

Schedule 45-3

LABOR DEPARTMENT JOB SERVICE

JUNE 3, 1999

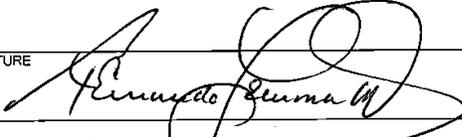
Nebraska Records Management Division
440 South 8th Street, Suite 210
Lincoln, NE 68508
(402) 471-2559

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

TO: STATE RECORDS ADMINISTRATOR STATE OF NEBRASKA	SCHEDULE NUMBER 45-3
	AGENCY, BOARD OR COMMISSION Department of Labor
	DIVISION, BUREAU OR OTHER UNIT Job Service Division
	Supersedes Edition of February 1, 1989

PART I – AGENCY STATEMENT

In accordance with Section 84-1212.01, R.R.S. 1943, approval of the attached records retention and disposition schedule by the State Records Administrator is hereby requested. Retention periods and dispositions have been recommended by this agency after a careful evaluation of all factors listed in Section 84-1212.01, R.R.S. 1943.

SIGNATURE * 	
TITLE <i>Commissioner of Labor</i>	DATE <i>5/21/99</i>

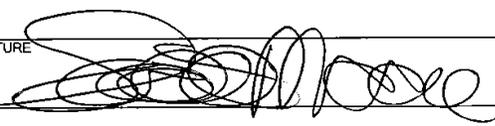
PART II – ARCHIVAL APPROVAL

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>Andrew I. Falenz</i>	DATE <i>May 26, 1999</i>
STATE ARCHIVIST	

PART III – APPROVAL BY STATE RECORDS ADMINISTRATOR

The attached schedule has been reviewed in accordance with Section 84-1212.01, R.R.S. 1943, and is approved as submitted.

SIGNATURE * 	DATE <i>6-3-98</i>
ADMINISTRATOR	

INSTRUCTIONS FOR USING THIS SCHEDULE

Records retention and disposition schedules are designed to serve as your records management guidelines 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. 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 Consultant 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 Consultant in Records Management can assist you with the schedule update, which involves adding new records and making revisions to existing items. Keeping your schedule current will ensure that 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 Consultant in Records Management. We will help you with any questions the schedule may present, including: transferring records to the State Records Center or State Archives, microfilming records, scanning records, etc.

**Records Management Division
440 South 8th Street, Suite 210
Lincoln, NE 68508-2294
402-471-2559**

INDEX

SCHEDULE 45-3 LABOR DEPARTMENT JOB SERVICE

	Item	Page
ALIEN LABOR CASE FILES	45-3-1	6
APPLICANT DATA FILE.....	45-3-39	6
APPLICANT FILE (FEDERAL BONDING PROGRAM)	45-3-2	6
APPLICATION CARDS	45-3-4	6
COMPLAINTS	45-3-6	6
DELETED RECORDS.....		9
DISTRICT TIME DISTRIBUTION REPORT	45-3-7	6
EMPLOYMENT SERVICE AUTOMATED REPORTING SYSTEM (ESARS)	45-3-8	6
EMPLOYMENT SERVICE COMPLAINT RECORD (ETA 8429)	45-3-10	7
FARM LABOR CONTRACTOR EMPLOYEE FILE	45-3-12	7
INDICATORS OF COMPLIANCE	45-3-15	7
JOB BANK	45-3-16	7
JOB BANK HISTORY FICHE AND INDEX	45-3-17	7
JOB ORDER FORM.....	45-3-20	7
JOB SERVICE OPERATIONAL PLANS	45-3-27	7
NOTICE OF LABOR DISPUTE	45-3-23	7
PAYROLL AND ATTENDANCE REPORT (OBSOLETE)	45-3-24	8
PERSONNEL FILES	45-3-25	8
PROGRAM LETTERS	45-3-28	8
REPORT OF SIGNIFICANT LAYOFF (OMB44-R1282)	45-3-30	8
STATE AGENCY ISSUANCES AND CORRESPONDENCE	45-3-32	8
STATUS REPORT (FEDERAL BONDING PROGRAM)	45-3-33	8

TAX AUDIT PROGRAM FILE	45-3-34	8
TIME DISTRIBUTION AND COST ACCOUNTING REPORTS, STATE EMPLOYING SECURITY AGENCIES (SESA)	45-3-35	9
UNRECONCILED JOB ORDER LISTING	45-3-37	9
WORK OPPORTUNITY TAX CREDIT (WOTC); WELFARE TO WORK (WtW).....	45-3-40	9

SCHEDULE 45-3 – LABOR DEPARTMENT-JOB SERVICE

45-3-1 ALIEN LABOR CASE FILES

Case files are maintained by fiscal year on all aliens applying for jobs. Includes all documentation indicating that an employer has attempted to place a citizen in the job. (The Kansas City Regional office has copies of all originals).

