

Schedule 20


WORKERS' COMPENSATION COURT

APRIL 28, 2009

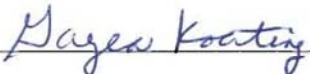
Nebraska Records Management Division
440 South 8th Street, Suite 210
Lincoln, NE 68508
(402) 471-2559

REQUEST FOR APPROVAL OF RECORDS RETENTION AND DISPOSITION SCHEDULE	SCHEDULE 20
	AGENCY, BOARD OR COMMISSION WORKERS' COMPENSATION COURT
TO: STATE RECORDS ADMINISTRATOR STATE OF NEBRASKA	DIVISION, BUREAU OR OTHER UNIT
	Supersedes Edition of August 21, 2008


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	Administrator
DATE	4-14-09

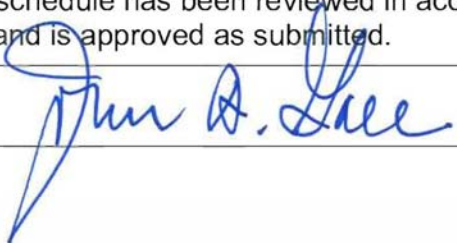
PART II – APPROVAL OF STATE ARCHIVES:

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	4/21/2009

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	4/23/09

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	4/28/09

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 or transfer to the NE State Historical Society (State Archives), your agency is required to contact the State Archives and negotiate the transfer. Additionally, once the records are accessioned to their collection, they become the possession of the State Archives. 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 20 – WORKERS' COMPENSATION COURT

20-1 DOCKET RECORDS

20-1-1 DOCKET BOOKS

Journal of Workers' Compensation Court proceedings.

ORIGINAL RECORD: Microfilm and destroy originals after all cases in the book are closed.

SECURITY MICROFILM: Transfer to the State Archives.

MICROFILM WORK COPY: Transfer to the State Archives after 20 years.

20-1-2 DOCKET FILES

Original case papers and documents which include the petition, summons, First Report of Injury Form, Notice of Hearing, exhibits, final medical reports, correspondence, Settlement Agreements and Lump Sum Settlement and Receipts for payment. In disputed cases the file may also contain Thirty Day Medical Reports and Orders for Dismissals.

MEDICAL RECORDS (ORIGINAL RECORD): Microfilm and destroy after a case decision is made by the Workers' Compensation Court.

SECURITY MICROFILM: Transfer to State Records Center; dispose of after 75 years.

MICROFILM WORK COPY: Dispose of after 75 years.

X-RAYS: Dispose of 2 years after the case is closed.

20-2 INFORMAL DISPUTE RESOLUTION

20-2-1 INFORMAL DISPUTE RESOLUTION CASE FILES

Paper documents and electronic information relating to informal dispute resolution cases. May include: IDR summary sheet; copy of First Report of Alleged Occupational Injury or Illness; copy of pleadings from docketed file; plaintiff's and defendant's completed IDR form and any related documents including doctors' notes, medical bills, impairment ratings; original and copies of correspondence; and the statement of the outcome.

Electronic information maintained in: Legal IDR table, Request for Judicial Action table; WC Case table; Legal IDR Participant table, Legal IDR Issue table; Legal IDR Activity table; and Legal IDR Hold History table.

Dispose of 10 years after case is closed.

20-3 COMPENSATION INSURANCE RECORDS

20-3-1 RECORD OF COMPENSATION INSURANCE – HARD COPY

Proof of coverage information filed by insurance companies to report issuance, renewal or cancellation of compensation insurance in the following formats:

- Original insurance cards including cancellation (1969 – 1972)
- Computer punch cards created by the court from information submitted to the court. (1972 – 1973)
- Microfiche (1973 –1979)
- Insurance Cards & Punch Cards (1976 – 1978)
- Computer (green bar) printouts and microfilm copies (1979 – 1988)
- Computer alpha listing printouts (1989 – 1995)
- Records of compensation insurance (mainframe computer runs) (1978 – 1995)
- Nebraska Record of Compensation Insurance (Form 12) (01/01/93 to 07/31/96)
- Nebraska Record of Compensation Insurance – Intergovernmental Risk Management Pool (Form 12P) (January 1, 1988 forward)

ORIGINAL RECORD: Dispose of 75 years after creation date.

