

# **Schedule 9**

# **PUBLIC EMPLOYEES RETIREMENT SYSTEMS**

**March 17, 2010**

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

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

SCHEDULE	<b>9</b>
AGENCY, BOARD OR COMMISSION	<b>PUBLIC EMPLOYEE RETIREMENT SYSTEMS</b>
DIVISION, BUREAU OR OTHER UNIT	
Supersedes Edition of August 2, 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	DATE	
Director	3-9-10	

**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
	3/9/2010

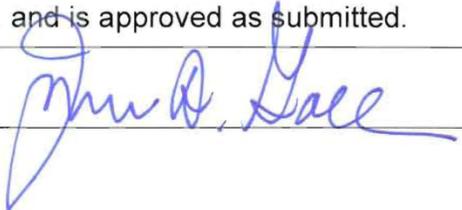
**PART III – APPROVAL OF AUDITOR OF PUBLIC ACCOUNTS:**

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

SIGNATURE	DATE
	3/11/10

**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
	3/17/10

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 9 – PUBLIC EMPLOYEES RETIREMENT SYSTEMS**

### **9-1      ACCOUNTING**

#### **9-1-1      1099R CALCULATION INFORMATION**

Electronic instructions for calculating 1099 forms.

**Dispose of after 100 years.<sup>2</sup>**

#### **9-1-2      1099R FILE FOR IRS**

Electronic file created for all 1099R's issued on refunds of accounts and retirement payments during the calendar year. A copy of the file is sent to the Internal Revenue Service via an FTP file transmission and a CD copy is sent to the Nebraska Department of Revenue.

**Dispose of after 100 years.<sup>1,2</sup>**

#### **9-1-3      ACTUARIAL REPORTS**

Yearly statistical prospectus compiled for the Public Employees Retirement System by the contracted actuarial company. The Director uses the reports to formulate the budget, probable expenses and other accounting transactions for the year.

**ORIGINAL DOCUMENT: Scan to network and dispose of after 10 years, provided audit has been completed.<sup>1,2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**OTHER COPIES: Transfer 3 copies to the Library Commission Publications Clearinghouse and dispose of extra copies after 10 years.**

#### **9-1-4      ACTUARY FILES**

Computer tapes used for actuarial purposes which include social security number, birth date, sex, balance and other such data for active members; survivorship data for members of the patrol system and retired member data for the school, judges, and patrol systems, i.e. benefit amount, date of retirement, birthdates etc. (Original main frame numbers - TRT-T492, TRT-T470).

**PRINTOUTS: Dispose of after superseded or when no longer of reference value, whichever is sooner.**

**ELECTRONIC RECORD: Dispose of after 100 years, provided audit has been completed.<sup>1,2</sup>**

**TAPE: Dispose of after 7 years, provided audit has been completed.<sup>1</sup>**

**SECURITY BACKUP: Dispose of after superseded or obsolete.**

#### **9-1-5      ADJUSTMENT, BUY BACK, AND FINAL PAY REPORTS**

Record of any payments or corrections to member's accounts or school district contribution.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

#### **9-1-6      ANNUITY RESERVE FUND TRANSFERS (OBSOLETE 2001)**

Printouts compiling individual transfers from the School Employees Savings Fund (SESF), School Employers Deposit Fund (SEDF), and Service Annuity Fund (SAF) to the Annuity Reserve Fund (ARF) for the monthly retirements.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>1,2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-1-8 BANK INVESTMENT REPORTS**

Statements received from custodian of trust funds. These monthly reports show activity during the month and a statement of assets.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>1,2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-1-9 BOARD EXPENSE REPORT**

Monthly computer printout of all expenses paid that month.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-1-10 BUREAU OF CENSUS REPORTS**

Annual reports filed with the Bureau of Census showing activity in the school, judges, and patrol retirement systems during the fiscal year.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-1-11 CALCULATION OF INTEREST FACTOR FOR COMPUTATION OF SCHOOL RETIREMENTS**

The calculation of interest factor for computation of school retirements is used to determine the 1968 balance with interest at the date of retirement. This calculation is made monthly.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-1-12 CASH BALANCES**

Internal record of receipts and disbursements to cash accounts.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-1-13 CASHFLOW RECORDS**

Record of receipts and disbursements for the school, state, county, judges, and patrol retirement systems to facilitate determination of quarterly transfer requirements.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-1-14 COUNTS AND BALANCES**

Monthly list of active, inactive and closed accounts, their number and total balance (TRT610).

