

Schedule 34-14

**SECRETARY OF
STATE**

BUSINESS SERVICES

October 5, 2011

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 34-14
	AGENCY, BOARD OR COMMISSION SECRETARY OF STATE
TO: STATE RECORDS ADMINISTRATOR STATE OF NEBRASKA	DIVISION, BUREAU OR OTHER UNIT BUSINESS SERVICES
	Supersedes Edition of February 17, 2009

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 <i>Judy A. Jobman</i>	
TITLE <i>Deputy Secretary of State for Business Services</i>	DATE <i>9-28-11</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 <i>Gayle Koutney</i>	DATE <i>9/29/2011</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 <i>Dawn Hayflun</i>	DATE <i>9/30/11</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 <i>John A. Dale</i>	DATE <i>10/5/11</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. 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** (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 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**

**SCHEDULE 34-14
SECRETARY OF STATE
BUSINESS SERVICES
October 5, 2011**

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

Supersedes edition of February 17, 2009

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
034-014-001-000-000-000	ACP COUNSELING AND SHELTER SERVICES LIST	Address Confidentiality Program (ACP) list of designated state and local agencies and nonprofit entities providing counseling and shelter services to victims of abuse, sexual assault or stalking which may provide application materials and assist in completion of application process.	Superseded	
034-014-002-000-000-000	ACP MASTER LIST	Master list of all participants in ACP. May include but not limited to name, participant number, date of enrollment, etc.	Superseded	<ul style="list-style-type: none"> •Neb. Rev. Stat §42-12-01 to 42-1210 •Confidential record •Shred record
034-014-003-000-000-000	ACP PARTICIPANT APPLICATIONS	Applications and supporting documents from people wishing to apply to the ACP.	APPROVED: File in ACP PARTICIPANT FILE, Item 034-014-004 REJECTED: Return to applicant DENIED: 4 years	
034-014-004-000-000-000	ACP PARTICIPANT FILES	Files on participants in ACP. May include but not limited to application, copy of participant card, affidavit(s), check off list, mail log, correspondence & supporting documents that may include court orders, etc.	1 year after expiration of participant's certification	<ul style="list-style-type: none"> •Neb. Rev. Stat §42-12-01 to 42-1210 •Confidential record •Shred record
034-014-005-000-000-000	BACK-UP COPIES OF ELECTRONIC DATA	The Secretary of State (SOS contracts with the Office of the Chief Information Officer (OCIO) to provide back-up services for electronic records. Data (records) on the SOS systems/networks is copied to tapes according to this schedule. The data is only to be used for the purposes of business continuity which includes disaster recovery (not for archiving). Servers are located at the OCIO's IM Services Data Center, State Capitol, and our Records Management Facility. Tapes will be maintained by the OCIO, then overwritten or destroyed following the retention rotations.	BACK-UP OF ELECTRONIC RECORDS ON FILE SERVERS (DISK TO TAPE): DAILY BACK-UPS: Erase (scrub; wipe) after 1 week END-OF-WEEK BACK-UPS: Erase (scrub, wipe) after 1 month	E-MAIL (EXCHANGE/OUTLOOK) RECORDS: See DISASTER RECOVERY DATA FOR THE ENTERPRISE EMAIL SYSTEM, Item 124-043
034-014-006-000-000-000	CORPORATION ACKNOWLEDGEMENTS	Acknowledgement of filing report generated by the FileNet System for Corporations. Record is automatically saved to network by system as part of the printing/mailing process.	Annually in July after 1 year	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
034-014-007-000-000-000-000	CORPORATION ANNUAL/BIENNIAL REPORT	Includes foreign, nonprofit and domestic reports (including any amended or corrected reports) for LLC, JPA (Joint Public Agency) and LLP (Limited Liability Partnership). Information includes officers of corporations, amount of stock and amount of taxes paid.	PAPER FILINGS: Scan and load to FileNet System after data entry; 6 years ONLINE FILINGS: Load data to database and image to FileNet System ELECTRONIC RECORD: *Permanent OPTICAL PLATTERS: *Permanent	<ul style="list-style-type: none"> •Reports prior to 1999 are NOT available •Electronic data is in CORPORATIONS DATABASE, item 034-014-012 •*6 year retention requirement, current FileNet System only allows for permanent retention
034-014-008-000-000-000-000	CORPORATION APPLICATION FOR CERTIFICATE OF AUTHORITY	Applications from foreign corporations for foreign LLC's (Limited Liability Company) and LCA's (Limited Cooperative Association) to do business in Nebraska upon which appointments of registered agents are designated.	PAPER FILINGS: Scan, load to FileNet System and microfilm after data entry BEFORE 1/1/1999: Permanent (Corps Vault) 1/1/1999 TO 1/1/2008: Until exceptions reports have been verified or after 5 years, (whichever is later) 1/1/2008 to PRESENT: 5 years SECURITY MICROFILM: State Archives MICROFILM WORK COPY: Permanent ONLINE FILINGS: Load to database and image to FileNet System ELECTRONIC RECORD: Permanent OPTICAL PLATTERS: Permanent CD SECURITY COPY: Destroy after microfilming CD WORK COPY: Destroy after microfilming	Electronic data is in CORPORATION DATABASE, item 034-014-012

