

Schedule 45-7

DEPARTMENT OF LABOR

UNEMPLOYMENT INSURANCE DIVISION

SEPTEMBER 10, 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	45-7
AGENCY, BOARD OR COMMISSION	DEPARTMENT OF LABOR
DIVISION, BUREAU OR OTHER UNIT	UNEMPLOYMENT INSURANCE DIVISION
Supersedes Edition of June 3, 1999	

**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	Commissioner of Labor	DATE 9-1-10

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
	9/7/2010

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
	9/8/10

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
	9/10/10

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 for those records common to most state government agencies. For those records not found in this schedule, check your specific agency schedule. 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 45-7 – DEPARTMENT OF LABOR – UNEMPLOYMENT INSURANCE DIVISION

45-7-46 87-A SUMMARY

Report listing all 87-A's printed by employer number, and the total amount contributed to the program.

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

45-7-3 BENEFIT ADJUSTMENT REGISTER

Monthly computer report shows adjustments made on the computer to the employer being charged.

Dispose of after 3 years.

45-7-7 BENEFIT CHECKS

Check indicating claimants name, social security number, amount paid, and date paid.

Dispose of after 5 years, provided audit has been completed.¹

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).

ORIGINAL RECORD: Dispose of after 5 years, provided audit has been completed.¹

TAPE: Dispose of after 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.

Dispose of after 5 years, provided audit has been completed.¹

45-7-47 BPC CROSSMATCH REPORTS

Computer listing by match quarter of crossmatch 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.

Transfer to the State Records Center 6 months after purge; dispose of after 5 years, provided audit has been completed.¹

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.

Transfer to the State Records Center 6 months after purge; dispose of after 5 years, provided audit has been completed.¹

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.

Dispose of after 5 years, provided audit has been completed.¹

45-7-49 CASH REFUND LEDGERS

Monthly totals of cash refunds from beneficiaries.

Dispose of after 5 years, provided audit has been completed.¹

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.

ORIGINAL RECORD: Dispose of after 5 years, provided audit has been completed.¹

TAPE: Erase after merged with quarterly tape.

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.

Dispose of after 5 years, provided audit has been completed.¹

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.

Dispose of after 5 years, provided audit has been completed.¹

45-7-50 CONTRIBUTION AND BENEFIT JOURNALS

Monthly posting of journals.

Dispose of after 10 years.

45-7-16 CONTRIBUTION REPORTS

A report filed quarterly by each employer indicating total wages, excess wages, subject wages, and contribution due.

ORIGINAL RECORD: Scan and dispose of after image quality has been verified.

SECURITY CD: Transfer to security storage; dispose of after 10 years.

CD WORK COPY: Dispose of after 10 years.

45-7-18 DEPOSIT REGISTER - BENEFIT ACCT./TRA ACCT./WIN ACCT.

Contains bank deposit slips of deposits made in these accounts.

Dispose of after 5 years, provided audit has been completed.¹

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.

Dispose of after 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.

ORIGINAL RECORD: Scan and dispose of after image quality has been verified.
SECURITY CD: Transfer to security storage; dispose of after 10 years.
CD WORK COPY: Dispose of after 10 years.

45-7-25 EMPLOYER NAMES AND CONTRIBUTION NUMBERS ALPHA, QUARTERLY (OBSOLETE AUGUST, 2010)

Alphabetical listing of subject employers and account numbers which is produced quarterly on computer output microfiche (COM).

SECURITY MICROFICHE: Immediately dispose of obsolete record.
MICROFICHE WORK COPY: Immediately dispose of obsolete record.

45-7-51 EXCEPTION LIST (OBSOLETE AUGUST, 2010)

Computer listing of data entry errors and system rejections.

Immediately dispose of obsolete record.

45-7-27 FEDERAL ID NUMBER LISTING (QUARTERLY) (BUSINESS) (OBSOLETE AUGUST, 2010)

Listing of employers and account numbers in federal ID number order. Produced on computer output microfiche (COM).

SECURITY MICROFICHE: Immediately dispose of obsolete record.
MICROFICHE WORK COPY: Immediately dispose of obsolete record.

45-7-52 GENERAL LEDGERS

Monthly posting of accounts into one set of papers.