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-1-16 COURT FEE REMITTANCES**

Record of all court fees entered into funds for judges' retirement.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-1-17 DATABASE FOR TRACKING REPORTS RECEIVED**

Database to track which schools have and have not sent in required reports.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-1-18 DETERMINATION OF INTEREST ALLOCATION (OBSOLETE 2001)**

Spreadsheet showing how interest is allocated between the state and members in the judges and patrol retirement systems and between SESF, SEDF, SAF, and ARF in the school retirement system.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-1-19 DIRECT DEPOSIT REGISTER (OBSOLETE 2002)**

Monthly list to COM of all individuals receiving retirement payments by electronic transfer to their financial institution from the school, state, county, judges, and patrol retirement systems (Original main frame number - TRT839). *NOTE: All COM TRT839 security microfiche was disposed of in 1999 and 2000 as authorized by the Agency.*

**MICROFILM WORK COPY: Dispose of after 100 years.<sup>2</sup>**

**9-1-20 DISBURSEMENT REPORT, DCP**

Monthly listing of all payments made from the plan during a month.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-1-21 DISBURSEMENT REPORT, STATE AND COUNTY**

Consolidated report showing all payments made from a plan from 1/1-12/31 of each year by payee's social security number and type of payment made.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-1-7 EMPLOYER CONTACT FORM**

Signature authorizations as to who may sign reports and forms filed with Retirement Systems.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-1-22 EQUAL RETIREMENT BENEFIT FUND**

Log of billings and receipts for funds from state agencies and counties for credit to statutory fund.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-1-23 FINANCIAL INSTITUTION REGISTER**

Magnetic tape control totals and monthly listing by financial institution of direct deposit payments for the school, judges, and patrol retirement systems (Original main frame number - TRT836A&B).

**ORIGINAL RECORD: Dispose of after 2 years, provided audit has been completed.<sup>1</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years, provided audit has been completed.<sup>1,2</sup>**

**COMPUTER TAPE: Dispose of after 5 years.**

**9-1-24 FINANCIAL STATEMENTS**

Balance sheets, reconciliations, statement of changes in investments, and notes.

**ORIGINAL NPERS RECORD: Scan to network and dispose of after 60 days, provided audit has been completed.<sup>1, 2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**OTHER COPIES: Transfer 3 copies of each booklet to the Library Commission Publications Clearinghouse. Retain one copy until no longer of reference value; dispose of extra copies when superseded.**

**9-1-25 FORFEITURE ACCOUNTS AND CHARGES**

Record of forfeited accounts and charges for the school, state and county retirement systems.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-1-26 GENERAL LEDGER, SCHOOL, JUDGES, AND PATROL**

Separate record of account balance for the school, judges, and patrol retirement systems.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-1-27 INCOME TAX WITHHOLDING REPORTS, FEDERAL**

Monthly and quarterly reports submitted to the IRS summarizing federal income tax withheld from retirement benefits.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-1-28 INCOME TAX WITHHOLDING REPORTS, STATE**

Monthly and quarterly reports to the Nebraska Department of Revenue summarizing state income tax withheld from retirement benefits. Department of Revenue regulation Title 36, Chapter 21, 013.06 requires this information to be kept for 3 years.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-1-29 INTEREST POSTED**

Monthly list of all interest posted to individual accounts (Original main frame number - TRT410).

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-1-30 INVENTORY DATABASE**

Complete record of all equipment inventories. At the end of each fiscal year a printout is sent to DAS - Materiel and an agency printout is made.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**AGENCY PRINTOUT: Dispose of after 2 years, provided audit has been completed.<sup>1</sup>**

**9-1-31 INVESTMENT INFORMATION**

Information and reports generated and maintained by the Investment Council and DAS regarding investment units held.

**Dispose of after 5 years.**

**9-1-32 JOURNAL ENTRIES PREPARED BY THE STATE TREASURER**

Entries prepared by the State Treasurer for trust funds of the school, judges, and patrol retirement systems.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-1-33 JUDGES CASH RECEIPT REGISTER**

Record of all checks and cash received, returned or deposited and stored on the Traverse accounting system.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-1-34 JUDGES REMITTANCE LISTING SPREADSHEET**

Listing by county of all Court Fee Remittances stored on the Traverse accounting system.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-1-35 MONTHLY DEDUCTION REPORT**

Consists of payroll generated deduction report and contribution listing for each bi-weekly and monthly payroll.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-1-36 OMAHA SERVICE ANNUITY CLAIM AND LUMP SUM PREMIUM CLAIM**

Record of monthly claim from Omaha Retirement Systems.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-1-37 RECONCILIATION TO DAS CALCULATE, MONTHLY SALARY (OBSOLETE 2001)**

Diskettes and printouts showing internal calculations for monthly payroll and reconciling to DAS calculate.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-1-38 RECONCILIATIONS, EXPENSE**

Internal monthly reconciliation of budgeted expenditures to DAS Budget Status Report.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORDS: Dispose of after 100 years.<sup>2</sup>**

**9-1-39 REFUND CLAIM REGISTER**

Monthly list to COM of all individuals receiving a refund from the school, judges, and patrol retirement system (Original main frame number - TRT220A,B,C).

