

Schedule 59

COUNTY/CITY/VILLAGE LOTTERY RECORDS

BOARD OF TRUSTEES

December 5, 2011

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

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

SCHEDULE

59

AGENCY, BOARD OR COMMISSION

COUNTY/CITY/VILLAGE LOTTERY RECORDS

DIVISION, BUREAU OR OTHER UNIT

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

Supersedes Edition of December 5, 1997

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

Lottery/Gaming Director

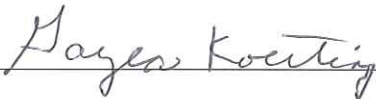
DATE

11/28/2011

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

11/29/2011

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



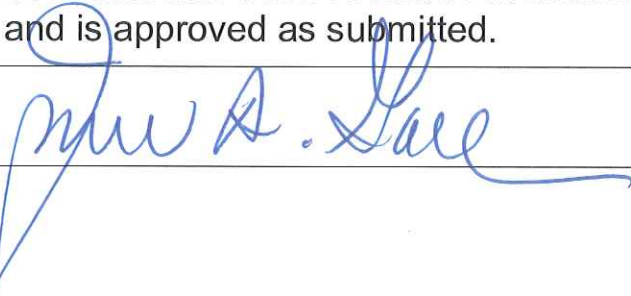
DATE

11/29/11

PART IV – APPROVAL OF STATE RECORDS ADMINISTRATOR:

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

SIGNATURE



DATE

12/5/11

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 Local Agencies General Records Schedule #24 contains those records common to most local 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 this 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 General Records Schedule #24 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**. The State Archives may remove selected records in accordance with standard archival practices to ensure efficient access, organization and enduring historical value (Nebr. 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.

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

**SCHEDULE 59
COUNTY/CITY/VILLAGE LOTTERY RECORDS**

December 5, 2011

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

Supersedes Edition of 12-5-1997

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
059-001-000-000-000-000-000	BALL DRAW TICKETS	Draw ticket is the ticket prepared by a lottery worker to record the winning numbers of each keno game if winning number selection is by a manual ball draw method.	3 years, provided Department of Revenue Compliance Procedures have been completed	NE Rules & Regs. Title 316, Chapter 35
059-002-000-000-000-000-000	COMPUTERIZED KENO SYSTEM INFORMATION	Including, but not limited to: outside ticket information (date, ticket serial number, conditioning of the ticket, writer station number, game number, and amount of wager), payment information, game information (game number, ball draw, and time), and system exception log information (ball draw edits, late pays, no reads, pay table access, system configuration changes, etc.).	3 years, provided Department of Revenue Compliance Procedures have been completed	•Winning Ticket Payment Records-Check with Internal Revenue Service, Excise Tax Division before disposing of records as they may be subject to longer retention periods •Hard copy or electronic media acceptable (NE Rules & Regs. Title 316, Chapter 35-613.07)
059-003-000-000-000-000-000	DAILY GAME SUMMARY, MONTH-TO-DATE, AND YEAR-TO-DATE REPORTS	Including, but not limited to: write (handle), wins, wins paid, voids, and net handle by individual writer or writer station for each shift or for each game during the shift and write (handle), wins, wins paid, voids, and net handle for each shift, each day, month-to-date, and year-to-	3 years, provided Department of Revenue Compliance Procedures have been completed	Hard copy or electronic media acceptable (NE Rules & Regs. Title 316, Chapter 35-613.07)
059-004-000-000-000-000-000	KENO WIN, WRITE, AND WIN-TO-WRITE HOLD PERCENTAGE	Including, but not limited to: keno hold percentages for each shift, each day, month-to-date, and year-to-date.	Immediately dispose of obsolete records	Obsolete
059-005-000-000-000-000-000	KEY LOG CONTROL	A written record of key access to the keno area.	Immediately dispose of obsolete records	Obsolete
059-006-000-000-000-000-000	LOGIC BOARD ACCESS RECORD	Written record of all access to the logic board area of the computerized keno system.	3 years, provided Department of Revenue Compliance Procedures have been completed	NE Rules & Regs. Title 316, Chapter 35
059-007-000-000-000-000-000	MANUAL PAY TICKETS	Documents any payments made on tickets which have not been authorized by the computerized keno system.	3 years, provided Department of Revenue Compliance Procedures have been completed	•Winning Ticket Payment Records-Check with Internal Revenue Service, Excise Tax Division before disposing of records as they may be subject to longer retention periods •NE Rules & Regs. Title 316, Chapter 35

