

Schedule 9

PUBLIC EMPLOYEES RETIREMENT SYSTEMS

April 3, 2018

Nebraska Records Management Division
3242 Salt Creek Circle
Lincoln, NE 68504
(402) 471-2559


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

SCHEDULE	9
AGENCY, BOARD OR COMMISSION	PUBLIC EMPLOYEES RETIREMENT SYSTEMS
DIVISION, BUREAU OR OTHER UNIT	
Supersedes Edition of March 17, 2010	

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

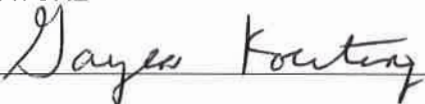
PART I – AGENCY STATEMENT:

In accordance with Section 84-1212.01, R.R.S. 1943, approval of the attached records retention and disposition schedule by the State Records Administrator is hereby requested. Retention periods and dispositions have been recommended by this agency after a careful evaluation of all factors listed in Section 84-1212.01, R.R.S. 1943.

SIGNATURE 	
TITLE <i>Director</i>	DATE <i>3/22/18</i>

PART II – APPROVAL OF STATE ARCHIVES:

The attached schedule has been analyzed, all archival and historical material has been properly identified, no disposition except by transfer to the State Archives has been recommended for such material, and this schedule is approved as submitted.

SIGNATURE 	DATE <i>3/27/2018</i>
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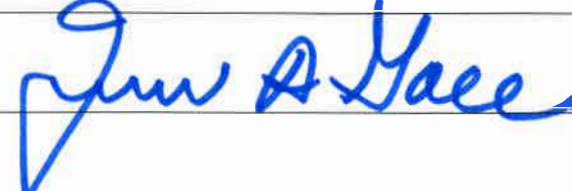
PART III – APPROVAL OF AUDITOR OF PUBLIC ACCOUNTS:

The attached schedule has been reviewed, all audit material has been properly identified, and this schedule is approved as submitted.

SIGNATURE 	DATE <i>4/2/18</i>
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PART IV – APPROVAL OF STATE RECORDS ADMINISTRATOR:

The attached schedule has been reviewed in accordance with Section 84-1212.01, R.R.S. 1943, and is approved as submitted.

SIGNATURE 	DATE <i>4/3/18</i>
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INSTRUCTIONS FOR USING THIS SCHEDULE

Records retention and disposition schedules are designed to serve as your records management guideline for storing and disposing of agency records, **regardless of the media on which they reside**, including paper, microfilm, diskettes, optical disks, CDs, DVDs, servers, computer hard drives, etc. This schedule was written specifically for records unique to your office and the State Agencies General Records Schedule #124 contains those records common to most state government agencies. This retention schedule, which is approved by the State Records Administrator, provides your only ongoing authority to dispose of records. Listed below are some basic procedures to follow when applying your schedule.

DISPOSING OF RECORDS

1. Check your schedules to see what the retention period is. Note: Your agency's unique schedule will take precedence over State Agencies General Records Schedule #124 for any items which have differences in retention requirements.
2. Dispose of records that have met their retention periods. Unless there is pending or on going, legal action, records request, or audit.
3. For records requiring a review of, or transfer to the **NE State Historical Society (State Archives)**, your agency is required to contact the State Archives to negotiate the transfer. Additionally, **once the records are accessioned into their collection, they become the property of the State Archives** (Neb. Rev. Stat. §82-105). The State Archives may remove selected records in accordance with standard archival practices to ensure efficient access, organization and enduring historical value (Neb. Rev. Stat. §82-107). Please contact their office by calling (402) 471-4783.
4. Complete a Records Disposition Report for the records you dispose. The Records Disposition Report form is located on the Secretary of State Records Management website. https://appengine.egov.com/apps/ne/sos_records_disposition_report. This report establishes that the destruction was performed in your normal course of business.

NON-SCHEDULED RECORDS

Contact a Records Management Specialist in Records Management to see whether the records will fit under an item already on the schedule. If they do not, they must be retained until they are added to the next revision of your schedule.

SCHEDULE UPDATE

It is the responsibility of each agency to periodically update their schedule. A Records Management Specialist in Records Management can assist you with the schedule update, which may involve adding new records series and making revisions to existing items. Keeping your schedule current will ensure you have the ongoing authority to discard records when their useful life has ended.

QUESTIONS

If you have any questions about these procedures, please contact your agency Records Officer or the Records Management Specialist in Records Management. They will help you with any questions the schedule may present, including: transferring records to the State Records Center or microfilming records, scanning records, etc.

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Fiscal records may be disposed of after the required retention period provided the audit of the Comprehensive Annual Financial Report (CAFR) is complete and any required federal audit is complete, and all related audit comments have been resolved. Check with the organization that performed the audit, either the Auditor of Public Accounts or the federal cognizant agency, if there is a question whether resolution is complete.

