

DEPARTMENT OF GENERAL SERVICES
RECORDS MANAGEMENT DIVISION
RECORDS RETENTION AND DISPOSAL SCHEDULE

Schedule No.
1756

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Agency

University of Maryland

Division/Unit

University College

Item
No

Description

Retention

Attached is the Records Retention and Disposal
Schedule for University of Maryland University
College.

Approved by Department, Agency,
or Division Representative.

Date May 16, 1995

Signature *Vida Bandis*
Vida Bandis

Type Name _____

Title Executive Vice President

Schedule Authorized by State
Archivist.

Date 10/31/85

Signature *Edward C. Pappas*

Signature _____

UNIVERSITY OF MARYLAND UNIVERSITY COLLEGE

**RECORDS RETENTION
AND
DISPOSAL SCHEDULE**

Cover page

UNIVERSITY OF MARYLAND UNIVERSITY COLLEGE
RECORDS RETENTION AND DISPOSAL SCHEDULE

Ctrl No.	Description	Retention Policy	Office of Record
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100 Series - GENERAL CORRESPONDENCE

101	<p><u>GENERAL FILES</u> (Alpha, Subject, Administrative and Chronological Correspondence) Maintained by all departments at all Institutions, these files contain internal and external, original incoming and copies of outgoing correspondence, reports, memoranda, statistics, proposed programs, minutes, policy and procedure statements, special projects, and substantive data concerning the operation of the office that maintains it.</p>	<p>Screen annually and destroy that material having no further reference value. Remaining material having continuing administrative, legal or historical value related to the development of the agency to be microfilmed or kept in paper by the Office of Record for 25 year retention, then destroy.</p>	<p><u>All</u> departments.</p>
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RECORDS RETENTION AND DISPOSAL SCHEDULE**

Ctrl No.	Description	Retention Policy	Office of Record
200 Series - CAPITAL/FACILITIES PLANNING/PHYSICAL PLANT			
201	<u>CONSTRUCTION AGREEMENT CONTRACTS</u> <u>ARCHITECTURAL ENGINEERING CONTRACTS</u> (Records Relating to Construction Bidding Information Payment Requisitions Change Orders Submittals Progress Meetings Correspondence)	Retain in original form for 2 years following completion of project; then screen to remove that material for which no further reference is required. Remaining material having continued reference value to be microfilmed or kept in paper form by Office of Record for 25 years in an archives; then, destroy. (Refer Note 2, page 31)	Center Operations Facilities Management
202	<u>BUILDING PROJECT FILES</u> (Includes planning information relating to utilization of newly constructed and/or leased buildings; such as, space classifications, facilities utilization, leases, progress reports, revised programs and projections, and State agency/University correspondence.)	Retain until project is completed; screen for and destroy material having no further reference value. Remaining material having continuing reference value to be microfilmed or kept in paper form by Office of Record for 25 year retention in an archives, then destroy. (Refer Note 2, page 31)	Center Operations Facilities Management
203	<u>PROPERTY AND BUILDING FILES</u> (Includes material relating to the purchase of selective property, and the construction, renovation and improvement of buildings such as correspondence, reports, memoranda, cost estimates, accounts, appraisals and negotiation agreements.)	Retain until project is completed; screen for and destroy material having no further reference value. Remaining material having continuing reference value to be microfilmed or kept in paper form by Office of Record for 25 year retention in an archives, then destroy. (Refer Note 2, page 31)	Center Operations Facilities Management
204	<u>PHYSICAL PLANT FILES</u>		
204.1	Energy reports	Retain for 3 years; then, microfilm for 25 year retention.	Facilities Management
204.2	Inventory	Reference only - See Ctrl #502.	Financial Affairs

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Ctrl No.	Description	Retention Policy	Office of Record
204.3	Bond Funds	Reference only - See Ctrl #512	Financial Affairs
204.4	Plant Funds (Includes requisitions/orders.)	Retain 5 years or until audit needs have been fulfilled; then, destroy.	Facilities Management
204.5	Less Than 15-Yr Life Files (Includes requisitions/orders.)	Retain for life cycle plus 5 years or until audit needs have been fulfilled; then, destroy.	Facilities Management
204.6	Vehicle Records (Includes the following:		
	Vehicle Acquisition & Disposal Reports	Retain 3 years and until audit needs have been fulfilled; then, destroy.	Facilities Management
	Vehicle Mileage Reports	Retain for life of vehicle, then destroy.	Facilities Management
	Vehicle Records (Titles,etc)	Retain for life of vehicle, then destroy.	Facilities Management
	Fleet Reports(including safety/accident reports)	Retain 3 years and until audit needs have been fulfilled; then, destroy.	Facilities Management
204.7	Telephone Records	Reference only - See Series 1200	Information Technology
204.8	Work Orders		
	Master Log	Retain for 3 years; then, microfilm for 25 year retention, then destroy.	Facilities Management
	Routine Maintenance Work Orders	Retain 3 years for self support area; and 1 year for regular routine work orders; then, destroy.	Facilities Management
	Non-routine Maintenance Work Orders	Retain for as long as building is in use, then destroy.	Facilities Management