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
034-014-009-000-000-000-000	CORPORATION ARTICLES OF INCORPORATION AND CERTIFICATION OF ORGANIZATION	Articles of Incorporation and Certification of Organization filed for domestic, nonprofit and domesticated corporations, LLC's and LCA's. May include, but not limited to: Articles of Incorporation, Certification of Organization, amendments, proofs of publication and records of dissolution.	PAPER FILINGS: Scan, load to FileNet System and microfilm after data entry BEFORE 1/1/1999: Permanent (Corps Vault) 1/1/1999 TO 1/1/2008: Until exceptions reports have been verified or after 5 years, (whichever is later) 1/1/2008 to PRESENT: 5 years SECURITY MICROFILM: State Archives MICROFILM WORK COPY: Permanent ONLINE FILINGS: Load data to database and image to FileNet System ELECTRONIC RECORD: Permanent OPTICAL PLATTERS: Permanent CD SECURITY COPY: Destroy after microfilming CD WORK COPY: Destroy after microfilming	<ul style="list-style-type: none"> •Includes record of all Articles of Incorporation and Organizations (except railroads) 1855 - 1960 •Electronic data is in CORPORATION DATABASE, item 034-014-012
034-014-010-000-000-000-000	CORPORATION ARTICLES OF INCORPORATION FOR AGRICULTURAL ASSOCIATIONS	Articles of Incorporation for Agricultural Associations which are filed without fee with the Secretary of State.	PAPER FILINGS: Scan, load to FileNet System and microfilm after data entry BEFORE 1/1/1999: Permanent (Corps Vault) 1/1/1999 TO 1/1/2008: Until exceptions reports have been verified or after 5 years, (whichever is later) 1/1/2008 to PRESENT: 5 years SECURITY MICROFILM: State Archives MICROFILM WORK COPY: Permanent ONLINE FILINGS: Load to database and image to FileNet System ELECTRONIC RECORDS: Permanent OPTICAL PLATTERS: Permanent CD SECURITY COPY: Destroy after microfilming CD WORK COPY: Destroy after microfilming	Electronic data is in CORPORATIONS DATABASE, item 034-014-012
034-014-011-000-000-000-000	CORPORATION CHAINDEX INDEX	Alphabetical card index to insurance companies, building and loan associations, banks, nonstock corporations, churches and all corporations have articles or changes to the articles.	Enter into CORPORATIONS DATABASE, item 034-014-012 and destroy	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
034-014-012-000-000-000-000	CORPORATION DATABASE	Information for all entities and Annual/Biennial reports. May include but not limited to: Applications for Certificate of Authority, Articles of Incorporation, and Articles of Incorporation for Agricultural Associations, Corporation Occupation Tax Reports, Corporation Tax Liens, General Index, Registrations of Corporate Names and Indexes, Reservations of Corporate Names and Indexes, Service Marks, Trademarks and Trade Name Registrations and Indexes.	Permanent	
034-014-013-000-000-000-000	CORPORATION DESIGNATIONS OF WEED DISTRICTS	Orders of Board of County Commissioners creating districts for the eradication of noxious weeds.	PAPER FILINGS: Scan, load to FileNet System and microfilm after data entry. BEFORE 1/1/1999: Permanent (Corps Vault) 1/1/1999 TO 1/1/2008: Until exceptions reports have been verified or after 5 years, (whichever is later) 1/1/2008 to PRESENT: 5 years SECURITY MICROFILM: State Archives MICROFILM WORK COPY: Permanent ONLINE FILINGS: Load to database and image to FileNet System ELECTRONIC RECORD: Permanent OPTICAL PLATTERS: Permanent CD SECURITY COPY: Destroy after microfilming CD WORK COPY: Destroy after microfilming	Also see CORPORATION CHAINDEX INDEX, Item 034-014-011
034-014-014-000-000-000-000	CORPORATION GENERAL INDEX	Alphabetical card index to all domestic, foreign, nonprofit, and professional corporation as well as public power, weed and noxious weed, drainage, soil and water conservation, sanitary districts, railroads, nonprofit and non stock corporations, political subdivisions and constitutions of organizations.	Enter into CORPORATIONS DATABASE, item 034-014-012 and destroy	<ul style="list-style-type: none"> • Also see CORPORATION - CHAINDEX INDEX, item 034-014-011 • Electronic data is in CORPORATION DATABASE, item 034-014-012

