

Schedule 170-8

UNIVERSITY OF NEBRASKA BOARD OF REGENTS SPONSORED PROJECTS (GRANTS)

April 5, 2011

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

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

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

SCHEDULE

170-8

AGENCY, BOARD OR COMMISSION

**UNIVERSITY OF NEBRASKA BOARD OF
REGENTS**

RECORDS SERIES

SPONSORED PROJECTS (GRANTS)

Supersedes Edition of September 9, 2009

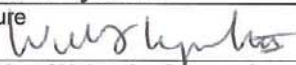
PART I – UNIVERSITY OF NEBRASKA STATEMENT:

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



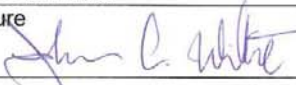
DATE

3/22/11

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

John C. Wiltse

Signature



DATE

29 March 2011

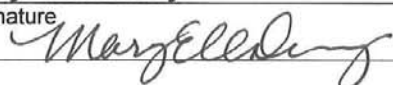
PART II – ARCHIVAL APPROVAL

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



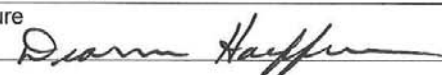
DATE

31 March 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

3/31/11

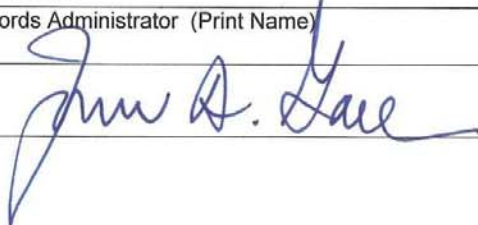
PART IV – APPROVAL OF STATE RECORDS ADMINISTRATOR:

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

4/5/2011

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 the last page of this schedule. Remove the form, copy it, complete the form, copy it 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. The completed report establishes that the destruction or other disposition of records was done in the normal course of office activities.

**Nebraska Secretary of State
Records Management Division
440 South 8th Street, Suite 210
Lincoln, NE 68508-2294
SOS.RecordsManagement@nebraska.gov
402-471-9778**

QUESTIONS

If you have any questions about these procedures, please contact your University human resources office.

SCHEDULE 170-8 – UNIVERSITY OF NEBRASKA – BOARD OF REGENTS – SPONSORED PROJECTS (GRANTS)

University of Nebraska Sponsored Projects (Grants) Retention and Disposition Schedule Legend: FY=Fiscal Year End: June 30; Y=Years; 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. *Sponsored Projects includes within its scope grants by and contracts with parties external to the University. **Retention period measured from the fiscal year in which the grant or contract is closed or in which the negotiated agreement expires.					
Code	Grouping	Category	Sub-Category	Records	Retention
Pre-award Records					
170-8-1	Sponsored Projects*	Pre-award		Abstract, Cover Page, and Final Report(s)	FY + 7Y**
170-8-2	Sponsored Projects*	Pre-award	Compliance	Annual Report on Research Misconduct	FY + 7Y**
170-8-3	Sponsored Projects*	Pre-award		Awards, Contracts, Agreements, Amendments	FY + 7Y**
170-8-4	Sponsored Projects*	Pre-award		Budget and Development Documents	FY + 7Y**
170-8-5	Sponsored Projects*	Pre-award		COI Management Plan	FY + 7Y**
170-8-6	Sponsored Projects*	Pre-award		Compliance Documents (IRB, IACUC, Radiation, Biosafety)	FY + 7Y**
170-8-7	Sponsored Projects*	Pre-award		Cost Share Documentation and Agreements	FY + 7Y**
170-8-8	Sponsored Projects*	Pre-award		Disclosure of Conflict of Interest Forms	FY + 7Y**
170-8-9	Sponsored Projects*	Pre-award		F & A Waiver	FY + 7Y**
170-8-10	Sponsored Projects*	Pre-award		Funded Proposals	FY + 7Y**
170-8-11	Sponsored Projects*	Pre-award		Intent to Form a Subcontract	FY + 7Y**
170-8-12	Sponsored Projects*	Pre-award		Internal Approval/Routing Form for Proposals	FY + 7Y**
170-8-13	Sponsored Projects*	Pre-award		Invention Disclosures	FY + 7Y**
170-8-14	Sponsored Projects*	Pre-award		Sub-award Documents	FY + 7Y**
170-8-15	Sponsored Projects*	Pre-award		Sponsor Guidelines and Rules	FY + 7Y**
170-8-16	Sponsored Projects*	Pre-award		WBS Element Information Forms	FY + 7Y**

University of Nebraska Sponsored Projects (Grants) Retention and Disposition Schedule
Legend: FY=Fiscal Year End: June 30; Y=Years;

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.

