

Schedule 33

LIQUOR CONTROL COMMISSION

November 1, 2010

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	33
AGENCY, BOARD OR COMMISSION	LIQUOR CONTROL COMMISSION
DIVISION, BUREAU OR OTHER UNIT	
Supersedes Edition of January 22, 2008	

**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>Executive Director</i>	DATE <i>10-18-10</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>10/19/2010</i>
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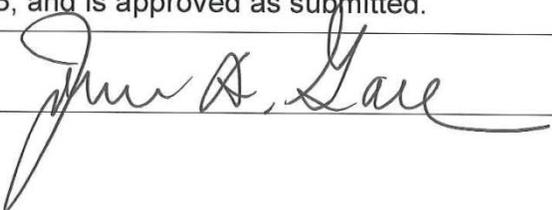
PART III – APPROVAL OF AUDITOR OF PUBLIC ACCOUNTS:

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

SIGNATURE 	DATE <i>10/21/10</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>11/1/10</i>
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RMA 01005D

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. These retention schedules, which are approved by the State Records Administrator, provide 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**. 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 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 your Records Management Specialist in Records Management. We 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**

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SCHEDULE 33 – LIQUOR CONTROL COMMISSION

33-2 ENFORCEMENT

33-2-1 CERTIFIED CARDS

Returned certified cards from applicants whose fingerprint cards or applications were rejected. Used for both Enforcement and Licensing Divisions.

Dispose of after 2 years, provided audit has been completed.¹

33-2-3 INSPECTION WARNING FORM

Alcohol/Tobacco Enforcement Division inspection/warning form State Patrol investigators license inspections.

ORIGINAL RECORD: Scan to network and CD; dispose of after image verification.

ELECTRONIC RECORD: Dispose of after 10 years.

SECURITY CD: Transfer to the State Records Center; dispose of after 10 years.

CD COPY: Dispose of after 10 years.

33-3 LEGAL

33-3-3 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.

ORIGINAL RECORD: Scan all records to network and CD.

NON-CONTESTED: Scanned; dispose after final order issued.

CONTESTED CASES: Scanned; dispose of 4 years after final order.

APPEALED CONTESTED CASES: Scanned; dispose of after case is closed/settled.

ELECTRONIC RECORD: Dispose of 10 years after case is closed/settled.

CERTIFIED CARDS: Dispose of 2 years after case is closed/settled in District Court.

SECURITY CD: Transfer to State Records Center; dispose of 10 years after case is closed/settled.

CD COPY: Dispose of 10 years after case is closed/settled.

33-4 LICENSING

33-4-1 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.

CLASS C: Dispose of when superseded.

NON-CLASS C: Dispose of when superseded.

33-4-6 LICENSEE RECORDS

All license applications and supporting documents. May include new applications, additions, manager changes and trade name changes.

ORIGINAL RECORD: Scan to network and CD; dispose of after image verification.

ELECTRONIC RECORD: Dispose of after 10 years.

SECURITY CD: Transfer to the State Records Center; dispose of after 10 years.

CD COPY: Dispose of after 10 years.

33-4-8 LICENSING TRACKING RECORDS

Documents/records used for reference when researching and tracking licensee records.

ORIGINAL RECORD: Scan to network and dispose of after image verification.

ELECTRONIC RECORD: Dispose of after 10 years.

33-6 MISCELLANEOUS

33-6-1 BEER TERRITORIES

Form signed by beer wholesaler and supplier showing a particular brand and geographical areas of product distribution. Forms must be signed/updated every 10 years. Database has reference value.

ORIGINAL RECORD: Dispose of after yearly signed spreadsheet received from wholesaler.

ELECTRONIC RECORD: Dispose of after superseded.

DATABASE RECORD: Dispose of after 10 years or when no longer of reference value, whichever is longer.

33-6-2 DISASTER RECOVERY RECORDS

Includes backup copies of electronic records for the purpose of data recovery/business continuity (but not archiving). Liquor Control Commission has the OCIO provide this service. Additionally, all storage for backups is provided by the OCIO. Tapes will be maintained and then overwritten or destroyed following these rotations:

EMAIL: See DISASTER RECOVERY DATA FOR THE ENTERPRISE EMAIL SYSTEM, (Schedule 124).

ALL OTHER ELECTRONIC RECORDS:

DAILY: Dispose of after 7 days.

WEEKLY: Dispose of after 4 weeks.

MONTHLY: Dispose of after 1 year.

DISASTER RECOVERY: Dispose of after 3 weeks.

33-6-3 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.

ORIGINAL RECORD: Dispose of after 2 years, provided audit has been completed.¹

ELECTRONIC RECORD: Dispose of after 2 years, provided audit has been completed.¹

33-6-4 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.

Dispose of after superseded or schedule updated, whichever is sooner.

33-6-5 WORKING PAPERS

Raw Data used in compiling reports, studies, etc. May consist of, but not limited to copies of or information from Legal Hearing Cost Database, Show Cause Database, Enforcement applications, violation, finger prints inspections licensees, submitted finger print cards or Licensing wine permits information, hot list, returned renewals, returned applications, shippers, special designated licenses, miscellaneous applications and checks.
See WORKING PAPERS, (Schedule 124).

33-5 REVENUE

33-5-25 AGENCY MONEY LOG-IN

Internal database of documents carrying payment of fees for agency.
Dispose of after 3 years, provided audit has been completed.¹

33-5-1 AUDIT REPORTS, WHOLESALERS AND RETAILERS

Audit reports done by Liquor Control Commission annually on wholesalers and retailers of alcoholic beverages. Working papers are filed with the audit reports.
Dispose of after 5 years.

