

Schedule 170-1

UNIVERSITY OF NEBRASKA BOARD OF REGENTS

EMPLOYMENT RECORDS

April 15, 2011

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

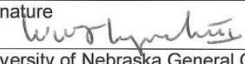
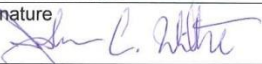
**REQUEST FOR APPROVAL
OF RECORDS RETENTION
AND DISPOSITION SCHEDULE**

SCHEDULE 170-1
AGENCY, BOARD OR COMMISSION UNIVERSITY OF NEBRASKA BOARD OF REGENTS
RECORDS SERIES EMPLOYMENT RECORDS
Supersedes Schedule 170-1 Edition of December 11, 2006

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

PART I – UNIVERSITY OF NEBRASKA STATEMENT:

In accordance with Section 84-1212.01, (Reissue 1999), 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(2), R.R.S. 1943. The attached Records Retention and Disposition Schedule has been approved by the records officers of the University of Nebraska.

University of Nebraska Records Officer (Print Name) William F. Lynch III	
Signature 	DATE 4/5/11
University of Nebraska General Counsel's Office (Print Name) John C. Wiltse	
Signature 	DATE 7 April 2011

PART II – ARCHIVAL APPROVAL

The attached schedule has been analyzed, all archival and historical material has been properly identified, no disposition except by transfer to the University of Nebraska Archives has been recommended for such material, and this schedule is approved as submitted.

University of Nebraska Archives (Print Name) Mary Ellen Ducey	
Signature 	DATE 17 Apr. 2011

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 4/12/11
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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.

Nebraska State Records Administrator (Print Name) John A. Gale	
Signature 	DATE 4/15/11

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. State Agencies General Records Schedule No. 124 contains those records common to most state government agencies. This schedule takes precedence over General Records Schedule 124.

This schedule provides ongoing authority to dispose of paper records that do not have a permanent retention period after electronic copies have been made in accordance with Neb. Rev. Stat. § 25-12,112 (Reissue 1995) and to dispose of paper or electronic records once the record's retention period has expired unless it is subject to a legal hold. The University of Nebraska assumes the responsibility to migrate these electronic records to a new system, software, and/or storage medium when the current system, software, and/or storage medium become obsolete, to ensure that this information remains accessible for the entire required retention period.

DISPOSING OF RECORDS

1. Check your schedules to see what the retention period is.
2. Dispose of records that have met their retention periods unless they are subject to a legal hold.
3. 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.

**Nebraska Secretary of State
Records Management Division
3242 Salt Creek Circle
Lincoln, NE 68504
SOS.RecordsManagement@nebraska.gov
402-471-2559**

QUESTIONS

If you have any questions about these procedures, please contact the Director of University Records.

