

# **Schedule 170-11**

# **UNIVERSITY OF NEBRASKA BOARD OF REGENTS GENERAL COUNSEL**

**October 19, 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	<b>170-11</b>
AGENCY, BOARD OR COMMISSION	<b>UNIVERSITY OF NEBRASKA BOARD OF REGENTS</b>
RECORDS SERIES	<b>GENERAL COUNSEL</b>
	<b>NEW</b>

**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



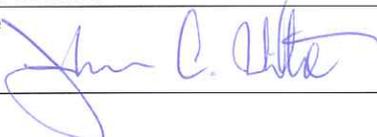
DATE

9/27/11

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

**John C. Wiltse**

Signature



DATE

27 September 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

Oct. 4, 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

10/17/11

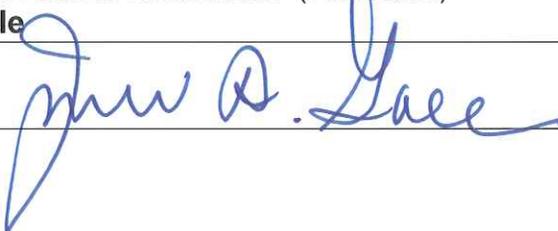
**PART IV – APPROVAL OF STATE RECORDS ADMINISTRATOR:**

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

10/19/11

## **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](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 170-11 – UNIVERSITY OF NEBRASKA BOARD OF REGENTS – GENERAL COUNSEL

**General Guidance:**

UNIVERSITY RECORD - The single authorized copy, 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.

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

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.

PRESERVATION DUPLICATE - 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.

ITEM NUMBER	RECORDS SERIES	ITEM TITLE/ITEM DESCRIPTION	RETENTION	OFFICE OF RECORD	REFERENCE/COMMENTS
170-11-1	ADMINISTRATIVE RECORDS	<b>LITIGATION REPORTS</b> Quarterly and Annual Litigation Reports compiled by the Office of the General Counsel.	8 YEARS After current calendar year - December 31	Office of the General Counsel	
170-11-2	ADMINISTRATIVE RECORDS	<b>RECORDS DISPOSAL DOCUMENTATION</b> Record disposal requests, the completed Records Disposition Report, certificates of destruction and related documentation.	10 YEARS After current calendar year - December 31	Director, University Records Management	
170-11-3	ADMINISTRATIVE RECORDS	<b>RECORDS MANAGEMENT POLICY, PROCEDURES AND STANDARDS</b> Policies, procedures and standards, including policy interpretations and related guidance.	10 YEARS After superseded	Director, University Records Management	Archival review - University policies and supporting documentation
170-11-4	ADMINISTRATIVE RECORDS	<b>RECORDS MANAGEMENT PROJECTS</b> Project management records, reports, research and related documentation.	3 YEARS After conclusion	Director, University Records Management	
170-11-5	ADMINISTRATIVE RECORDS	<b>RECORDS MANAGEMENT TRAINING</b> Training courses and presentations, including development and implementation documentation.	5 YEARS After superseded	Director, University Records Management	
170-11-6	ADMINISTRATIVE RECORDS	<b>RECORDS PROGRAM ADMINISTRATION</b> Records relating to the ongoing functioning of the program, including research, planning, reports and related documentation.	3 YEARS After current calendar year - December 31	Director, University Records Management	

ITEM NUMBER	RECORDS SERIES	ITEM TITLE/ITEM DESCRIPTION	RETENTION	OFFICE OF RECORD	REFERENCE/COMMENTS
170-11-7	ADMINISTRATIVE RECORDS	<b>RECORDS RETENTION AND DISPOSITION SCHEDULES</b> Authorized University retention schedules and rules, including legal research and business requirements.	10 YEARS After superseded	Director, University Records Management	
170-11-8	ADMINISTRATIVE RECORDS	<b>RECORDS STORAGE - INACTIVE – UNIVERSITY ADMINISTRATION</b> Inactive records storage transactional records, including transmittal forms and receipts, circulation control records, record inventories, etc.	10 YEARS After current calendar year – December 31	Director, University Records Management	
170-11-9	LEGAL RECORDS	<b>CONFLICT OF INTEREST FORMS AND MANAGEMENT PLANS</b> Conflict of Interest forms filed by University Administration employees, including related documentation and management plan.	5 YEARS After superseded	Office of the General Counsel	
170-11-10	LEGAL RECORDS	<b>LEGAL OPINIONS</b> Legal advisory opinions written by legal counsel to advise the University, including related research.	10 YEARS After superseded	Office of the General Counsel	Archival review
170-11-11	LEGAL RECORDS	<b>LEGAL REVIEW AND PROJECT WORK</b> Files created and maintained by individual attorneys in the course of their daily work, including assigned projects and documents which are reviewed and edited.	10 YEARS After conclusion	Office of the General Counsel – Individual Attorney	<i>Neb. Rev. Stat. § 25.222</i>  If lawsuit filed, see items 170-11.12 and 170-11.13
170-11-12	LEGAL RECORDS	<b>LITIGATION CASE FILES</b> Case files pertaining to legal actions or claims brought against or on behalf of the University, including correspondence, briefs, pleadings, depositions, settlement agreements, etc.	10 YEARS Final closure of case and no possibility of appeal	Office of the General Counsel	
170-11-13	LEGAL RECORDS	<b>LITIGATION CASE FILES – ENVIRONMENTAL</b> Case files pertaining to environmental legal actions or claims brought against or on behalf of the University, including correspondence, briefs, pleadings, depositions, settlement agreements, etc.	30 YEARS Final closure of case and no possibility of appeal	Office of the General Counsel	

ITEM NUMBER	RECORDS SERIES	ITEM TITLE/ITEM DESCRIPTION	RETENTION	OFFICE OF RECORD	REFERENCE/COMMENTS
170-11-14	LEGAL RECORDS	<b>PRESERVATION NOTICES</b> Issued Document Preservation / Notices of Legal Hold, Reminder Notices, Release Notices and related documentation.	10 YEARS After superseded or terminated	Director, University Records Management	
170-11-15	LEGAL RECORDS	<b>PUBLIC RECORDS REQUESTS - UNIVERSITY ADMINISTRATION</b> Responses to and requests received for access to or copies of records under the public records law of the State of Nebraska.	10 YEARS After current calendar year - December 31	Director, University Records Management	
170-11-16	LEGAL RECORDS	<b>PUBLIC RECORDS REQUESTS - DENIED - UNIVERSITY ADMINISTRATION</b> Requests received and denied for access to or copies of records under the public records law of the State of Nebraska, including responses and related documentation.	PERMANENT	Director, University Records Management	<i>Neb. Rev. Stat. § 84-712.04</i>