVICES FEE SCHEDULE</b>	Schedule of fees for implantable medical devices provided to workers' compensation claimants. Established by the court pursuant to §48-120(1)(b).	<b>5 years after superseded</b>	•Electronic •Neb Rev. Stat. §48-120(1)(b)
20-36	<b>INDEPENDENT MEDICAL EXAMINER SYSTEM</b> <b>a. IME CASE FILES</b>	1/1/1994 THROUGH 6/30/2004: Paper documents regarding individual Independent Medical Examiner (IME) case assignments, fiscal year spreadsheets summarizing IME assignment requests, and case status information maintained in the IME Status table. 7/1/2004 AND FORWARD: Paper documents and electronic records related to IME cases opened on or after 7/1/2004.	<b>1/1/1994 THROUGH 6/30/2004:</b> 10 years after end of fiscal year during which IME case is closed <b>7/1/2004 AND FORWARD:</b> <b>PAPER RECORD:</b> 30 days after scanned, verified, and stored in E-documents table <b>ELECTRONIC RECORD:</b> 10 years after date IME case closed (IME request-date completed)	•Paper •Electronic (7/1/2004 and forward)
20-37	<b>INDEPENDENT MEDICAL EXAMINER SYSTEM</b> <b>b. IME FILES</b>	Records relating to court approved Independent Medical Examiners (IME) with active status on 6/30/2004 and all physicians applying for approval as an Independent Medical Examiner (IME) on or after 7/1/2004.	<b>PAPER RECORDS:</b> 30 days after scanned, verified, and stored in E-documents table <b>ELECTRONIC RECORD:</b> 10 years after date application denied or date terminated as a court approved independent medical examiner	•Paper •Electronic
20-38	<b>INDEPENDENT MEDICAL EXAMINER SYSTEM</b> <b>c. RECORDS INACTIVE PRIOR TO JULY 1, 2004</b>	Information about Independent Medical Examiners (IME) with inactive status prior to 7/1/2004.	<b>10 years after inactive status</b>	Paper
20-39	<b>INDEPENDENT MEDICAL EXAMINER SYSTEM</b> <b>d. CODE LIST</b>	List of codes and code descriptions used in the Independent Medical Examiner (IME) system.	<b>Upon termination of IME system</b>	Electronic
20-40	<b>INFORMAL DISPUTE RESOLUTION (IDR) CASE FILES</b>	Records relating to informal dispute resolution cases. May include, but not limited to: IDR summary sheet, copy of First Report of Alleged Occupational Injury or Illness, copy of pleadings from docketed file, plaintiff's and defendant's completed IDR form, statement of outcome, and any related documents (including doctors' notes, medical bills, impairment ratings, and correspondence).	<b>10 years after case is closed</b>	•Paper •Electronic