SCHEDULE 170-1 – UNIVERSITY OF NEBRASKA BOARD OF REGENTS – EMPLOYMENT RECORDS

University of Nebraska Employment Records Retention and Disposition Schedule					
Legend: D=Days; CY=Calendar Year End: December 31; FY=Fiscal Year End: June 30; Y=Years; E=Expiration; S=Separation; P=Permanent;					
ELECTRONIC RECORDS - retention follows the same retention as retention of paper records.					
PRESERVATION HOLD - no destruction of records may take place while there is a Preservation Hold in effect.					
*Dispose after the required retention period provided the audit has been completed with the audit report released and all related audit comments resolved.					
Code	Grouping	Category	Sub-Category	Record	Retention
Recruitment Materials Records					
170-1-1	Recruitment	Recruitment Materials	Process	Certification Statement - Equity, Access and Diversity (UNMC - Certification EEOC, AA including harassment)	4Y
170-1-2	Recruitment	Recruitment Materials	Process	Job Description for Recruitment	4Y
170-1-3	Recruitment	Recruitment Materials	Process	Personnel Requisition/Justification Forms	4Y
170-1-4	Recruitment	Recruitment Materials	Process	Reclassification Requests	4Y
170-1-5	Recruitment	Recruitment Materials	Process	Salary Analysis - Internal/External Competitive	4Y
170-1-6	Recruitment	Recruitment Materials	Process	Work Study Authorization	4Y
Application Records					
170-1-7	Recruitment	Application Records	Individuals	Advertisements	4Y
170-1-8	Recruitment	Application Records	Individuals	Affirmative Action Reports/Records - Not Hired	4Y
170-1-9	Report	Application Records	Individuals	Affirmative Action Reports/Records - Hired	CY + 7Y
170-1-10	Recruitment	Application Records	Individuals	Application Summary Log	4Y
170-1-11	Recruitment	Application Records	Individuals	Background Check Information - Credit Reports	6Y
170-1-12	Recruitment	Application Records	Individuals	Background Check Information - Mandatory (may or may not include Child and Adult Registry Checks)	6Y
170-1-13	Recruitment	Application Records	Individuals	Background Check Information - Optional (may or may not include Child and Adult Registry Checks)	6Y
170-1-14	Active	Application Records	Employee	Certification Statement - Equity, Access and Diversity	S + 7Y
170-1-15	Recruitment	Application Records	Individuals	Employment Application (where applicable)	4Y

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Code	Grouping	Category	Sub-Category	Record	Retention
170-1-16	Recruitment	Application Records	Individuals	Employment Application Information – Not Hired	4Y
170-1-17	Active	Application Records	Employee	Employment Application Information – Hired	S + 7Y
170-1-18	Recruitment	Application Records	Individuals	Faculty Recruiting Files	4Y
170-1-19	Recruitment	Application Records	Individuals	Memos of Record (files for past applicants, applications/resumes of unsuccessful candidates)	4Y
170-1-20	Active	Application Records	Employee	Memos of Record (files for past employees, applications/resumes of successful candidates)	S + 7Y
170-1-21	Recruitment	Application Records	Individuals	Non-Selection Notification	4Y
170-1-22	Recruitment	Application Records	Individuals	References/Reference Letters	4Y
170-1-23	Recruitment	Application Records	Individuals	Resume/Vita/Cover Letters – Not Hired	4Y
170-1-24	Recruitment	Application Records	Employee	Resume/Vita/Cover Letters – Hired	S + 7Y
170-1-25	Recruitment	Application Records	Individuals	Search Committee Notes (interview questions, screening criteria, etc.)	4Y
Pre-employment Records					
170-1-26	Recruitment	Pre-employment	Individuals	Letter of Offer	4Y
170-1-27	Recruitment	Pre-employment	Individuals	Physician's Certification – ADA UNMC – Physician's Certification – ADA Current Employees (WC or FMLA or Medical)	4Y
170-1-28	Recruitment	Pre-employment	Individuals	Pre-employment Physical	4Y
Contracts and Agreements					
170-1-29	Active	Employment – Ongoing	Employee	Employment Contracts	S + 7Y
170-1-30	Active	Employment – Ongoing	Employee	Interruption in Tenure – Faculty Agreements	S + 7Y
170-1-31	Miscellaneous	Labor Contract	Union	Labor Contracts/Negotiations	E + 20Y
170-1-32	Active	Benefits	Employee	Phased Retirement Contracts (Benefits)	S + 7Y*