*Sponsored Projects includes within its scope grants by and contracts with parties external to the University.

**Retention period measured from the fiscal year in which the grant or contract is closed or in which the negotiated agreement expires.

Code	Grouping	Category	Sub-Category	Record	Retention
Post-award Records					
170-8-17	Sponsored Projects*	Post-award		Awards, Contracts, Agreements, Amendments	FY + 7Y**
170-8-18	Sponsored Projects*	Post-award		Award Guidelines	FY + 7Y**
170-8-19	Sponsored Projects*	Post-award		Budget and Budget Adjustments	FY + 7Y**
170-8-20	Sponsored Projects*	Post-award		Contractors Assignment Form	FY + 7Y**
170-8-21	Sponsored Projects*	Post-award		Contractors Release	FY + 7Y**
170-8-22	Sponsored Projects*	Post-award		Cost Share Documentation	FY + 7Y**
170-8-23	Sponsored Projects*	Post-award		Exchange/Non-exchange Form	FY + 7Y**
170-8-24	Sponsored Projects*	Post-award		F&A Cost Waiver Form	FY + 7Y**
170-8-25	Sponsored Projects*			F&A Rate Negotiations and Supporting Documentation	FY + 7Y**
170-8-26	Sponsored Projects*	Post-award		Inventions Statement, Final Report to Sponsors	FY + 7Y**
170-8-27	Sponsored Projects*	Post-award		Inventory Report	FY + 7Y**
170-8-28	Sponsored Projects*	Post-award	Effort Reporting	Personnel Activity Reports	FY + 7Y**
170-8-29	Sponsored Projects*	Post-award		Proposal	FY + 7Y**
170-8-30	Sponsored Projects*	Post-award		Sponsor-required Invoice/Report Forms	FY + 7Y**
170-8-31	Sponsored Projects*	Post-award		Subcontract Agreement and Amendments	FY + 7Y**
170-8-32	Sponsored Projects*	Post-award		Subcontract F&A Agreements	FY + 7Y**
170-8-33	Sponsored Projects*	Post-award		Sub-recipient Audit Documents (A-133)	FY + 7Y**
170-8-34	Sponsored Projects*	Post-award		UCC Financing Statement and Amendments (Secretary of State)	FY + 7Y**

RECORDS DISPOSITION REPORT

TO: SECRETARY OF STATE RECORDS MANAGEMENT DIVISION 440 S. 8TH STREET SUITE 210 LINCOLN, NE 68508-2294	AGENCY Board of Regents of the University of Nebraska
	DIVISION
	SUB-DIVISION

REQUIRED INFORMATION:

In accordance with the Records Management Act, Neb. Rev. Stat. § 84-1212.02 (Reissue 1999) records of this agency have been disposed of under the authorization granted by the following schedule(s):

SCHEDULE NUMBER(S) ONLY (DO NOT INCLUDE SECTION AND ITEM NUMBERS)	TOTAL VOLUME DISPOSED (SEE REVERSE)

OPTIONAL INFORMATION (FOR YOUR USE ONLY):

You may include detailed information which will be useful to you in recording exactly what records were disposed of and under what authority. This might include such things as schedule section and item numbers, title of records, inclusive dates of records, etc. This information is not required to be filed with Records Management.

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DATE	SIGNATURE
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SEND ORIGINAL TO RECORDS MANAGEMENT. MAKE A PHOTOCOPY FOR YOUR RECORDS.

VOLUME ESTIMATING GUIDE

(PLEASE NOTE THAT FOR REPORTING PURPOSES, A BALLPARK ESTIMATE OF THE TOTAL VOLUME OF MATERIAL DISPOSED IS ADEQUATE.)

Container	Cubic Feet	Weight (lbs)	Sheets of Paper (8.5" x 11")	Electronic Data Equivalent
			1	20 Kb
			52	1 Mb (1024 Kb)
			53,687	1 Gb (1024 Mb)
N/A	N/A	2,204 lbs (1 metric ton)	220,000	4.1 Gb
Records center carton	1 Cu. Foot	16.66 lbs	1,667	32 Mb
Vertical File Cabinet, 4 drawer letter-size	6 Cu. Feet	100 lbs	10,000	190 Mb
Vertical File Cabinet, 4 drawer legal-size	8 Cu. Feet	133.3 lbs	13,333	254 Mb
About a pickup load	50 Cu. Feet	7,500 lbs	748,638	14 Gb