

Schedule 170-14

UNIVERSITY OF NEBRASKA BOARD OF REGENTS

ACADEMIC AFFAIRS/PROVOST RECORDS

April 4, 2013

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

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

SCHEDULE	170-14
AGENCY, BOARD OR COMMISSION	UNIVERSITY OF NEBRASKA BOARD OF REGENTS
RECORDS SERIES	ACADEMIC AFFAIRS/PROVOST RECORDS
	NEW

**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)

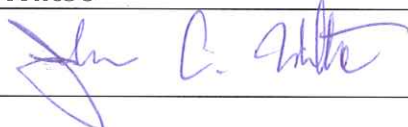
William F. Lynch III

Signature 

DATE
4/1/13

University of Nebraska General Counsel's Office (Print Name)

John C. Wiltse

Signature 

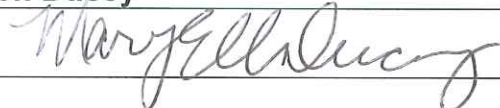
DATE
1 April 2013

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
2 April 2013

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 

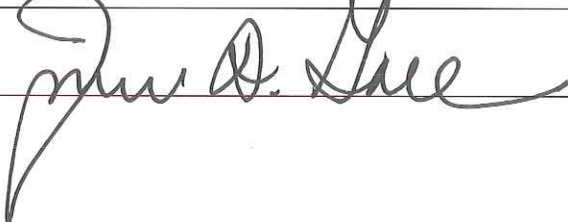
DATE
4/2/13

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
4/4/13

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 170-14 – UNIVERSITY OF NEBRASKA BOARD OF REGENTS – ACADEMIC AFFAIRS / PROVOST RECORDS

General Guidance:

UNIVERSITY RECORD - The single authorized copy of or belonging to the University, regardless of physical form or characteristics, kept by the custodian charged with creating or maintaining the record copy.

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

E-MAIL AS A RECORD - E-mail is not a record series or item, but is a means of conveying information. E-mail retention is based upon the content and context of the e-mail message, not the fact that it is an e-mail message.

ANNOTATED OR ALTERED DUPLICATE COPIES - Any duplicate of a University record that has been annotated or altered is a distinct record and therefore subject to the requirements of University retention schedules.

WHILE CONSIDERED ESSENTIAL - A preservation duplicate of the University record may be made and retained while its retention is considered essential to protect the rights and interests of persons or to establish or affirm the powers and duties of the University in the resumption of operations after a disaster.

PRESERVATION HOLD - No destruction of University records may take place while there is a Preservation Hold in effect.

ITEM NUMBER	RECORDS SERIES	ITEM TITLE / ITEM DESCRIPTION	RETENTION	OFFICE OF RECORD	REFERENCE / COMMENTS
170-14-1	ADMINISTRATIVE RECORDS	ACADEMIC CALENDAR RECORDS University's official calendar for the academic year and records used in its creation.	5 YEARS		Archival review
170-14-2	ADMINISTRATIVE RECORDS	ADMINISTRATIVE FILES, EXECUTIVE LEVEL Subject files maintained by the Office of the Provost, Academic Deans, and Department Chairpersons.	5 YEARS After current calendar year - December 31		Archival review
170-14-3	ADMINISTRATIVE RECORDS	ASSESSMENT TOOLS Records related to external and internal assessment tools used by the Office of the Provost and/or campus planning and institutional research teams.	5 YEARS After current calendar year - December 31		
170-14-4	ADMINISTRATIVE RECORDS	CENSUS RECORDS Records relating to various censuses conducted by the Office of the Provost and/or campus planning and institutional research teams.	3 YEARS After superseded		Archival review
170-14-5	ADMINISTRATIVE RECORDS	COMMITTEE RECORDS Records relating to the work of committees, including agendas, meeting minutes, working papers, related documentation and correspondence.	5 YEARS After current calendar year - December 31		Archival review

