

Schedule 45-7

DEPARTMENT OF LABOR

UNEMPLOYMENT INSURANCE DIVISION

April 17, 2019

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

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

| | |
|--|--|
| SCHEDULE | 45-7 |
| AGENCY, BOARD OR COMMISSION | DEPARTMENT OF LABOR |
| DIVISION, BUREAU OR OTHER UNIT | UNEMPLOYMENT INSURANCE DIVISION |
| Supersedes Edition of February 8, 2019 | |

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

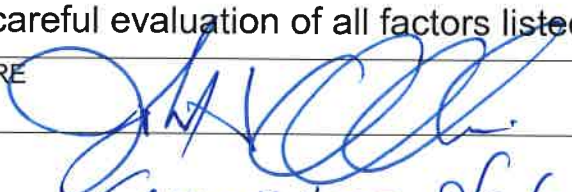
PART I – AGENCY STATEMENT:

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

DATE


Commissioner of Labor

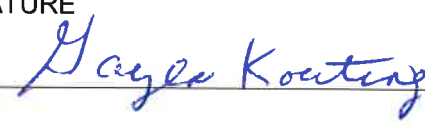
4/4/2019

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



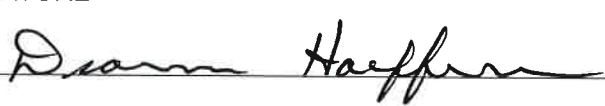
4/9/2019

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



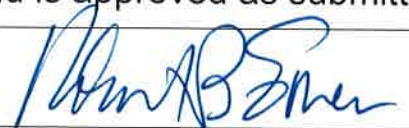
4/15/19

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



4/17/2019

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 2nd 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 45-7
DEPARTMENT OF LABOR
UNEMPLOYMENT INSURANCE DIVISION
April 17, 2019

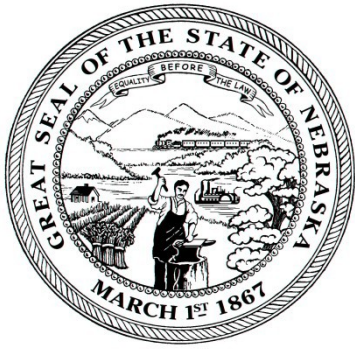
Retention requirements are for all records, regardless of the media on which they reside, unless otherwise noted.

Supersedes Edition of February 8, 2019

| ITEM NUMBER | RECORD TITLE | DESCRIPTION/EXAMPLES | RETENTION | REFERENCE/ COMMENTS |
|-------------|---|--|-----------|---|
| 45-7-46 | 87-A SUMMAR | Report listing all 87-A's printed by employer number, and the total amount contributed to the program. | 5 years | |
| 45-7-3 | BENEFIT ADJUSTMENT REGISTER | Monthly computer report shows adjustments made on the computer to the employer being charged. | 3 years | |
| 45-7-7 | BENEFIT CHECKS | Check indicating claimants name, social security number, amount paid, and date paid. | 5 years | |
| 45-7-9 | BENEFIT OVERPAYMENT LISTINGS | These are computer listings of activity involving benefit overpayments on Unemployment Insurance claims. May include: Alpha Listing (Monthly); Alpha Listing of Overpayment Balances (Monthly); Benefit Overpayment Journal (Daily); Billing Follow Up Date report (Monthly); Daily Recoup Report; ETA-227 Report; Legal Letters Mailed (Monthly) Monthly Billing Error Listing; New Claim Report; Overpayment Established and Reestablished Listing (Daily); Overpayment Follow Up Listing (Monthly). | 5 years | |
| 45-7-10 | BENEFIT PAYROLL REGISTER | A detailed listing of the daily unemployment payroll. Lists the check number, claimant to whom the check was issued, the amount of the check, and the social security number of the claimant. The listing is totaled by program, indicating how much money is spent from each program. | 5 years | |
| 45-7-47 | BPC CROSSMATCH REPORT | Computer listing by match quarter of cross match activity from initial run through purge. Listings include all initial run statistical reports and all control reports of audit activity listed by claimant's Area Claim Center, Then by social security number. | 5 years | Transfer to the State Records Center 6 months after purge |
| 45-7-48 | BPC INTERNET/BORDER CHECK REPORTS | Computer listings by match quarter of Internet/Border Check activity. Listings include initial run list of records sent to MMDS Hub, listing of wage/claim hits, Internet Locator hits, and Internet duplicate claims report. | 5 years | Transfer to the State Records Center 6 months after purge |
| 45-7-58 | BPC STATE INCOME TAX REFUND INTERCEPT RECORDS | May include reports and listings, such as State Income Tax Intercept Match Report, State Income Tax Intercept Match Report, State Income Tax Intercept Certification, miscellaneous documents pertaining to the State Income Tax Certification process. | 5 years | |
| 45-7-49 | CASH REFUND LEDGERS | Monthly totals of cash refunds from beneficiaries. | 5 years | |