NPERS has utilized the provisions of Neb. Rev. Stat. § 86-639 to store almost all its documents in an electronic format. "If a law requires that a record be retained, the requirement is satisfied by retaining an electronic record of the information in the record which;

(1) accurately reflects the information set forth in the record after it was first generated in its final form as an electronic record or otherwise; and

(2) Remains accessible for later reference. " [§ 86-639(a)]

(3) Applications used for NPERS electronic records include:

Nebraska Public Retirement Information System (NPRIS) – Java-based Retirement Application. This is the record tracking, auditing and work processing part of the system.

OnBase – The NPERS images are stored on this OCIO shared enterprise service Traverse – SQL-based Accounting Application Used Exclusively by Accounting Division

In the storage of electronic documents that is allowed pursuant to § 86-2112, § 84-1228 requires certain minimum standards to preserve the electronic version. This section is meant to bring **NPERS** into compliance with the storage and back-up provisions of § 84-1228.

THEREFORE, the following procedures shall be followed to ensure that NPERS has maintained an appropriate level of preservation for documents subject to this retention schedule.

ORIGINAL PAPER VERSION: NPERS staff will, upon receipt of a document, scan it to make an electronic version of the document and will take reasonable steps to assure that the electronic image of the document accurately reflects the information set forth in the document. The paper document will be kept for a minimum 60 days, unless otherwise indicated under specific items contained in this schedule, then shredded and a Records Disposition Report filed with the Records Management Division.

ELECTRONIC BACK-UP: All server disks, including imaged documents, will be backed by the OCIO enterprise backup system for the purposes of recovery and business continuity. The backups will be maintained and then overwritten or destroyed following these rotations:

Differential Backups (Monday-Friday); Overwrite after 1 week.

Weekly Backups: Overwrite after 1 month.

Monthly Backups: Overwrite after 1 year.