Dispose of after 10 years.

45-7-57 INTERNAL SECURITY DOCUMENTS

Various detection crossmatch, other listings and general correspondence.

May include Name/Name Crossmatch, Social Security Crossmatch, Address Crossmatch, Fictitious Employer Detection documents, telephone billings, general correspondence.

Dispose of after 5 years.

45-7-29 LIABLE LISTING (ALPHA LISTING BUSINESS) (OBSOLETE AUGUST, 2010)

Alphabetical listing of owner, business, and account number in order by owner's name. Produced on computer output microfiche (COM).

SECURITY MICROFICHE: Immediately dispose of obsolete record.
MICROFICHE WORK COPY: Immediately dispose of obsolete record.

**45-7-30 LIABLE LISTING (ALPHA BUSINESS LIST), INACTIVE
(OBSOLETE AUGUST, 2010)**

Listing of inactive employers and account numbers in alphabetical order. Produced on computer output microfiche (COM).

SECURITY MICROFICHE: Immediately dispose of obsolete record.

MICROFICHE WORK COPY: Immediately dispose of obsolete record.

45-7-31 MAJOR DISASTER DECLARATION

Includes date of declaration, disaster, beginning date and number, type of disaster, state and counties affected.

Dispose of after 3 years, subject to review by the State Archives for possible accession.

**45-7-34 NOTIFICATION OF CONTRIBUTION RATE (FORM 133/128)
(OBSOLETE AUGUST, 2010)**

Yearly notification of contribution rate and voluntary contribution report sent to the employer.

SECURITY MICROFICHE: Immediately dispose of obsolete record.

MICROFICHE WORK COPY: Immediately dispose of obsolete record.

45-7-36 PAY ORDER CARDS

Report filed by the individual claimant indicating they are unemployed and filing a claim for benefits, availability, and earnings.

Dispose of after 5 years, provided audit has been completed.¹

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.

ORIGINAL RECORD: Dispose of after 5 years.

TAPE: Dispose of after 5 years.

45-7-54 QUALITY CONTROL GENERAL CORRESPONDENCE

Miscellaneous forms and correspondence for the Quality Control Unit.

Dispose of after 5 years, provided audit has been completed.¹

45-7-53 QUALITY CONTROL RECORDS

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.

Dispose of after 5 years, provided audit has been completed.¹

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).

Dispose of after 5 years, provided audit has been completed.¹

**45-7-41 UNEMPLOYMENT COMPENSATION PAYMENT
(FORM 1099-UC)**

Summary listing of statements indicating the amount of unemployment compensation received in a given year.

PRINTOUT: Scan and dispose of after image quality has been verified.

SECURITY CD: Transfer to security storage; dispose of after 5 years.

CD WORK COPY: Dispose of after 5 years, provided audit has been completed.¹

45-7-42 UNEMPLOYMENT COMPENSATION PAYMENT REPORT

Monthly report lists the names of those receiving unemployment compensation and the amount.

Dispose of after 1 year.

45-7-56 WAGE SCHEDULES

Quarterly report received from employers with their contribution report which lists employees' name, social security number, and total wages for the quarter.

ORIGINAL RECORD: Scan and dispose of after image quality has been verified.

SECURITY CD: Transfer to security storage; dispose of after 10 years, provided audit has been completed.¹

CD WORK COPY: Dispose of after 10 years, provided audit has been completed.¹

DELETED RECORDS

45-7-8 BENEFIT CHECK REGISTER (OBSOLETE APRIL, 1999)

45-7-15 COMBINED WAGE CLAIMS (OBSOLETE APRIL, 1999)

45-7-28 FORM IB-2, CONTINUED INTERSTATE CLAIM (OBSOLETE APRIL, 1999)

45-7-32 MONTHLY TRANSACTION FOLDERS (OBSOLETE APRIL, 1999)

45-7-35 OUTSTANDING CHECK LISTING (OBSOLETE APRIL, 1999)

45-7-55 RANDOM AUDIT WORK SEARCH SURVEYS AND SUMMARIES (OBSOLETE APRIL, 1999)

45-7-42 UNEMPLOYMENT INSURANCE CLAIM FILES (OBSOLETE APRIL, 1999)

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