

# **Schedule 83**

# **ENGINEERS AND ARCHITECTS BOARD**

**December 3, 2018**

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

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

SCHEDULE	<b>83</b>
AGENCY, BOARD OR COMMISSION	<b>ENGINEERS AND ARCHITECTS BOARD</b>
DIVISION, BUREAU OR OTHER UNIT	
Supersedes Edition of November 1, 2016	

**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

Executive Director, NBEA

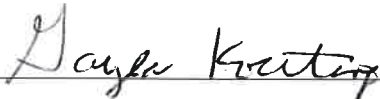
DATE

15 NOV 2018

**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

11/27/2018

**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



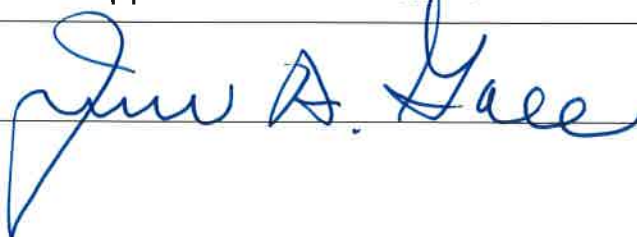
DATE

11/30/18

**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

12/13/18

## **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 2<sup>nd</sup> 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 83  
BOARD OF  
ENGINEERS AND ARCHITECTS  
December 3, 2018**

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

Supersedes Edition of November 1, 2016

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
83-1	<b>CERTIFICATES OF AUTHORIZATION FILES</b>	Files established by organizations for authorization to practice or offer to practice engineering and/or architecture in Nebraska. Files may include, but are not limited to: the application; notices of change(s) to contact information; responsible charge, organization's officers; and biennial renewal notices returned with payment.	<b>ORIGINAL RECORD:</b> Scan to WORK FILE after processing; dispose of after image verification <b>CHANGE NOTICES:</b> Scan to WORK FILE after processing; dispose of after image verification <b>RENEWALS:</b> Scan to WORK FILE after processing; dispose of after image verification; also see ACCOUNTS RECEIVABLE, item 124-3 <b>DATABASE RECORD:</b> 100 years OR when no longer of administrative value as determined by the Executive Director (whichever is later) <b>ELECTRONIC WORK FILE:</b> 20 years after expiration OR when no longer of administrative value as determined by the Executive Director (whichever is later)	<ul style="list-style-type: none"> <li>•Neb. Rev. Stat. §81-3436</li> <li>•Records contained in agency database and electronic files</li> </ul>
83-2	<b>COMPLIANCE/ INVESTIGATION - FORMAL HEARING FILES</b>	Records of contested cases heard in accordance with Title 53, Nebraska Administrative Code, Chapter 4 of the Nebraska Department of Justice.	<b>ORIGINAL RECORD:</b> 20 years after dismissal or completion of sentence or penalty OR when no longer of administrative value as determined by the Compliance Officer (whichever is later) <b>COPY FINAL ORDERS:</b> Retain one copy; 50 years <i>NOTE: A copy of final decision/order is retained in the respondent's file when applicable.</i>	<ul style="list-style-type: none"> <li>•Records contained in paper and electronic files</li> <li>•Summary may be contained in agency database</li> </ul>
83-3	<b>COMPLIANCE/ INVESTIGATION FILES</b>	Files established as a result of receiving notice of possible infraction of the Engineers and Architects Regulation Act. Files may include, but are not limited to: original complaint, correspondence between the complainant and/or respondent, resolution and/or consent orders related to the complaint.	<b>ORIGINAL RECORD:</b> 5 years after date of final decision OR when no longer of administrative value as determined by the Compliance Officer (whichever is later) <i>NOTE: A copy of final decision/order is retained in the respondent's record file when applicable.</i> <b>DATABASE RECORD:</b> 20 years OR when no longer of administrative value as determined by Compliance Officer (whichever is later)	<ul style="list-style-type: none"> <li>•Records contained in paper and electronic files</li> <li>•Summary may be contained in agency database</li> </ul>
83-4	<b>DATABASE DISASTER RECOVERY DATA</b>			Schedule 124-24
83-5	<b>CONTINUING EDUCATION AUDITS</b>	Files established each renewal period of professional engineers and architects who have been randomly selected for Continuing Education (CE) audits. Files may include, but are not limited to: logs, copies of course completion certificates, auditor's evaluation and any related correspondence.	Scan to individual's PROFESSIONAL FILES, item 83-7 after completion of CE audit, dispose of paper copies after image verification.	Records contained in agency database and electronic files