Dispose of after 1 year.

45-3-39 APPLICANT DATA FILE

Contains particular information on applicants including test results, detasseling, etc.

COMPUTER PRINTOUT: Dispose of when no longer of reference value.

ON-LINE DATA: TEST RESULTS: Delete 5 years after inactive.

ALL OTHER DATA: Delete 1 year after inactive

45-3-2 APPLICANT FILE (FEDERAL BONDING PROGRAM)

Application includes employer and employee information for the federal bonding program. Information includes effective date, individual fidelity bond and sponsor's request for termination.

Dispose of 2 years after employee termination.

45-3-4 APPLICATION CARDS

Basic source document for Applicant Data File. File may contain: Application Card (Form DE-511), Detasseling Card, Test Results, etc.

Dispose of after information is entered and verified.

45-3-6 COMPLAINTS

File includes complaints about job service offices and are filed alphabetically by the person making the complaint.

Dispose of 3 years after resolution of the complaint.

45-3-7 DISTRICT TIME DISTRIBUTION REPORT

Monthly computer report shows the amount of time the state office is charged to a certain project. Includes a breakdown of how time and money is spent on a project.

Dispose of after 1 year following the end of the fiscal year to which the records pertain provided audit has been completed.¹

45-3-8 EMPLOYMENT SERVICE AUTOMATED REPORTING SYSTEM (ESARS)

Monthly cumulative computer reports are summary tables by local offices. Information is provided in a variety of formats. Reports show the degree of service provided to applicants. Data includes the number of job applicants per month, how many were counseled and how many job referrals were made. Each local office receives ESAR'S affecting their office.

COMPUTER RECORD: Dispose of when superseded.

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

MICROFICHE WORK COPY: Dispose of after 3 years.

45-3-10 EMPLOYMENT SERVICE COMPLAINT RECORD (ETA 8429)

Form is maintained as part of the Monitor Advocate Program. Includes date, name, address, description of complaint, certification, complaint related information, etc. Dispose of 3 years after complaint is resolved.

45-3-12 FARM LABOR CONTRACTOR EMPLOYEE FILE

File is maintained on farmers who want to hire farm laborers.
Dispose of 3 years after laborer is hired.

45-3-15 INDICATORS OF COMPLIANCE

Form is used to show summaries of employment services to migrant and seasonal farm worker applicants compared with service to all non-migrant seasonal farm worker applicants. Indicates total applicants available under direct and indirect control by State Employing Security Agencies (SESA).
Dispose of after 3 years.

45-3-16 JOB BANK

Continuously updated computer listing of available jobs. Includes description of the job, the employer, and other pertinent data necessary for processing applicants. Two sets of information are processed with one listing containing suppressed data for use by job applicants.

COMPUTER RECORD: Dispose of when superseded.

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

MICROFICHE WORK COPY: Dispose of when superseded.

45-3-17 JOB BANK HISTORY FICHE AND INDEX

Is an alphabetical listing of job orders and referral activity closed and purged the previous month. Includes a monthly index.

COMPUTER RECORD: Dispose of when superseded.

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

MICROFICHE WORK COPY: Dispose of after 3 years.

45-3-20 JOB ORDER FORM

Basic source document used to record job opening information when receiving an order from an employer.

Dispose of after information is entered and verified.

45-3-27 JOB SERVICE OPERATIONAL PLANS

Is a budget request and narrative report. Provides a plan for the coming year and outlines the objectives of the job service. Plan is submitted to the regional office in Kansas City, Missouri.

Dispose of when superseded, subject to review by the State Archivist before disposal.

45-3-23 NOTICE OF LABOR DISPUTE

Report sent from the local office to the state office when a labor dispute takes place resulting in a significant work stoppage. Includes issues in dispute, comments, etc.

Dispose of after 3 years.