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
034-014-015-000-000-000-000	CORPORATION JOINT PUBLIC AGENCIES	It is the purpose of the Joint Public Agency Act to permit local governmental units to make the most efficient use of their taxing authority and other powers by enabling them to cooperate with other governmental units on a basis of mutual advantage and thereby to provide services and facilities in a manner and pursuant to forms of governmental organization that will accord best with geographic, economic, population, and other factors influencing the needs and development of local communities. Includes Statement of Formation, Amendment to Formation Document, Cancellation of Organization and Dissolution of Organization.	PAPER FILINGS: Scan, load to FileNet System and microfilm after data entry BEFORE 1/1/1999: Permanent (Corps Vault) 1/1/1999 TO 1/1/2008: Until exceptions reports have been verified or after 5 years, (whichever is later) 1/1/2008 to PRESENT: 5 years SECURITY MICROFILM: State Archives MICROFILM WORK COPY: Permanent ONLINE FILINGS: Load to database and image to FileNet System ELECTRONIC RECORD: Permanent OPTICAL PLATTERS: Permanent CD WORK COPY: Destroy after microfilming CD SECURITY COPY: Destroy after microfilming	
034-014-016-000-000-000-000	CORPORATION NAME CONFLICT CHECK LIST	Form used to review and compare possible business and trade name conflicts.	6 months	
034-014-017-000-000-000-000	CORPORATION PARTNERSHIPS	Partnerships are a type of business entity in which partners share with each other the profits or losses of the business undertaking in which all have invested. May include, but not limited to Registration of Certificate of Partnership, Foreign Limited Partnerships, Amendments to Partnership, Records of Cancellation and Statement of Qualification as a Limited Liability Partnership.	PAPER FILINGS: Scan, load to FileNet and microfilm after data entry BEFORE 1/1/1999: Permanent (Corps Vault) 1/1/1999 TO 1/1/2008: Until exceptions reports have been verified or after 5 years, (whichever is later) 1/1/2008 to PRESENT: 5 years SECURITY MICROFILM: State Archives MICROFILM WORK COPY: Permanent ONLINE FILINGS: Load to database and image to FileNet System ELECTRONIC RECORD: Permanent OPTICAL PLATTERS: Permanent CD WORK COPY: Destroy after microfilming CD SECURITY COPY: Destroy after microfilming	Electronic data is in CORPORATION DATABASE, item 034-014-012

