

Schedule 20

WORKERS' COMPENSATION COURT

January 4, 2017

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
DIVISION, BUREAU OR OTHER UNIT

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

Supersedes Edition of August 3, 2015

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

Sandra L. Walz

TITLE

Court Administrator

DATE

Dec. 20, 2016

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

Gayle Koutney

DATE

12/28/2016

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

Dean Hauffman

DATE

1/4/17

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

Jim A. Gace

DATE

1/4/2017

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.
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 the 2nd to 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 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
440 South 8th Street, Suite 210
Lincoln, NE 68508-2294
402-471-2559**

SCHEDULE 20
WORKERS' COMPENSATION COURT
January 4, 2017

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

Supersedes Edition of August 3, 2015

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
20-46	ANNUAL STATISTICAL REPORTS	Report of injuries and benefit payments submitted to the court for the previous 10 years.	Permanent: Deposit 4 copies with the NE Publications Clearinghouse Copies: When no longer of reference value.	Electronic
20-1	BACKUP COPIES OF ELECTRONIC DATA	Backup copies of electronic data for the purpose of data recovery/business continuity (but not archiving).	ORACLE DATA: 7 days ALL OTHER DATA: 30 days	Electronic
20-47	BUSINESS CONTINUITY PLAN	Documentation for protection and re-establishment of agency services and equipment in case of disaster. Includes the plan, procedures, checklists and other significant information.	After superseded	Electronic
20-72	CALENDARS	Desk and pocket calendars, appointment books, and planners, including Outlook calendar entries.	5 years	•Paper •Electronic
20-73	CANCELLATION / NON-RENEWAL (CNR) MONITORING RECORDS a. TEMPORARY FILES	Temporary flat files used to create spreadsheet and CNR letters. Each flat file contains a list of employers with a cancel or non-renewal transaction in the proof of coverage database. May include: employer names, addresses, policy numbers, and other information.	30 days	Electronic
20-74	CANCELLATION / NON-RENEWAL (CNR) MONITORING RECORDS b. SPREADSHEET	Spreadsheet used to document employers sent a CNR letter and the response from the employer. The spreadsheet contains: employer names, addresses, policy numbers, dates CNR letters sent, certified mail data, responses, and other information.	5 years	Electronic
20-75	CANCELLATION / NON-RENEWAL (CNR) MONITORING RECORDS c. FORM LETTERS	Master copy of the form letter that is used to create CNR letters. Includes both the first and second notice letters. The CNR letters are created by merging the employer information contained in the CNR Monitoring Spreadsheet into the CNR form letter.	After superseded	Electronic

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
20-76	CANCELLATION / NON-RENEWAL (CNR) MONITORING RECORDS d. CNR LETTERS AND RESPONSES	Copies of CNR letters sent to employers and the documents received in response to those letters. CNR letters that are sent and the responses that are received are scanned and stored in a PDF file. May include: copies of the CNR letter; certified mail green cards; returned mail; insurance policy information; and other information and correspondence.	PAPER RECORD: 4 years after scanned, verified, and stored in electronic (PDF) file. ELECTRONIC RECORD: 5 years after end of fiscal year in which the corresponding spreadsheet was created	•Paper •Electronic
20-2	COMPENSATION INSURANCE RECORDS	Proof of coverage information filed by insurance companies to report issuance, renewal or cancellation of compensation insurance.	HARD COPY ORIGINAL RECORD: 75 years after creation date SECURITY MICROFILM: Transfer to State Record Center; 75 years after roll creation date MICROFILM WORK COPY: 75 years after roll creation date ELECTRONIC RECORD: 75 years after policy expiration date	•Paper, microfilm and electronic •Formats and years in use: 1) Original insurance cards including cancellation (1969-1972) 2) Computer punch cards created by the court from information submitted to the court (1972-1973) 3) Microfiche (1973-1979) 4) Insurance cards & punch cards (1976-1978) 5) Computer (green bar) printouts and microfilm copies (1979-1988) 6) Computer alpha listing printouts (1989-1995) 7) Records of compensation insurance (mainframe computer runs) (1978-1995) 8) Nebraska Record of Compensation Insurance - Intergovernmental Risk Management Pool (Form 12P) (1/1/1988 and forward) 9) Electronic records (1978 and forward)
20-3	COMPENSATION INSURANCE RECORDS a. TRANSMITTAL REPORTS	Transmittal reports (NWCC Form 12-Record of Compensation Insurance and electronic transmittal reports) for COMPENSATION INSURANCE RECORDS (electronic), item 20-2.	2 years after processed with quality control checks and rejected or entered into COMPENSATION INSURANCE RECORDS (electronic), item 20-2	•Paper (prior to 8/1/1996) •Electronic (8/1/1996 and forward)
20-4	COMPENSATION INSURANCE RECORDS b. PROCESSING FILES	Processing files for creating and updating COMPENSATION INSURANCE RECORDS (electronic), item 20-2. Transaction records used to process COMPENSATION INSURANCE RECORDS a. TRANSMITTAL REPORTS (electronic), item 20-3.	CREATION DATE: PRIOR TO 2/1/2006 (NCCI CONVERSION RECORDS): 75 years after conversion date (2/1/2006) ON OR AFTER 2/1/2006: 5 years after creation date	Electronic