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-1-41 REPORTS OUTSTANDING, ACCEPTED, IN ERROR**

Periodic list generated upon request of reports outstanding, accepted or in error (Original main frame number - TRT300).

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-1-42 REPORTS, SCHOOL, JUDGES, AND PATROL**

Report of monthly or quarterly deductions from member's salary. May include but not limited to: Computer printout of reports received via paper, diskette, tape, electronic transmission or prior to 1985 bound volumes.

**ORIGINAL RECORD:**

**PRIOR TO 12/31/2000: Microfilm for Security, dispose of after 100 years.**

**AFTER 12/31/2000: Scan to network and dispose of after 60 days.<sup>2</sup>**

**SECURITY MICROFILM:**

**PRIOR TO 12/31/2000: Transfer to the State Records Center; dispose of after 100 years.**

**SECURITY WORK COPY:**

**PRIOR TO 12/31/2000: Dispose of after 100 years.**

**DISKETTE: Download to network system; dispose of after 1 year, provided audit has been completed.<sup>1</sup>**

**ELECTRONIC TRANSMISSION: Import to network system; dispose of after 2 years, provided audit has been completed.<sup>1</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.**

**9-1-43 RETIREMENT CLAIM REGISTER**

Monthly list to COM of all individuals receiving monthly retirement payments from the judges and patrol retirement systems. The report provides benefit amounts and the total amount paid from each system (Original main frame number - TRT810A,B,C).

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-1-44 SCHOOL INACTIVE ACCOUNTS**

Computer report of accounts with no activity for the previous three years. Requested on an as needed basis (Original main frame number - TRT541).

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-1-45 SCHOOL RETIREMENT REPORT, MONTHLY**

Report of persons retiring each month. Report includes retirement number, amount in account, last school taught at, and age.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-1-46 SEMINAR EXPENDITURES/BILLINGS REQUESTS**

To pay each community college, a payment request is generated for the agency accounting division. To bill agencies who pay their employee registration fee, a direct bill request is generated for the agency accounting division. A refund request is generated for members who preregister and do not attend.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-1-47 SUMMARY OF MONTHLY REMITTANCE**

Record of amounts deposited into school retirement funds.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-1-48 SURVEYS**

Copies of surveys completed and results obtained

**ORIGINAL RECORD: Scan to network and dispose of after 10 years.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-1-49 TAX WITHHOLDING PAYMENTS**

Disbursement documents showing amount of federal income tax paid for school refunds, patrol annuities and refunds, and judge's annuities and refunds.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-1-50 VERIFICATION OF ATTENDANCE FORM**

Verification of attendance of plan members preregistered to attend a preretirement planning seminar. The form is completed by a Retirement System representative and Community College representative the day of the seminar and is used to authorize reimbursement to the college for services provided.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**INFORMATION DIVISION COPY: Dispose of after 2 years, provided audit has been completed.<sup>1</sup>**

**9-5 ADMINISTRATIVE RECORDS**

**9-5-12 AGENCY PAYROLL TIME SHEET SPREADSHEETS**

Information posted from individual time sheets. Information is kept for individual employees and aggregate monthly for the agency.

**Dispose of after 3 years, provided audit has been completed.<sup>1</sup>**

**9-5-2 ANNUAL REPORT TO THE LEGISLATURE**

Report showing in detail the Retirement Office activities, expenses and statistical data incurred during the calendar year.

**ORIGINAL RECORD: Transfer one paper copy to State Archives; scan to network and dispose of after 60 days.**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-5-3 CONTRACTS**

**9-5-3-1 ACTUARIAL CONTRACTS (FORMERLY ACTUARIAL CONTRACTS AND MISCELLANEOUS INFORMATION)**

Actuarial contracts and general information regarding the present actuarial contract.

**ORIGINAL RECORD: Scan to network and dispose of 3 years after contract has expired with current vendor, provided audit has been completed.<sup>1,2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-5-3-2 ANNUITY AND INVESTMENT CONTRACTS (FORMERLY ANNUITY CONTRACTS)**

Contracts and related correspondence regarding the awarding of the annuity and investment contracts for the State, County, and Deferred Comp plans.

**AWARDED: Scan to network and dispose of 3 years after completion, fulfillment, or voiding of contract and provided audit has been completed.<sup>1</sup>**

**NON AWARDED: Scan to network and dispose of after 2 years, provided audit has been completed.<sup>1</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-5-3-3 MISCELLANEOUS CONTRACTS**

Miscellaneous contracts that may include general obligation for goods & services. Documents may include, but are not limited to specifications, requests for proposals or information (RFP/RFI), bid evaluation, work/change orders, contracts, contract oversight and performance documents, etc.