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ITEM NUMBER	RECORDS SERIES	ITEM TITLE / ITEM DESCRIPTION	RETENTION	OFFICE OF RECORD	REFERENCE / COMMENTS
170-14-6	ADMINISTRATIVE RECORDS	COMMUNICATIONS, LONG-TERM Records of the University sent or received that have long-term significance or policy implications.	5 YEARS After current calendar year - December 31		Archival review
170-14-7	ADMINISTRATIVE RECORDS	COMMUNICATIONS, MID-TERM Records of the University sent or received that do not have long-term significance or policy implications.	2 YEARS After current calendar year - December 31		Archival review
170-14-8	ADMINISTRATIVE RECORDS	COMMUNICATIONS, SHORT-TERM Records of the University sent or received that have no documentary or evidentiary value. Generally communications retained for short-term reference.	6 MONTHS		
170-14-9	ADMINISTRATIVE RECORDS	COUNTRY FILES Country files, including but not limited to, correspondence with and information concerning, colleges and universities in different countries and material relating to contacts in other countries.	5 YEARS After current calendar year - December 31		Archival review
170-14-10	ADMINISTRATIVE RECORDS	DISTANCE EDUCATION RECORDS Records relating to the production and presentation of courses by mail, television, video tape, computer modem, on-line media, and other electronic means.	5 YEARS After current calendar year - December 31		Archival review
170-14-11	ADMINISTRATIVE RECORDS	EVENTS AND SPECIAL PROGRAMS Records documenting events and special programs attended by the Provost, Academic Deans, and Department Chairpersons. May include invitations and correspondence.	5 YEARS After current calendar year - December 31		Archival review
170-14-12	ADMINISTRATIVE RECORDS	FACTBOOK Official annual books of statistics about the University of Nebraska system and its campuses.	PERMANENT		Archival review Digital copy is designated as the record copy
170-14-13	ADMINISTRATIVE RECORDS	ORGANIZATIONS AND ASSOCIATIONS Records concerning various university, faculty, student, and professional organizations and associations.	5 YEARS After current calendar year - December 31		Archival review

ITEM NUMBER	RECORDS SERIES	ITEM TITLE / ITEM DESCRIPTION	RETENTION	OFFICE OF RECORD	REFERENCE / COMMENTS
170-14-14	ADMINISTRATIVE RECORDS	OUTREACH PROGRAMS Records documenting department or program outreach efforts to the University as well as to specific audiences outside the University community.	5 YEARS After current calendar year - December 31		Archival review
170-14-15	ADMINISTRATIVE RECORDS	POLICY, UNIVERSITY Policies prepared by the Office of the Provost.	5 YEARS After superseded	Office of the Provost	Archival review
170-14-16	ADMINISTRATIVE RECORDS	PROJECT RECORDS Records related to a specific University project. A project is an activity that has an identifiable beginning and end.	7 YEARS After project completion		Archival review 31 U.S.C. §§ 3729–3733, as Amended See also: 170-8 Sponsored Projects (Grants)
170-14-17	ADMINISTRATIVE RECORDS	REPORTS AND STUDIES Reports and studies prepared by or contracted for by the Office of the Provost and/or campus planning and institutional research teams.	5 YEARS After current calendar year - December 31		Archival review
170-14-18	ADMINISTRATIVE RECORDS	SPECIAL ACADEMIC PROGRAM RECORDS Records relating to the administrative activities of special academic programs serving and aiding students. Programs may include but are not limited to international student program, National Student Exchange (NSE) program, English language programs, disabled student programs, etc.	5 YEARS After current calendar year - December 31		Archival review
170-14-19	ADMINISTRATIVE RECORDS	SPEECHES AND REMARKS Speeches and remarks made by the Provost, Academic Deans, and Department Chairpersons (As prepared or delivered).	5 YEARS After current calendar year - December 31		Archival review
170-14-20	ADMINISTRATIVE RECORDS	STRATEGIC PLANS AND INDICATORS Strategic plans and indicators prepared by the Office of the Provost and/or campus planning and institutional research teams.	5 YEARS After superseded		Archival review

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170-14-21	CURRICULUM RECORDS	BOOK ORDER RECORDS Records relating to books ordered for courses taught at the University and may include the textbook request, and other related records.	3 YEARS After end of course		
170-14-22	CURRICULUM RECORDS	CATALOGUES AND BULLETINS Catalogues and bulletins that document program requirements and course offerings.	5 YEARS After superseded		Archival review
170-14-23	CURRICULUM RECORDS	CONFERENCES, SEMINARS, CONVENTIONS, INSTITUTES Records relating to special educational forums presented or sponsored by the University or held in University facilities.	3 YEARS After end of event		Archival review
170-14-24	CURRICULUM RECORDS	COURSE AND PROGRAM RECORDS Records relating to approved course and program offerings; may include course description, outlines, objectives, program documentation.	5 YEARS After superseded		Archival review
170-14-25	CURRICULUM RECORDS	CURRICULUM PROPOSALS - APPROVED Documentation of the planning and development of academic courses or programs which have been approved.	5 YEARS After proposal approved		Archival review
170-14-26	CURRICULUM RECORDS	CURRICULUM PROPOSALS - DENIED Documentation of the planning and development of academic courses or programs which have not been approved.	2 YEARS After proposal denied		
170-14-27	CURRICULUM RECORDS	LECTURE SERIES Records related to planning for lectureships.	5 YEARS After end of lecture series		Archival review
170-14-28	CURRICULUM RECORDS	STUDENT COURSE COMMENTS Surveys or other instruments completed by students regarding the content and/or presentation of a course.	3 YEARS After end of course		