**SCHEDULE 9
PUBLIC EMPLOYEES RETIREMENT SYSTEMS**

April 3, 2018

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

SUPERSEDES EDITION OF MARCH, 17, 2010

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
9-1-1	1099R CALCULATION INFORMATION	Electronic instructions for calculating 1099 forms.	100 years	
9-1-2	1099R FILE FOR IRS	Electronic file created for all 1099R's issued on refunds of accounts and retirement payments during the calendar year. A copy of the file is sent to the Internal Revenue Service via an FTP file transmission and a CD copy is sent to the Nebraska Department of Revenue.	100 years	
9-1-3	ACTUARIAL REPORTS	Yearly statistical prospectus compiled for the Public Employees Retirement System by the contracted actuarial company. The Director uses the reports to formulate the budget, probable expenses and other accounting transactions for the year.	ORIGINAL DOCUMENT: Scan to network and dispose of after 10 years Electronic Record: 100 years Other Copies: Transfer 3 copies to the Library Commission Publications Clearinghouse and dispose of extra copies after 10 years	
9-1-4	ACTUARY FILES	Computer tapes used for actuarial purposes which include social security number, birth date, sex, balance and other such data for active members; survivorship data for members of the patrol system and retired member data for the school, judges, and patrol systems, i.e. benefit amount, date of retirement, birthdates etc. (Original main frame numbers - TRT-T492, TRT-T470).	PRINTOUTS: After superseded or when no longer of reference value, whichever is sooner ELECTRONIC RECORD: 100 years TAPE: 7 years SECURITY BACKUP: Dispose of after superseded or obsolete	
9-1-5	ADJUSTMENT, BUY BACK AND FINAL PAY REPORTS	Record of any payments or corrections to member's accounts or school district contribution.	ORIGINAL RECORD: Scan to network and dispose of after 60 days. ELECTRONIC RECORD: 100 years.	
9-1-6	ANNUITY RESERVE FUDN TRANSFERS (OBSOLETE 2001)	Printouts compiling individual transfers from the School Employees Savings Fund (SESF), School Employers Deposit Fund (SEDF), and Service Annuity Fund (SAF) to the Annuity Reserve Fund (ARF) for the monthly retirements.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-1-7	EMPLOYER CONTACT FORM	Signature authorizations as to who may sign reports and forms filed with Retirement Systems.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-1-8	BANK INVESTMENT REPORTS	Statements received from custodian of trust funds. These monthly reports show activity during the month and a statement of assets.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
9-1-9	BOARD EXPENSE REPORT	Monthly computer printout of all expenses paid that month.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-1-10	BUREAU OF CENSUS REPORTS	Annual reports filed with the Bureau of Census showing activity in the school, judges, and patrol retirement systems during the fiscal year.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-1-11	CALCULATION OF INTEREST FACTOR FOR COMPUTATION OF SCHOOL RETIREMENTS	The calculation of interest factor for computation of school retirements is used to determine the 1968 balance with interest at the date of retirement. This calculation is made monthly.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-1-12	CASH BALANCES	Internal record of receipts and disbursements to cash accounts.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-1-13	CASHFLOW RECORDS	Record of receipts and disbursements for the school, state, county, judges, and patrol retirement systems to facilitate determination of quarterly transfer requirements.	ORIGINAL RECORD: Scan to network and dispose of after 60 days. ELECTRONIC RECORD: 100 years.	
9-1-14	COUNTS AND BALANCES	Monthly list of active, inactive and closed accounts, their number and total balance (TRT610).	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-1-16	COURT FEE REMITTANCES	Record of all court fees entered into funds for judges' retirement.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-1-17	DATABASE FOR TRACKING REPORTS RECEIVED	Database to track which schools have and have not sent in required reports.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-1-18	DETERMINATION OF INTEREST ALLOCATION (OBSOLETE)	Spreadsheet showing how interest is allocated between the state and members in the judges and patrol retirement systems and between SESF, SEDF, SAF, and ARF in the school retirement system.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-1-19	DIRECT DEPOSIT REGISTER	Monthly list to COM of all individuals receiving retirement payments by electronic transfer to their financial institution from the school, state, county, judges, and patrol retirement systems (Original main frame number - TRT839). NOTE: All COM TRT839 security microfiche was disposed of in 1999 and 2000 as authorized by the Agency.	MICROFILM WORK COPY: 100 years	
9-1-20	DISBURSEMENT REPORT, DCP	Monthly listing of all payments made from the plan during a month.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
9-1-21	DISBURSEMENT REPORT, STATE AND COUNTY	Consolidated report showing all payments made from a plan from 1/1-12/31 of each year by payee's social security number and type of payment made.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-1-22	EQUAL RETIREMENT BENEFIT FUND	Log of billings and receipts for funds from state agencies and counties for credit to statutory fund.	ORIGINAL RECORD: Scan to network and dispose of after 60 days. ELECTRONIC RECORD: 100 years.	
9-1-23	FINANCIAL INSTITUTION REGISTER	Magnetic tape control totals and monthly listing by financial institution of direct deposit payments for the school, judges, and patrol retirement systems (Original main frame number - TRT836A&B).	ORIGINAL RECORD: 2 years ELECTRONIC RECORD: 100 years, provided audit has been completed COMPUTER TAPE: 5 years	