NOTE: Agreements and contracts may have language/conditions included in award for alternative disposition.

**AWARDED: Scan to network and dispose of 3 years after completion, fulfillment, or voiding of contract and provided audit has been completed.<sup>1</sup>**

**NON AWARDED: Scan to network and dispose of after 2 years, provided audit has been completed.<sup>1</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-5-3-4 TECHNOLOGY PROVIDER CONTRACTS**

The documents, contracts and other materials associated with providers of information technology and related services to NPERS. An example would be the provider of software development services. NOTE: Agreements and contract may have language/conditions included in award for alternative disposition.

**AWARDED: Scan to network and dispose of 3 years after completion, fulfillment, or voiding of contract, provided audit has been completed.<sup>1</sup>**

**NON AWARDED: Scan to network and dispose of after 2 years, provided audit has been completed.<sup>1</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-5-4 COMPUTER GENERATED REPORTS**

Computer reports generated by record keeper and Pioneer Report Systems which includes but is not limited to membership demographic changes, forfeitures, late filings, transfers, adjustments, beneficiary changes, refund and retirement cancellations, social security number changes, projected refunds and retirements, remittance changes, retirement payment cancellations, retirement adjustment changes, and ACH bank changes (Original main frame numbers - TRT110-155, 158, 830A&B, 831, 832A,B,&C, 833, 834).

**COMPUTER PRINTOUT: Dispose of after 2 years, provided audit has been completed.<sup>1</sup>**

**COMPUTER TAPE: Dispose of after 5 years, provided audit has been completed.<sup>1</sup>**

**9-5-12 INSTRUCTION MANUALS, COMPUTER MAINFRAME**

All manuals and related material for the current computer mainframe for the maintenance and use of the process.

**Maintain a hard copy for two years after the system has been replaced.**

**9-5-5 INVESTMENT PERFORMANCE REVIEWS**

Copy of report generated by Nebraska Investment Council showing investment returns.

**QUARTERLY REPORTS: Dispose of after 2 years.**

**ANNUAL REPORTS: Dispose of after 2 years.**

**9-5-6 IRS LETTERS OF APPROVAL**

Letters of ruling from the IRS advising of plan compliance with IRS regulations.

**ORIGINAL RECORD:**

**PRIOR TO 12/31/2000: Microfilm for security; retain permanently.**

**AFTER 12/31/2000: Scan to network and retain permanently.**

**SECURITY MICROFILM:**

**PRIOR TO 12/31/2000: Transfer to the State Records Center; retain permanently.**

**MICROFILM WORK COPY:**

**PRIOR TO 12/31/2000: Retain permanently.**

**9-5-7 LEGAL OPINIONS AND ADVICE**

Includes opinions from the Attorney General and/or agency legal counsel concerning state and/or federal regulations or statutes.

**ORIGINAL RECORD: Scan to network and retain permanently.**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-5-8 PHONE LOG REPORTS**

Reports generated on calls received by the Call Center.

**Dispose of after 2 years.**

**9-5-9 STATE ID NUMBER SPREADSHEET**

Listing of current employees and their state ID number.

**Dispose of information after updated or superseded.**

**9-5-11 THIRD PARTY RECORDKEEPER CONTRACT AND AMENDMENTS**

The IPG contract with third party record keeper for the defined contribution retirement systems (i.e., State, County and Deferred Comp plans).

**AWARDED: Scan to network and dispose of 3 years after completion, fulfillment, or voiding of contract and provided audit has been completed.<sup>1</sup>**

**NON AWARDED: Scan to network and dispose of after 2 years, provided audit has been completed.<sup>1</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-5-13 STATE AUDIT OF PUBLIC ACCOUNTS – ALL PLANS**

Annual audits of each retirement plan performed by the Nebraska Auditor of Public Accounts.

**ORIGINAL RECORD: Scan to network and dispose of after 10 years, provided the audit has been completed.<sup>1,2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

## **9-4      DEFERRED COMPENSATION PLAN (DCP)**

### **9-4-1      ACCOUNT SUMMARY**

Semi-annual accounting summary received from plan carrier.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

### **9-4-2      CORRESPONDENCE WITH HARTFORD**

Consists of correspondence directed to and received from Hartford. Includes name and address changes, statement reconciliation problems, participant cancellation, etc.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

### **9-4-3      FUND TRANSFERS**

Consists of a copy of each general document reflecting credit to the DCP Fund and a copy of each disbursement document forwarding funds to the plan carrier. The original is held by the accounting division.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

## **9-7      EDUCATION SERVICES DIVISION**

### **9-7-1      CALENDAR OF SEMINARS**

Dates of seminars scheduled and per time of season. The calendar is set in advance and then distributed.