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170-14-29	FACULTY RECORDS	AWARDS AND HONORS Records concerning awards and honors to faculty members within the University. File may include recommendations, approvals, and other related records.	7 YEARS After separation		See also: 170-1 Employment Records
170-14-30	FACULTY RECORDS	FACULTY ACTIVITY RECORDS Records that document faculty member accomplishments for a year and may include courses taught, articles written, extra-curricular activities, and other related information.	7 YEARS After separation		See also: 170-1 Employment Records
170-14-31	FACULTY RECORDS	FACULTY EXCHANGE / VISITING SCHOLARS RECORDS Records that document a program which allows one or more faculty exchange or visiting scholars to assume residence at the University.	5 YEARS After current calendar year - December 31		Archival review
170-14-32	FACULTY RECORDS	FACULTY GOVERNANCE RECORDS - CAMPUS Records concerning the faculty governance structure of the University. File may include minutes, agendas, proposals, and correspondence of the Faculty Senate, councils and similar groups for faculty governance.	5 YEARS After current calendar year - December 31		Archival review
170-14-33	FACULTY RECORDS	FACULTY HANDBOOK - CAMPUS The official campus Faculty Handbook and records used in its creation.	PERMANENT		Archival review
170-14-34	FACULTY RECORDS	GRIEVANCES Records relating to faculty grievances and may include, but is not limited to, correspondence, background information, appeals and decisions.	7 YEARS After separation		
170-14-35	FACULTY RECORDS	PROMOTION AND TENURE RECORDS Records relating to the review process on promotions and tenure. May contain, but is not limited to forms, letters and accompanying data.	7 YEARS After separation		See also: 170-1 Employment Records
170-14-36	LEGAL RECORDS	ARTICULATION AGREEMENTS Records relating to articulation agreements entered into by the University.	7 YEARS After expiration		

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ITEM NUMBER	RECORDS SERIES	ITEM TITLE / ITEM DESCRIPTION	RETENTION	OFFICE OF RECORD	REFERENCE / COMMENTS
170-14-37	LEGAL RECORDS	EXCHANGE AGREEMENTS Records relating to exchange agreements entered into by the University.	7 YEARS After expiration		
170-14-38	LEGAL RECORDS	FCC LICENSE RECORDS Records that document the process of obtaining licenses for television, wireless, radio, and mobile communication frequencies from the Federal Communication Commission (FCC).	7 YEARS After expiration		
170-14-39	LEGAL RECORDS	OUTREACH AGREEMENTS Records relating to outreach agreements entered into by the University.	7 YEARS After expiration		
170-14-40	LEGAL RECORDS	PROFESSIONAL SERVICES CONTRACTS Contracts for consulting services provided by non-University sources, and may include contract amendments.	7 YEARS After expiration		
170-14-41	PROGRAM REVIEW RECORDS	ACADEMIC PROGRAM AUDIT RECORDS Records relating to the audit of academic programs to determine whether the program should be continued or revised or discontinued.	7 YEARS After audit completion		Archival review
170-14-42	PROGRAM REVIEW RECORDS	ACCREDITATION DOCUMENTATION Statistical, descriptive and evaluative materials necessary to establish or maintain accreditation for a college, department or program with the professional association which sets the standards for that particular discipline. Materials must have been created specifically for accreditation.	7 YEARS After accreditation, or until superseded by new accreditation (whichever is later)		Archival review
170-14-43	PROGRAM REVIEW RECORDS	ACCREDITATION REPORTS - FINAL Records including, but not limited to, self-evaluation reports, evaluation reports from accreditation organizations, and final reports sent to accreditation organizations.	PERMANENT		Archival review