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
20-5	COMPENSATION INSURANCE RECORDS c. ACKNOWLEDGEMENTS	Reports acknowledging acceptance or rejection of COMPENSATION INSURANCE RECORDS a. TRANSMITTAL REPORTS (electronic), item 20-3.	2 years after report creation date	Electronic
20-6	COMPENSATION INSURANCE RECORDS d. CARRIER INFORMATION	Electronic information regarding carriers (insurance companies, self-insured employers, and risk management pools) providing workers' compensation insurance coverage in the State of Nebraska.	75 years after carrier inactive date if no reference to the carrier exists in COMPENSATION INSURANCE RECORDS (electronic), item 20-2	Electronic
20-7	COMPENSATION INSURANCE RECORDS e. 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 COMPENSATION INSURANCE RECORDS d. CARRIER INFORMATION, item 20-6.	After processed with quality control checks and rejected or entered into COMPENSATION INSURANCE RECORDS d. CARRIER INFORMATION, item 20-6	•Paper •Electronic
20-8	COMPENSATION INSURANCE RECORDS f. HISTORICAL INSURANCE CARRIER CODE LISTS	Information used to identify the carrier on historical proof of coverage information.	Concurrent with the last paper records found in COMPENSATION INSURANCE RECORDS, item 20-2.	•Paper •Electronic
20-9	COMPENSATION INSURANCE RECORDS g. DOCUMENTATION RELATED TO EDI PROOF OF COVERAGE (POC) RECORDS	Information used in edit control, confirmation, explanation, and translation of POC records.	After superseded	Electronic
20-10	COMPENSATION INSURANCE RECORDS h. PROOF OF COVERAGE (POC) JOB PROCESSING REPORTS	Daily reports of POC computer runs used in evaluating and troubleshooting the success or failure of POC computer runs.	2 years after record creation date	Electronic
20-11	COMPENSATION INSURANCE RECORDS i. SELF-INSURER FILES	Financial and application information filed by organizations approved for self-insurance by the Nebraska Workers' Compensation Court. May include, but not limited to: application(s) for authority, Nebraska self-insurance certificate(s), annual report(s), assessment(s), surety bond(s) or other forms of security, excess insurance policies, parental guaranty(s), financial information, payroll classification information, benefit paid information, analytical worksheets, and other information or correspondence.	75 years after self-insurance authority termination date	•Paper •Electronic