| ITEM NUMBER | RECORD TITLE | DESCRIPTION/EXAMPLES | RETENTION | REFERENCE/ COMMENTS |
|-------------|--|--|---|------------------------|
| 45-7-12 | CLAIMANT SUMMARY LISTING, MONTHLY | Informally titled Monthly Charge Back. Is a cumulative listing of all benefits paid to claimants and their employers for the month. May include the amount of money deposited into the program, money not allowed (i.e. bad checks, etc.), money held in suspense, overpayments and voluntary contributions. | 5 years | |
| 45-7-13 | CLEARING ACCOUNT CHECK REGISTER | A listing by check number showing to whom the Check was written, date of issuance, amount of check, and reason for issuing check. | 5 years | |
| 45-7-14 | CLEARING ACCOUNT DEPOSIT REGISTER | A detailed listing of the remittances received from employers. It shows the employer account number and the amount of the remittance received from each employer. Each group is assigned a batch number, the batch total is the amount of money received in that batch. | 5 years | |
| 45-7-50 | CONTRIBUTION AND BENEFIT JOURNALS | Monthly posting of journals. | 10 years | |
| 45-7-16 | CONTRIBUTION REPORTS | A report filed quarterly by each employer indicating total wages, excess wages, subject wages, and contribution due. | 5 years | |
| 45-7-18 | DEPOSIT REGISTER - BENEFIT ACCT./TRA ACCT./WIN ACCT. | Contains bank deposit slips of deposits made in these accounts. | 5 years | |
| 45-7-20 | EMPLOYER CONTRIBUTION REGISTER | Listing of employer numbers of contribution reports processed in their account, amount of money involved and the date received. | 2 years | |
| 45-7-23 | EMPLOYER CORRESPONDENCE NEW ACCOUNTS AND ADDITIONS FILE; YEARLY NOTIFICATION OF CONTRIBUTION RATE (FORMERLY EMPLOYER CORRESPONDENCE NEW ACCOUNTS AND ADDITIONS FILE) | Employer liability history file. Includes determination finding based on the Nebraska Employment Security Law, correspondence, memos and copies of billings. Employer data includes subject date, delinquent date, predecessor, ownership, name, address and current status. | 5 years | |
| 45-7-52 | GENERAL LEDGER | Monthly posting of accounts into one set of papers. | 10 years | |
| 45-7-57 | INTERNAL SECURITY DOCUMENTS | Various detection cross match, other listings and general correspondence. May include Name/Name Cross match, Social Security Cross match, Address Cross match, Fictitious Employer Detection documents, telephone billings, general correspondence. | 5 years | |
| 45-7-31 | MAJOR DISASTER DECLARATION | Includes date of declaration, disaster, beginning date and number, type of disaster, state and counties affected. | 3 years, subject to review by the State Archives for possible accession | |
| 45-7-36 | PAY ORDER CARD | Report filed by the individual claimant indicating they are unemployed and filing a claim for benefits, availability, and earnings. | 5 years | |
| 45-7-38 | PURGED RECORDS, LISTING OF | Computer listing is generated as needed and indicates what is put on tape from the on-line computer system. | 5 years | |

| ITEM NUMBER | RECORD TITLE | DESCRIPTION/EXAMPLES | RETENTION | REFERENCE/ COMMENTS |
|-------------|---|--|----------------|------------------------|
| 45-7-54 | QUALITY CONTROL GENERAL CORRESPONDENCE | Miscellaneous forms and correspondence for the Quality Control Unit. | 5 years | |
| 45-7-53 | QUALITY CONTROL RECORD | These records are a compilation of documents gathered to determine propriety of unemployment insurance benefit eligibility. May include: Quality Control Audit Reports; Quality Control Batches; Random Audit Files (Random Audit Case Coding Lists) and others not specifically listed here. | 5 years | |
| 45-7-59 | REVENUE QUALITY CONTROL RECORDS | Audits such as System Reviews, Acceptance Samples, Methods Surveys, performed on UI Tax functions which include: Status Determination, Cashiering, Report Delinquency, Collections, Filed Audit, Account Maintenance (Debit Billing, Contribution Reports, Benefit Charging, Tax Rate, Credit Refund). | 5 years | |
| 45-7-41 | UNEMPLOYMENT COMPENSATION PAYMENT (FORM 1099-UC) | Summary listing of statements indicating the amount of unemployment compensation received in a given year. | 5 years | |
| 45-7-42 | UNEMPLOYMENT COMPENSATION PAYMENT REPORT | Monthly report lists the names of those receiving unemployment compensation and the amount. | 1 year | |
| 45-7-56 | WAGE SCHEDULE | Quarterly report received from employers with their contribution report which lists employees' name, social security number, and total wages for the quarter. | 5 years | |



NEBRASKA SECRETARY OF STATE RECORDS DISPOSITION REPORT

Send to: Records Management Division
440 S. 8th Street, Suite 210
Lincoln, NE 68508-2294 402-471-2559
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.

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

INSTRUCTIONS

1. Enter the agency and division.
2. Enter the records schedule item 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 details for electronic and paper records section 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.