9-1-24	FINANCIAL STATEMENTS	Balance sheets, reconciliations, statement of changes in investments, and notes.	ORIGINAL NPERS RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years OTHER COPIES: Transfer 3 copies of each booklet to the Library Commission Publications Clearinghouse. Retain one copy until no longer of reference value; dispose of extra copies when superseded	
9-1-25	FOREFEITURE ACCOUNTS AND CHARGES	Record of forfeited accounts and charges for the school, state and county retirement systems.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-1-26	GENERAL LEDGER, SCHOOK, JUDGES, AND PATROL	Separate record of account balance for the school, judges, and patrol retirement systems.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-1-27	INCOME TAX WITHOLDING REPORTS, FEDERAL	Monthly and quarterly reports submitted to the IRS summarizing federal income tax withheld from retirement benefits.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-1-28	INCOME TAX WITHOLDING REPORTS, STATE	Monthly and quarterly reports to the Nebraska Department of Revenue summarizing state income tax withheld from retirement benefits. Department of Revenue regulation Title 36, Chapter 21, 013.06 requires this information to be kept for 3 years.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-1-29	INTEREST POSTED	Monthly list of all interest posted to individual accounts (Original main frame number - TRT410).	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-1-30	INVENTORY DATABASE	Complete record of all equipment inventories. At the end of each fiscal year a printout is sent to DAS - Materiel and an agency printout is made.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years AGENCY PRINTOUT: 2 years	
9-1-31	INVENTMENT INFORMATION	Information and reports generated and maintained by the Investment Council and DAS regarding investment units held.	5 years	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
9-1-32	JOURNAL ENTRIES PREPARED BY THE STATE TREASURER	Entries prepared by the State Treasurer for trust funds of the school, judges, and patrol retirement systems.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-1-33	JUDGES CASH RECEIPT REGISTER	Record of all checks and cash received, returned or deposited and stored on the Traverse accounting system.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-1-34	JUDGES REMITTANCE LISTING SPREADSHEET	Listing by county of all Court Fee Remittances stored on the Traverse accounting system.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-1-35	MONTHLY DEDUCTION REPORT	Consists of payroll generated deduction report and contribution listing for each bi-weekly and monthly payroll.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-1-36	OMAHA SERVICE ANNUITY CLAIM AND LUMP SUM PREMIUM CLAIM	Record of monthly claim from Omaha Retirement Systems.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-1-37	RECONCILIATION TO DAS CALCULATE, MONTHLY SALARY(OBSOLETE)	Diskettes and printouts showing internal calculations for monthly payroll and reconciling to DAS calculate.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-1-38	RECONCILIATIONS, EXPENSE	Internal monthly reconciliation of budgeted expenditures to DAS Budget Status Report.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-1-39	REFUND CLAIM REGISTER	Monthly list to COM of all individuals receiving a refund from the school, judges, and patrol retirement system (Original main frame number - TRT220A,B,C).	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-1-41	REPORTS OUTSANDING, ACCEPTED, IN ERROR	Periodic list generated upon request of reports outstanding, accepted or in error (Original main frame number - TRT300).	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-1-42	REPORTS, SCHOOL, JUDGES, AND PATROL	Report of monthly or quarterly deductions from member's salary. May include but not limited to: Computer printout of reports received via paper, diskette, tape, electronic transmission or prior to 1985 bound volumes.	ORIGINAL RECORD: PRIOR TO 12/31/2000: Microfilm for security, 100 years AFTER 12/31/2000: Scan to network and dispose of after 60 days SECURITY MICROFILM: PRIOR TO 12/31/2000: Transfer to the State Record Center; 100 years SECURITY WORK COPY: PRIOR TO 12/31/2000: 100 years DISKETTE: Download to network system; 1 year, provided an audit has been completed ELECTRONIC TRANSMISSION: Import to network system; 2 years ELECTRONIC RECORD: 100 years	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
9-1-43	RETIREMENT CLAIM REGISTER	Monthly list to COM of all individuals receiving monthly retirement payments from the judges and patrol retirement systems. The report provides benefit amounts and the total amount paid from each system (Original main frame number - TRT810A,B,C).	ORIGINAL RECORD: Scan to network and dispose of after 60 days. ELECTRONIC RECORD: 100 years.	
9-1-44	SCHOOL INACTIVE ACCOUNTS	Computer report of accounts with no activity for the previous three years. Requested on an as needed basis (Original main frame number - TRT541).	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-1-45	SCHOOL RETIREMENT REPORT, MONTHLY	Report of persons retiring each month. Report includes retirement number, amount in account, last school taught at, and age.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-1-46	SEMINAR EXPENDITURES/BILLINGS REQUEST	To pay each community college, a payment request is generated for the agency accounting division. To bill agencies who pay their employee registration fee, a direct bill request is generated for the agency accounting division. A refund request is generated for members who preregister and do not attend.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-1-47	SUMMARY OF MONTHLY REMITTANCE	Record of amounts deposited into school retirement funds.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-1-48	SURVEYS	Copies of surveys completed and results obtained	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-1-49	TAX WITHHOLDING PAYMENTS	Disbursement documents showing amount of federal income tax paid for school refunds, patrol annuities and refunds, and judge's annuities and refunds.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-1-50	VERIFICATION OF ATTENDANCE FORM	Verification of attendance of plan members preregistered to attend a preretirement planning seminar. The form is completed by a Retirement System representative and Community College representative the day of the seminar and is used to authorize reimbursement to the college for services provided.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years INFORMATION DIVISION COPY: 2 years	