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
20-12	COMPENSATION INSURANCE RECORDS j. SELF-INSURANCE NON-APPROVED APPLICATIONS	Financial and application information filed by organizations not approved for self-insurance by the Nebraska Workers' Compensation Court. May include, but not limited to: application(s) for authority, financial information, payroll classification information, benefit paid information, analytical worksheets, and other information or correspondence.	10 years after non-approval of application	Paper
20-13	COMPENSATION INSURANCE RECORDS k. SELF-INSURANCE AUDIT AND REVIEW FILES	Documents/information submitted by self-insurers for audit and review purposes to support information provided on the application(s) for authority and annual reports. May include, but not limited to: financial information, payroll classification information, benefit paid information, analytical worksheets, and other information or correspondence.	7 years after self-insurance audit completed	•Paper •Electronic
20-77	COMPLIANCE CASE FILES	Files relating to compliance activities. May include correspondence between the court and the complainant, workers' compensation insurance carriers, doctors, or attorneys regarding claims handling issues. May also include attachments to correspondence such as call logs, copies of emails, medical bills, etc.	COMPLAINTS (NO ACTION): 3 years COMPLAINTS (RESULTING IN ACTION): 3 years after action and appeals are complete and final	Neb. Rev. Stat. 48-146.02 •Paper
20-14	CORPORATE EXECUTIVE OFFICER WAIVERS	Records allowing a person who owns 25% of Nebraska corporate common stock to waive coverage by the Workers' Compensation Act.	ORIGINAL RECORD: Microfilm; 5 years SECURITY MICROFILM: Transfer to the State Records Center; 75 years MICROFILM WORK COPY: 75 years	Forms 10W and 10T
20-15	DOCKET RECORDS a. DOCKET BOOKS (JUNE 29, 1935 TO PRESENT)	Journal of Workers' Compensation Court judicial proceedings and index by party of those proceedings.	HARD COPY ORIGINAL RECORD: (6/29/1935 to 10/17/2001): Microfilm after all cases in book are closed; 2 years after microfilming SECURITY MICROFILM: Transfer to State Archives; Permanent MICROFILM WORK COPY: Permanent ELECTRONIC RECORD (10/18/2001 and forward): Permanent	Neb. Rev. Stat. §48-157(3)
20-16	DOCKET RECORDS b. PLEADINGS	Pleadings relating to the judicial proceedings of the Nebraska Workers' Compensation Court.	ORIGINAL RECORD: Microfilm; 2 years after microfilming SECURITY MICROFILM: Transfer to State Records Center; Permanent MICROFILM WORK COPY: Permanent	Neb. Rev. Stat. §48-157(4) & (5)

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
20-17	DOCKET RECORDS c. EXHIBITS	Exhibits relating to the judicial proceedings of the Nebraska Workers' Compensation Court.	ORIGINAL RECORD: Microfilm per RETENTION / DESTRUCTION REFERENCE LIST, item 20-19 (permanent records only); 2 years after microfilming ALL OTHER RECORDS: See RETENTION/DESTRUCTION REFERENCE LIST, item 20-19. Dispose of at the discretion of the Clerk of the Court SECURITY MICROFILM: Transfer to State Records Center; Permanent MICROFILM WORK COPY: Permanent	•Neb. Rev. Stat. §48-157(4) & (5) •Contact WCC Records Officer for current Retention / Destruction Reference List, item 20-19
20-18	DOCKET RECORDS d. MISCELLANEOUS CASE DOCUMENTS	Correspondence and other documents relating to the judicial proceedings of the Nebraska Workers' Compensation Court which the Clerk of the Court deems to be irrelevant, unimportant or superfluous.	At discretion of the Clerk of the Court	Neb. Rev. Stat. §48-157(5)
20-19	DOCKET RECORDS e. RETENTION / DESTRUCTION REFERENCE LIST	List of records to be microfilmed or destroyed in accordance with DOCKET RECORDS b. PLEADINGS, item 20-16, DOCKET RECORDS c. EXHIBITS, item 20-17, and DOCKET RECORDS d. MISCELLANEOUS CASE DOCUMENTS, item 20-18.	Permanent	Electronic
20-48	EDI a. IMPLEMENTATION GUIDES	Implementation Guides for electronic filing of First Report of Injury (FROI), Subsequent Report of Injury (SROI), and Proof of Coverage (POC). Policies and procedures for POC records.	5 years after superseded	Electronic Neb. Rev. Stat. §§48-144, 48-144.01, 48-144.02 Workers' Comp. Ct. R. of Proc. 29, 30, and 32
20-49	EDI b. ADVISORY NOTICES	Notices regarding reports submitted to the court through Electronic Data Interchange (EDI). Includes changes to the EDI Implementation Guides and changes/reminders regarding EDI processing and procedures.	5 years	Electronic Neb. Rev. Stat. §48-144 Workers' Comp. Ct. R. of Proc. 29, 30, and 32
20-50	EDI c. AFFIDAVITS	Affidavits signed by the court administrator certifying approval and publication of EDI Implementation Guides and Advisory Notices.	After superseded	• Paper: Original •Electronic: Copies Neb. Rev. Stat. §48-144 Workers' Comp. Ct. R. of Proc. 29, 30, and 32
20-51	EDI d. TRADING PARTNER DOCUMENTS	Documents required for trading partner approval and submission of EDI reports. Includes trading partner agreement, trading partner profile, transmission profile - sender's response, waivers, claims acquisition notification, and related databases, files, and correspondence.	After superseded or 3 years after termination of submissions	•Paper •Electronic