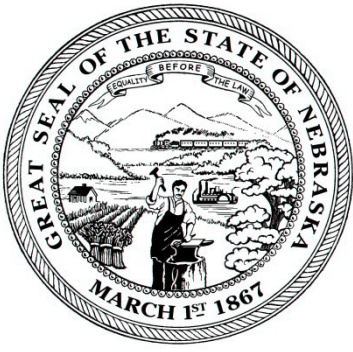
ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
20-54	<b>INPATIENT HOSPITAL FEE SCHEDULES</b> <b>a. DIAGNOSTIC RELATED GROUP (DRG) AND TRAUMA SERVICES FEE SCHEDULES</b>	Schedules of fees for inpatient hospital services provided to workers' compensation claimants. Established by the court pursuant to §48-120.04 (6) and (7).	<b>5 years after superseded</b>	•Electronic •NE Rev. Stat. §48-120.04 (6) and (7).
20-55	<b>INPATIENT HOSPITAL FEE SCHEDULES</b> <b>b. CURRENT MEDICARE FACTOR REPORT FORM</b>	Current Medicare Factor Report received from hospitals and used in establishing the Diagnostic Related Group (DRG) and Trauma Services Fee Schedules.	<b>5 years</b>	•Electronic •NE Rev. Stat. §48-120.04.
20-56	<b>INPATIENT HOSPITAL FEE SCHEDULES</b> <b>c. CLAIM COUNT INFORMATION</b>	Database records of DRG claim count information for payors and hospitals used in establishing the Diagnostic Related Group (DRG) and Trauma Services Fee Schedules.	<b>5 years</b>	•Electronic •NE Rev. Stat. §48-120.04.
20-57	<b>INPATIENT HOSPITAL FEE SCHEDULES</b> <b>d. REPORTER REGISTRATION INFORMATION</b>	Database records of registered reporters submitting DRG claim count information for payors and hospitals used in establishing the Diagnostic Related Group (DRG) and Trauma Services Fee Schedules.	<b>2 years after inactivity of registered reporter</b>	Electronic
20-58	<b>INPATIENT HOSPITAL FEE SCHEDULES</b> <b>e. TRANSMITTAL REPORTS</b>	Transmittal reports of payor and hospital DRG claim count information used in establishing the Diagnostic Related Group (DRG) and Trauma Services Fee Schedules.	<b>6 months after publication of Diagnostic Related Group (DRG) and Trauma Services Fee Schedules</b>	Electronic
20-59	<b>INPATIENT HOSPITAL FEE SCHEDULES</b> <b>f. WORKING FILES</b>	Electronic files used to create the Inpatient Hospital Fee Schedules. Includes electronic files used to track receipt of DRG transmittal reports from payors and hospitals.	<b>2 years after publication of Diagnostic Related Group (DRG) and Trauma Services Fee Schedules</b>	Electronic
20-60	<b>JUDGES' MEETING MINUTES</b>	Minutes of the Workers' Compensation Court Judges' meetings. Includes agendas, meeting announcements, and other supporting documents.	<b>Permanent</b>	•Paper •Electronic
20-61	<b>LAW BOOKS</b>	Court publications of statutes comprising the Nebraska Workers' Compensation Act and related annotations.	<b>5 years after superseded, obsolete, or no longer of reference value</b>	Paper
20-83	<b>MANAGED CARE PLAN DOCUMENTATION</b> <b>a. APPROVED PLANS</b>	Applications and correspondence to the Nebraska Workers' Compensation Court requesting certification of a managed care plan. May include, but not limited to: application(s), financial information, list of providers, statement of good standing, and correspondence to and from the court. Approved applications become the final managed care plan.	<b>10 years after the date of termination of the managed care plan</b>	Paper
20-84	<b>MANAGED CARE PLAN DOCUMENTATION</b> <b>b. NON-APPROVED PLANS</b>	Applications and accompanying documentation and correspondence	<b>10 years after non-approval of application</b>	Paper

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
20-62	<b>MAXIMUM WEEKLY BENEFIT ORDERS</b>	Maximum weekly income benefit orders of the court administrator. Includes the order, calculation sheet, letter to governor, and press release.	<b>Permanent</b>	<ul style="list-style-type: none"> <li>•Paper</li> <li>•Neb. Rev. Stat. §§48-121-01, 48-121.02</li> </ul>
20-63	<b>MEDICAL SERVICES FEE SCHEDULE</b> <b>a. PUBLISHED MEDICAL SERVICES FEE SCHEDULE</b>	Schedule of fees for medical services provided to workers' compensation claimants. Established by the court pursuant to §48-120(1)(b).	<b>5 years after superseded</b>	<ul style="list-style-type: none"> <li>•Paper</li> <li>•Electronic</li> <li>•Neb Rev. Stat. §48-120(1)(b)</li> </ul>
20-64	<b>MEDICAL SERVICES FEE SCHEDULE</b> <b>b. WORKING FILES</b>	Electronic files used to create the Medical Services Fee Schedule. Includes the deliverables from outside vendors, working charts, and notes.	<b>2 years after publication of the Medical Services Fee Schedule</b>	Electronic
20-41	<b>MESSAGES AND DOCUMENTS IN TRANSIT</b>	Includes electronic messages and documents retained temporarily in a shared mailbox or other data storage medium before being processed and stored in a permanent repository. Does not include voice mail, e-mail or e-fax in individual user mailboxes or EDI data transmissions.	<b>6 months after record creation</b>	
20-85	<b>NEW CORPORATION PROCESS RECORDS</b> <b>a. EMPLOYER FILE</b>	Files that contain a list of new corporation employers obtained from the Nebraska Secretary of State office. The list is used to create the spreadsheet and new corporation letters. May include: employer names and addresses.	<b>1 year</b>	Electronic
20-86	<b>NEW CORPORATION PROCESS RECORDS</b> <b>b. FORM LETTERS</b>	Master copy of form letters used to create new corporation letter and subsequent corporation letters. Includes master copy forms for first and subsequent new corporation letters. Master copy of form letters are merged with Secretary of State mailing list to create new corporation letters. New corporation letters are not retained.	<b>After superseded</b>	Electronic
20-87	<b>NEW CORPORATION PROCESS RECORDS</b> <b>c. SPREADSHEET</b>	Spreadsheet maintained by fiscal year documenting new corporate filings; dates new corporation letters sent; and response information.	<b>3 years after creation</b>	Electronic
20-88	<b>NEW CORPORATION PROCESS RECORDS</b> <b>d. RESPONSES</b>	PDF file maintained by fiscal year. Includes documents received in response to new corporation letters.	<b>3 years after creation</b>	<ul style="list-style-type: none"> <li>•Paper</li> <li>•Electronic</li> </ul>
20-65	<b>ORACLE DATABASE SOFTWARE LOGS</b>	Various Oracle database software system logs that record events associated with each Oracle database.	<b>ALERT LOGS AND LISTENER LOGS: 90 days</b> <b>TRACE LOGS: 7 days</b> <b>INCIDENT LOGS: 365 days</b>	Electronic