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
059-008-000-000-000-000-000	MISCELLANEOUS KENO RECORDS	Including, but not limited to: records relating to shift check out, keno writer drawer fills, keno manager bank fills, cash summary reports and turn-in slips, bank deposits, etc.	3 years, provided Department of Revenue Compliance Procedures have been completed	NE Rules & Regs. Title 316, Chapter 35
059-009-000-000-000-000-000	NEBRASKA COUNTY/CITY/VILLAGE LOTTERY ANNUAL REPORT (FORM 35K) AND COMPLIANCE PROCEDURES REPORT		3 years	
059-010-000-000-000-000-000	NEBRASKA TAX RETURN (FORM 51C) AND COUNTY/CITY/VILLAGE LOTTERY ACTIVITY REPORT (NEBRASKA SCHEDULE I)	Lottery tax return and quarterly report of lottery gross proceeds, prizes awarded, allowable expenses, and distribution of funds for community betterment purposes.	3 years after the date the tax return and activity report were originally filed	
059-011-000-000-000-000-000	NONROUTINE MAINTENANCE RECORD	Record of all nonroutine maintenance performed by the manufacturer's service personnel or other personnel authorized by the manufacturer including equipment malfunctions and irregularities. Nonroutine maintenance includes software updates or modifications, removal or replacement of PROMS or EPROMS, removal or replacement of logic boards, and any other maintenance of a technical nature.	3 years, provided Department of Revenue Compliance Procedures have been completed	NE Rules & Regs. Title 316, Chapter 35
059-012-000-000-000-000-000	OUTSIDE COPIES OF NET WINNING TICKETS OF \$1,500 OR MORE WITH PAY TICKETS AND INSIDE TICKETS	An outside ticket is the computer-generated ticket which contains the game number date, dollar amount of wager, the numbers chosen by the player, ticket serial number, writer station number, etc. An inside ticket is the ticket completed by the player and given to the keno writer in order to make a wager.	INSIDE TICKETS: Dispose of at the discretion of sponsoring County, City or Village OUTSIDE COPIES OF NET WINNING TICKETS OF \$1,500 OR MORE WITH PAY TICKETS: 3 years, provided Department of Revenue Compliance Procedures have been completed	•If the Department of Revenue has authorized the elimination of printed pay tickets, an electronic record of payment must be retained in lieu of the printed pay tickets •Winning Ticket Payment Records-Check with Internal Revenue Service, Excise Tax Division before disposing of records as they may be subject to longer retention periods •NE Rules & Regs. Title 316, Chapter 35
059-013-000-000-000-000-000	PRIZE PAY TABLE CHANGE RECORDS	Manual or computerized records of changes to prize pay tables.	3 years, provided Department of Revenue Compliance Procedures have been completed	NE Rules & Regs. Title 316, Chapter 35

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
059-014-000-000-000-000-000	TRANSACTION LOG	Reflects all system access, ticket processing, game results, and pay information.	3 years, provided Department of Revenue Compliance Procedures have been completed	<ul style="list-style-type: none"> •Hard copy or electronic media acceptable (NE Rules & Regs. Title 316, Chapter 35-613.07) •Winning Ticket Payment Records-Check with Internal Revenue Service, Excise Tax Division before disposing of records as they maybe subject to longer retention periods •NE Rules & Regs. Title 316,
059-015-000-000-000-000-000	VIDEO TAPES OR DIGITAL RECORDINGS OF BALL DRAW NUMBER SELECTION		Dispose of or reuse after 3 months, provided Department of Revenue Compliance Procedures have been completed	NE Rules & Regs. Title 316, Chapter 35
059-016-000-000-000-000-000	VOID TICKETS WITH OUTSIDE TICKETS ATTACHED AND MANUAL VOID TICKETS		MANUAL VOID: 3 years, provided Department of Revenue Compliance Procedures have been completed ALL OTHERS: 1 year, provided Department of Revenue Compliance Procedures have been completed	NE Rules & Regs. Title 316, Chapter 35