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
034-014-018-000-000-000-000	CORPORATION POLITICAL SUBDIVISION FILINGS	Includes various filings pertaining to the organization of Soil and Water Conservation Districts (defunct), Sanitary and Improvement Districts, Noxious Weed Districts and Drainage Districts.	PAPER FILINGS: Scan, load to FileNet System and microfilm after data entry. BEFORE 1/1/1999: Permanent (Corps Vault) 1/1/1999 TO 1/1/2008: Until exceptions reports have been verified or after 5 years, (whichever is later) 1/1/2008 to PRESENT: 5 years SECURITY MICROFILM: State Archives MICROFILM WORK COPY: Permanent ONLINE FILINGS: Load to database and image to FileNet System ELECTRONIC RECORD: Permanent OPTICAL PLATTERS: Permanent CD WORK COPY: Destroy after microfilming CD SECURITY COPY: Destroy after microfilming	Index referenced in CORPORATION CHAINDEX INDEX, item 034-014-011
034-014-019-000-000-000-000	CORPORATION REGISTRATION OF CORPORATE NAME AND INDEXES	Record of registration of name of applicant for corporate status. Registration is valid until the end of the year in which it was issued.	PAPER FILINGS: Scan, load to FileNet and microfilm after data entry. BEFORE 1/1/1999: Permanent (Corps Vault) 1/1/1999 TO 1/1/2008: Until exceptions reports have been verified or after 5 years, (whichever is later) 1/1/2008 to PRESENT: 5 years SECURITY MICROFILM: State Archives MICROFILM WORK COPY: Permanent ONLINE FILINGS: Load to database and image to FileNet System ELECTRONIC RECORD: Permanent OPTICAL PLATTERS: Permanent CD WORK COPY: Destroy after microfilming CD SECURITY COPY: Destroy after microfilming	Electronic data is in CORPORATIONS DATABASE, item 034-014-012
034-014-020-000-000-000-000	CORPORATION REJECTION LETTERS	Letter sent to filer when a document is rejected, explaining the rejection reasons and asking them to correct and return the filing.	1 year	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
034-014-021-000-000-000-000	CORPORATION RESERVATION OF NAME AND INDEXES	Record of reservation of Limited Liability Company and Limited Partnership name for party intending to organize. The reservation is valid for 120 days.	PAPER FILINGS: Scan, load to FileNet System and microfilm after data entry BEFORE 1/1/1999: Permanent (Corps Vault) 1/1/1999 TO 1/1/2008: Until exceptions reports have been verified or after 5 years, (whichever is later) 1/1/2008 to PRESENT: 5 years SECURITY MICROFILM: State Archives MICROFILM WORK COPY: Permanent ONLINE FILINGS: Load to database and image to FileNet System ELECTRONIC RECORDS: Permanent OPTICAL PLATTERS: Permanent CD WORK COPY: Destroy after microfilming CD SECURITY COPY: Destroy after microfilming	Electronic data is in CORPORATION DATABASE, item 034-014-012
034-014-022-000-000-000-000	CORPORATION SERVICE MARK, TRADEMARK AND TRADE NAME REGISTRATIONS AND INDEXES	SERVICE MARK: Record of service marks used to distinguish between persons offering services. TRADEMARK: Record of registered trademarks. TRADE NAME: Record of registration of trade names.	PAPER FILINGS: Scan, load to FileNet System and microfilm after data entry. BEFORE 1/1/1999: Permanent (Corps Vault) 1/1/1999 TO 1/1/2008: Until exceptions reports have been verified or after 5 years, (whichever is later) 1/1/2008 to PRESENT: 5 years SECURITY MICROFILM: State Archives MICROFILM WORK COPY: Permanent ONLINE FILINGS: Load to database and image to FileNet System ELECTRONIC RECORD: Permanent OPTICAL PLATTERS: Permanent CD WORK COPY: Destroy after microfilming CD SECURITY COPY: Destroy after microfilming	<ul style="list-style-type: none"> •Service Mark/Trademark/ Trade Name must be renewed after 10 years •Electronic data is in CORPORATION DATABASE, item 034-014-012
034-014-023-000-000-000-000	CORPORATION TAX LIENS	Records of liens against corporations.	Permanent	Dissolved corporations liens are no longer received, but information is retained in the CORPORATION DATABASE, item 034-014-012