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
20-20	ELECTRONIC MESSAGES a. NON RECORD	Electronic messages not pertaining to the business or operations of the court. Includes e-mail and e-fax in individual user mailboxes, but excludes e-mail and e-fax in shared mailboxes and voice mail.	At will	
20-21	ELECTRONIC MESSAGES b. REFERENCE ONLY	Electronic messages that would otherwise be managed under item 20-20 or items 20-22 through 20-24, as applicable, but which are of professional interest or reference value beyond the retention/disposal dates for those items. Includes e-mail and e-fax in individual user mailboxes, but excludes e-mail and e-fax in shared mailboxes and voice mail.	No longer of reference value	
20-22	ELECTRONIC MESSAGES c. BUSINESS RELATED SHORT TERM	Electronic messages related to the business or operations of the court, but only have short term or transitory significance. Includes e-mail and e-fax in individual user mailboxes, but excludes e-mail and e-fax in shared mailboxes and voice mail.	90 days	
20-23	ELECTRONIC MESSAGES d. BUSINESS RELATED 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. Includes e-mail and e-fax in individual user mailboxes, but excludes e-mail and e-fax in shared mailboxes and voice mail.	3 years	
20-24	ELECTRONIC MESSAGES e. BUSINESS RELATED 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. Includes e-mail and e-fax in individual user mailboxes, but excludes e-mail and e-fax in shared mailboxes and voice mail.	WORKERS' COMPENSATION COURT PRESIDING JUDGE AND COURT ADMINISTRATOR: Transfer to State Archives after 8 years ALL OTHERS: 8 years	Contact State Archives to negotiate transfer
20-25	FEDERAL GRANT a. ANNUAL OCCUPATIONAL INJURIES AND ILLNESS SURVEY	Records relating to survey conducted by the court for the Bureau of Labor Statistics (BLS). Includes employment statistics, type of business surveyed, and occupational injury and illness summary.	1 year after publishing the final data file for the reference year	•Paper •OSHA No. 300

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
20-26	FEDERAL GRANT b. CENSUS OF FATAL OCCUPATIONAL INJURIES (CFOI) FILE	Records regarding work-related fatalities and illnesses. May include but not limited to: death certificate, news paper articles, motor vehicle accident reports, sheriff report, injury first reports, OSHA 36 reports, OSHA 170 reports, OSHA 101 reports, autopsy reports, employer reports and any additional correspondence pertaining to the fatality.	1 year after publishing the final data file for the reference year	Paper
20-78	FIRST REPORT OF INJURY (FRI) REQUEST a. FRI CASE FILES	Electronic records related to First Report of Injury (FRI) requests. May include: employee name and SSN, date of injury, employer and insurance coverage information, case number, FRI request letter, responses, and green cards.	5 years	Electronic
20-79	FIRST REPORT OF INJURY (FRI) REQUEST b. FORM LETTERS	Master form letters used to request a FRI. Includes first and second notices.	After superseded	Electronic
20-80	FIRST REPORT OF INJURY (FRI) REQUEST c. SCANNED DOCUMENTS	Original paper documents received and scanned into Edocuments table.	1 year after scanned, verified, and stored in the Edocuments table	Paper
20-27	FIRST/SUBSEQUENT REPORTS a. WORKERS' COMPENSATION CASE/CLAIM FILES	<ul style="list-style-type: none"> •Paper records regarding non-litigated cases (July 5, 1966 through November 30, 2003): May include, but not limited to: 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, medical reports, correspondence regarding disability or benefit rate, vocational rehabilitation field sheets, vocational rehabilitation field notes, vocational rehabilitation payment histories, vocational rehabilitation plans, authorizations for payment from Vocational Rehabilitation Trust Fund, requests for liens, and materials signed by workers compensation judges. •Electronic claim files: Individual claim files consisting of current injury, claim, and payment information as reported in FIRST/SUBSEQUENT REPORTS c. TRANSMITTAL REPORTS, item 20-29. 	7/5/1966 THROUGH 11/30/2003: ORIGINAL RECORD: 2 years after microfilming (all original records have been microfilmed) SECURITY MICROFILM: Transfer to State Records Center; 50 years after roll creation date MICROFILM WORK COPY: 50 years after roll creation date ELECTRONIC RECORD: Dispose of individual claim file 50 years after last update of that file	<ul style="list-style-type: none"> •Microfilm (7/5/1966 - 11/30/2003) •Electronic
20-28	FIRST/SUBSEQUENT REPORTS b. WORKERS' COMPENSATION CASE FILES-INDEXES	Alpha indexes (employee name list) of FIRST/SUBSEQUENT REPORTS a. WORKERS' COMPENSATION CASE/ CLAIM FILES (paper) (7/5/1966 THROUGH 11/30/2003), item 20-27.	Concurrent with last roll of microfilm of FIRST/SUBSEQUENT REPORTS a. WORKERS' COMPENSATION CASE/CLAIM FILES (paper) (7/5/1966 THROUGH 11/30/2003, item 20-27	<ul style="list-style-type: none"> •Microfilm •Electronic