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**OTHER COPIES: Retain one copy until no longer of reference value; dispose of extra copies after 1 year.**

### **9-7-2      COMMUNITY COLLEGE AGREEMENT, PLANNING SEMINARS**

Electronic informal, non-binding agreement between the Public Employees Retirement Systems and the Community Services Council of the State Community Colleges. The colleges agree to provide facilities, instructors, materials and refreshments as needed for each seminar held at a community college. NPERS conducts the seminar and reimburses the college for expenses with registration fees paid by participants and a per person fee paid out of retirement funds.

**Dispose of after 100 years.<sup>2</sup>**

### **9-7-3      ELIGIBLE ACCOUNTS OF ALL PLAN MEMBERS (OBSOLETE 2004)**

Computer report showing all active plan members in each retirement plan and mailing labels generated on plan members.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

### **9-7-4      EMPLOYER TRAINING/OPERATIONAL MANUALS**

Electronic Employer Training/Operational Manuals assist employers (i.e., County Clerks, State agencies, personnel contacts, and School Employer Contacts) with the preparation and completion of forms used in the Nebraska Public Employees Retirement System

**Dispose of after 100 years.<sup>2</sup>**

**9-7-5 PLANNING SEMINAR PROCEDURAL MANUAL**

Electronic guidelines for community college representatives to assist with planning seminars.

**Dispose of after 100 years.<sup>2</sup>**

**9-7-6 PLANNING SEMINAR ROSTER**

A list of all plan members and spouses who have attended a planning seminar. Entered into an electronic file upon receipt. The roster includes date of attendance and location.

**ORIGINAL RECORD: Scan to network and dispose of after 4 years.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years, provided audit has been completed.<sup>1,2</sup>**

**9-7-13 RETIREMENT PLAN BOOKLETS**

Booklets published to explain the provisions of the school, state, county, judges, and patrol retirement plans and the DCP plan.

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**OTHER COPIES: Transfer 3 copies of each booklet to the Library Commission Publications Clearinghouse and 1 copy to the State Archives. Retain one copy until no longer of reference value; destroy the extra copies when superseded.**

**9-7-14 RETIREMENT PLAN NEWSLETTERS**

Newsletters published quarterly or semi-annually for distribution to plan members on the school, patrol, judges, state and county retirement systems.

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**OTHER COPIES: Transfer 3 copies of each issue to the Library Commission Publications Clearinghouse and 1 copy to the State Archives; destroy the extra copies when superseded.**

**9-7-7 SEMINAR BROCHURES**

Brochures distributed when a planning seminar is to be held in the various areas throughout the state.

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**OTHER COPIES: Transfer 3 copies of each brochure to the Library Commission Publications Clearinghouse. Retain one copy until no longer of reference value; destroy the extra copies when superseded.**

**9-7-8 SEMINAR EVALUATIONS/QUESTIONNAIRES**

An evaluation completed by participants of planning seminars at the end of the seminar day. Questionnaires are used to evaluate the program and make necessary changes based on the needs of the participants.

**BLANK RECORD COPY: Dispose of after superseded or obsolete.**

**COMPLETED EVALUATIONS: Dispose of 1 year after the seminar.**

**COMPLETED FOLLOW-UPS: Dispose of after reviewed.**

**9-7-9 SEMINAR FORM LETTERS**

Form letters to eligible members and employers announcing upcoming planning seminars.

**Dispose of after superseded.**

**9-7-10 SEMINAR HANDOUTS**

Handouts including agendas, retirement checklist, income tax information and resource materials available from State and Federal resources.

**Dispose of after superseded or obsolete.**

**9-7-11 SEMINAR REFERENCE MATERIAL**

Correspondence with community colleges and facilitator notes on seminars used for reference when setting up future meetings.

**Dispose of after superseded or obsolete.**

**9-7-12 SEMINAR REGISTRATION FORM**

Advance registration form completed by plan members to attend a planning seminar. The form shows full name, birth date, social security number, retirement plan, seminar date and location. The completed form is used to generate an attendance roster .

**Dispose of after 2 years, provided audit has been completed.<sup>1</sup>**

**9-9 EMPLOYER-RELATED DOCUMENTS AND INFORMATION**

**9-9-6 COUNTY CORRESPONDENCE FILES**

Correspondence with County representatives regarding laws, employees, etc.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-9-15 COUNTY SCHOOL CORRESPONDENCE FILES (OBSOLETE NOVEMBER 1999)**

Correspondence with school districts regarding laws, employees, etc.