MICROFILM WORK COPY: Dispose of 75 years after roll creation date.

SECURITY MICROFILM: Transfer to State Records Center; dispose of 75 years after roll creation date.

20-3-2 RECORDS OF COMPENSATION INSURANCE – ELECTRONIC

Proof of coverage information filed by insurance companies to report issuance, renewal or cancellation of compensation insurance. Maintained in: POC Insured Policy table; POC Insured Policy History table; POC Employer table; and POC Employer History table.

Dispose of 75 years after policy expiration date.

20-3-3 RECORDS OF COMPENSATION INSURANCE – TRANSMITTAL REPORTS

Records of Compensation Insurance hard copy transmittal reports (NWCC Form 12 - Record of Compensation Insurance) and electronic transmittal reports beginning August 1, 1996. Electronic reports maintained in the following server folder:

P:\EDI\Transmission\POC\YYMMDD-MMMDD

Dispose of 2 years after processed with quality control checks and rejected or entered into Records Of Compensation Insurance – Electronic (see item 20-3-2).

20-3-4 RECORDS OF COMPENSATION INSURANCE – PROCESSING FILES

Processing files for creating and updating Records of Compensation Insurance - Electronic (20-3-2). Transaction records used to process transmittal reports. Maintained in: POC RI Audit table; POC EDI Transaction Policy table; POC EDI Transaction Employer table; and POC EDI Acknowledgement table.

For records with a creation date on or after 2-1-2006 dispose of 5 years after creation date.

For records with a creation date before 2-1-2006 (NCCI conversion records) dispose of 75 years after 2-1-2006 (conversion date).

**20-3-5 RECORDS OF COMPENSATION INSURANCE –
ACKNOWLEDGEMENTS**

Reports acknowledging acceptance or rejection of Records of Compensation Insurance – Transmittal Reports (20-3-3). Maintained in the following server folder:

P:\EDI\Transmission\POC\YYMMDD-MMMDD

Dispose of 2 years after report creation date.

20-3-6 CARRIER INFORMATION

Electronic information regarding carriers (insurance companies, self-insurers, and risk management pools) providing workers' compensation insurance coverage in the State of Nebraska. Electronic information maintained in Insurance Carriers table and Insurance Carriers History table.

Dispose of 75 years after inactive date if no Records of Compensation Insurance – Electronic exist (see item 20-3-2).

20-3-7 CARRIER INFORMATION TRANSMITTAL REPORTS

Paper and/or electronic notifications (e-mail transmission with attachment) regarding additions, changes and/or corrections, needing to be made to Carrier Information (20-3-6). Electronic reports maintained in: Compliance Examiner E-Mail Database "Carrier Info" folder.

Dispose of after processed with quality control checks and rejected or entered into Carrier Information (see item 20-3-6).

20-3-8 HISTORICAL INSURANCE CARRIER CODE LISTS

Paper documents and electronic information used to identify the carrier on historical proof of coverage information. Paper records maintained in: Self-Insurer list 7-24-91; Private Insurance Carrier's list 4-23-93; Self Insurance Parent Subsidiary 3-13-92; Inactive Self-Insurer Companies 8-24-89; School, Pool & County Pools 9-6-94; Insurance Group List 10-5-90; Insurance Company Address List 12-31-91. Electronic records maintained in: Hist Court Insurance Carriers table.

Dispose of concurrent with the last Record of Compensation Insurance – Hard Copy (see item 20-3-1).

**20-3-9 POLICY, PROCEDURES AND DOCUMENTATION RELATED TO
EDI PROOF OF COVERAGE (POC) RECORDS**

Information used in edit control, confirmation explanation and translation of Proof of Coverage (POC) records. Include EDI Proof of Coverage (POC) Implementation Guide; IAIABC Reference Manuals; POC Trading Partner table; POC Transaction Reason Code table; POC Transaction Type Code table; POC Error Message Code table; POC Transaction Purpose Code; and POC Valid Triplicate Code table.