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Ctrl No.	Description	Retention Policy	Office of Record
204.9	Key Material		
	Signature Number Cards and Record Books	Retain for 3 years; then, microfilm for 25 year retention, then destroy.	Conference Center Management
	Key Authorization Forms	Retain for 1 year or until audit needs have been fulfilled; then, destroy.	Conference Center Management
	Key Record Cards	Retain until return of keys; then, destroy	Conference Center Management
204.10	Budget Related Material	Reference only - See Ctrl #510.	Financial Affairs

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300 Series - DATA PROCESSING FILES

301	<u>DATA PROCESSING-PROGRAM LIBRARY</u> (Includes documentation for computer programs used in information management, such as; flow charts, narratives, machine lists, operating instructions, contracts and supporting correspondence.)	Retain for that period of time for which the computer program remains in use, then destroy.	Information Technology
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400 Series - Environmental Safety

401 HAZARDOUS MATERIAL AND ENVIRONMENTAL SAFETY FILES

Consists of reports and other pertinent material related to asbestos, laboratory safety (including laboratory training files, inventory records, laboratory survey records, Rad user authorization, etc.), biohazard safety, lead safety, assurance of hazardous procedures, motor vehicle accident claims, accident training and investigation, incidence reports, permits, hazardous waste, radioactive waste, industrial hygiene, PCG transformer information, facility permits, civil defense material, and any other material relating to the above for which University College is the Office of Record.

Retain material permanently either on microfilm or in paper form.

Facilities Management

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Ctrl No.	Description	Retention Policy	Office of Record
500 Series - FINANCIAL FILES			
501	<u>ACCOUNTING RECORDS</u> (Includes all standard State accounting forms as well as other accounting media which provide support data for the special and general accounting records). <u>Special Accounting Records</u>		
501.1	Books of Final Entry	Retain 3 years; then, microfilm for permanent retention.	Financial Affairs
501.2	General Ledgers	Retain 3 years; then, microfilm for permanent retention.	Financial Affairs
502	<u>Budget and Fiscal Planning Records</u> Budget Estimates Budget Schedule Amendment Materials and Supplies Physical Inventory and Building Inventory Report of Fixed Assets Report of Materials and Supplies Request for Position Action	Retain 3 years and until audit needs have been fulfilled; then, destroy.	Financial Affairs
503	<u>Payroll Accounting Records</u> Employee Roster Card File Payroll and Check Register Payroll Exceptions Time Report Payroll Transmittals Payroll Warrants	Retain 3 years and until audit needs have been fulfilled; then, destroy.	Financial Affairs Personnel Services

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Ctrl No.	Description	Retention Policy	Office of Record
504	<u>Payroll Records</u>		
	Journals	Retain 3 years and until audit needs have been fulfilled; then, destroy.	Financial Affairs
	One Pay Certification Cards		Personnel Services
	Master Exceptions	NOTE: Annapolis is the Office of Permanent Retention.	
	Check Register		
	W2		
	Labor		
	Savings Bond Material		
	Journal Vouchers, Payroll Transfers, and Other Forms of Internal Adjustment		
505	<u>Miscellaneous Accounting Records</u>		
	Alpha Vendor Files	Retain 3 years and until audit needs have been fulfilled; then, destroy.	Financial Affairs
	Bad Check Records*		
	Bank Books, Statements and Deposits	* Unless involved in collection effort. ** See Academic/Student Files for more information.	
	Budget Papers and Work Sheets		
	Cashier's Report		
	Cash Receipts		
	Cancelled Checks, Check Copies & Stubs		
	Certificate of Deposit (State Treasurer)		
	Condemnation Reports		
	Disbursement Voucher files		
	Delivery Orders and Receipts		
	Financial Aid Records**		
	Gas Withdrawal Tickets and Mileage		
	Insurance Correspondence		
	Mail Remittance List		
	Memorandum Receipt and Property		
	Off-campus Accounts, bills, etc.*		
	Paid Bills and Invoices		
	Paid Bonds and Coupons		
	Periodic Financial Reports		
	Parking Registration		
	Receipt Copies and Stubs		
	Receiving Reports		
	Reconciliation and Trial Balance Sheets		
	Renewable Licenses		
	Reports		

