

# **Schedule 170-13**

## **UNIVERSITY OF NEBRASKA BOARD OF REGENTS**

### **ANIMAL CARE AND DIAGNOSTICS RECORDS**

May 29, 2013

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

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

SCHEDULE	<b>170-13</b>
AGENCY, BOARD OR COMMISSION	<b>UNIVERSITY OF NEBRASKA BOARD OF REGENTS</b>
RECORDS SERIES	<b>ANIMAL CARE AND DIAGNOSTICS RECORDS 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 **5/16/13**

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

**John C. Wiltse**

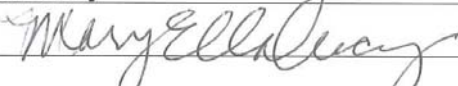
Signature  DATE **17 May 2013**

**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 **17 May 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.

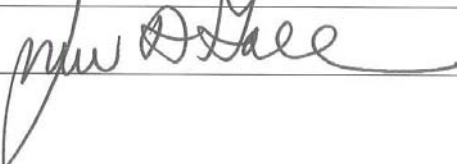
Signature  DATE **5/22/13**

**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 **5/29/13**

## **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 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 170-13 – UNIVERSITY OF NEBRASKA BOARD OF REGENTS – ANIMAL CARE AND DIAGNOSTICS 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.

**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
170-13-1	ADMINISTRATIVE RECORDS	<b>CONTROLLED SUBSTANCE RECORDS</b> Records related to the purchase, storage, usage and disposal of controlled substances.	<b>2 YEARS</b> After current fiscal year - June 30		21 CFR 1304.04
170-13-2	ADMINISTRATIVE RECORDS	<b>QUALITY CONTROL RECORDS</b> Records documenting quality measurements and may include proficiency testing, equipment maintenance and calibration, etc.	<b>7 YEARS</b> After completion of the activity		31 U.S.C. §§ 3729–3733
170-13-3	ADMINISTRATIVE RECORDS	<b>RESEARCH FACILITY PERMITS</b> USDA registered research facility permits.	<b>1 YEAR</b> After revoked or returned to USDA		
170-13-4	ADMINISTRATIVE RECORDS	<b>STANDARD OPERATING PROCEDURES</b> Standard operating procedures followed by department personnel.	<b>3 YEARS</b> After superseded		
170-13-5	ANIMAL SUBJECT RECORDS	<b>ANIMAL HEALTH RECORDS</b> Records related to the health, treatment, and care of animal subjects.	<b>7 YEARS</b> After completion of the activity		9 CFR, Chapter 1, § 2.35 31 U.S.C. §§ 3729–3733
170-13-6	ANIMAL SUBJECT RECORDS	<b>ANIMAL USE CERTIFICATIONS</b> Employee signed statements acknowledging understanding of Animal Care and Use Policies and agreement to comply with the Policies.	<b>7 YEARS</b> After completion of activity for which the certification was signed		9 CFR, Chapter 1, § 2.35 31 U.S.C. §§ 3729–3733

Approved: May 29, 2013

ITEM NUMBER	RECORDS SERIES	ITEM TITLE / ITEM DESCRIPTION	RETENTION	OFFICE OF RECORD	REFERENCE / COMMENTS
170-13-7	ANIMAL SUBJECT RECORDS	<b>DIAGNOSTIC RECORDS</b> Records documenting diagnostic testing performed by laboratory staff and may include test results from samples; final report; correspondence.	<b>3 YEARS</b> After completion of activity		
170-13-8	ANIMAL SUBJECT RECORDS	<b>LABORATORY NOTEBOOKS</b> Records that document the routine activities of research projects and may include paper and digital notebooks; binders; notes; or any other type of journal format.	<b>7 YEARS</b> After completion of activity		31 U.S.C. §§ 3729–3733
170-13-9	ANIMAL SUBJECT RECORDS	<b>NECTOPSY RECORDS</b> Records related to animal subject autopsy reports.	<b>7 YEARS</b> After autopsy		9 CFR, Chapter 1, § 2.35 31 U.S.C. §§ 3729–3733
170-13-10	ANIMAL SUBJECT RECORDS	<b>TEST VALIDATION RECORDS</b> Records that document the validation of new or updated diagnostic test procedures. Item contains the actual data used in the test validation and summary reports generated from the data.	<b>7 YEARS</b> After the validated test has been phased out and is no longer used		31 U.S.C. §§ 3729–3733
170-13-11	IACUC RECORDS	<b>ACTIVITIES OF THE COMMITTEE</b> Records related to the activities of the IACUC (Institutional Animal Care and Use Committee), including corrections or approval of previous minutes; presentation of program, policy, facility and compliance reports; and decisions on policies, protocols, and amendments.	<b>7 YEARS</b> After completion of the activity		9 CFR, Chapter 1, § 2.35 31 U.S.C. §§ 3729–3733
170-13-12	IACUC RECORDS	<b>ANIMAL ACQUISITION</b> Records related to acquiring animal subjects (Any animal acquired, purchased, or otherwise held).	<b>7 YEARS</b> After completion of the activity		9 CFR, Chapter 1, § 2.35 31 U.S.C. §§ 3729–3733
170-13-13	IACUC RECORDS	<b>ANIMAL DISPOSITION</b> Records related to the disposition of animal subjects (Any animal sold, euthanized, or otherwise disposed of).	<b>7 YEARS</b> After completion of the activity		9 CFR, Chapter 1, § 2.35 31 U.S.C. §§ 3729–3733
170-13-14	IACUC RECORDS	<b>ASSURANCE APPROVAL</b> Documentation of assurance approval by the Office of Laboratory Animal Welfare (OLAW).	<b>7 YEARS</b> After completion of the activity		9 CFR, Chapter 1, § 2.35 31 U.S.C. §§ 3729–3733
170-13-15	IACUC RECORDS	<b>COMMITTEE DELIBERATIONS</b> Records related to the discussion and reasons leading to particular IACUC decisions.	<b>7 YEARS</b> After completion of the activity		9 CFR, Chapter 1, § 2.35 31 U.S.C. §§ 3729–3733