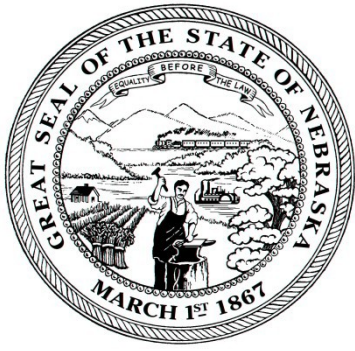
ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
83-6	LICENSE RENEWALS	License renewals for professional and emeritus engineers and architects. Renewals may be completed online or via a paper renewal form. Online renewal information is imported directly into the database and a daily payment report is printed. These records are retained for financial audit purposes only; they do not become part of the licensee's professional file unless a licensee responses with a "Yes" on any of the disclosure questions. Any contact information changes are either entered via the online import or manually from the paper renewal form and a comment is added to the database.	<b>PAPER RECORD:</b> See ACCOUNTS RECEIVABLE, item 124-3 <b>DISCLOSURES:</b> For any "Yes" responses, save to WORK FILE after processing. <b>DATABASE RECORD:</b> 10 years OR when no longer of administrative value as determined by the Executive Director (whichever is later) <b>ELECTRONIC WORK FILE:</b> 20 years OR when no longer of administrative value as determined by the Executive Director (whichever is later)	Records contained in agency database, and paper and electronic files
83-7	PROFESSIONAL FILES	Individual files of Nebraska licensed architects and professional engineers currently licensed in the state. -The file may include, but is not limited to: applications, online application summary, intern documentation, correspondence, college transcripts, reference replies, exam results, interview rating sheets and other related documentation.	<b>DATABASE RECORD:</b> 100 years OR when no longer of administrative value as determined by the Executive Director (whichever is later) <b>ELECTRONIC WORK FILE:</b> 20 years OR when no longer of administrative value as determined by the Executive Director (whichever is later)	Records contained in agency database and electronic files
83-8	ENGINEERS/ARCHITECTS - REINSTATEMENT APPLICATIONS			Obsolete
83-9	EXAMINATION RESULTS	Includes results of NCEES (National Council of Examiners for Engineers and Surveyors) and NCARB (National Council of Architectural Boards) examinations. Results are received electronically from NCEES and NCARB and entered into the database for processing.	<b>ORIGINAL RECORD:</b> Save to WORK FILE upon receipt. <b>ELECTRONIC WORK FILE:</b> 100 years OR when no longer of administrative value, as determined by the Executive Director (whichever is later)	Records contained in agency database and electronic files

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
83-10	<b>EXAMINATION APPLICATION FILES</b>	Files established by an individual to begin the examination process in the State of Nebraska with the Board, individuals who have passed the Fundamentals of Engineering (FE) examination and had their results reported to Nebraska, individuals who applied to become enrolled as an Engineer Intern (EI) in Nebraska. Files may contain, but are not limited to: the application, correspondence, supporting documentation, examination results, approved, deferred, and denied files.	<b>ORIGINAL RECORD</b> <b>ARE/PE:</b> Scan to WORK FILE after processing; dispose of after image verification; move to PROFESSIONAL FILE, item 083-9 upon issuance of license <b>FE EXAM PASSED:</b> Scan to WORK FILE once exam results are processed; dispose of after image verification <b>EI ENROLLMENT:</b> Scan to WORK FILE after processing; dispose of after image verification <b>DATABASE RECORD:</b> 100 years OR when no longer of administrative value as determined by the Executive Director (whichever is later) <b>ELECTRONIC WORK FILE:</b> 20 years OR when no longer of administrative value as determined by the Executive Director (whichever is later)	<ul style="list-style-type: none"> <li>• Neb. Rev. Stat. §§ 81-3448 and 81-3451</li> <li>• Records contained in agency database and electronic files</li> </ul>
83-11	<b>HISTORICAL FILES</b>	A variety of documents and other items which pertain to the history of the Board as determined by the Executive Director.	<b>Permanent</b>	Records contained in paper and electronic files
83-18	<b>INACTIVE APPLICATION FILES</b>	Files established by individuals in which all required documentation has not been received to begin the examination approval or licensing process in the State of Nebraska with the Board. Files may include, but are not limited to: applications or online application summary, exam results, correspondence, and supporting documents.	<b>ORIGINAL RECORD:</b> Scan to WORK FILE 1 year after receipt of application; dispose of after image verification <b>DATABASE RECORD:</b> 10 years OR when no longer of administrative value as determined by the Executive Director (whichever is later) <b>ELECTRONIC WORK FILE:</b> 10 years OR when no longer of administrative value as determined by the Executive Director (whichever is later)	Records contained in agency database and paper and electronic files