9-2-1	1945 NONMEMBERSHIPS	Election by certified employees not to participate in School Retirement in 1945.	ORIGINAL RECORD: Microfilm for security; dispose of after January 1, 2046 SECURITY FILM: Transfer to State Record Center; dispose of after January 1, 2046 MICROFILM WORK COPY: Dispose of after January 1, 2046	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
9-2-2	ANNUAL LIST OF VALID NC'S	Annual list from school districts of those persons still holding a valid Nonmembership.	ORIGINAL RECORD: Scan to network and dispose of after 60 days. ELECTRONIC RECORD: 100 years.	
9-2-3	ANNUAL SCHOOL EMPLOYEES LIST(OBSOLETE)	Maintained in bound volumes. Beginning of school year reports of employee's salaries to be paid for that reporting period.	ORIGINAL RECORD: Microfilm for security;100 years SECURITY MICROFILM: Transfer to the State Records Center; dispose of after 100 years MICROFILM WORK COPY: 100 years	
9-2-4	ELECTION OF NONMEMBERSHIP FILES (OBSOLETE 1989)	Microfilmed record of noncertified employees who have elected not to participate in the School Retirement System.	SECURITY MICROFILM: Transfer to the State Records Center; 100 years MICROFILM WORK COPY: 100 years	
9-2-5	LEDGER CARDS(OBSOLETE)	Record of each account's individual postings prior to FY86. The cards have been microfilmed and jacketed with individual member files.	ORIGINAL RECORD: Dispose of after July 1, 2061. SECURITY MICROFILM: Retain at the State Record Center; dispose of after July 1, 2061	
9-2-6	NC NUMBER LIST	List of all accounts with a valid NC (nonmembership) number (Original main frame number - TRT420).	After any necessary updates or corrections are made.	
9-2-7	NO MEMBERSHIP REGISTRATON DATABASE	List of members who have not filed a membership registration form. Database is continually kept current.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-2-8	RETIREMENT PAYMENT ACTIVITY	Reports generated for the school, judges, and patrol payment system including Recovery Date Projections, Option 3 Expiration Notice, Age 19 Limitation Notice, and List of Cancels, Purges, Suspends, Deaths, and tax exclusion calculations (Original main frame numbers - TRT815, 825, 881, 882, 883).	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-2-9	RETIREMENT PAYMENT REGISTER	Monthly list of all school, judges, and patrol retirees and a separate list in alphabetical order (Original main frame number - TRT835A&B).	ELECTRONIC RECORD: 100 years COMPUTER TAPE: 5 years	
9-3-1	ACCOUNTING SUMMERIES	Monthly and annual summaries received in microfiche form from plan carriers and investment managers concerning the current status of member accounts.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-3-2	AUTHORIZED SIGNATURE FILE(OBSOLETE)	Used in the State System only. Local authorization listing of persons within a particular agency authorized to sign documents pertaining to retirement.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-3-3	INDIVIDUAL ACCOUNT REPORT	Annual listing of all plan members as of 12/31 of each year. Provides account balances as of 1/1, total contributions posted during the year, earnings credited, and account balances as of 12/31.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
9-3-4	MASTER LIST	Annual listing of plan members as of 12/31 of each year. Provides social security number, name, date of birth, hire, and eligibility.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-3-5	NON-CONTRIBUTING/NEW MEMBERS REPORT	Monthly report from plan carrier showing employees having an active account and making no contributions. Report also includes employees making contributions for the first time.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-3-6	REMITTANCE LISTINGS (OBSOLETE)	Monthly record of funds received from State and Counties for credit to individual employee accounts.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-3-7	TRANSACTIONS/ALLOCATION SPLITS	Local report from investment manager advising of investments bought or sold. Reports from record keeper advising of contribution allocations, requirements for cash transfer to fund benefits, and transfer by employees between investment options.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-4-1	ACCOUNT SUMMARY	Semi-annual accounting summary received from plan carrier.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-4-2	CORRESPONDECE WITH HARTFORD/MASS MUTUAL	Consists of correspondence directed to and received from Hartford/Mass Mutual. Includes name and address changes, statement reconciliation problems, participant cancellation, etc.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-4-3	FUND TRANSFERS	Consists of a copy of each general document reflecting credit to the DCP Fund and a copy of each disbursement document forwarding funds to the plan carrier. The original is held by the accounting division.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-5-2	ANNUAL REPORT TO THE LEGISLATURE	Report showing in detail the Retirement Office activities, expenses and statistical data incurred during the calendar year.	ORIGINAL RECORD: Transfer one paper copy to State Archives; scan to network and dispose of after 60 days. ELECTRONIC RECORD: 100 years.	