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Code	Grouping	Category	Sub-Category	Record	Retention
170-1-33	Recruitment	Pre-employment	Individuals	Pre-employment Contracts	S + 7Y
170-1-34	Active	Employment - ongoing	Employee	SAP Confidentiality Statement/Security Agreements	CY + 7Y
Benefits Records					
170-1-35	Active	Benefits	Employee	Benefits Enrollment Form (including NUFLEX and Health Information for Life Insurance Application)	S + 7Y*
170-1-36	Active	Benefits	Hours/Time	Crisis Leave Donation/Request/Reports	CY + 7Y*
170-1-37	Report	Benefits		Federal Benefits ACH Reports (IANR)	CY + 7Y*
170-1-38	Report	Benefits		Federal Notification and Medicare Eligibility Form (IANR)	S + 7Y*
170-1-39	Active	Worker's Compensation	Employee	First Report of Alleged Occupational Injury	S + 30Y
170-1-40	Active	Benefits	Physician Information	FMLA Documentation (with or without Physician's Certification included)	CY + 7Y
170-1-41	Report	Benefits		Monthly Exception Reports - Vacation/Sick Leave Requests	CY + 7Y
170-1-42	Active	Benefits	Employee	Reimbursement Account - Enrollment and Claims	CY + 7Y*
170-1-43	Active	Benefits	Employee	Retirement and Pension Records	S + 7Y
170-1-44	Report	Benefits		TIAA - CREF Separation Report	S + 7Y
170-1-45	Report	Benefits		Tuition Remission Data	CY + 7Y
170-1-46	Report	Benefits		Vacation/Sick Leave/Comp Time Reports	CY + 7Y*
170-1-47	Active	Benefits	Hours/Time	Vacation/Sick Leave Requests	CY + 7Y
170-1-48	Active	Worker's Compensation	Employee	Worker's Compensation - insurance Claims/Forms	S + 30Y
Employment-ongoing Records					
170-1-49	Report	Compliance Reporting		AAUP Faculty Rosters	CY + 7Y
170-1-50	Active	Employment - ongoing	Employee	Annual Salary Notification including Faculty - Electronic	CY + 7Y
170-1-51	Active	Employment - ongoing	Employee	Appointment Letters and Ongoing Employment	S + 7Y

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Code	Grouping	Category	Sub-Category	Record	Retention
170-1-52	Active	Employment - ongoing	Employee Evaluation	CIEQ Form eARFA - Faculty Evaluation Questionnaire and Accomplishments (Business Center)	S + 7Y
170-1-53	Active	Employment - ongoing	Physician Information	CDL Drug and Alcohol Test	S + 30Y*
170-1-54	Active	Employment - ongoing	Employee Evaluation	Corrective Action Form	S + 7Y
170-1-55	Report	Compliance Reporting		EEO-6 Report (IPEDS)	CY + 7Y
170-1-56	Active	Employment - ongoing	Employee	Employee Expense Reports	FY + 7Y*
170-1-57	Active	Employment - ongoing	Employee Evaluation	Evaluations on Faculty	S + 7Y
170-1-58	Active	Employment - ongoing	Grievance	Grievance Forms	CY + 7Y
170-1-59	Active	Employment - ongoing	Grievance	Grievance Hearing Documents and Notes - EEO	CY + 7Y
170-1-60	Active	Employment - ongoing	Grievance	Grievance Hearing Documents and Notes - Employment	CY + 7Y
170-1-61	Active	Employment - ongoing	Employee	I-9	S + 7Y*
170-1-62	Active	Employment - ongoing	Employee	Job Description (since last change)	CY + 7Y
170-1-63	Active	Employment - ongoing	Employee	Memos of Record - MFR: (appointment, budgets, letter of commendation, corrective action, termination, service awards documents, e-mails, memos, notes on promotion, tenure, notes/e-mails to self regarding an employee)	S + 7Y
170-1-64	Active	Employment - ongoing	Employee	N-Card, Photo ID, NU ID Number	S + 7Y
170-1-65	Miscellaneous	Compliance Reporting	Employee	NEOC Files	CY + 7Y
170-1-66	Active	Employment - ongoing	Employee	Outside Activity Forms	S + 7Y
170-1-67	Active	Employment - ongoing	Employee	Overtime/Compensatory Agreement Form	S + 7Y
170-1-68	Active	Employment - ongoing	Employee	PAF (Personnel Action form) [Faculty appointment data] etc.	S + 7Y