**SECURITY MICROFILM: Transfer to the State Records Center; dispose of after 100 years.**

**MICROFILM WORK COPY: Dispose of after 100 years. Store an image from the Microfilm work copy electronically for 100 years.<sup>2</sup>**

**9-9-7 DCP CORRESPONDENCE FILES**

Correspondence with members and the third party record keeper regarding laws, employees, etc.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-9-3 JUDGES CORRESPONDENCE FILES**

Correspondence with Judges and Court Systems regarding laws, employees, etc.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-9-1 SCHOOL CORRESPONDENCE FILES**

Correspondence with school districts regarding laws, employees, etc.

**ORIGINAL RECORD: Scan to network and dispose of after 30 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

### **9-9-5 STATE CORRESPONDENCE FILES**

Correspondence with State Agencies regarding laws, employees, etc.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

### **9-9-4 STATE PATROL CORRESPONDENCE FILES**

Correspondence with the Nebraska State Patrol regarding laws, employees, etc.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

## **9-8 MEMBER FILE INFORMATION**

### **9-8-4 APPEAL OF A BOARD ACTION OR DECISION – DOCUMENTS**

These include the decision letter of the Board or Director, the member's appeal form, agency answer, and all other documents associated with an appeal or an appeal hearing.

**ORIGINAL RECORD: Scan to network and dispose of 5 years after litigation is final.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

### **9-8-1 APPLICATION FOR DISABILITY RETIREMENT**

These include the application form, confidential doctor's report and other documents necessary for the Board to make a recommendation on granting or denying a disability retirement application.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

### **9-8-5 APPLICATIONS FOR ELIGIBILITY AND VESTING CREDIT– DOCUMENTS**

The form and associated documents which allows new members of all five (5) retirement plans to obtain eligibility and vesting credit for years of participation in other Nebraska public retirement plans.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

### **9-8-2 APPLICATION FOR RETIREMENT**

These are the forms and accompanying documents necessary for a member to apply for and receive a retirement annuity or systematic withdrawal of accumulated contributions.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

### **9-8-3 BENEFICIARY DESIGNATION FORM**

The form by which a member designates the person(s) or entities that receive the interest in his or her retirement account upon the member's death.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-8-6 DEATH OF A MEMBER – POST-RETIREMENT– DOCUMENTS**

These documents include those associated with the death of a member who is currently receiving a retirement benefit, including applications for survivor's benefit, death notification, and the death certificate.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-8-7 DEATH OF A MEMBER – PRE-RETIREMENT – DOCUMENTS**

These documents include those associated with the death of a member prior to receiving a retirement benefit, including applications for survivor's benefit, death notification, and the death certificate.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-8-10 INVESTMENT ELECTION FORMS (DEFINED CONTRIBUTION PLANS)**

These forms are documentary proof of the selection or change of investment options in the defined contribution plans.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-8-11 MEMBER DEMOGRAPHIC CHANGE DOCUMENTS**

Documents by which members communicate to the Agency changes in name, address and other personal information.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-8-12 MEMBER ENROLLMENT FORM**

The form filled out by members of all plans upon hire, representing the document on which is used to create a member account.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-8-13 MEMBER ESTIMATE DOCUMENTS**

These include estimates of benefits and annuities produced at the request of a member. The category includes both internal documents generated in the creation of an estimate and documents that are communicated to the member.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-8-14 MEMBER TAX DOCUMENTS**

These consist of the various forms, such as 1099-R's, W-4P's, Nebraska State Income Tax Withholding Certificates and other tax information generated by the Agency for the members.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-8-15 MISCELLANEOUS MEMBER CORRESPONDENCE**

These include all documents found in a member's file that are not categorized in the preceding sections.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-8-16 NONCONTRIBUTING MEMBER FORM**

These are forms by which employers inform the Agency of the termination of a member's employment. They are necessary for an agency to initiate a distribution of plan assets to a member.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-8-17 PATROL SURVIVORSHIP CHANGE FORM**

The form by which members of the Patrol plan communicate changes to the status of spouses and minor children.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-8-8 PAYMENT OF MONTHLY BENEFITS POST-RETIREMENT – DOCUMENTS**

These include Direct Deposit Forms, Annual Cost-of-Living-Adjustment Letters, and other documents internally generated as well as those sent to the member that are associated with the payment of monthly benefits on an on-going basis.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-8-18 PROOF OF AGE DOCUMENTS**

These include birth certificates and other proof of age necessary to document the age of members and beneficiaries of the system. They are provided by the member, but copies are kept by the Agency.

**ORIGINAL RECORD: Scan a copy to network and return original to member.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-8-19 PROOF OF LEGAL STATUS DOCUMENTS**

These include official legal proof of marriage, adoption, creation of a trust, power of attorney, guardianship, conservatorship, QDRO, and other legal documents that concern the relationship of a member to a spouse or beneficiary, or the documents necessary for a member to designate a legally constituted entity as a beneficiary.

