

# **Schedule 33**

# **LIQUOR CONTROL COMMISSION**

**July 17, 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

**33**

AGENCY, BOARD OR COMMISSION

**LIQUOR CONTROL COMMISSION**

DIVISION, BUREAU OR OTHER UNIT

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

**Supersedes Edition of October 15, 2012**

**PART I – AGENCY STATEMENT:**

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

SIGNATURE



TITLE

*Executive Director*

DATE

*7-5-18*

**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

*7/12/2018*

**PART III – APPROVAL OF AUDITOR OF PUBLIC ACCOUNTS:**

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

SIGNATURE



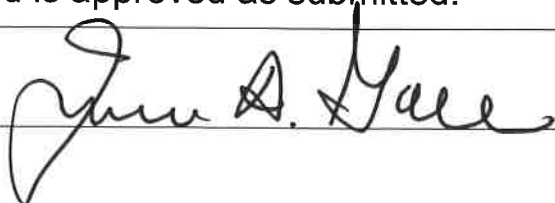
DATE

*7/17/18*

**PART IV – APPROVAL OF STATE RECORDS ADMINISTRATOR:**

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

SIGNATURE



DATE

*7/17/18*

## **INSTRUCTIONS FOR USING THIS SCHEDULE**

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

### **DISPOSING OF RECORDS**

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

### **NON-SCHEDULED RECORDS**

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

### **SCHEDULE UPDATE**

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

### **QUESTIONS**

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

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

**SCHEDULE 33  
LIQUOR CONTROL COMMISSION**

**July 17, 2018**

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

Supersedes Edition of October 15, 2012

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
33-1	BEER TERRITORIES	Form signed by beer wholesaler and supplier showing a particular brand and geographical areas of product distribution.	<b>ORIGINAL RECORD:</b> After yearly signed spreadsheet received from wholesaler <b>ELECTRONIC RECORD:</b> Superseded <b>DATABASE RECORD:</b> 10 years or when no longer of reference value (whichever is later)	
33-4	ENFORCEMENT - INSPECTION WARNING FORM	Alcohol/Tobacco Enforcement Division inspection/warning form State Patrol investigators license inspections.	<b>ORIGINAL RECORD:</b> Scan to network after image verification <b>ELECTRONIC RECORD:</b> 10 years	
33-5	GENERAL DOCUMENTS/DETAILED DEPOSIT LISTING	Shows all monies deposited to the State Treasurer from the Revenue Division, (keg and law books, active license roster, photo copies, fine forms, applications and training).	5 years	
33-6	LEGAL - CASE REPORTS	Case reports/files include violation report from enforcement, notice of hearings, subpoenas, letters, suspension notices, orders, and miscellaneous documents sent to and received from licensees, applicants and other interest entities.	<b>ORIGINAL RECORD:</b> <b>NON-CONTESTED:</b> Scan to network after final order issued <b>CONTESTED CASES:</b> Scan to network; 5 years after final order <b>APPEALED CONTESTED CASES:</b> Scan to network; after case is closed/settled <b>ELECTRONIC RECORD:</b> 10 years after case is closed/settled	
33-7	LICENSING - ACTIVE ROSTER, C & NON-C	Computer report is issued as needed and lists all current licensee holders by class alphabetically by town. Includes name and number of licensee and county.	Superseded	
33-8	LICENSING RECORDS	All license applications and supporting documents. May include new applications, additions, manager changes and trade name changes.	<b>ORIGINAL RECORD:</b> Scan to network after image verification <b>ELECTRONIC RECORD:</b> 10 years	
33-9	LICENSING TRACKING RECORDS	Documents/records used for reference when researching and tracking licensee records.	<b>ORIGINAL RECORD:</b> Scan to network; after image verification <b>ELECTRONIC RECORD:</b> 10 years	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
33-10	REPORTS/WORKSHEETS	Documents or databases used to compile or track records or reports. May include, but not limited to: Revenue Report, Dan Baker Report, combined Wholesaler Bond Limit, Revised Sales Tax (quarterly), Month End report, White Clay report, and Statistics, Beer Wholesale Tax Login Sheets, Sales Tax Adjustment Sheets, Postage Worksheets and Spirit/Wine Tax Login.	5 years	
33-11	REVENUE - AGENCY MONEY LOG-IN	Internal database of documents carrying payment fees for agency.	5 years	
33-12	REVENUE - AUDIT REPORTS, WHOLESALERS AND RETAILERS	Audit reports done by Liquor Control Commission annually on wholesalers and retailers of alcoholic beverages.	5 years	Working papers filed with audit reports
33-13	REVENUE REPORTS	Reports used for tax reporting and other monthly reports related to purchases, usage/sales and shipments. May include, but not limited to: Beer Shipper Report, Cigar Bar Reporting, Non-Beverage Alcohol Reports, Spirit and Wine Shipper Reports, Beer Wholesaler/Distributors Monthly Tax Report, Beer Producers Tax Report, Spirit and Wine Direct Shipper Annual Tax Report, and Spirit and Wine Wholesalers/ Distributors Monthly Tax Report, Spirit Producers Tax Report; Wine Producers Tax Report.	5 years	
33-16	REVENUE-GENERAL LEDGER/BUDGET STATUS REPORT	General cash sales tax liability, school fund check monthly account numbers and deposit amounts.	5 years	
33-17	REVENUE-MONTHLY GALLONAGE STATISTICAL REPORT	Commission's report of total gallonage of alcoholic beverages received and sold in Nebraska during the year, and revenue collected through beer and liquor taxes, licensing fees, fines, etc.	5 years or when no longer of reference value (whichever is later)	
33-18	TRACKING RECORDS	May include documents used to track the update status of schedules in the review process or to track potential record retention items/issues for future schedule updates.	Superseded or schedule updated (whichever is sooner)	