

Schedule 45-7

DEPARTMENT OF LABOR

UNEMPLOYMENT INSURANCE DIVISION

April 17, 2019

Nebraska Records Management Division
3242 Salt Creek Circle
Lincoln, NE 68504
(402) 471-2559

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

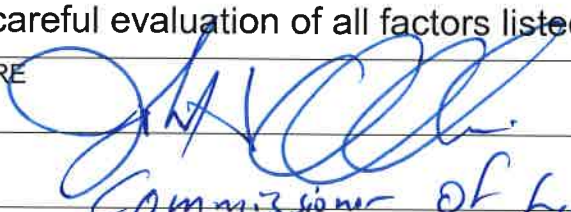
SCHEDULE	45-7
AGENCY, BOARD OR COMMISSION	DEPARTMENT OF LABOR
DIVISION, BUREAU OR OTHER UNIT	UNEMPLOYMENT INSURANCE DIVISION
Supersedes Edition of February 8, 2019	

**TO: STATE RECORDS ADMINISTRATOR
STATE OF NEBRASKA**

PART I – AGENCY STATEMENT:

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

SIGNATURE



TITLE

Commissioner of Labor

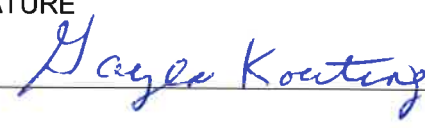
DATE

4/4/2019

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



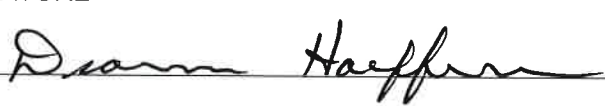
DATE

4/9/2019

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



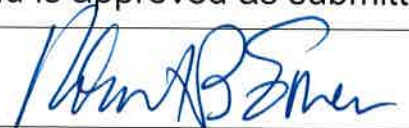
DATE

4/15/19

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

4/17/2019

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. This retention schedule, which is approved by the State Records Administrator, provides 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. Unless there is pending or on going, legal action, records request, or audit.
3. For records requiring a review of, or transfer to the **NE State Historical Society (State Archives)**, your agency is required to contact the State Archives to negotiate the transfer. Additionally, **once the records are accessioned into their collection, they become the property of the State Archives** (Neb. Rev. Stat. §82-105). The State Archives may remove selected records in accordance with standard archival practices to ensure efficient access, organization and enduring historical value (Neb. Rev. Stat. §82-107). Please contact their office by calling (402) 471-4783.
4. Complete a Records Disposition Report for the records you dispose. The Records Disposition Report form is located on the Secretary of State Records Management website. https://appengine.egov.com/apps/ne/sos_records_disposition_report. This report establishes that the destruction was performed in your normal course of business.

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 the Records Management Specialist in Records Management. They 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
3242 Salt Creek Circle
Lincoln, NE 68504
402-471-2559**