**ORIGINAL RECORD: Scan a copy to network and return originals to member.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-8-20 PURCHASE OF SERVICE DOCUMENTS (DEFINED BENEFIT PLANS)**

These are the forms and documents associated with the repayment of refunded contributions, purchase of out-of-state service, purchase of leave-of-absence service, purchase of military service, and purchases of service made in contemplation of retirement.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-8-9 QUALIFIED DOMESTIC RELATIONS ORDER – DOCUMENTS**

These documents include the letter qualifying an order, the certified copy of the order, correspondence from the member and alternate payee, internal documents created in generating the QDRO and other associated documents.

**ORIGINAL RECORD: Scan to network and dispose of after 25 years.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-8-21 REFUND AND DISBURSEMENT DOCUMENTS**

These are the forms necessary for a member to receive a refund or lump-sum distribution of retirement plan assets.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-8-22 REPAYMENT OR PURCHASE (DEFINED CONTRIBUTION PLANS)**

These are the forms and documents associated with purchases and repayments in the defined contribution systems, including rollover paperwork, irrevocable payroll deduction agreements, and other associated documents.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-8-23 RETIREMENT CALCULATION DOCUMENTS**

These consist of the internal forms, such as checklists, validation worksheets, letters and other documents created to process a retirement application and prepare it for pay out.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-8-24 STATEMENT OF ACCOUNT (DEFINED BENEFIT PLANS)**

Annual statement of a member's interest in his or her retirement benefit, including years of service, salary, and other information as determined by the Public Employees Retirement Board.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-8-25 STATEMENT OF ACCOUNT (DEFINED CONTRIBUTION PLANS)**

Statements are sent quarterly to plan members containing a statement of account balances and other relevant information.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-2 SCHOOL, JUDGES, AND PATROL**

**9-2-1 1945 NONMEMBERSHIPS**

Election by certified employees not to participate in School Retirement in 1945.

**ORIGINAL RECORD: Microfilm for security; dispose of after January 1, 2046.**

**SECURITY MICROFILM: Transfer to the State Records Center; dispose of after January 1, 2046.**

**MICROFILM WORK COPY: Dispose of after January 1, 2046.**

**9-2-2 ANNUAL LISTS OF VALID NC'S**

Annual list from school districts of those persons still holding a valid Nonmembership.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-2-3 ANNUAL SCHOOL EMPLOYEES LIST (OBSOLETE FY86)**

Maintained in bound volumes. Beginning of school year reports of employee's salaries to be paid for that reporting period.

**ORIGINAL RECORD: Microfilm for security; dispose of after 100 years.**

**SECURITY MICROFILM: Transfer to the State Records Center; dispose of after 100 years.**

**MICROFILM WORK COPY: Dispose of after 100 years.**

**9-2-4 ELECTION OF NONMEMBERSHIP FILES (OBSOLETE 1989)**

Microfilmed record of noncertified employees who have elected not to participate in the School Retirement System.

**SECURITY MICROFILM: Retain at the State Records Center; dispose of after 100 years.**

**MICROFILM WORK COPY: Dispose of after 100 years.**

**9-2-5 LEDGER CARDS (OBSOLETE)**

Record of each account's individual postings prior to FY86. The cards have been microfilmed and jacketed with individual member files.

**ORIGINAL RECORD: Dispose of after July 1, 2061.**

**SECURITY MICROFILM: Retain at the State Record Center; dispose of after July 1, 2061.**

**9-2-6 NC NUMBER LIST**

List of all accounts with a valid NC (nonmembership) number (Original main frame number - TRT420).

**Dispose of after any necessary updates or corrections are made.**

**9-2-7 NO MEMBERSHIP REGISTRATION DATABASE**

List of members who have not filed a membership registration form. Database is continually kept current.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-2-8 RETIREMENT PAYMENT ACTIVITY**

Reports generated for the school, judges, and patrol payment system including Recovery Date Projections, Option 3 Expiration Notice, Age 19 Limitation Notice, and List of Cancels, Purges, Suspends, Deaths, and tax exclusion calculations (Original main frame numbers - TRT815, 825, 881, 882, 883).

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

**9-2-9 RETIREMENT PAYMENT REGISTER**

Monthly list of all school, judges, and patrol retirees and a separate list in alphabetical order (Original main frame number - TRT835A&B).