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
034-014-024-000-000-000-000	DEBTOR INDEX			See item UCC EFFECTIVE FINANCING STATEMENT FILINGS (EFS) AND DATABASE 034-014-044 and UCC (UNIFORM COMMERCIAL CODE FILINGS) 034-014-039
034-014-025-000-000-000-000	EFFECTIVE FINANCING STATEMENT MASTER LIST			See UCC EFFECTIVE FINANCING STATEMENT FILINGS (EFS) AND DATABASE, item 034-014-044
034-014-026-000-000-000-000	INDEX TO DRAINAGE, NOXIOUS WEED AND SOILS AND WATER CONSERVATION DISTRICTS			See CORPORATION GENERAL INDEX, item 034-014-014
034-014-027-000-000-000-000	INDEX TO NONPROFIT AND NONSTOCK CORPORATIONS AND SANITARY DISTRICTS			See CORPORATION GENERAL INDEX, item 034-014-014
034-014-028-000-000-000-000	NOTARY APOSTILLE AUTHENTICATION DATABASE AND RECORDS	Used to authenticate the signature of notaries and other public officers with notarial powers on documentation going overseas and is a database to track the requests.	5 years	
034-014-029-000-000-000-000	NOTARY APPLICATIONS AND APOSTILLE REQUESTS - REJECTION	Photocopies that may include applications, bonds, oaths, correspondence and apostille material.	Annually in December after 1 year	
034-014-030-000-000-000-000	NOTARY BONDS, OATHS, APPLICATIONS, CANCELLATIONS AND RENEWALS	May include applications, bonds, oaths, correspondence and cancellations for notary commissions.	ORIGINAL RECORD: Microfilm and dispose of after 1 year SECURITY MICROFILM: Transfer to State Records Center; 100 years MICROFILM WORK COPY: 100 years	
034-014-031-000-000-000-000	NOTARY COUNTY OFFICER REPORTS	Lists of names of county officers with their signatures and seals. Report is filed annually by County Clerk.	4 years, subject to review by the State Archives for possible accession	•Neb. Rev. Stat. §23-1306 •Contact State Archives to negotiate transfer
034-014-032-000-000-000-000	NOTARY DAILY RECEIPTS REPORT	Computer generated report of notary receipts, including fees due from new notaries and renewal applications.	5 years	No tape is generated
034-014-033-000-000-000-000	NOTARY MISCELLANEOUS COMMUNICATION	Miscellaneous correspondence received related to the notary program. May include, but not limited to: requests to return a copy of filing, notary complaints, change of address, requests for contact information, database requests or other copy requests.	COMPLAINTS: 6 months after resolution ALL OTHERS: 6 months	
034-014-034-000-000-000-000	NOTARY NEBRASKA PUBLIC DATABASE (CICS)	Database listing all past and present notaries for the State of Nebraska.	Permanent	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
034-014-035-000-000-000-000	NOTARY OFFICIAL PUBLIC HANDBOOK	Handbooks explaining Nebraska notary procedures, ethics and laws.	ORIGINAL RECORD: One copy permanently and send 4 copies to NE Library Commission Publications Clearinghouse OTHER COPIES: Superseded ELECTRONIC RECORD: Superseded	Neb. Rev. Stat. §51-411 to 51-418
034-014-036-000-000-000-000	NOTARY TEST TRACKER DATABASE	Database listing notary applicant, address, test request dates and scores.	100 years	
034-014-037-000-000-000-000	NOTARY TESTS	Test(s) taken or rejected as part of notary application and/or renewal process.	1 year	Started in 2004 to replace petition process
034-014-038-000-000-000-000	RECORD OF SANITARY DISTRICTS	Includes copies of transcripts of proceedings for the organization of sanitary and improvement districts. Index referenced in Corporation Chaindex Index (see item 34-14-10).		See CORPORATION POLITICAL SUBDIVISION FILINGS, item 034-014-018
034-014-039-000-000-000-000	UCC (UNIFORM COMMERCIAL CODE) FILINGS	Includes real and personal property mortgages, financing statements and subsequent action documents filed by lending institutions, utility corporations and manufacturers.	ORIGINAL RECORD: Scan, load to FileNet and microfilm after data entry; store in UCC Vault; 1 year ELECTRONIC RECORD: Permanent SECURITY MICROFILM: Transfer to State Records Center, permanent MICROFILM WORK COPY: Permanent	
034-014-040-000-000-000-000	UCC ACKNOWLEDGEMENTS	Search and notification report generated by the FileNet System for Uniform Commercial Code (UCC).	Annually in November	Automatically saved to network by system as part of the printing/mailling process
034-014-041-000-000-000-000	UCC BUYER REGISTRATION ACCESS DATABASE	Buyer registration requests of the commodity listing, due to Farm Security Act. Must be a buyer of farm products to apply. Indicates the requester, address, contact person, name of commodities, type of listings, etc.	Annually in November	
034-014-042-000-000-000-000	UCC BUYER REGISTRATION REPORT	Quarterly report of information from EFS & UCC database sent to EFS buyer registration list. Report is generated in microfilm, paper and CD for distribution to buyers.	ELECTRONIC RECORD: Superseded SECURITY MICROFILM: Transfer to State Records Center, permanent CD WORK COPY: No longer administrative value as determined by Deputy SOS for Business Services PAPER COPIES: Superseded	
034-014-043-000-000-000-000	UCC BUYERS REGISTRATION FORM AND RECEIPTS	Client designates the types of listings (commodities) desired and what format it is to be sent (microfilm, paper or CD). Includes requester, address, phone and contact information.	Data entry to database; 10 years	•Cards/receipts filed by buyer ID •Also see UCC BUYER REGISTRATION ACCESS DATABASE, item 034-014