9-5-3-1	ACTUARIAL CONTRACTS (FORMERLY ACTUARIAL CONTRACTS AND MISCELLANEOUS INFORMATION)	Actuarial contracts and general information regarding the present actuarial contract.	ORIGINAL RECORD: Scan to network and dispose of 3 years after contract has expired with current vendor ELECTRONIC RECORD: 100 years	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
9-5-3-2	ANNUITY AND INVESTMENT CONTRACTS (FORMERLY ANNUITY CONTRACTS)	Contracts and related correspondence regarding the awarding of the annuity and investment contracts for the State, County, and Deferred Comp plans.	AWARDED: Scan to network and dispose of 3 years after completion, fulfillment, or voiding of contract NON AWARDED: Scan to network and dispose of after 2 years, provided audit has been completed ELECTRONIC RECORD: 100 years	
9-5-3-3	MISCELLANEOUS CONTRACTS	Miscellaneous contracts that may include general obligation for goods & services. Documents may include, but are not limited to specifications, requests for proposals or information (RFP/RFI), bid evaluation, work/change orders, contracts, contract oversight and performance documents, etc. NOTE: Agreements and contracts may have language/conditions included in award for alternative disposition.	AWARDED: Scan to network and dispose of 3 years after completion, fulfillment, or voiding of contract NON AWARDED: Scan to network and dispose of after 2 years, provided audit has been completed ELECTRONIC RECORD: 100 years	
9-5-3-4	TECHNOLOGY PROVIDER CONTRACTS	The documents, contracts and other materials associated with providers of information technology and related services to NPERS. An example would be the provider of software development services. NOTE: Agreements and contract may have language/conditions included in award for alternative disposition.	AWARDED: Scan to network and dispose of 3 years after completion, fulfillment, or voiding of contract NON AWARDED: Scan to network and dispose of after 2 years, provided audit has been completed. ELECTRONIC RECORD: 100 years	
9-5-4	COMPUTER GENERATED REPORTS	Computer reports generated by record keeper and Pioneer Report Systems which includes but is not limited to membership demographic changes, forfeitures, late filings, transfers, adjustments, beneficiary changes, refund and retirement cancellations, social security number changes, projected refunds and retirements, remittance changes, retirement payment cancellations, retirement adjustment changes, and ACH bank changes (Original main frame numbers - TRT110-155, 158, 830A&B, 831, 832A,B,&C, 833, 834).	COMPUTER PRINTOUT: 2 years COMPUTER TAPE: 5 years	
9-5-5	INVESTMENT PERFORMANCE REVIEWS	Copy of report generated by Nebraska Investment Council showing investment returns.	QUARTERLY REPORTS: 2 years. ANNUAL REPORTS: 2 years.	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
9-5-6	IRS LETTERS OF APPROVAL	Letters of ruling from the IRS advising of plan compliance with IRS regulations.	ORIGINAL RECORD: PRIOR TO 12/31/2000: Microfilm for security; retain permanently AFTER 12/31/2000: Scan to network and retain permanently SECURITY MICROFILM: PRIOR TO 12/31/2000: Transfer to the State Records Center; retain permanently MICROFILM WORK COPY: PRIOR TO 12/31/2000: Retain permanently.	
9-5-7	LEGAL OPINION AND ADVICE	Includes opinions from the Attorney General and/or agency legal counsel concerning state and/or federal regulations or statutes.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-5-8	PHONE LOG REPORTS	Reports generated on calls received by the Call Center.	2 years	See 124-75
9-5-9	STATE ID NUMBER SPREADSHEET	Listing of current employees and their state ID number.	Dispose of information after updated or superseded	
9-5-10	AGENCY PAYROLL TIMESHEET SPREADSHEETS	Information posted from individual time sheets. Information is kept for individual employees and aggregate monthly for the agency.	5 years	
9-5-11	THRID PARTY RECORDKEEPER CONTRACTS AND AMENDMENTS	The IPG contract with third party record keeper for the defined contribution retirement systems (i.e., State, County and Deferred Comp plans).	AWARDED: Scan to network and dispose of 3 years after completion, fulfillment, or voiding of contract NON AWARDED: Scan to network and dispose of after 2 years ELECTRONIC RECORD: 100 years	
9-5-12	INSTRUCTION MANUALS, COMPUTER MAINFRAME	All manuals and related material for the current computer mainframe for the maintenance and use of the process.	2 years after the system has been replaced	
9-5-13	STATE AUDITS OF PUBLIC ACCOUNTS-ALL PLANS	Annual audits of each retirement plan performed by the Nebraska Auditor of Public Accounts.	ORIGINAL RECORD: Scan to network and dispose of after 10 years ELECTRONIC RECORD: 100 years	
9-7-1	CALENDAR OF SEMINARS	Dates of seminars scheduled and per time of season. The calendar is set in advance and then distributed.	ELECTRONIC RECORD: 100 years OTHER COPIES: Retain one copy until no longer of reference value; dispose of extra copies after 1 year	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
9-7-2	COMMUNITY COLLEGE AGREEMENT, PLANNING SEMINARS	Electronic informal, non-binding agreement between the Public Employees Retirement Systems and the Community Services Council of the State Community Colleges. The colleges agree to provide facilities, instructors, materials and refreshments as needed for each seminar held at a community college. NPERS conducts the seminar and reimburses the college for expenses with registration fees paid by participants and a per person fee paid out of retirement funds.	100 years	