SCHEDULE 45-7
DEPARTMENT OF LABOR
UNEMPLOYMENT INSURANCE DIVISION
April 17, 2019

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

Supersedes Edition of February 8, 2019

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/ COMMENTS
45-7-46	87-A SUMMAR	Report listing all 87-A's printed by employer number, and the total amount contributed to the program.	5 years	
45-7-3	BENEFIT ADJUSTMENT REGISTER	Monthly computer report shows adjustments made on the computer to the employer being charged.	3 years	
45-7-7	BENEFIT CHECKS	Check indicating claimants name, social security number, amount paid, and date paid.	5 years	
45-7-9	BENEFIT OVERPAYMENT LISTINGS	These are computer listings of activity involving benefit overpayments on Unemployment Insurance claims. May include: Alpha Listing (Monthly); Alpha Listing of Overpayment Balances (Monthly); Benefit Overpayment Journal (Daily); Billing Follow Up Date report (Monthly); Daily Recoup Report; ETA-227 Report; Legal Letters Mailed (Monthly) Monthly Billing Error Listing; New Claim Report; Overpayment Established and Reestablished Listing (Daily); Overpayment Follow Up Listing (Monthly).	5 years	
45-7-10	BENEFIT PAYROLL REGISTER	A detailed listing of the daily unemployment payroll. Lists the check number, claimant to whom the check was issued, the amount of the check, and the social security number of the claimant. The listing is totaled by program, indicating how much money is spent from each program.	5 years	
45-7-47	BPC CROSSMATCH REPORT	Computer listing by match quarter of cross match activity from initial run through purge. Listings include all initial run statistical reports and all control reports of audit activity listed by claimant's Area Claim Center, Then by social security number.	5 years	Transfer to the State Records Center 6 months after purge
45-7-48	BPC INTERNET/BORDER CHECK REPORTS	Computer listings by match quarter of Internet/Border Check activity. Listings include initial run list of records sent to MMDS Hub, listing of wage/claim hits, Internet Locator hits, and Internet duplicate claims report.	5 years	Transfer to the State Records Center 6 months after purge
45-7-58	BPC STATE INCOME TAX REFUND INTERCEPT RECORDS	May include reports and listings, such as State Income Tax Intercept Match Report, State Income Tax Intercept Match Report, State Income Tax Intercept Certification, miscellaneous documents pertaining to the State Income Tax Certification process.	5 years	
45-7-49	CASH REFUND LEDGERS	Monthly totals of cash refunds from beneficiaries.	5 years	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/ COMMENTS
45-7-12	CLAIMANT SUMMARY LISTING, MONTHLY	Informally titled Monthly Charge Back. Is a cumulative listing of all benefits paid to claimants and their employers for the month. May include the amount of money deposited into the program, money not allowed (i.e. bad checks, etc.), money held in suspense, overpayments and voluntary contributions.	5 years	
45-7-13	CLEARING ACCOUNT CHECK REGISTER	A listing by check number showing to whom the Check was written, date of issuance, amount of check, and reason for issuing check.	5 years	
45-7-14	CLEARING ACCOUNT DEPOSIT REGISTER	A detailed listing of the remittances received from employers. It shows the employer account number and the amount of the remittance received from each employer. Each group is assigned a batch number, the batch total is the amount of money received in that batch.	5 years	
45-7-50	CONTRIBUTION AND BENEFIT JOURNALS	Monthly posting of journals.	10 years	
45-7-16	CONTRIBUTION REPORTS	A report filed quarterly by each employer indicating total wages, excess wages, subject wages, and contribution due.	5 years	
45-7-18	DEPOSIT REGISTER - BENEFIT ACCT./TRA ACCT./WIN ACCT.	Contains bank deposit slips of deposits made in these accounts.	5 years	
45-7-20	EMPLOYER CONTRIBUTION REGISTER	Listing of employer numbers of contribution reports processed in their account, amount of money involved and the date received.	2 years	
45-7-23	EMPLOYER CORRESPONDENCE NEW ACCOUNTS AND ADDITIONS FILE; YEARLY NOTIFICATION OF CONTRIBUTION RATE (FORMERLY EMPLOYER CORRESPONDENCE NEW ACCOUNTS AND ADDITIONS FILE)	Employer liability history file. Includes determination finding based on the Nebraska Employment Security Law, correspondence, memos and copies of billings. Employer data includes subject date, delinquent date, predecessor, ownership, name, address and current status.	5 years	
45-7-52	GENERAL LEDGER	Monthly posting of accounts into one set of papers.	10 years	
45-7-57	INTERNAL SECURITY DOCUMENTS	Various detection cross match, other listings and general correspondence. May include Name/Name Cross match, Social Security Cross match, Address Cross match, Fictitious Employer Detection documents, telephone billings, general correspondence.	5 years	
45-7-31	MAJOR DISASTER DECLARATION	Includes date of declaration, disaster, beginning date and number, type of disaster, state and counties affected.	3 years, subject to review by the State Archives for possible accession	
45-7-36	PAY ORDER CARD	Report filed by the individual claimant indicating they are unemployed and filing a claim for benefits, availability, and earnings.	5 years	
45-7-38	PURGED RECORDS, LISTING OF	Computer listing is generated as needed and indicates what is put on tape from the on-line computer system.	5 years	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/ COMMENTS
45-7-54	QUALITY CONTROL GENERAL CORRESPONDENCE	Miscellaneous forms and correspondence for the Quality Control Unit.	5 years	
45-7-53	QUALITY CONTROL RECORD	These records are a compilation of documents gathered to determine propriety of unemployment insurance benefit eligibility. May include: Quality Control Audit Reports; Quality Control Batches; Random Audit Files (Random Audit Case Coding Lists) and others not specifically listed here.	5 years	
45-7-59	REVENUE QUALITY CONTROL RECORDS	Audits such as System Reviews, Acceptance Samples, Methods Surveys, performed on UI Tax functions which include: Status Determination, Cashiering, Report Delinquency, Collections, Filed Audit, Account Maintenance (Debit Billing, Contribution Reports, Benefit Charging, Tax Rate, Credit Refund).	5 years	
45-7-41	UNEMPLOYMENT COMPENSATION PAYMENT (FORM 1099-UC)	Summary listing of statements indicating the amount of unemployment compensation received in a given year.	5 years	
45-7-42	UNEMPLOYMENT COMPENSATION PAYMENT REPORT	Monthly report lists the names of those receiving unemployment compensation and the amount.	1 year	
45-7-56	WAGE SCHEDULE	Quarterly report received from employers with their contribution report which lists employees' name, social security number, and total wages for the quarter.	5 years	