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Ctrl No.	Description	Retention Policy	Office of Record
	Requisitions and Purchase Orders Stock Record Cards Student Accounts* & ** Scholarship Account Cards, Records, etc. Withholding Tax Forms and Statements (Local, State and Federal Agencies) Working Fund Records		
506	<u>Special Payments File</u> (Consists of documents which show honorarium payments to non-employees. The file also includes the request form, documentation supporting the payment/contract to pay).	Retain 3 years and until audit needs have been fulfilled; then, destroy.	Financial Affairs
507	<u>Revolving Fund Records</u> (Computer produced reports which show a listing of funds deposited and withdrawn from the revolving fund.	Retain 3 years and until audit needs have been fulfilled; then, destroy.	Financial Affairs
508	<u>Checkbook/Stubs</u> (Maintained to verify payment of certain bills and accounts.)	Retain 3 years; then, microfilm for 25 year retention, then destroy.	Financial Affairs.
509	<u>GRANTS/CONTRACTS</u> (Includes records that document grants and/or contracts received from any source such as, applications, proposals, agreements, research reports, publicity notices, acknowledges and transfer of funds records, controlling rules and regulations, copies of periodic reports, correspondence and memoranda.)	Retain <u>State</u> contracts/grants for 3 years following termination date; then, destroy. Retain <u>Federal</u> contracts/grants for 3 years following termination date; then, destroy if under \$25,000. Retain for 6 years, 3 months following termination date; then destroy if \$25,000 or more.	Financial Affairs.

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Ctrl No.	Description	Retention Policy	Office of Record
510	<u>BUDGET RECORDS</u> (Includes official budget request documents, budget instructions, CPS requests, Capital Budget requests, and related material.)	Retain 3 years and until audit needs have been fulfilled; then, destroy. NOTE: CPS and Capital Budget related documents from each institution are retained permanently on microfilm by UMSA.	Financial Affairs.
511	<u>AUDITS</u> Legislative Audit Files Internal Audit Files	Retain 10 years; then, destroy.	Financial Affairs
512	<u>BOND RECORDS</u> Bond issue agreements Indentures Certificates Requisitions Bank statements	Retain 5 years after life of bond and until audit needs have been fulfilled; then, destroy.	Financial Affairs

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Ctrl No.	Description	Retention Policy	Office of Record
600 Series - FUND RAISING, ALUMNI, ENDOWMENTS, RESEARCH AND DEVELOPMENT FILES			
601	<u>DONOR (GIFT) FILES</u> (These are records that reflect name, date, amount, receipt and account number, related data(including gift envelope and receipt), on all gifts donated to the University by friends, alumni, corporations, associations, or foundations.)	Retain gift envelope until audit needs have been fulfilled; then, destroy. Remaining material having historical value to be micro-filmed for permanent retention.	Institutional Advancement
602	<u>ENDOWMENT FUND RECORDS</u> (Includes ledgers, journals, vouchers, bank statements, reports to the Regents and dividend reports that document endowment fund transactions. Includes Endowments for the Humanities (both MD and National)).	Retain permanently in microfilm or paper form.	Institutional Advancement
603	<u>CAPITAL CAMPAIGN</u>	Retain permanently in microfilm or paper form.	Institutional Advancement
604	<u>SPONSORED PROGRAMS</u> (Specifically U.S. Government, Title III and Grants)	Refer to retention policy for GRANTS/CONTRACTS(Ctrl #509, above).	Financial Affairs
605	<u>ALUMNI FILES</u> (Includes general correspondence, events and project files, reunion files, newsletter, and alumni cultivation files.)	Retain 1 year; then, screen for and destroy material having no further reference value. Remaining material having continuing administrative, legal or historical value will be microfilmed for 25 year retention, then destroy.	Institutional Advancement

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Ctrl No.	Description	Retention Policy	Office of Record
700 Series - LIBRARY RECORDS RETENTION AND DISPOSAL STANDARDS			
701	<p><u>SPECIAL PROJECT FILES</u> (Contains correspondence, records of negotiation, legal agreements and working papers relating to efforts to preserve certain "collections" **).</p> <p>** List each collection separately under special projects.</p>	<p>Screen annually and destroy material for which no further reference is required. Material having continued historical value to be retained permanently in institutional archives*.</p> <p>*or State archives if institution does not have appropriate archival facilities. (Refer Note 2, page 29)</p>	Library Services
702	<p><u>DONOR FILES</u> Correspondence, gift agreements, collection inventories, processing notes, publicity materials, and working papers documenting the gift of library materials by outside donors t units within the Library system.</p>	<p>Retain permanently in library unit* in paper form.</p> <p>*or State archives if appropriate archival facilities not available.</p>	Library Services
702.1	<p>Research notes, correspondence, and copies of gift receipts relating to gifts to the library. Includes files on individual donors, special projects, and prospective donors.</p>	<p>Retain for ten (10) years after file is declared inactive, then destroy.</p>	Library Services
703	<p><u>INTERLIBRARY LOAN</u></p>		
703.1	<p>Off-campus Borrowing requests generated to borrow books and photocopies of journal articles from off-campus sources.</p>	<p>Retain for three (3) years, then destroy.</p>	Library Services
703.2	<p>Non-campus Requests by non-campus borrowers to borrow books and copies of journal articles owned by campus library.</p>	<p>Retain for three (3) years and until all audit requirements are met, then destroy.</p>	Library Services