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
20-29	FIRST/SUBSEQUENT REPORTS c. TRANSMITTAL REPORTS	Transmittal reports (First Reports of Alleged Occupational Injury or Illness and Compensation & Expense Report/ Subsequent Report) for FIRST/SUBSEQUENT REPORTS a. WORKERS' COMPENSATION CASE/CLAIM FILES (electronic), item 20-27. Paper filed from 12/1/2003, electronic filed beginning 5/1/1997.	2 years after processed with quality control checks and rejected or entered into FIRST/SUBSEQUENT REPORTS b. WORKERS' COMPENSATION CASE/CLAIM FILES (electronic), item 20-27	•Paper •Electronic
20-30	FIRST/SUBSEQUENT REPORTS d1. PROCESSING FILES TEMPORARY RECORDS	Processing records used for creating and updating FIRST/SUBSEQUENT REPORTS a. WORKERS' COMPENSATION CASE/CLAIM FILES (electronic), item 20-27. Used in translating FIRST/SUBSEQUENT REPORTS c. TRANSMITTAL REPORTS, item 20-29.	30 days after record creation date	Electronic
20-31	FIRST/SUBSEQUENT REPORTS d2. PROCESSING FILES TRANSLATED TRANSMITTAL REPORTS	Processing records used for creating and updating FIRST/SUBSEQUENT REPORTS a. WORKERS' COMPENSATION CASE/CLAIM FILES (electronic), item 20-27. Translated FIRST/SUBSEQUENT REPORTS c. TRANSMITTAL REPORTS, item 20-29.	2 years after record creation date	Electronic
20-32	FIRST/SUBSEQUENT REPORTS d3. PROCESSING FILES TRANSACTION RECORDS	Processing records used for creating and updating FIRST/SUBSEQUENT REPORTS a. WORKERS' COMPENSATION CASE/CLAIM FILES (electronic), item 20-27. Used to process Translated FIRST/SUBSEQUENT REPORTS c. TRANSMITTAL REPORT, item 20-29.	5 years after record creation date	Electronic
20-33	FIRST/SUBSEQUENT REPORTS e. ACKNOWLEDGEMENTS	Reports acknowledging acceptance or rejection of FIRST/SUBSEQUENT REPORTS c. TRANSMITTAL REPORT, item 20-29.	2 years after report creation date	Electronic
20-34	FIRST/SUBSEQUENT REPORTS f. DELETION FILES	Records of deletions from FIRST/SUBSEQUENT REPORTS a. WORKERS' COMPENSATION CASE/CLAIM FILES (electronic), item 20-27	50 years after record creation date	Electronic
20-35	FIRST/SUBSEQUENT REPORTS g. PAYMENT EXCEPTION FILES	Records of payment discrepancies in subsequent reports of injury.	2 years after discrepancy is resolved	Electronic
20-81	FORMER EMPLOYEE ELECTRONIC FILES a. F:\ DRIVE FILES	A former employee's electronic files on the F:\ drive.	ORIGINAL: After a copy is created and placed in the new employee's or the section manager's F:\ drive folder. COPY: 4 years after the former employee's termination date or when no longer of reference value, whichever is later.	Electronic