33-5-6 BEER SHIPPER REPORT

See REPORTS (FORMERLY BEER WHOLESALER/DISTRIBUTORS MONTHLY TAX REPORT), (Schedule 33).

33-5-8 BEER TAXES / LIQUOR TAXES LEDGER (OBSOLETE 2006)

Record of beer and liquor taxes on gallonage from beer shippers and liquor wholesalers; after September 1, 1988 from beer and liquor wholesalers.
Transfer to the State Records Center after 1 year; dispose of after 10 years, provided audit has been completed.¹

33-5-11 CREDIT CONTROL LEDGER (OBSOLETE 2006)

Record of credit on taxes paid.
Transfer to the State Records Center after 1 year; dispose of after 10 years, provided audit has been completed.¹

33-5-10 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). Used for both Revenue and Licensing Divisions.
Dispose of after 2 years, provided audit has been completed.¹

33-5-22 GENERAL LEDGER/BUDGET STATUS REPORTS (FORMERLY GENERAL LEDGER REPORTS)

General cash sales tax liability, school fund check monthly account numbers and deposit amounts.
Dispose of after 2 years, provided audit has been completed.¹

33-5-16 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.

Dispose of 1 year following the end of the fiscal year to which the records pertain and after the records no longer have reference value, provided audit has been completed.¹

33-5-18 NON-BEVERAGE ALCOHOL REPORTS

See REPORTS (FORMERLY BEER WHOLESALER/DISTRIBUTORS MONTHLY TAX REPORT), (Schedule 33).

33-5-3 REPORTS (FORMERLY BEER WHOLESALER/DISTRIBUTORS MONTHLY TAX REPORT)

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, Craft Brewery Tax Report, Farm Winery Tax Report, Micro Distillery Tax Report, Spirit and Wine Direct Shipper Annual Tax Report, and Spirit and Wine Wholesalers/Distributors Monthly Tax Report.

Dispose of after 2 years, provided audit has been completed.¹

33-5-23 SPIRIT AND WINE DIRECT SHIPPER ANNUAL TAX REPORT

See REPORTS (FORMERLY BEER WHOLESALER/DISTRIBUTORS MONTHLY TAX REPORT), (Schedule 33).

33-5-15 SPIRIT AND WINE SHIPPER REPORTS

See REPORTS (FORMERLY BEER WHOLESALER/DISTRIBUTORS MONTHLY TAX REPORT), (Schedule 33).

33-5-13 SPIRIT AND WINE WHOLESALERS/DISTRIBUTORS MONTHLY TAX REPORT

See REPORTS (FORMERLY BEER WHOLESALER/DISTRIBUTORS MONTHLY TAX REPORT), (Schedule 33).

33-5-19 WHOLESALER LIQUOR RECEIVERS

Spirits and wine wholesalers receivers.

Dispose of after 2 years, provided audit has been completed.¹

DELETED RECORDS

33-2-4 LICENSE STATISTICS (OBSOLETE 2007)

33-5-2 BEER DISTRIBUTORS MONTHLY REPORTS (OBSOLETE 2006)

33-5-3 BEER INVOICES (OBSOLETE 2006)

33-5-18 CASH AND INVESTMENT DAILY RECORDS (OBSOLETE 2006)

33-5-19 GENERAL DOCUMENT (DAS-02-11) (OBSOLETE 2006)

33-5-20 LOGIN SHEETS, FRONT DESK (OBSOLETE 2004)

NOTE

1. These 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.

RECORDS DISPOSITION REPORT

TO: SECRETARY OF STATE RECORDS MANAGEMENT DIVISION 440 S. 8TH STREET SUITE 210 LINCOLN, NE 68508-2294	AGENCY
	DIVISION
	SUB-DIVISION

REQUIRED INFORMATION:

In accordance with the Records Management Act, records of this agency have been disposed of under the authorization granted by the following schedule(s):

SCHEDULE NUMBER(S) ONLY (DO NOT INCLUDE SECTION AND ITEM NUMBERS)	TOTAL VOLUME DISPOSED (SEE REVERSE)

OPTIONAL INFORMATION (FOR YOUR USE ONLY):

You may include detailed information which will be useful to you in recording exactly what records were disposed of and under what authority. This might include such things as schedule section and item numbers, title of records, inclusive dates of records, etc. This information is not required to be filed with Records Management.

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DATE	SIGNATURE
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SEND ORIGINAL TO RECORDS MANAGEMENT. MAKE A PHOTOCOPY FOR YOUR RECORDS.

RMA 03006D

VOLUME ESTIMATING GUIDE

(PLEASE NOTE THAT FOR REPORTING PURPOSES, A BALLPARK ESTIMATE OF THE TOTAL VOLUME OF MATERIAL DISPOSED IS ADEQUATE.)

Container	Cubic Feet	Weight (lbs)	Sheets of Paper (8.5" x 11")	Electronic Data Equivalent
			1	20 Kb
			52	1 Mb (1024 Kb)
			53,687	1 Gb (1024 Mb)
N/A	N/A	2,204 lbs (1 metric ton)	220,000	4.1 Gb
Records center carton	1 Cu. Foot	16.66 lbs	1,667	32 Mb
Vertical File Cabinet, 4 drawer letter- size	6 Cu. Feet	100 lbs	10,000	190 Mb
Vertical File Cabinet, 4 drawer legal- size	8 Cu. Feet	133.3 lbs	13,333	254 Mb
About a pickup load	50 Cu. Feet	7,500 lbs	748,638	14 Gb