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Ctrl No.	Description	Retention Policy	Office of Record
704	<u>INFORMATION TECHNOLOGY</u>		
704.1	System-wide Log Records listing dates of system-wide backups of the library's databases and indicating which backup tapes were used.	Retain until tapes are re-used. *Tapes are not destroyed; information is erased as tapes are used over and over.	Library Services
704.2	Tape Backup Records Lists of disk files copied onto each backup tape.	Retain for one (1) month or until tape is re-used, then destroy.	Library Services
704.3	Shift Log Summary and highlight of system problems reported that may continue over more than one operator's shift.	Retain for six (6) months, then destroy.	Library Services
704.4	Problem Reports Records of open and closed problems with the library's CARL (Colorado Alliance Research Libraries)* on-line cataloging system reported by all library sites. *UMUC uses the VICTOR system, a component of CARL.	Retain in electronic form until no longer needed, then destroy. Retain paper copies for two years.	Library Services
705.5	Operator Logs Record of system operators' daily activities, including routine operational tasks, system problems, and any non-routine occurrences.	Retain for six (6) months, then destroy.	Library Services
705.6	Transaction Logs Records of interactions of patrons and piece(s) of library material, including financial transactions and borrowing or returning items. <u>Usually maintained in online electronic form, as tape backups, and on microfilm.</u>	Retain in online electronic format for three years. Then transfer to tape backup. Retain electronic tape backups in Information Technology until no longer needed, then reuse. Retain in computer generated microfiche/microfilm form for three years or until all audit requirements are met, then destroy.	Library Services

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Ctrl No.	Description	Retention Policy	Office of Record
706	<u>CIRCULATION AND RESERVES</u>		
706.1	Billing Records Correspondence regarding billing questions and problems, copies of bills and invoices, and reports of billing status, for overdue fines, library materials' replacement costs, and other library charges against patrons' accounts.	Retain for three (3) years and until all audit requirements are met, then destroy.	Library Services
706.2	Patron Registration Names and addresses of library borrowers; initially maintained in paper form, then entered into automated library system.	Retain paper copies for six (6) months, then destroy. Retain information on active borrowers in automated system on a perpetual basis, then destroy as borrowers become inactive.	Library Services
706.3	User Notices Copies of recall, availability, and overdue notices sent to library patrons.	Retain for three (3) years and until all audit requirements are met, then destroy.	Library Services
706.4	Collection Information Reports Reports listing temporary conversion records (TCR) created and books identified as missing.	Retain TCR reports for one (1) month or until online record appears, then destroy. Retain missing book reports for one (1) year, then destroy.	Library Services
706.5	Manual Charge Slips-Reserves Records of items on reserve charged out manually to library patrons.	Retain for one (1) month, then destroy.	Library Services
706.6	Faculty Lists-Reserves Lists of materials that faculty member have requested to have held on reserve.	Retain for two (2) years, then destroy.	Library Services
706.7	Statistics Printouts Computer-generated printouts of circulation statistics, reserves processing, holds, reclass, temporary conversions, tracers, and claims returned, including transaction logs and "snapshots".	Retain for one (1) year, then destroy.	Library Services

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Ctrl No.	Description	Retention Policy	Office of Record
706.8	Traffic Reports Records of hourly exit turnstile counts.	Retain current year plus one (1) year, then destroy.	Library Services
706.9	Computer Downtime Log Record of downtime for automated circulation system; includes notations of time system went down, time operations resumed, and reason for downtime.	Retain for one (1) year, then destroy.	Library Services
707	<u>SEARCH FILES - ELECTRONIC REFERENCE</u> These files contain search requests, statistics, and billings for searches performed by Electronic Reference Services unit.	Retain for three (3) years and until audit requirements are met, then destroy.	Library Services
708	<u>PRESERVATION TREATMENT WORK FORMS</u> Records of routine preservation treatments performed on library materials, such as rebinding, reformatting or enclosing.	Retain for one (1) year, then destroy.	Library Services
709	<u>SPECIAL COLLECTIONS USE</u>		
709.1	Sign in sheets, addresses, status of each individual using special collections material.	Retain for seven (7) years, then destroy.	Library Services
709.2	Copies of call slips used by patrons to request materials held by rare books department.	Retain for seven (7) years, then destroy.	Library Services
709.3	Forms signed by researchers indicating that they will abide by rules established for use of primary source/original materials; including user's name, address, and ID number.	Retain permanently in library units in paper form. Transfer periodically to archives.	Library Services
709.4	Records of manuscript materials, photographs, and memorabilia which have been requested for use by patrons (This is a permanent record of usage maintained for security and copyright purposes).	Retain permanently in library unit in paper form. Transfer periodically to archives.	Library Services

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Ctrl No.	Description	Retention Policy	Office of Record
710	<u>PHOTOCOPY CENTER</u> Reports listing beginning and ending readings, total meter copies, money collected, differences between meter reading and money collected for each copier, deposits and income reports, completed requests for photocopying services performed by performed by the photocopy center, reports of cash income.	Retain for three (3) years or until all audit requirements are met, then destroy.	Financial Affairs

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Ctrl No.	Description	Retention Policy	Office of Record
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800 Series - PERSONNEL/HUMAN RESOURCES RECORDS (STATE STANDARDS)

This series applies to Departments of Personnel within Maryland State Government and includes all standard personnel forms as well as other personnel media which provide supporting data for both special and general personnel records.