Dispose of concurrent with last Record of Compensation Insurance - Electronic (see item 20-3-2).

20-3-10 PROOF OF COVERAGE (POC) JOB PROCESSING REPORTS

Daily reports of Proof of Coverage (POC) computer runs used in evaluating and troubleshooting the success or failure of the Proof of Coverage (POC) computer runs. Maintained in the following server folder: \EDI\Transmission\POC\ YYYYMMDD-MMMDD

Dispose of 2 years after record creation date.

20-4 INDEPENDENT MEDICAL EXAMINER SYSTEM

20-4-1 INDEPENDENT MEDICAL EXAMINER CASE FILES (JANUARY 1, 1994 THROUGH JUNE 30, 2004)

Paper documents of individual Independent Medical Examiner (IME) case assignments and related documents; fiscal year spreadsheets summarizing Independent Medical Examiner (IME) assignment requests; and case status information maintained in the IME Status table.

Dispose of ten years after the end of the fiscal year during which the IME case closed.

20-4-2 INDEPENDENT MEDICAL EXAMINER CASE FILES (JULY 1, 2004 FORWARD)

Paper documents and electronic files related to Independent Medical Examiner (IME) cases opened on or after 7/1/2004. Electronic files are maintained in: IME Requests table; IME Disputed Issues table; IME Activities table; Insurance Carriers table; IME Doctor Doctor Specialties table; E-documents table; and Attorneys table.

Dispose of ten years after date IME case closed (IME Request – Date Completed).

20-4-3 INDEPENDENT MEDICAL EXAMINER RECORDS

Paper documents and electronic files relating to court approved Independent Medical Examiners (IME) with active status on 6/30/2004 and paper documents and electronic files for all physicians applying for approval as an Independent Medical Examiner (IME) on or after 7/1/2004. Electronic documents maintained in: the IME Doctors table; IME Doctor Doctor Specialties table; IME Doctor Specialties table; and E-documents table.

Dispose of ten years after the date application denied or date terminated as a court approved independent medical examiner.

20-4-4 INDEPENDENT MEDICAL EXAMINER RECORDS – INACTIVE PRIOR TO JULY 1, 2004

Paper documents and information about Independent Medical Examiners (IME) with inactive status prior to 7/1/2004.

Dispose of ten years after inactive status.

20-4-5 INDEPENDENT MEDICAL EXAMINER CODE LIST

List of codes and code descriptions used in the Independent Medical Examiner (IME) system. Maintained in the following tables: IME Status Codes LOV; IME Disputed Issues LOV; IME Closed Reasons LOV; IME Requestors LOV; IME Type Codes LOV; and IME E-Document Types table.

Dispose of upon termination of IME system.

**20-5 FIRST REPORT OF ALLEGED OCCUPATIONAL
INJURY OR ILLNESS/SUBSEQUENT REPORT**

**20-5-1 WORKER'S COMPENSATION CASE FILES (JULY 31, 1958
THROUGH JULY 4, 1966) (FORMERLY WORKER'S
COMPENSATION CASE FILES (AUGUST 10, 1961 THROUGH
JULY 4, 1966))**

Paper reports and information regarding non-litigated cases filed from July 31, 1958 through July 4, 1966. Includes First Report of Alleged Accident or Occupational Disease (Form 1) and payment receipts (Form 4).

Dispose of after 35 years.

**20-5-2 WORKER'S COMPENSATION CASE FILES (JULY 5, 1966
THROUGH NOVEMBER 30, 2003)**

Paper reports and information regarding non-litigated cases filed from July 5, 1966 through November 30, 2003. All such records are on microfilm. May include: First Report of Alleged Occupational Injury or Illness report (Form 1); Receipt of Payment Report/Compensation & Expense Report/Subsequent Report (Form 4); First Treatment Medical Report (obsolete); medical reports; correspondence regarding disability or benefit rate; Vocational Rehabilitation field sheets; Vocational Rehabilitation field notes; Vocational Rehabilitation payment histories; Vocational Rehabilitation plans; authorization for payment from Vocational Rehabilitation Trust Fund; request for liens; materials signed by Workers Compensation Judges.