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
20-66	<b>PUBLIC HEARING AND/OR PUBLIC MEETING TRANSCRIPTS</b>	Transcripts of public hearings and/or public meetings regarding proposed court rule changes and related exhibits, including notice of hearing and/or meeting, proof of publication of the notice, agenda, proposed rule amendments, and written testimony.	<b>Permanent</b>	<ul style="list-style-type: none"> <li>•Paper</li> <li>•Electronic</li> </ul>
20-67	<b>PUBLICATIONS - MISCELLANEOUS</b>	Miscellaneous court publications not addressed under another item. May include, but not limited to, pamphlets, books, forms, and reports.	<b>After superseded or no longer current</b>	<ul style="list-style-type: none"> <li>•Paper</li> <li>•Electronic</li> </ul>
20-68	<b>RECORD INVENTORIES</b>	Excel workbook that includes two spreadsheets, one for Schedule 20 records and one for court records specifically identified as being governed by Schedule 124.	<b>After superseded</b>	Electronic
20-69	<b>RECORD RETENTION SCHEDULES - REFERENCE COPIES</b>	Copies of records retention and disposition schedules which have been officially approved and signed by the State Records Administrator. [Note: Original records are maintained by the Secretary of State or State Archives]	<b>No longer of reference value</b>	<ul style="list-style-type: none"> <li>•Paper: 1979 - 2008</li> <li>•Electronic: 2009 - Forward</li> </ul>
20-70	<b>RULES OF PROCEDURE</b>	Procedural rules and regulations adopted by the court.	<b>PERMANENT:</b> Deposit 4 copies with the NE Publications Clearinghouse <b>COPIES:</b> When no longer of reference value	<ul style="list-style-type: none"> <li>•Paper</li> <li>•Electronic</li> <li>•Neb. Rev. Stat. §48-163</li> <li>•Workers' Comp. Ct. R. of Proc. 68</li> </ul>
20-71	<b>SECOND INJURY BENEFIT PAYMENT ANNUAL VERIFICATION</b>	Letter sent annually to each recipient of second injury benefit payments to verify that the recipient is still living, the recipient's current address, and whether the recipient is or is not currently employed.	<b>5 years after date of last benefit payment</b>	Paper
20-42	<b>VOCATIONAL REHABILITATION CASE FILES</b>	Records related to the provision of the vocational rehabilitation services to injured workers. May include, but not limited to: appointment requests, counselor designation forms, vocational rehabilitation plans, initial evaluations, loss of earning power evaluations, progress reports, grades, class schedules, medical information, requests for reimbursement and other correspondence.	<b>10 years after case has been closed</b>	<ul style="list-style-type: none"> <li>•Paper and electronic</li> <li>•NE Rev. Stat. §48-162.01 and §48-162.02</li> </ul>
20-43	<b>VOCATIONAL REHABILITATION CASE FILES APPOINTMENT REQUEST ONLY</b>	Requests for appointment of counselor where appointment request is for loss earning power evaluation only or where request for appointment for vocational rehabilitation services is denied. May include, but not limited to: Request for Appointment form, approval or denial of appointment, and supporting documents.	<b>3 years after appointment or denial</b>	<ul style="list-style-type: none"> <li>•Paper (7/1/1994 through 6/30/2004)</li> <li>•Paper and electronic (7/1/2004 and forward)</li> </ul>