801 PERSONNEL FOLDERS

Upon selection for employment within a Department either as a new hire, transfer, reinstatement or temporary employee, a personnel folder is prepared. This folder may contain all or some of the following documents.

- Application
- Appointment Letter
- Correspondence Relating to New Appointments
- Personnel Payroll Form
- Personnel Position Action Request
- Personnel Recruitment Screening Report
- Personnel Transaction Form
- Retirement Form

Retain for three (3) years following termination of employment; then, destroy.

Personnel Services

During continued employment, the folder may contain the following:

- Change of Address Forms
- Clearance File
- Charges for Removal
- Commendations
- Contractual Employment
- Counseling Sessions
- Disciplinary Actions
- Efficiency Ratings
- EOE Statistical Reports
- General Correspondence

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Ctrl No.	Description	Retention Policy	Office of Record
	<ul style="list-style-type: none"> Grievance Actions Health Insurance Benefits Form Leave Form Orientation Program Position History Probation Promotions Reclassification Resumes Suggestion file Summer Employment Suspension Actions Training 		
	<p>The final documents in the folder are a personnel payroll form and the following:</p> <ul style="list-style-type: none"> Letter of Resignation Retirement Transfer Dismissal 		
802	<p><u>PERSONNEL I.D. NUMBER (KNOWN AS PIN FOR FORMER BTSUC INSTITUTIONS AND STUDY NUMBERS FOR FORMER UNIVERSITY OF MARYLAND INSTITUTIONS)</u></p>	Retain permanently in paper form or microfilm.	Personnel Services.
803	<p><u>STATUS CARD FILE</u></p>	Retain 5 years; then, destroy.	Personnel Services.
804	<p><u>HISTORY CARD</u> Upon being selected for employment within a Department either as a new hire, transfer, reinstatement or temporary employee, a personal history card is prepared.</p>	Retain for three (3) years following termination of employment; then destroy.	Personnel Services.
	<p>This card contains the following data:</p> <ul style="list-style-type: none"> Name Address Social Security Number 		

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Ctrl No.	Description	Retention Policy	Office of Record
	<p>Telephone Number Race Sex Birth Date Increment Date EOD (Entry on Duty) Date Classification Effective Date of Classification Employment Status Salary Position Identification Number for Employee</p> <p>Each reclassification, promotion, demotion, change in salary, extended probation, title change, change of address or telephone number is duly noted on the card. The last entry on the History card would be one of the following:</p> <p>Resignation Retirement Transfer Dismissal Expiration</p> <p>The card would then be filed inside the personnel folder and filed in the inactive personnel file.</p>		
805	<u>WORKER'S COMPENSATION FIRST REPORT OF INJURY REPORTS</u>	Retain 5 years; then, destroy.	Personnel Services
806	<u>PART TIME QUARTERLY REPORTS</u>	Retain 5 years; then, destroy.	Personnel Services
807	<u>ANNUAL REPORTS</u>	Retain 5 years; then, destroy.	Personnel Services
808	<u>DEPARTMENT BUDGET REPORTS</u>	Retain 5 years; then, destroy.	Personnel Services

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Ctrl No.	Description	Retention Policy	Office of Record
809	<u>GRIEVANCE MATERIAL</u>	Retain until grievance has been completely adjudicated; then, microfilm for permanent retention.	Personnel Services.
810	<u>SAVINGS BOND CAMPAIGN</u>	Retain 3 years; then, destroy.	Personnel Services.
811	<u>TIME SHEETS</u>	Retain 3 years and until audit needs have been fulfilled; then, destroy. Exception: If employee is terminated, retain last time sheet (or computer leave printout, if more accurate) for 3 years following termination date; then, destroy.	Personnel Services.
812	<u>EQUAL EMPLOYMENT OPPORTUNITY/ AFFIRMATIVE ACTION</u>	Retain 5 years; then, destroy.	Personnel Services.
813	<u>SEARCH COMMITTEE FILES</u> (Pertains to recruitment/selection of President only.)	Microfilm material legally required and retain permanently. (e.g., advertisements, committee recommendations and voting and top candidate resumes).	Personnel Services.