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
20-82	FORMER EMPLOYEE ELECTRONIC FILES b. OUTLOOK .PST FILES	.PST file containing a former employee's Outlook email, calendar, and contacts files. Includes a copy of the .PST file which is provided to the new employee or the section manager.	ORIGINAL .PST FILE: 4 years after the employee's termination date. COPY: When no longer of reference value.	Electronic
20-52	HOSPITAL AND AMBULATORY SURGICAL CENTER SERVICES FEE SCHEDULE	Schedule of fees for hospital and ambulatory surgical center services provided to workers' compensation claimants. Established by the court pursuant to §48-120(1)(b).	5 years after superseded	Electronic Neb Rev. Stat. §48-120(1)(b)
20-53	IMPLANTABLE MEDICAL DEVICES FEE SCHEDULE	Schedule of fees for implantable medical devices provided to workers' compensation claimants. Established by the court pursuant to §48-120(1)(b).	5 years after superseded	Electronic Neb Rev. Stat. §48-120(1)(b)
20-36	INDEPENDENT MEDICAL EXAMINER SYSTEM a. IME CASE FILES	1/1/1994 THROUGH 6/30/2004: Paper documents regarding individual Independent Medical Examiner (IME) case assignments, fiscal year spreadsheets summarizing IME assignment requests, and case status information maintained in the IME Status table. 7/1/2004 AND FORWARD: Paper documents and electronic records related to IME cases opened on or after 7/1/2004.	1/1/1994 THROUGH 6/30/2004: 10 years after end of fiscal year during which IME case is closed 7/1/2004 AND FORWARD: PAPER RECORD: 30 days after scanned, verified, and stored in E-documents table ELECTRONIC RECORD: 10 years after date IME case closed (IME request-date completed)	•Paper •Electronic (7/1/2004 and forward)
20-37	INDEPENDENT MEDICAL EXAMINER SYSTEM b. IME FILES	Records relating to court approved Independent Medical Examiners (IME) with active status on 6/30/2004 and all physicians applying for approval as an Independent Medical Examiner (IME) on or after 7/1/2004.	PAPER RECORDS: 30 days after scanned, verified, and stored in E-documents table ELECTRONIC RECORD: 10 years after date application denied or date terminated as a court approved independent medical examiner	•Paper •Electronic
20-38	INDEPENDENT MEDICAL EXAMINER SYSTEM c. RECORDS INACTIVE PRIOR TO JULY 1, 2004	Information about Independent Medical Examiners (IME) with inactive status prior to 7/1/2004.	10 years after inactive status	Paper
20-39	INDEPENDENT MEDICAL EXAMINER SYSTEM d. CODE LIST	List of codes and code descriptions used in the Independent Medical Examiner (IME) system.	Upon termination of IME system	Electronic
20-40	INFORMAL DISPUTE RESOLUTION (IDR) CASE FILES	Records relating to informal dispute resolution cases. May include, but not limited to: 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, statement of outcome, and any related documents (including doctors' notes, medical bills, impairment ratings, and correspondence).	10 years after case is closed	•Paper •Electronic

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
20-54	INPATIENT HOSPITAL FEE SCHEDULES a. DIAGNOSTIC RELATED GROUP (DRG) AND TRAUMA SERVICES FEE SCHEDULES	Schedules of fees for inpatient hospital services provided to workers' compensation claimants. Established by the court pursuant to §48-120.04 (6) and (7).	5 years after superseded	Electronic NE Rev. Stat. §48-120.04 (6) and (7).
20-55	INPATIENT HOSPITAL FEE SCHEDULES b. CURRENT MEDICARE FACTOR REPORT FORM	Current Medicare Factor Report received from hospitals and used in establishing the Diagnostic Related Group (DRG) and Trauma Services Fee Schedules.	5 years	Electronic NE Rev. Stat. §48-120.04.
20-56	INPATIENT HOSPITAL FEE SCHEDULES c. CLAIM COUNT INFORMATION	Database records of DRG claim count information for payors and hospitals used in establishing the Diagnostic Related Group (DRG) and Trauma Services Fee Schedules.	5 years	Electronic NE Rev. Stat. §48-120.04.
20-57	INPATIENT HOSPITAL FEE SCHEDULES d. REPORTER REGISTRATION INFORMATION	Database records of registered reporters submitting DRG claim count information for payors and hospitals used in establishing the Diagnostic Related Group (DRG) and Trauma Services Fee Schedules.	2 years after inactivity of registered reporter.	Electronic
20-58	INPATIENT HOSPITAL FEE SCHEDULES e. TRANSMITTAL REPORTS	Transmittal reports of payor and hospital DRG claim count information used in establishing the Diagnostic Related Group (DRG) and Trauma Services Fee Schedules.	6 months after publication of Diagnostic Related Group (DRG) and Trauma Services Fee Schedules	Electronic
20-59	INPATIENT HOSPITAL FEE SCHEDULES f. WORKING FILES	Electronic files used to create the Inpatient Hospital Fee Schedules. Includes electronic files used to track receipt of DRG transmittal reports from payors and hospitals.	2 years after publication of Diagnostic Related Group (DRG) and Trauma Services Fee Schedules	Electronic
20-60	JUDGES' MEETING MINUTES	Minutes of the Workers' Compensation Court Judges' meetings. Includes agendas, meeting announcements, and other supporting documents.	Permanent	•Paper •Electronic
20-61	LAW BOOKS	Court publications of statutes comprising the Nebraska Workers' Compensation Act and related annotations.	5 years after superseded, obsolete, or no longer of reference value	Paper
20-83	MANAGED CARE PLAN DOCUMENTATION a. APPROVED PLANS	Applications and correspondence to the Nebraska Workers' Compensation Court requesting certification of a managed care plan. May include, but not limited to: application(s), financial information, list of providers, statement of good standing, and correspondence to and from the court. Approved applications become the final managed care plan.	10 years after the date of termination of the managed care plan.	Paper