ORIGINAL RECORD: Dispose 2 years after microfilming (all original records have been microfilmed).

MICROFILM WORK COPY: Dispose of 50 years after roll creation date.

SECURITY MICROFILM: Transfer to State Records Center; dispose of 50 years after roll creation date.

**20-5-3 WORKER'S COMPENSATION CASE FILES – INDEXES (JULY 5,
1966 THROUGH NOVEMBER 30, 2003)**

Microfilm and electronic alpha indexes (employee name list) of Worker's Compensation Case Files (20-5-2). Electronic Indexes maintained in FRI Purges table.

Dispose of concurrent with last roll of microfilm of the Worker's Compensation Case Files (see item 20-5-2).

20-5-4 FIRST/SUBSEQUENT REPORT – ELECTRONIC CLAIM FILES

Individual claim files consisting of current injury, claim, and payment information as reported in transmittal reports. Maintained in First Report of Injuries table; Claims table; Claim Payments table; First Report of Injuries Hist table; Claims Hist table; and Claim Payments Hist table.

Dispose of individual claim file 50 years after last update.

20-5-5 FIRST/SUBSEQUENT REPORT – TRANSMITTAL REPORTS

Transmittal reports of First Reports of Alleged Occupational Injury of Illness and Compensation & Expense Report/Subsequent Report. Paper transmittal reports filed from December 1, 2003 and electronic transmittal reports filed beginning May 1, 1997. Electronic transmission reports are maintained in the following server folders:

M:\Edicurrent\Ediarcy (where yy = current or previous calendar year).

Dispose of after 2 years after processed with quality control checks and rejected or entered into First/Subsequent Report-Electronic Claim Files (see item 20-5-4).

20-5-6 FIRST/SUBSEQUENT REPORT – PROCESSING FILES

Processing records used for creating and updating First/Subsequent Report – Electronic Claim Files (see item 20-5-4).

20-5-6-1 TEMPORARY RECORDS

Used in translating transmittal reports.

Maintained in State Connect database tables.

Dispose of 30 days after record creation date.

20-5-6-2 TRANSLATED TRANSMITTAL REPORTS

Maintained in the following tables: Batch FROIS; Batch SROIS; Batch SROI Indemnities; and Batch SROI Non Indemnities.

Dispose 2 years after record creation date.

20-5-6-3 TRANSACTION RECORDS

Used to process translated transmittal reports. Maintained in the following tables: RI Audits; EDI Exceptions; EDI Transactions; EDI Acknowledgements; EDI Subs Perm Impairs; EDI Subs PTD Re Recoveries; EDI Subs Payments; EDI Subs Dep Payees; EDI Subs Ben Adjs; EDI Subs; and FRI EDI Rejections.

Dispose of 5 years after record creation date.

20-5-7 FIRST/SUBSEQUENT REPORT – ACKNOWLEDGEMENTS

Reports acknowledging acceptance or rejection of First/Subsequent Report Transmittal Reports (see item 20-5-5). Maintained in the following server folder:

M:\Edicurrent\Ediarcy (where yy = current of previous calendar year).

Dispose of 2 years after report creation date.

20-5-8 FIRST REPORT DELETION FILES

Records of deletions of First Reports of Injury from First/Subsequent Report Electronic Claim Files (see item 20-5-4). Maintained in the FRI Deletions table.

Dispose of 50 years after record creation date.

20-5-9 SUBSEQUENT REPORT - PAYMENT EXCEPTION FILES

Records of payment discrepancies in Subsequent Reports. Maintained in Claim Events table and Claim Payment Exceptions table.

Dispose of 2 years after discrepancy is resolved.

20-6 CORPORATE EXECUTIVE WAIVERS

20-6-1 CORPORATE EXECUTIVE OFFICER WAIVERS (Form 10W and 10T)

Waivers allow a person who owns 25% of Nebraska Corporate common stock to waive coverage by the Workers' Compensation Act.

ORIGINAL RECORD: Microfilm and destroy originals after 5 years.

SECURITY MICROFILM: Transfer to State Records Center; dispose of after 75 years.

MICROFILM WORK COPY: Dispose of after 75 years.