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Ctrl No.	Description	Retention Policy	Office of Record
900 Series - PROCUREMENT RECORDS FILE			
901	<u>PURCHASING RECORDS</u> (Including the following:		
	Actual Emergency and Repair Reports	Retain for five years and until audit needs have been fulfilled; then destroy.	Procurement Department (except files identified with asterisk[*]).
	Advertising and Bids		
	Agency Inter-Office Requisitions	Refer to retention policy for GRANTS/CONTRACTS (Ctrl #509, above).	Financial Affairs. Financial Affairs.
	Bid and Quote Files		
	Bid Tabulation Records		
	Copy of Contracts Awarded		
	Credit Memoranda		
	*Inventory Dispositions		
	*Invoices/Expenditure Transfer Authorizations		
	*Issue Tickets or Receipts		
	Materials/Supplies Specifications		
	Monthly Expenditure Printouts		
	Notice of Award of Contracts	Financial Affairs.	
	Unscheduled Requisitions for Supplies		
	*Packing Slips, Shipping Tickets, Bills of Lading		
	Purchase Orders		
	Purchasing Register		
	*Receiving Reports		
	*Report of Delivery/Partial Delivery		
	*Requisition Forms, Miscellaneous		
	Requisitions for Supplies		
	Warehouse Requisitions		
	Automation Management Reports		
902	<u>VENDOR LIST</u>	Retain until superseded, then destroy.	Financial Affairs.

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Ctrl No.	Description	Retention Policy	Office of Record
903	<u>CORRESPONDENCE</u>	Screen annually and destroy that material having no further reference value. Remaining material having continuing administrative, legal or historical value will be microfilmed for permanent retention.	Procurement Department.
904	<u>CONTRACTS/GRANTS</u>	Refer to retention policy for GRANTS/CONTRACTS (Ctrl #509, above).	Procurement Department.

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Ctrl No.	Description	Retention Policy	Office of Record
Series 1100 - STUDENT/ACADEMIC RECORDS RETENTION STANDARDS			
1101	<u>UNDERGRADUATE STUDENTS</u>		
1101.1	Academic Records (Transcripts)	Office of Record (Registrar's Office) to retain these records permanently (Make determination to microfilm, etc. or retain in original paper form. This must be stated in records disposition schedule).	Student Services
1101.2	Student Folders Contains high school transcripts, admission material pertinent to student admission, transcripts from other colleges, change of major forms, change of address, application for diplomas, application for admission to college, other miscellaneous materials deemed necessary.	Office of Record (Registrar's Office/ Admissions Office) to retain records for five (5) years for undergraduate non-graduates and ten (10) years for undergraduate graduates, then destroy.	Student Services
1101.3	Provisional Advanced Standing Sheets for Transfer Students	Admissions Office to retain permanently either on microfilm or in paper form.	Student Services
1101.4	International Student Folders; undergraduate student residency folders; Control Cards; predicted average cards; and transfer student requests to study at another institution.	Retain for ten (10) years, then destroy.	Student Services
1101.5	Transcript Requests, Registration Forms and Material.	Office of Record to keep for two (2) years, then destroy.	Student Services
1101.6	College catalogues from creation of institution	Office of Record to retain 25 years, then destroy. NOTE: Copies of each catalogue published by the University must be forwarded to the Office of the Vice Chancellor for Advancement at UM System Admin for permanent retention.	Student Services

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Ctrl No.	Description	Retention Policy	Office of Record
1101.7	New Course Material	Registrar's office to retain 5 years, then destroy.	Student Services
1101.8	Budget/Accounting Files connected with undergraduate student matters.	Retain 3 years or until audit needs have been fulfilled, then destroy.	Student Services
1101.9	General Correspondence relating to undergraduate student matters	Refer to retention policy for GENERAL FILES(Ctrl #101).	Student Services
1101.10	Counseling Files connected with undergraduate or graduate students. These include locator cards and record sheet on visits.	Office of Record to retain 7 years following graduation or departure; then, destroy.	Student Services
1101.11	Health-related files (Includes patient charts, lab and x-ray reports, hospital visits, allergy schedule, and health history, records of visits, etc.)	Retain 5 years following last visit; then, destroy.	Student Services
1101.12	Quality Assurance Information (Lab Work)	Retain 7 years; then, destroy.	Student Services
1101.13	Health Fees and related services	Retain 3 years or until collection is complete, and until audit requirements have been fulfilled, then destroy.	Student Services
1101.14	Financial Files (Includes the following: Statement of Fees Cash Receipts Certificates of Deposits Credit Card Receipts Refund Request Vouchers Library Adjustments Paid Deferred Payment Contracts Paid Company Contracts Paid Collection Accounts Tuition Calculation Reports Purge Reports Cashier Summary Reports	Retain 5 years or until audit requirements have been fulfilled; then, destroy.	Student Services