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
20-84	MANAGED CARE PLAN DOCUMENTATION b. NON-APPROVED PLANS	Applications and accompanying documentation and correspondence	10 years after non-approval of application.	Paper
20-62	MAXIMUM WEEKLY BENEFIT ORDERS	Maximum weekly income benefit orders of the court administrator. Includes the order, calculation sheet, letter to governor, and press release.	Permanent	Paper Neb. Rev. Stat. §§48-121-01, 48-121.02
20-63	MEDICAL SERVICES FEE SCHEDULE a. PUBLISHED MEDICAL SERVICES FEE SCHEDULE	Schedule of fees for medical services provided to workers' compensation claimants. Established by the court pursuant to §48-120(1)(b).	5 years after superseded	•Paper •Electronic Neb Rev. Stat. §48-120(1)(b)
20-64	MEDICAL SERVICES FEE SCHEDULE b. WORKING FILES	Electronic files used to create the Medical Services Fee Schedule. Includes the deliverables from outside vendors, working charts, and notes.	2 years after publication of the Medical Services Fee Schedule	Electronic
20-41	MESSAGES AND DOCUMENTS IN TRANSIT	Includes electronic messages and documents retained temporarily in a shared mailbox or other data storage medium before being processed and stored in a permanent repository. Does not include voice mail, e-mail or e-fax in individual user mailboxes or EDI data transmissions.	6 months after record creation	
20-85	NEW CORPORATION PROCESS RECORDS a. EMPLOYER FILE	Files that contain a list of new corporation employers obtained from the Nebraska Secretary of State office. The list is used to create the spreadsheet and new corporation letters. May include: employer names and addresses.	1 year	Electronic
20-86	NEW CORPORATION PROCESS RECORDS b. FORM LETTERS	Master copy of form letters used to create new corporation letter and subsequent corporation letters. Includes master copy forms for first and subsequent new corporation letters. Master copy of form letters are merged with Secretary of State mailing list to create new corporation letters. New corporation letters are not retained.	After superseded	Electronic
20-87	NEW CORPORATION PROCESS RECORDS c. SPREADSHEET	Spreadsheet maintained by fiscal year documenting new corporate filings; dates new corporation letters sent; and response information.	3 years after creation	Electronic
20-88	NEW CORPORATION PROCESS RECORDS d. RESPONSES	PDF file maintained by fiscal year. Includes documents received in response to new corporation letters.	3 years after creation	•Paper •Electronic