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
83-12	INTERN FILES	Files for individuals who have- applied and been enrolled as an Engineer Intern (EI) or have established a NCARB record for the purposes of documenting architectural experience in the National Council of Architectural Registration Boards' (NCARB) Architectural Experience Program (AXP), but have not started the exam application process. Files may include, but are not limited to: application, correspondence, supporting documentation, and educational debt reimbursement request.	<b>ENGINEER INTERN RECORD:</b> <b>PE OR PROFESSIONAL APPLICATION RECEIVED:</b> Move to individual's EXAMINATION APPLICATION FILES, item 83-10 OR PROFESSIONAL LICENSE - APPLICATION FILES, item 83-14 <b>ENGINEERING EDUCATION DEBT REIMBURSEMENT REQUEST:</b> <b>ORIGINAL RECORD:</b> See ACCOUNTS PAYABLE, item 124-1 <b>NOTE:</b> Scan to WORK FILE after processing <b>ARCHITECTURAL EDUCATION DEBT REIMBURSEMENT REQUEST:</b> <b>ORIGINAL RECORD:</b> See ACCOUNTS PAYABLE, item 124-1 <b>NOTE:</b> Scan to WORK FILE after processing <b>ARCHITECT INTERN RECORD:</b> <b>ARE OR PROFESSIONAL APPLICATION RECEIVED:</b> Move to individual's EXAMINATION APPLICATION FILES, item 83-10 OR PROFESSIONAL LICENSE – APPLICATION FILES, item 83-14 <b>DATABASE RECORD:</b> 100 years OR when no longer of administrative value as determined by the Executive Director (whichever is later) <b>ELECTRONIC WORK FILE:</b> 20 years OR when no longer of administrative value as determined by the Executive Director (whichever is later)	Records contained in agency database and electronic files
83-13	MEETING MATERIALS - BOARD BOOKS	Books compiled for use during board meetings by the board members and staff. Books may include, but are not limited to: agendas, financials, applications, compliance issues and information, committee reports, and other business items.	<b>BOARD BOOKS:</b> 5 years after meeting date OR when no longer of administrative value as determined by the Executive Director (whichever is later) <b>ELECTRONIC COPIES:</b> 20 years after meeting date OR when no longer of administrative value as determined by the Executive Director (whichever is later) <b>ALL OTHER COPIES:</b> 5 years after meeting date OR when no longer of administrative value as determined by the Executive Director (whichever is later) <b>OFFICIAL MEETING MINUTES AND AGENDA:</b> See MEETING MINUTES AND MATERIALS, item 124-78	Schedule 124-78 Copies contained in paper and electronic files