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Ctrl No.	Description	Retention Policy	Office of Record
	Drop/Add Reports Paid Parking Reports Paid Health Insurance Reports)		
1101.15	Financial Aid Files (Includes the following: Applications/FAF's Pell SAR Perkins Loan [NDSL, Guaranteed Student Loan Applications] Check Release Contracts Book Coupons Control Cards Confirmation Reports Merged Reports Batch Transmittals Fiscal Operations/Application Reports)	Retain 5 years after student ceases to be active, or until audit requirements are complete; then, destroy.	Student Services
1101.16	Unsatisfied Financial Accounts (Includes the following: Unpaid Perkins Loan Files Unsatisfied Checks Unpaid Deferred Payment Contracts Unpaid Company contracts Unpaid Collection Accounts	Retain until account is satisfied and all audit requirements are met, then destroy.	Student Services
1101.17	Student Housing Contracts	Retain for three (3) years after student leaves, then destroy.	Student Services
1101.18	Alpha Roster: listing of all students living on campus by semester	Retain for 25 years either on microfilm or paper form, then destroy.	Not applicable at UMUC.
1101.19	Student Housing Files	Retain for minimum of four (4) years or until student graduates, then destroy.	Not applicable at UMUC.

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Ctrl No.	Description	Retention Policy	Office of Record
1101.20	Applications for admission (including other general correspondence on students who were canceled or denied admission).	Retain for three (3) years after cancellation or denial, then destroy.	Student Services
1101.21	Student Affairs/Dean of Students		
	Handicapped: accessibility requirements, individual student files, recording for the blind catalogs, Section 504 data, inventory of equipment, etc.	Retain individual student files for four (4) years or for tenure of student, then destroy. Catalogues to be kept until superseded, and inventory to be maintained for three (3) years or until audit requirements are met, then destroy.	Student Services
	Student Policies: committee data on policy formation, code of conduct, sexual harassment, and any other policy used for education, implementation and enforcement purposes.	Maintain policies until superseded, then destroy. Only policies having historical value to be kept permanently in paper or microfilm form.	Student Services
	Judicial: card index of individual case files, summary reports used for counseling or adjudication of judicial cases of students.	Retain card index for five (5) years (tenure of student) or until judicial adjudication, then destroy.	Student Services
	Orientation: programs, procedures, budget data, justification of work, etc. in support of new student and family orientation.	Retain for three (3) years or until audit requirements have been fulfilled, then destroy.	Student Services
	Student Organizations: budget data, correspondence, etc. on student organizations used	Retain for three (3) years or until audit requirements have been fulfilled, then destroy.	Student Services
1102	<u>CREDENTIAL/CAREER PLANNING/PLACEMENT</u> (Repository of records for professional and personal references, records of awards, requests by students and alumni for job purposes. Includes personal information, unofficial grade report, references, evaluations, etc.)	Retain for five (5) years following graduation/ departure of student; then, destroy.	Student Services

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Ctrl No.	Description	Retention Policy	Office of Record
1103	<u>GRADUATE STUDENTS</u>		
	NOTE: There are general areas under <u>UNDERGRADUATE STUDENTS</u> (Ctrl #901) that will also apply to Graduate Students files.		
1103.1	General Files (Includes applications and supporting correspondence/documents.)	Retain 10 years; then, destroy unless involved in collection activity. If involved in collection activity, retain until collection activity is complete, then destroy.	Graduate School
1103.2	Grade Documentation (Final semester printout)	Retain permanently in paper or microfilm form.	Graduate School
1103.3	Course Approval Cards, Intercampus Forms (transfer from other campuses), Adds/Drops	Retain 7 years; then, destroy unless involved in collection activity. If involved in collection activity, retain until collection activity is complete, then destroy.	Graduate School
1103.4	Registration Forms	Retain 3 years; then, destroy unless involved in collection activity. If involved in collection activity, retain until collection activity is complete, then destroy.	Graduate School
1103.5	Billing material, Cashier's Remittances Refunds, Bill Authorizations, etc.	Retain 3 years or until all audit needs have been fulfilled; then, destroy.	Graduate School
1103.6	Student Statistics	Retain 5 years; then, destroy.	Graduate School
1103.7	Graduate Faculty Meeting Files (Includes minutes and general papers, includes Senate meetings with minutes). This would apply to undergraduate faculty meetings and files also.	Screen and retain minutes having historical value permanently on microfilm or in paper form. All other material, retain for five (5) years, then, destroy.	Graduate School
1103.8	Graduate Faculty <u>Resume</u> Only File	Retain for (5) years; then, destroy.	Graduate School