9-7-3	ELIGIBLE ACCOUNTS OF ALL PLAN MEMEBERS (OBOSLETE)	Computer report showing all active plan members in each retirement plan and mailing labels generated on plan members.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-7-4	EMPLOYER TRAINING/OPERATIONAL MANUALS	Electronic Employer Training/Operational Manuals assist employers (i.e., County Clerks, State agencies, personnel contacts, and School Employer Contacts) with the preparation and completion of forms used in the Nebraska Public Employees Retirement System	100 years	
9-7-5	PLANNING SEMINAR PROCEDURAL MANUAL	Electronic guidelines for community college representatives to assist with planning seminars.	100 years	
9-7-6	PLANNING SEMINAR ROSTER	A list of all plan members and spouses who have attended a planning seminar. Entered into an electronic file upon receipt. The roster includes date of attendance and location.	ORIGINAL RECORD: Scan to network and dispose of after 4 years ELECTRONIC RECORD: 100 years	
9-7-7	SEMINAR BROCHURES	Brochures distributed when a planning seminar is to be held in the various areas throughout the state.	ELECTRONIC RECORD: 100 years OTHER COPIES: Transfer 3 copies of each brochure to the Library Commission Publications Clearinghouse. Retain one copy until no longer of reference value; destroy the extra copies when superseded	
9-7-8	SEMINAR EVALUATIONS/QUESTIONNAIRES	An evaluation completed by participants of planning seminars at the end of the seminar day. Questionnaires are used to evaluate the program and make necessary changes based on the needs of the participants.	BLANK RECORD COPY: Superseded or obsolete COMPLETED EVALUATIONS: 1 year after the seminar COMPLETED FOLLOW-UPS: After reviewed	
9-7-9	SEMINAR FORM LETTERS	Form letters to eligible members and employers announcing upcoming planning seminars.	Superseded	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
9-7-10	SEMINAR HANDOUTS	Handouts including agendas, retirement checklist, income tax information and resource materials available from State and Federal resources.	Superseded	
9-7-11	SEMINAR REFERNECE MATERIAL	Correspondence with community colleges and facilitator notes on seminars used for reference when setting up future meetings.	Superseded	
9-7-12	SEMINAR REGISTRATION FORM	Advance registration form completed by plan members to attend a planning seminar. The form shows full name, birth date, social security number, retirement plan, seminar date and location. The completed form is used to generate an attendance roster .	2 years	
9-7-13	RETIREMENT PLAN BOOKLETS	Booklets published to explain the provisions of the school, state, county, judges, and patrol retirement plans and the DCP plan.	ELECTRONIC RECORD: 100 years OTHER COPIES: Transfer 3 copies of each booklet to the Library Commission Publications Clearinghouse. Retain one copy until no longer of reference value; destroy the extra copies when superseded.	
9-7-14	RETIREMENT PLAN NEWSLETTERS	Newsletters published quarterly or semi-annually for distribution to plan members on the school, patrol, judges, state and county retirement systems.	ELECTRONIC RECORD: 100 years OTHER COPIES: Transfer 3 copies of each issue to the Library Commission Publications Clearinghouse; destroy the extra copies when superseded	
9-8-1	APPLICATION FOR DISABILITY RETIREMENT	These include the application form, confidential doctor's report and other documents necessary for the Board to make a recommendation on granting or denying a disability retirement application.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-8-2	APPLICATION FOR RETIREMENT	These are the forms and accompanying documents necessary for a member to apply for and receive a retirement annuity or systematic withdrawal of accumulated contributions.	ORIGINAL RECORD: Scan to network and dispose of after 1 year ELECTRONIC RECORD: 100 years	
9-8-3	BENEFICIARY DESIGNATION FORM	The form by which a member designates the person(s) or entities that receive the interest in his or her retirement account upon the member's death.	ORIGINAL RECORD: Scan to network and dispose of after 60 days. ELECTRONIC RECORD: 100 years.	
9-8-4	APPEAL OF A BOARD ACTION OR DECISION-DOCUMENTS	These include the decision letter of the Board or Director, the member's appeal form, agency answer, and all other documents associated with an appeal or an appeal hearing.	ORIGINAL RECORD: Scan to network and dispose of 5 years after litigation is final ELECTRONIC RECORD: 100 years	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
9-8-5	APPLICATIONS FOR ELIGIBILITY AND VESTING CREDIT DOCUMENTS	The form and associated documents which allows new members of all five (5) retirement plans to obtain eligibility and vesting credit for years of participation in other Nebraska public retirement plans.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-8-6	DEATH OF A MEMBER-POST-RETIREMENT-DOCUMENTS	These documents include those associated with the death of a member who is currently receiving a retirement benefit, including applications for survivor's benefit, death notification, and the death certificate.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-8-7	DEATH OF A MEMBER-PRE-RETIREMENT-DOCUMENTS	These documents include those associated with the death of a member prior to receiving a retirement benefit, including applications for survivor's benefit, death notification, and the death certificate.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-8-8	PAYMENT OF MONTHLY BENEFITS POST-RETIREMENT-DOCUMENTS	These include Direct Deposit Forms, Annual Cost-of-Living-Adjustment Letters, and other documents internally generated as well as those sent to the member that are associated with the payment of monthly benefits on an on-going basis.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-8-9	QUALIFIED DOMESTIC RELATIONS ORDER DOCUEMNTS	These documents include the letter qualifying an order, the certified copy of the order, correspondence from the member and alternate payee, internal documents created in generating the QDRO and other associated documents.	ORIGINAL RECORD: Scan to network and dispose of after 25 years ELECTRONIC RECORD: 100 years	
