

# **Schedule 83**

# **ENGINEERS & ARCHITECTS BOARD**

December 13, 2022

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

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

SCHEDULE

**83**

AGENCY, BOARD OR COMMISSION

**ENGINEERS & ARCHITECTS BOARD**

DIVISION, BUREAU OR OTHER UNIT

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

**Supersedes Edition of December 3, 2018**

**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 *Jean Wilbich*

TITLE Executive Director

DATE Nov 16, 2022

**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  
*Anna Holley*

Anna Holley (Nov 16, 2022 16:00 CST)

DATE

Nov 16, 2022

**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

*Pat Reding*

Pat Reding (Nov 17, 2022 07:54 CST)

DATE

Nov 17, 2022

**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

*Robert B. Evnen*

Robert B. Evnen (Dec 13, 2022 13:30 CST)

DATE

December 13, 2022

**RMA 01005D**

## **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](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 83  
BOARD OF  
ENGINEERS AND ARCHITECTS**

December 13, 2022

Retention requirements are for all records, regardless of the media on which they reside, paper records can be disposed after verification as part of a durable medium conversion process, unless otherwise noted.

Supersedes Edition of December 3, 2018

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>DATABASE RECORD:</b> 100 years OR when no longer of administrative value as determined by the Executive Director (whichever is later) <b>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>FINAL ORDERS:</b> 50 years <i>NOTE:A copy of final decision/order is retained in the respondent's file when applicable.</i> <b>WORK FILE:</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)	<ul style="list-style-type: none"> <li>•Records contained in paper and electronic files</li> <li>•Summary may be contained in agency database</li> <li>• Also see schedule 124-99 for Registered Mail Receipts</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>DATABASE RECORD:</b> 20 years OR when no longer of administrative value as determined by Compliance Officer (whichever is later) <b>WORK FILE:</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 the final decision/order is to be placed 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> <li>•Also see schedule 124-99 for Registered Mail Receipts</li> </ul>
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.	Move Auditor's Evaluation and CE Log to individual's PROFESSIONAL FILES, item 83-7 after completion of CE audit.	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>DISCLOSURES:</b> For any "Yes" responses, scan to the individual's PROFESSIONAL FILE and to the RENEWAL DISCLOSURE FILE on the agency's server; 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>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>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
83-9	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. Related files may contain board approval lists, final NCEES registration lists, and statistical reports	<b>STATISTICAL REPORTS:</b> 20 years OR when no longer of administrative value, as determined by the Executive Director (whichever is later) <b>ALL OTHER RELATED FILES:</b> 5 years OR when no longer of administrative value, as determined by the Executive Director (whichever is later) <b>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
83-10	EXAMINATION/ENGINEER INTERN ENROLLMENT APPLICATION FILES	Files established by an individual to begin the examination or engineer intern enrollment 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. Files may contain, but are not limited to: the application, correspondence, supporting documentation, examination results, approved, deferred, and denied files.	<b>DATABASE RECORD:</b> 100 years OR when no longer of administrative value as determined by the Executive Director (whichever is later) <b>WORK FILE:</b> 20 years OR when no longer of administrative value as determined by the Executive Director (whichever is later)	• Neb. Rev. Stat. §§ 81-3448 and 81-3451 • Records contained in agency database and electronic files

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
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>DATABASE RECORD:</b> 10 years OR when no longer of administrative value as determined by the Executive Director (whichever is later) <b>WORK FILE:</b> 10 years after receipt of an application or receipt of first support document if no application is received OR when no longer of administrative value as determined by the Executive Director (whichever is later)	Records contained in agency database and electronic files
83-12	<b>INTERN FILES</b>	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>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> Scan to work file after processing <b>ARCHITECTURAL EDUCATION DEBT REIMBURSEMENT REQUEST:</b> Scan to work file after processing <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>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	<b>MEETING MATERIALS - BOARD BOOKS</b>	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, handouts, and other business items.	<b>ORIGINAL 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 RELATED FILES:</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/TEMPORARY PERMIT - APPLICATION FILES</b>	Files established by an individual to begin the licensing reinstatement, or temporary permit 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.	<p><b>APPROVED:</b> Move to individual's PROFESSIONAL FILE, item 83-9</p> <p><b>CONTINUING EDUCATION SUPPORT DOCUMENTS/DISCLOSURES:</b> Scan to WORK FILE; dispose of after image verification</p> <p><b>INCOMPLETE:</b> Move to INACTIVE APPLICATION FILES, item 83-18, if not completed within one year of application receipt</p> <p><b>DATABASE RECORD:</b> 100 years OR when no longer of administrative value, as determined by the Executive Director (whichever is later)</p> <p><b>WORK FILE:</b> 20 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>
83-16	<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.	<p>Retain one copy of the last roster prepared each June and December for 10 years or when no longer of administrative value as determined by the Executive Director (whichever is later)</p> <p><b>ALL OTHER RECORDS:</b> Dispose of after superseded</p>	
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).	
83-20	<b>RULES AND REGULATIONS – AGENCY COPY</b>	Agency copy and records of official rulemaking or regulation making which is adopted or proposed by publication of a notice. Record shall contain copies of all publications and any portions of docket, all written petitions, requests, submissions and comments received by the agency and all other written materials prepared by or for the agency in connection with rule or regulation, any official transcripts of oral presentations made in proceedings, copy of rule or regulation and concise explanatory statement, all petitions for adoption of, exceptions to, amendments of, or repeal or suspension of the rule or regulation, copy of any comments filed by legislative committee, and description that includes estimated quantification of fiscal impact.	<p>Retain one electronic copy of rule or regulation for 20 years or when no longer of administrative value as determined by the Executive Director (whichever is later)</p> <p>Move one copy to item 83-11 HISTORICAL FILES</p>	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
83-21	PROPOSED LEGISLATION	Introduced bills of proposed legislation relevant to the agency. Files may contain, but are not limited to, drafts, fiscal impact statements, stakeholder correspondence, and committee statements.	Retain one electronic copy for 10 years or when no longer of administrative value as determined by the Executive Director (whichever is later)	
83-22	PRESS RELEASES	Press releases issued by the agency.	5 years or when no longer of administrative value as determined by the Executive Director (whichever is later)	
83-23	ROSTERS – BOARD MEMBERS/STAFF	Rosters of board members and directory of employees which may contain contact information, terms of service, and other related information.	5 years after superseded or when no longer of administrative value as determined by the Executive Director (whichever is later)	
83-24	APPLICATION /OVERVIEW SHEET BLANKS	Forms created for application for licensure, examinations, temporary permits, certificates of authorization, renewals, and application overview sheets.	5 years after superseded or when no longer of administrative value as determined by the Executive Director (whichever is later)	
83-25	SURVEYS	Method used for collection of information, data and/or opinions.	5 years after survey completion or when no longer of administrative value as determined by the Executive Director (whichever is later)	
83-36	PUBLIC SERVICE ANNOUNCEMENTS	Announcements created for broadcast via radio or TV and for publication in newspapers and journals.	5 years or when no longer of administrative value as determined by the Executive Director (whichever is later) <b>FINAL PUBLICATION:</b> Deposit 4 copies with the NE Publication Clearinghouse	