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Ctrl No.	Description	Retention Policy	Office of Record
1103.9	Faculty Research Awards and Faculty Fellowships	Retain for three (3) years following termination or until audit requirements have been fulfilled, then destroy.	Graduate School
1103.10	Graduate Course Schedules, Audit Trails, Section Lists, Printouts on Registration	Retain for seven (7) years, then destroy. and Paid Bills or Students	Graduate School
1103.11	Theses	Retain permanently in original form.	Graduate School
1104	<u>GENERAL ACADEMIC FILES</u>		
	NOTE: The Office of Personnel/Human Resources on each campus is Office of Record for all personnel files. (Refer to PERSONNEL/HUMAN RESOURCES RECORDS (STATE STANDARDS), 800 Series, above).		
1104.1	Faculty APT (Appointments, Promotions and Tenure Files)	Retain all APT files dated April 5, 1989 and later permanently either on microfilm or in hard copy.	Undergraduate Programs Graduate School
		NOTE: Office of Academic Affairs in the Chancellor's Office is Office of Record for period prior to 4/5/89. These files are retained permanently in UMSA archives.	
1104.2	Advisory Council Files (Councils and other bodies which serve an advisory capacity to Chancellor, Presidents, etc. Files consist of original of minutes and related records of proceedings and reports).	Retain policy items until superseded. Policies and minutes having historical value, retain permanently on microfilm or in paper form.	Office of the President.
1104.3	Academic Program Files (Records relating to programs either proposed by System institutions or adopted by the BOR).	Office of Academic Affairs at UMSA to retain permanently on microfilm in UMSA archives.	UMSA Academic Affairs

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Ctrl No.	Description	Retention Policy	Office of Record
1104.4	Board of Regents/Board of Trustees Files (Include the original as well as copies of meeting minutes, committee reports, correspondence, memoranda, notes, agendas and general background material as a result of meetings and related activities of Board of Regents and former Board of Trustees.	Chancellor's Office at UMSA keeps BOR and BOT minutes and other official Board records prior to July 1, 1981 in UMCP archives in hard copy. Material After 1981 is kept in UMSA archives in hard copy form.	UMSA Archives
1104.5	Middle State Association/Southern Regional Education Board (Official reports and related materials of accrediting agencies concerning UMSA institutions and programs).	Office of Academic Affairs at UMSA microfilms all reports or correspondence of historical value for permanent retention in UMSA archives.	UMSA Archives
1104.6	State Board for Higher Education and MHEC (Board and committee meeting minutes and related material which established policies affecting the System).	UMSA screens annually and destroys material no longer affecting the System. General Administration, UMSA, will retain historical material on financial matters and Academic Affairs, UMSA, will retain historical material on academic matters for permanent retention.	UMSA General Administration UMSA Academic Affairs
1104.7	President/Chancellor Files (Historical) (These files are subject oriented to the programs and projects of former System Administration Presidents/Chancellors from 1917 to present).	Applies specifically to System Administration but would apply to what to do with similar material on current Presidents at institution UMSA Chancellor's office screens and destroys routine correspondence, duplicate and information copies, and related papers not needed to document an action. Historical files dated 1917 to 1988 are microfilmed and deposited in UMCP archives. Material after 1988 is microfilmed and placed in UMSA archives for permanent retention.	Office of the President UMSA archives
1104.8	Bookstore/Textbook Related Material Textbooks Adoption Form - a listing of textbooks used for each course.	Retain for six (6) years, then destroy.	Graduate School Undergraduate Programs

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Ctrl No.	Description	Retention Policy	Office of Record
	Books in Print - a listing of all publications currently being published.	Microfisch annually, as new editions are published. Keep permanently on microfisch.	Graduate School Undergraduate Programs
	Wholesaler Buying Guide	Microfisch bi-monthly. Keep permanently on microfisch.	Graduate School Undergraduate Programs
	Medical Book Distribution Index	Microfisch monthly. Keep permanently on microfisch.	Graduate School Undergraduate Programs
	Faculty Charge Forms and In-House Charge Forms - lists of charges made by staff members or individual departments including signed authorization forms and work orders.	Retain three (3) years or until audit requirements are met, then destroy.	Graduate School Undergraduate Programs
1104.9	Departmental Meeting Minutes (Includes Dean's Office, etc.). Minutes concerning day-to-day decisions made at UMUC. These minutes are not BOR minutes, which are kept permanently at UMSA.	Retain 3 years; then, screen for and destroy material having no further reference value. Remaining material having continuing administrative, legal or historical value will be kept for 25 years, then destroyed.*	<u>All</u> Departments. * These are not the Board fo Regents minutes which are kept permanently at UMSA. These are minutes which do not contain permanent policy or historical items.
1104.10	Faculty Evaluations	Retain 2 years beyond termination of faculty member; then, destroy.	Graduate School Undergraduate Programs
1104.11	Course Final Exams, Course Descriptions and Grade Rosters	Retain for 25 years (either paper or microfilm), then destroy.	Graduate School Undergraduate Programs
1104.12	Library Technical Record Files (Includes Card Catalog, Shelf List, Acquisition Files, Serial Record Files, Documents Files, Withdrawal Files, Circulation Registration Files.)	Retain for 25 years (either paper or microfilm), then destroy.	Library Services Graduate School Undergraduate Programs
1104.13	College Archival Files (Includes files for former Presidents, Board of Regents, etc.).	Retain permanently only material of historical value.	Graduate School Undergraduate Programs