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Code	Grouping	Category	Sub-Category	Record	Retention
170-1-69	Active	Employment - ongoing	Employee Evaluation	Performance Appraisals	S + 7Y
170-1-70	Active	Employment - ongoing	Employee	Personal Data Form - PDF: (address changes, credentialing, supervisory training, safety training, CDL driver's license, etc.)	S + 7Y
170-1-71	Active	Employment - ongoing	Employee	Physician's Certification - ADA	S + 7Y
170-1-72	Active	Employment - ongoing	Employee	Purchase Card - Ownership and Number	CY + 7Y
170-1-73	Miscellaneous	Compliance Reporting	Employee	Radiation Dosimetry Records and Exposure Records	S + 30Y
170-1-74	Active	Employment - ongoing	Employee	Reclassification Requests	CY + 7Y
170-1-75	Active	Employment - ongoing	Employee	Recurring Payments (temporary overloads, etc.)	S + 7Y*
170-1-76	Active	Employment - ongoing	Employee	Salary Analysis - Internal/External Competitive	CY + 7Y
170-1-77	Active	Employment - ongoing	Employee	Salary Notification Letters - including Faculty	S + 7Y
170-1-78	Report	Compliance Reporting		VETS-100 Report	CY + 7Y
170-1-79	Active	Employment - ongoing	Employee	Visa Forms and Work Permits	S + 7Y*
Payroll Records					
170-1-80	Active	Payroll	Hours/Time	Biweekly Time Sheets (including work study)	CY + 7Y*
170-1-81	Active	Payroll Data	Pay Related	Direct Deposit - ACH: (initial enrollment or not to enroll, amount adjustment request, changes)	S + 7Y
170-1-82	Active	Payroll	Tax Reporting	8233 Forms (Claim Tax Treaty Benefit)	S + 7Y*
170-1-83	Miscellaneous	Payroll	Employee	Employment Verifications (for loans etc.)	90D after response provided
170-1-84	Active	Payroll	Tax Reporting	Exempt from Withholding (nonresident alien)	S + 7Y*
170-1-85	Report	Payroll		Formulated Payment Logs	CY + 7Y*
170-1-86	Report	Payroll		Foundation Payments Log	CY + 7Y*

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Code	Grouping	Category	Sub-Category	Record	Retention
170-1-87	Active	Payroll	Pay Related	Garnishments/Letters	CY + 7Y*
170-1-88	Report	Payroll		LOA Report/Negative/P00 Report/ Negative/5PY Report	CY + 7Y*
170-1-89	Report	Payroll		Manual Check Log/Emergency Check Requests	CY + 7Y*
170-1-90	Active	Payroll	Hours/Time	Off Campus and other Timesheets input by Payroll	CY + 7Y*
170-1-91	Report	Payroll		Payroll Closing Documents (edits, time errors etc. audit trail)	CY + 7Y*
170-1-92	Active	Payroll Data	Pay Related	Remuneration Statement (Access to Pay Advice)	S + 7Y
170-1-93	Active	Payroll	Tax Reporting	Tax Treaty Affidavit	S + 7Y*
170-1-94	Active	Payroll Data	Tax Reporting	1042-S Tax Form (nonresident aliens)	CY + 7Y*
170-1-95	Report	Payroll		Warrant Voids (reverse/delete documentation)	CY + 7Y*
170-1-96	Active	Payroll Data	Tax Reporting	W-2	CY + 7Y*
170-1-97	Active	Payroll Data	Tax Reporting	W-4	S + 7Y*
170-1-98	Active	Payroll Data	Tax Reporting	W-9 for Nonresident Alien Meeting SPT	S + 7Y
Separation Records					
170-1-99	Separation	Separation		Checkout Forms	S + 7Y
170-1-100	Separation	Separation		Exit Interviews	S + 7Y
170-1-101	Separation	Separation		Letter of Resignation	S + 7Y*
170-1-102	Separation	Separation		Letter of Termination	S + 7Y*
170-1-103	Report	Separation		Retirement Register of Separation and Transfer of Federal Employees (IANR)	CY + 7Y
170-1-104	Separation	Separation		RIF Notification	S + 7Y
170-1-105	Report	Separation		Unemployment Claim/Notification/ Response/Billing	CY + 7Y
170-1-106	Separation	Separation		Vacation Payout E-mail	S + 7Y*