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
83-14	<b>PROFESSIONAL LICENSE - APPLICATION FILES</b>	Files established by an individual to begin the licensing or reinstatement process in the State of Nebraska with the Board. Files may contain, but are not limited to: application, correspondence, supporting documentation, continuing education logs and certificates, approved, deferred and denied files.	<p><b>APPROVED:</b> Scan to individual's ENGINEERS/ARCHITECTS - PROFESSIONAL FILE, item 083-9 after processing; dispose of after image verification</p> <p><b>CONTINUING EDUCATION SUPPORT DOCUMENTS:</b> Scan to individual's ENGINEERS/ARCHITECTS - PROFESSIONAL FILE, item 083-9 after board action; dispose of after image verification</p> <p><b>DEFERRED/DENIED:</b> Scan to WORK FILE upon board action; dispose of after image verification</p> <p><b>DATABASE RECORD:</b> 10 years OR when no longer of administrative value, as determined by the Executive Director (whichever is later)</p> <p><b>ELECTRONIC WORK FILE:</b> 10 years OR when no longer of administrative value as determined by the Executive Director (whichever is later)</p>	<ul style="list-style-type: none"> <li>• Neb. Rev. Stat. § 81-3448 and 81-3451</li> <li>• Records contained in agency database and electronic files</li> </ul>
83-15	<b>PUBLICATIONS AND PUBLICATION FILES</b>			See 124-97 Publications and Publication Files
83-16	<b>ROSTERS – ONLINE LICENSE SEARCH</b>	Online license searches for records. The database is used for online license searches that may include, but are not limited to: contact information, license number, certificate number, expiration and related information.	<b>ELECTRONIC RECORD:</b> Dispose of after superseded	
83-17	<b>TEMPORARY PERMIT FILES</b>	Application files established for temporary permits issued to architects and professional engineers licensed in another jurisdiction. Files may include, but are not limited to: application, correspondence, and supporting documents.	<p><b>ORIGINAL RECORD:</b> Scan to WORK FILE after processing; dispose of after image verification</p> <p><b>DATABASE RECORD:</b> 20 years OR when no longer of administrative value as determined by the Executive Director (whichever is later)</p> <p><b>ELECTRONIC WORK FILE:</b> 20 years OR when no longer of administrative value as determined by the Executive Director (whichever is later)</p>	Records contained in agency database and electronic files
83-19	<b>SOCIAL MEDIA</b>	Agency created content for use on social media platforms, including, but not limited to: Facebook, Twitter, Instagram, LinkedIn, etc. A log is maintained of all posts which contains, but is not limited to: subject, date, and removal date, if applicable.	<b>REMOVED POSTS:</b> Retain a WORK COPY for 5 years after removal or when no longer of administrative value as determined by the Public Information Officer (whichever is later).	Also see schedule 124-125 and 124-082





# NEBRASKA SECRETARY OF STATE RECORDS DISPOSITION REPORT

Send to: Records Management Division  
 440 S. 8<sup>th</sup> Street, Suite 210  
 Lincoln, NE 68508-2294 402-471-2559  
[sos.recordsmanagement@nebraska.gov](mailto:sos.recordsmanagement@nebraska.gov)

Approved records retention schedules serve as the legal authority to dispose of records regardless of the media on which they reside. Nebraska revised statute §84-1212.02 requires agencies to report records dispositions on forms provided by the State Records Administrator. Use this form to meet that requirement.

<b>1. AGENCY &amp; DIVISION</b>	
<b>2. SCHEDULE NUMBER(S) ONLY- AGENCY SPECIFIC SCHEDULE OR GENERAL RECORDS SCHEDULE</b>	
<b>3. RECORD MEDIUM</b> PAPER <input type="checkbox"/> ELECTRONIC <input type="checkbox"/> OTHER <input type="checkbox"/> _____	
<b>4. FINAL DISPOSTION METHOD</b>	
<b>5. VOLUME OR FILE SIZE OF RECORDS DISPOSED</b>	
<b>6. OPTIONAL DETAILS FOR ELECTRONIC AND PAPER RECORDS</b> (list whatever level of detail you will want to keep for future use to document what specifically you deleted/destroyed):	
<b>7. SIGNATURE</b> PRINTED NAME _____	<b>DATE</b>
SIGNATURE _____	

## INSTRUCTIONS

1. Enter the agency and division.
2. Enter the records schedule item number(s) that provide authority to dispose of records. The schedule number is either the agency specific schedule and/or the general records schedule. If you are disposing of records from the general records schedule, enter either 24 for local agencies or 124 for state agencies.
3. Choose the record medium being disposed of.
4. Please describe how final disposal was accomplished such as trash, recycled, shredded, deleted, etc.
5. For paper records, report the total volume of records disposed. One standard size storage box (15x10x12) is one cubic foot. For electronic records, report the total file size deleted. An estimate of total volume is fine.
6. Use the optional details for electronic and paper records section to list the level of detail you want to keep for future use to document what specifically was deleted/destroyed.
7. Sign and date the form and send it to the Records Management Division at the address above. Retain a copy for your records in accordance with schedule 24-71 for local agencies and 124-100 for state agencies.