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
20-65	ORACLE DATABASE SOFTWARE LOGS	Various Oracle database software system logs that record events associated with each Oracle database.	Alert logs and listener logs: 90 days Trace logs: 7 days Incident logs: 365 days	Electronic
20-66	PUBLIC HEARING AND/OR PUBLIC MEETING TRANSCRIPTS	Transcripts of public hearings and/or public meetings regarding proposed court rule changes and related exhibits, including notice of hearing and/or meeting, proof of publication of the notice, agenda, proposed rule amendments, and written testimony.	Permanent	•Paper •Electronic
20-67	PUBLICATIONS - MISCELLANEOUS	Miscellaneous court publications not addressed under another item. May include, but not limited to, pamphlets, books, forms, and reports.	After superseded or no longer current.	•Paper •Electronic
20-68	RECORD INVENTORIES	Excel workbook that includes two spreadsheets, one for Schedule 20 records and one for court records specifically identified as being governed by Schedule 124.	After superseded	Electronic
20-69	RECORD RETENTION SCHEDULES - REFERENCE COPIES	Copies of records retention and disposition schedules which have been officially approved and signed by the State Records Administrator. [Note: Original records are maintained by the Secretary of State or State Archives]	No longer of reference value	•Paper: 1979 - 2008 •Electronic: 2009 - Forward
20-70	RULES OF PROCEDURE	Procedural rules and regulations adopted by the court.	PERMANENT: Deposit 4 copies with the NE Publications Clearinghouse COPIES: When no longer of reference value	•Paper •Electronic Neb. Rev. Stat. §48-163 Workers' Comp. Ct. R. of Proc. 68
20-71	SECOND INJURY BENEFIT PAYMENT ANNUAL VERIFICATION	Letter sent annually to each recipient of second injury benefit payments to verify that the recipient is still living, the recipient's current address, and whether the recipient is or is not currently employed.	5 years after date of last benefit payment	•Paper
20-42	VOCATIONAL REHABILITATION CASE FILES	Records related to the provision of the vocational rehabilitation services to injured workers. May include, but not limited to: appointment requests, counselor designation forms, vocational rehabilitation plans, initial evaluations, loss of earning power evaluations, progress reports, grades, class schedules, medical information, requests for reimbursement and other correspondence.	10 years after case has been closed	•Paper and electronic •NE Rev. Stat. §48-162.01 and §48-162.02

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
20-43	VOCATIONAL REHABILITATION CASE FILES APPOINTMENT REQUEST ONLY	Requests for appointment of counselor where appointment request is for loss earning power evaluation only or where request for appointment for vocational rehabilitation services is denied. May include, but not limited to: Request for Appointment form, approval or denial of appointment, and supporting documents.	3 years after appointment or denial	•Paper (7/1/1994 through 6/30/2004) •Paper and electronic (7/1/2004 and forward)
20-44	VOCATIONAL REHABILITATION MONTHLY BENEFIT RATE/MILEAGE	Spreadsheet containing calculated rates for training facilities. Includes schedule of room, board rates, and mileage for training facilities.	3 years after creation date	Electronic
20-45	VOCATIONAL REHABILITATION SERVICE (VRS) PROVIDER FILES	Records relating to court approval of Vocational Rehabilitation Services (VRS) Providers. May include but not limited to: applications for certification, renewal of applications, supporting documents and correspondence, approval or denial of certification, and records of disciplinary action.	7/1/1994 THROUGH 8/31/2007: 10 years after decertification date 9/1/2007 FORWARD: PAPER RECORD: 30 days after scanned, verified, and stored in Edocuments table ELECTRONIC RECORD: 10 years after decertification date	•Paper •Electronic
20-90	WEBSITE ARCHIVAL RECORDS	Monthly snapshots of content available on the Court's public internet website.	3 years	Electronic
20-89	WEBSITE PRODUCTION RECORDS	Records that comprise the content currently available on the Court's public internet website.	After superseded	Electronic
20-91	WORKING RECORDS	Preliminary working files used in the development of rules, policies, procedures, forms, computer programs, or other similar records. May include notes and miscellaneous documents used in compiling and assembling a final product. Includes Quality Assurance and Development programming files.	Until superseded or no longer of reference value	•Paper •Electronic

RECORDS DISPOSITION REPORT

TO: SECRETARY OF STATE RECORDS MANAGEMENT DIVISION 440 S. 8 TH STREET SUITE 210 LINCOLN, NE 68508-2294	AGENCY
	DIVISION
	SUB-DIVISION

REQUIRED INFORMATION:

In accordance with the Records Management Act, records of this agency have been disposed of under the authorization granted by the following schedule(s):

SCHEDULE NUMBER(S) ONLY (DO NOT INCLUDE SECTION AND ITEM NUMBERS)	TOTAL VOLUME DISPOSED (SEE REVERSE)

OPTIONAL INFORMATION (FOR YOUR USE ONLY):

You may include detailed information which will be useful to you in recording exactly what records were disposed of and under what authority. This might include such things as schedule section and item numbers, title of records, inclusive dates of records, etc. This information is not required to be filed with Records Management.

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DATE	SIGNATURE
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SEND ORIGINAL TO RECORDS MANAGEMENT. MAKE A PHOTOCOPY FOR YOUR RECORDS.

RMA 03006D

VOLUME ESTIMATING GUIDE

(PLEASE NOTE THAT FOR REPORTING PURPOSES, A BALLPARK ESTIMATE OF THE TOTAL VOLUME OF MATERIAL DISPOSED IS ADEQUATE.)

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