**45-3-24 PAYROLL AND ATTENDANCE REPORT (DE FORM 157) (R-3-7)
(OBSOLETE May, 1999)**

Includes name, position number, cost center, pay period, status by days, hours, start and ending days, etc.

Dispose of after 1 year following the end of the fiscal year to which the records pertain provided audit has been completed.¹

45-3-25 PERSONNEL FILES

May include duplicate copies of all personnel records and is held for reference only. Original records are maintained in the Personnel Division.

Dispose of 1 year after termination of employment with the department.

45-3-28 PROGRAM LETTERS

Includes rules and regulations, and information regarding the program administration.

Dispose of when superseded.

45-3-30 REPORT OF SIGNIFICANT LAYOFF (OMB44-R1282)

Report copy sent to main office by local office when major employers have a layoff. Report indicates what occupational groups will be affected.

Dispose of after 3 years.

45-3-32 STATE AGENCY ISSUANCES AND CORRESPONDENCE

Directives from the regional office directing what programs are to be established and how to do it. Labor people take the issuances.

Dispose of when superseded.

45-3-33 STATUS REPORT (FEDERAL BONDING PROGRAM)

Monthly computer report from the Kansas City, Missouri Regional Office. Identifies bondee, date begun and when terminated. Federal program covers people who cannot be bonded by conventional methods and must be as a prerequisite for employment.

Dispose of when superseded.

45-3-34 TAX AUDIT PROGRAM FILE

Targeted job tax credit. Employers can get tax credit on wages paid to employees who fall into seven different categories. File is complete documentation for all credits. People can only be maintained in the program for two years.

File may contain **Application Characteristics - ETA 8469**, (Form used to determine eligibility based on characteristics), **Employee Certificate - ETA 8470**, (Form filled out when a person is determined eligible for a program. Indicates how the job service is given credit), **Voucher - ETA 8468** (Includes name, address and social security number. Indicates tax credit to employer), **TJTC Denials, Vouchers, Agreements, Reports, Reviews, Audits, Federal Reviews, Power of Attorneys, Certificates, Miscellaneous, etc.**

Dispose of after 5 years.

45-3-35 TIME DISTRIBUTION AND COST ACCOUNTING REPORTS, STATE EMPLOYING SECURITY AGENCIES (SESA)

A monthly report of state time distribution by project and function code. The breakdown is by month, quarter and year-to-date. Includes status of funds obligated by project code, program activity positions and costs by funding sources.

COMPUTER RECORD: Dispose of when superseded.

SECURITY MICROFICHE: Transfer to security storage, dispose of after 5 years provided audit has been completed.¹

MICROFICHE WORK COPY: Dispose of after 3 years provided audit has been completed.¹

45-3-37 UNRECONCILED JOB ORDER LISTING

A daily listing for Omaha and weekly for the remainder of the state. Contains job orders in hold status or open orders that are not reconciled. This listing includes all applicants referred to those job orders.

COMPUTER RECORD: Dispose of when superseded or after 2 months, whichever is sooner.

SECURITY MICROFICHE: Transfer to security storage; dispose of after 6 months.

MICROFICHE WORK COPY: Dispose of when superseded.

45-3-40 WORK OPPORTUNITY TAX CREDIT (WOTC); WELFARE to WORK (WtW)

Employers can get tax credit on wages paid to employees who fall into nine different categories. File is complete documentation for all credits. File may contain **IRS Form 8850** (Used to request tax credit), **Employer Certification** (Filled out when a person is determined eligible for a program), **Individual Characteristics Form - ETA 9061** (Includes name, address, and social security number. Identifies target group), **Conditional Certification - ETA 9062** (Issued by participating agencies to their clients who seem potentially eligible for WOTC or WtW), etc.

Dispose of after 4 years

DELETED RECORDS:

45-3-3, 45-3-5, 45-3-9, 45-3-11, 45-3-13, 45-3-14, 45-3-18, 45-3-19, 45-3-21, 45-3-22, 45-3-26, 45-3-31, 45-3-36, 45-3-38

NOTES

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.

DATE	SIGNATURE
------	-----------

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.)

Vertical File Cabinet, 4 drawer letter-size	6 cubic feet
Vertical File Cabinet, 4 drawer legal-size.....	8 cubic feet
Lateral File, 4 drawer/shelf letter-size	9 cubic feet
Lateral File, 4 drawer/shelf legal-size.....	12 cubic feet
Records center carton.....	1 cubic foot
About a pickup load.....	50 cubic feet