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
034-014-044-000-000-000-000	UCC EFFECTIVE FINANCING STATEMENT FILINGS (EFS) AND DATABASE	Includes agriculture related financing statements and subsequent action document file by lending institutions. Filings are done by paper and data input by Secretary of State staff regarding pertinent debtor, secured party, and collateral information.	ORIGINAL RECORD: Scan, load to Filenet System and microfilm after data entry; store in UCC Vault, 1 year ELECTRONIC RECORD: Permanent SECURITY MICROFILM: Transfer to State Records Center, permanent MICROFILM WORK COPY: Permanent	
034-014-045-000-000-000-000	UCC EFS BUYER REGISTRATION LISTING	Computer report which indicates the types of listings, format, and order to be sent to each requester. Used by RMD-Documents Imaging Service Center to mail Buyers Registration report.	6 months	
034-014-046-000-000-000-000	UCC MONTHLY STATEMENT OF ACTIVITY	Listing of all types of filings (Federal and State Tax Liens and Judgment Filings) during the previous month. Generated by county and split into clerk versus register of deeds.	5 years	
034-014-047-000-000-000-000	UCC TERMINATION REPORT	Monthly listing of database application which is posted on the Secretary of State website.	Superseded	
034-014-048-000-000-000-000	UCC TRANSACTION REPORTS, DAILY	Report lists the previous day's transactions including name, fee and type of filing. Reports summarize the transactions for the respective periods.	5 years	
034-014-049-000-000-000-000	UCC/EFS REJECTION NOTICE	Records include rejection notice and copies of original filing documents.	3 months	
034-014-050-000-000-000-000	UCC/EFS RESEARCH RECORDS	Secretary of State (SOS) forms filled out by company or person requesting searches, search job prints and supporting information sent in with initial request.	3 months	
034-014-051-000-000-000-000	UCC/EFS/CORPORATION ACCOUNTS RECEIVABLE	Any supporting document received or generated that provides support for payments received for UCC or Corporation services. This may include copies of invoices, reports, deposit documents, distribution worksheets, cash receipt summaries, account application, etc.	INVOICE COPY: Data entry, 3 months ACCOUNT APPLICATION: Permanent	ALL OTHER RECORDS: See ACCOUNTS RECEIVABLE, Item 124-003

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.

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