20-8 OCCUPATIONAL SAFETY AND HEALTH INFORMATION

20-8-1 ANNUAL OCCUPATIONAL INJURIES AND ILLNESS SURVEY (OSHA No. 200-S)

Survey conducted by the Court for the Occupational Safety and Health Administration (OSHA). Computer report includes employment statistics, type of business surveyed and occupational injury and illness summary.

Dispose of after 5 years or after audit, whichever is later.¹

20-8-2 BENCHMARK LISTING

Manual and computer listings provide estimates of survey results by industry.

Dispose of after 5 years.

20-8-3 ESTIMATION REPORT

Manual and computer report includes estimates of injuries and fatalities for a given survey year.

Dispose of after 5 years.

20-8-4 PRECODED WEIGHTED LISTING

Annual computer report. Produces a projected sample of the ANNUAL OCCUPATIONAL INJURIES AND ILLNESS SURVEY.

Dispose of after 5 years.

20-8-5 RESPONSE TABLE LISTING

Computer report includes response of surveyed units and is arranged by industrial divisions by size and code.

Dispose of after 5 years.

20-8-6 STATUS CODE LISTING

Computer report provides industry status.

Dispose of after 5 years.

20-8-7 OCCUPATIONAL SAFETY AND HEALTH ADDRESS ROSTER

Annual computer report provides an index to the survey by industry name, UI account, and schedule number, and SIC order.

Dispose of after 5 years.

20-8-8 UPDATE REPORT

Computer report is issued as needed to show update information on OSHA required computer programs.

Dispose of after 5 years.

20-9 SECURITY COPY OF ELECTRONIC DATA INFORMATION

20-9-1 BACKUP COPIES OF ELECTRONIC DATA

Backup copies of electronic data for the purpose of data recovery / business continuity (but not archiving). Backup copies are taken by NEWCC and stored with IMServices. All data servers are located in the IMServices Data Center with the exception of the EDI Production Server, which is located at a local office site in a secured computer room.

20-9-1-1 DAILY DISK-TO-DISK

Backup of Oracle Production Relational Database/Electronic Document Server.

Dispose of after 3 days.

20-9-1-2 MONTHLY DISK-TO-DISK

Backup of Oracle Production Relational Database/Electronic Document Server.

Dispose of after 3 months.

20-9-1-3 DAILY DISK-TO-TAPE

Backup of Microsoft Production File Server; Lotus Domino Email/Application Server; Oracle Production Relational Database/Electronic Document Server.

Dispose of after 30 days.

20-9-1-4 WEEKLY DISK-TO-TAPE

Backup of EDI Production Server; Microsoft Production Internet/FTP Server.

Dispose of after 4 weeks.

20-10 ELECTRONIC MESSAGES

Includes e-mail and e-fax in individual user mailboxes, but excludes voice mail, e-mail and e-fax in shared mailboxes and EDI or similar data transmissions.

20-10-1 NON RECORD

Electronic messages not pertaining to the business or operations of the court.

Dispose of at will.

- 20-10-2 REFERENCE ONLY (FORMERLY SHORT TERM (REFERENCE ONLY))**
Electronic messages otherwise covered under 20-10-1 but which are of professional interest or reference value, and electronic messages otherwise covered under 20-10-3 through 20-10-5 but which are of professional interest or reference value beyond the normal disposal date.
Dispose of when no longer of reference value.
- 20-10-3 BUSINESS RELATED SHORT TERM**
Electronic messages related to the business or operations of the court but having only short term or transitory significance.
Dispose of after 90 days.
- 20-10-4 BUSINESS RELATED MEDIUM TERM (FORMERLY MEDIUM TERM)**
Electronic messages related to the business or operations of the court having more than short term or transitory significance but not having long term significance.
Dispose of after 3 years.
- 20-10-5 BUSINESS RELATED LONG TERM (FORMERLY LONG TERM)**
Electronic messages which establish or implement policy, establish legal rights or responsibilities, document major transactions, or have other long-term significance for the business or operations of the court.
Dispose of after 8 years, subject to review by the State Archives for possible accession.

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
------	-----------

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