9-8-10	INVESTMENT ELECTION FORMS(DEFINED CONTRIBUTION PLANS)	These forms are documentary proof of the selection or change of investment options in the defined contribution plans.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-8-11	MEMBER DEMOGRAPHIC CHANGE DOCUMENTS	Documents by which members communicate to the Agency changes in name, address and other personal information.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-8-12	MEMBER ENROLLMENT FORM	The form filled out by members of all plans upon hire, representing the document on which is used to create a member account.	ORIGINAL RECORD: Scan to network and dispose of after 60 days. ELECTRONIC RECORD: 100 years.	
9-8-13	MEMBER ESTIMATE DOCUMENTS	These include estimates of benefits and annuities produced at the request of a member. The category includes both internal documents generated in the creation of an estimate and documents that are communicated to the member.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
9-8-14	MEMBER TAX DOCUMENTS	These consist of the various forms, such as 1099-R's, W-4P's, Nebraska State Income Tax Withholding Certificates and other tax information generated by the Agency for the members.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-8-15	MISCELLANEOUS MEMBER CORRESPONDENCE	These include all documents found in a member's file that are not categorized in the preceding sections.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-8-16	NONCONTRIBUTING MEMBER FORM	These are forms by which employers inform the Agency of the termination of a member's employment. They are necessary for an agency to initiate a distribution of plan assets to a member.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-8-17	PATROL SURVIVORSHIP CHANGE FORM	The form by which members of the Patrol plan communicate changes to the status of spouses and minor children.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-8-18	PROOF OF AGE DOCUEMNTS	These include birth certificates and other proof of age necessary to document the age of members and beneficiaries of the system. They are provided by the member, but copies are kept by the Agency.	ORIGINAL RECORD: Scan to network and return original to member ELECTRONIC RECORD: 100 years	
9-8-19	PROOF OF LEGAL STATUS DOCUMENTS	These include official legal proof of marriage, adoption, creation of a trust, power of attorney, guardianship, conservatorship, QDRO, and other legal documents that concern the relationship of a member to a spouse or beneficiary, or the documents necessary for a member to designate a legally constituted entity as a beneficiary.	ORIGINAL RECORD: Scan to network and return original to member ELECTRONIC RECORD: 100 years	
9-8-20	PURCHASE OF SERVICE DOCUEMNTS(DEFINED BENEFIT PLANS)	These are the forms and documents associated with the repayment of refunded contributions, purchase of out-of-state service, purchase of leave-of-absence service, purchase of military service, and purchases of service made in contemplation of retirement.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-8-21	REFUND AND DISBURSMENT DOCUMENTS	These are the forms necessary for a member to receive a refund or lump-sum distribution of retirement plan assets.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-8-22	REPAYMENT OR PURCHASE (DEFINED CONTRIBUTION PLANS)	These are the forms and documents associated with purchases and repayments in the defined contribution systems, including rollover paperwork, irrevocable payroll deduction agreements, and other associated documents.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
9-8-23	RETIREMENT CALCULATION DOCUMENTS	These consist of the internal forms, such as checklists, validation worksheets, letters and other documents created to process a retirement application and prepare it for pay out.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-8-24	STATEMENT OF ACCOUNT (DEFINED BENEFIT PLANS)	Annual statement of a member's interest in his or her retirement benefit, including years of service, salary, and other information as determined by the Public Employees Retirement Board.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-8-25	STATEMENT OF ACCOUNT (DEFINED CONTRIBUTION PLANS)	Statements are sent quarterly to plan members containing a statement of account balances and other relevant information.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-9-1	SCHOOL CORRESPONDENCE FILES	Correspondence with school districts regarding laws, employees, etc.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-9-3	JUDGES CORRESPONDENCE FILES	Correspondence with Judges and Court Systems regarding laws, employees, etc.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-9-4	STATE PATROL CORRESPONDENCE FILES	Correspondence with the Nebraska State Patrol regarding laws, employees, etc.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-9-5	STATE CORRESPONDENCE FILES	Correspondence with State Agencies regarding laws, employees, etc.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-9-6	COUNTY CORRESPONDENCE FILES	Correspondence with County representatives regarding laws, employees, etc.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-9-7	DCP CORRESPONDENCE FILES	Correspondence with members and the third party record keeper regarding laws, employees, etc.	ORIGINAL RECORD: Scan to network and dispose of after 60 days ELECTRONIC RECORD: 100 years	
9-9-15	COUNTY SCHOOL CORRESPONDENCE FILES (OBOSLETE)	Correspondence with school districts regarding laws, employees, etc.	SECURITY MICROFILM: Transfer to the State Records Center; 100 years MICROFILM WORK COPY: 100 years. Store an image from the Microfilm work copy electronically for 100 years	