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ITEM NUMBER	RECORDS SERIES	ITEM TITLE / ITEM DESCRIPTION	RETENTION	OFFICE OF RECORD	REFERENCE / COMMENTS
170-13-16	IACUC RECORDS	<b>COMPLAINTS AND INVESTIGATIONS</b> Records related to animal welfare issues involving research projects.	<b>7 YEARS</b> After completion of the activity		9 CFR, Chapter 1, § 2.35  31 U.S.C. §§ 3729–3733
170-13-17	IACUC RECORDS	<b>FACILITY INSPECTIONS AND PROGRAM REVIEWS</b> Records related to facility inspections and program reviews by accrediting bodies.	<b>7 YEARS</b> After certification		9 CFR, Chapter 1, § 2.35  31 U.S.C. §§ 3729–3733  See also: 170-14 Academic Affairs / Provost
170-13-18	IACUC RECORDS	<b>MEETING MINUTES</b> IACUC meeting minutes, including records of attendance, agendas, handouts, committee activities, and other items accepted as part of the minutes.	<b>7 YEARS</b> After completion of the activity		9 CFR, Chapter 1, § 2.35  31 U.S.C. §§ 3729–3733
170-13-19	IACUC RECORDS	<b>MINORITY VIEWS</b> Documentation of minority IACUC views.	<b>7 YEARS</b> After completion of the activity		9 CFR, Chapter 1, § 2.35  31 U.S.C. §§ 3729–3733
170-13-20	IACUC RECORDS	<b>PROTOCOLS AND AMENDMENTS</b> Documentation of animal use protocols and proposed significant changes to protocols submitted to the IACUC for review, including whether or not IACUC approval was given.	<b>7 YEARS</b> After completion of the activity		9 CFR, Chapter 1, § 2.35  31 U.S.C. §§ 3729–3733
170-13-21	IACUC RECORDS	<b>REPORTS</b> Annual or other periodic reports to the United States Department of Agriculture (USDA), the Office of Laboratory Animal Welfare (OLAW), others, including internal reports.	<b>7 YEARS</b> After completion of the activity		9 CFR, Chapter 1, § 2.35  31 U.S.C. §§ 3729–3733
170-13-22	IACUC RECORDS	<b>SATELLITE FACILITY RECORDS</b> Requests to keep animals in locations other than animal research facilities operated by the University.	<b>7 YEARS</b> After completion of the activity		9 CFR, Chapter 1, § 2.35  31 U.S.C. §§ 3729–3733
170-13-23	IACUC RECORDS	<b>TRAINING RECORDS</b> Records related to training given to IACUC members and animal use personnel, including attendance lists.	<b>7 YEARS</b> After completion of the activity		9 CFR, Chapter 1, § 2.35  31 U.S.C. §§ 3729–3733

Approved: May 29, 2013

# RECORDS DISPOSITION REPORT

AGENCY Board of Regents of the University of Nebraska
DIVISION
SUB-DIVISION

TO: SECRETARY OF STATE RECORDS MANAGEMENT DIVISION 440 S. 8 <sup>TH</sup> STREET SUITE 210 LINCOLN, NE 68508-2294
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## 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.  
RMA 03006D

## 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