**ELECTRONIC RECORD: Dispose of after 100 years, provided audit has been completed.<sup>1,2</sup>**

**COMPUTER TAPE: Dispose of after 5 years, provided audit has been completed.<sup>1</sup>**

## **9-3 STATE AND COUNTY PLANS**

### **9-3-1 ACCOUNTING SUMMARIES**

Monthly and annual summaries received in microfiche form from plan carriers and investment managers concerning the current status of member accounts.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

### **9-3-2 AUTHORIZED SIGNATURE FILE (OBSOLETE 2001)**

Used in the State System only. Local authorization listing of persons within a particular agency authorized to sign documents pertaining to retirement.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

### **9-3-3 INDIVIDUAL ACCOUNT REPORT**

Annual listing of all plan members as of 12/31 of each year. Provides account balances as of 1/1, total contributions posted during the year, earnings credited, and account balances as of 12/31.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

### **9-3-4 MASTER LIST**

Annual listing of plan members as of 12/31 of each year. Provides social security number, name, date of birth, hire, and eligibility.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

### **9-3-5 NON-CONTRIBUTING/NEW MEMBERS REPORT**

Monthly report from plan carrier showing employees having an active account and making no contributions. Report also includes employees making contributions for the first time.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

### **9-3-6 REMITTANCE LISTINGS (OBSOLETE 2001)**

Monthly record of funds received from State and Counties for credit to individual employee accounts.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

### **9-3-7 TRANSACTIONS/ALLOCATION SPLITS**

Local report from investment manager advising of investments bought or sold. Reports from record keeper advising of contribution allocations, requirements for cash transfer to fund benefits, and transfer by employees between investment options.

**ORIGINAL RECORD: Scan to network and dispose of after 60 days.<sup>2</sup>**

**ELECTRONIC RECORD: Dispose of after 100 years.<sup>2</sup>**

## **DELETED RECORDS**

### **9-1-40 REMITTANCE NUMBER LISTING (OBSOLETE 2002)**

**NOTES**

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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.

2. **NPERS** has utilized the provisions of Neb. Rev. Stat. § 86-639 to store almost all its documents in an electronic format. "If a law requires that a record be retained, the requirement is satisfied by retaining an electronic record of the information in the record which;

(1) accurately reflects the information set forth in the record after it was first generated in its final form as an electronic record or otherwise; and

(2) Remains accessible for later reference. " [§ 86-639(a)]

(3) Applications used for NPERS electronic records include:

Nebraska Public Retirement Information System (NPRIS) – Java-based Retirement Application. This is the record tracking, auditing and work processing part of the system.

FileNet – Image and Workflow Management Application. These images are stored, retrieved and entered into workflows through FileNet.

Traverse – SQL-based Accounting Application Used Exclusively by Accounting Division

in the storage of electronic documents that is allowed pursuant to § 86-2112, § 84-1228 requires certain minimum standards to preserve the electronic version. This section is meant to bring **NPERS** into compliance with the storage and back-up provisions of § 84-1228.

**THEREFORE**, the following procedures shall be followed to ensure that NPERS has maintained an appropriate level of preservation for documents subject to this retention schedule.

**ORIGINAL PAPER VERSION: NPERS** staff will, upon receipt of a document, scan it to make an electronic version of the document and will take reasonable steps to assure that the electronic image of the document accurately reflects the information set forth in the document. The paper document will be kept for a minimum 60 days, unless otherwise indicated under specific items contained in this schedule, then shredded and a Records Disposition Report filed with the Records Management Division.

**ELECTRONIC BACK-UP:** All server disks, including imaged documents, will be backed up to magnetic tape for the purposes of recovery and business continuity. The magnetic tapes will be maintained and then overwritten or destroyed following these rotations: Differential Backups (Monday-Friday); Overwrite after 1 week.

Weekly Backups: Overwrite after 1 month.

Monthly Backups: Overwrite after 1 year.

The weekly and monthly tapes in this section will be stored in the tape storage area at the Office of the CIO.

**DUPLICATE ELECTRONIC BACKUP:** Additional copies of the weekly and monthly backup magnetic tapes will be generated as part of the regular disaster and business continuity back-up process. These copies will be stored at a secondary secure location, and maintained and overwritten or destroyed following these rotations:

Weekly Backups: Overwrite after 1 month.

Monthly Backups: Overwrite after 1 year.

In addition to this schedule, 1 copy of the monthly backups will be saved at the secure location every 6<sup>th</sup> month, and stored for 10 years..

\* For purposes of this document, a "secure location" shall mean a location not in the same building as the NPERS office. The location of storage for backup tapes shall be restricted to authorized personnel only, and the information shall be protected from electrical power surges and unauthorized tampering.

# RECORDS DISPOSITION REPORT

<b>TO: SECRETARY OF STATE RECORDS MANAGEMENT DIVISION 440 S. 8<sup>TH</sup> STREET SUITE 210 LINCOLN, NE 68508-2294</b>	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.)**

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