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
20-44	<b>VOCATIONAL REHABILITATION MONTHLY BENEFIT RATE/MILEAGE REIMBURSEMENT RATES</b>	Spreadsheet containing calculated rates for training facilities. Includes schedule of room, board rates, and mileage for training facilities.	<b>3 years after creation date</b>	Electronic
20-45	<b>VOCATIONAL REHABILITATION SERVICE (VRS) PROVIDER FILES</b>	Records relating to court approval of Vocational Rehabilitation Services (VRS) Providers. May include but not limited to: applications for certification, renewal of applications, supporting documents and correspondence, approval or denial of certification, and records of disciplinary action.	<b>7/1/1994 THROUGH 8/31/2007:</b> 10 years after decertification date <b>9/1/2007 FORWARD:</b> <b>PAPER RECORD:</b> 30 days after scanned, verified, and stored in Edocuments table <b>ELECTRONIC RECORD:</b> 10 years after decertification date	•Paper •Electronic
20-90	<b>WEBSITE ARCHIVAL RECORDS</b>	Monthly snapshots of content available on the Court's public internet website.	<b>3 years.</b>	•Electronic
20-89	<b>WEBSITE PRODUCTION RECORDS</b>	Records that comprise the content currently available on the Court's public internet website.	<b>After superseded</b>	•Electronic
20-91	<b>WORKING RECORDS</b>	Preliminary working files used in the development of rules, policies, procedures, forms, computer programs, or other similar records. May include notes and miscellaneous documents used in compiling and assembling a final product. Includes Quality Assurance and Development programming files.	<b>Until superseded or no longer of reference value</b>	•Paper •Electronic





# NEBRASKA SECRETARY OF STATE RECORDS DISPOSITION REPORT

Send to: Records Management Division  
 440 S. 8<sup>th</sup> Street, Suite 210  
 Lincoln, NE 68508-2294 402-471-2559  
[sos.recordsmanagement@nebraska.gov](mailto:sos.recordsmanagement@nebraska.gov)

Approved records retention schedules serve as the legal authority to dispose of records regardless of the media on which they reside. Nebraska revised statute §84-1212.02 requires agencies to report records dispositions on forms provided by the State Records Administrator. Use this form to meet that requirement.

<b>1. AGENCY &amp; DIVISION</b>	
<b>2. SCHEDULE NUMBER(S) ONLY- AGENCY SPECIFIC SCHEDULE OR GENERAL RECORDS SCHEDULE</b>	
<b>3. RECORD MEDIUM</b> PAPER <input type="checkbox"/> ELECTRONIC <input type="checkbox"/> OTHER <input type="checkbox"/> _____	
<b>4. FINAL DISPOSTION METHOD</b>	
<b>5. VOLUME OR FILE SIZE OF RECORDS DISPOSED</b>	
<b>6. OPTIONAL DETAILS FOR ELECTRONIC AND PAPER RECORDS</b> (list whatever level of detail you will want to keep for future use to document what specifically you deleted/destroyed):	
<b>7. SIGNATURE</b> PRINTED NAME _____	<b>DATE</b>
SIGNATURE _____	

## INSTRUCTIONS

1. Enter the agency and division.
2. Enter the records schedule number(s) that provide authority to dispose of records. The schedule number is either the agency specific schedule and/or the general records schedule. If you are disposing of records from the general records schedule, enter either 24 for local agencies or 124 for state agencies.
3. Choose the record medium being disposed of.
4. Please describe how final disposal was accomplished such as trash, recycled, shredded, deleted, etc.
5. For paper records, report the total volume of records disposed. One standard size storage box (15x10x12) is one cubic foot. For electronic records, report the total file size deleted. An estimate of total volume is fine.
6. Use the optional information area to list the level of detail you want to keep for future use to document what specifically was deleted/destroyed.
7. Sign and date the form and send it to the Records Management Division at the address above. Retain a copy for your records in accordance with schedule 24-71 for local agencies and 124-100 for state agencies.