

UNIVERSITY SYSTEM OF MARYLAND RECORDS RETENTION STANDARDS

OFFICE OF ADMINISTRATION & FINANCE
3300 METZEROTT ROAD
ADELPHI, MARYLAND 20783

REVISED: APRIL 28, 1997

These standards include detailed instructions on maintaining records, which are subject to audit. Other records for which there are no audit requirements may be kept in accordance with the suggested standards or in accordance with existing system-wide policies or institution specific policies. In the absence of policies, department chairs may make decision with regard to maintenance of certain records.

INDEX AT THE END OF DOCUMENT

INTRODUCTION

Records Retention Standards for the University of Maryland System:

1. Data to set standards is obtained from State law, from standards developed State archivists and State records specialists.
2. Standards are set in areas listed below:
 - A. General Correspondence
 - B. Capital/Facilities Planning/Physical Plant
 - C. Data Processing
 - D. Environmental Safety
 - E. Financial Records
 - F. Fund Raising, Alumni, Endowments, Research and Development.
 - G. Library
 - H. Personnel/Human Resources
 - I. Procurement
 - J. Public Safety
 - K. Student/Academic
 - L. Telecommunications/Communications
3. Only the Office of Record for a file may justify permanent retention of Documents, AND ONLY THE OFFICE OF RECORD SHOULD BE RECORDING THE FILE ON A RECORDS RETENTION SCHEDULE. The “General correspondence standards” apply to documents for which an office is not the office of record.
4. All records retention schedules must include the following two statements at the end of the schedule:

UNTIL AUDIT REQUIREMENTS ARE MET MEANS THREE YEARS FOR STATE RELATED DOCUMENTS, THREE YEARS FOR NON-MONETARY FEDERAL RELATED DOCUMENTS, THREE YEARS FOR MONETARY FEDERAL RELATED DOCUMENTS UNDER \$25,000, AND SIX YEARS, THREE MONTHS FOR MONETARY FEDERAL RELATED DOCUMENTS OVER \$25,000.

IF INSTITUTION (INSERT INSTITUTION NAME) ARCHIVES ARE NOT AVAILABLE, MATERIAL HAVING PERMANENT RETENTION WILL BE TRANSFERRED TO THE MARYLAND STATE ARCHIVES IN ANNAPOLIS AND MATERIAL HAVING LIMITED RETENTION (i.e. 25 YEARS) WILL BE TRANSFERRED TO THE STATE RECORDS CENTER IN JESSUP.

Records Retention and Disposal Schedule
General Correspondence

ALL OFFICES SHOULD REPORT GENERAL FILES ON RECORDS RETENTION SCHEDULES. ONLY THE OFFICE OF RECORD FOR A FILE SHOULD RETAIN MATERIAL OF HISTORICAL VALUE. ALWAYS INCLUDE THE QUALIFYING STATEMENT REGARDING AUDIT REQUIREMENTS AND ARCHIVES ON THE BOTTOM OF THE RECORD RETENTION SCHEDULE.

Item No. 1	Description	Retention
	GENERAL FILES	
	<p>(Alpha, Subject, Administrative and Chronological Correspondence). Maintained by all departments at all institutions, these files contain internal and external correspondence, 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><i>Note: Board of Regents minutes are kept permanently at the University of Maryland System Administration office. Minutes of such groups as the Faculty Senate at each institution should also be kept permanently, as well as minutes of any other group involved in major policy decisions for an institution. Other minutes, which contain no historical policy decisions, can be kept for 25 years, then destroyed.</i></p>	<p>Screen annually and destroy that material for which no further reference is required. Remaining material having continuing administrative or legal value related to the development of the agency to be microfilmed or kept in paper by the Office of Record for 25 years retention, then destroy. Material having historical value to be sent to the Records Archives at the institution for permanent retention.</p>

Records Retention and Disposal Standards
CAPITAL/FACILITIES PLANNING/PHYSICAL PLANT

This series of records document the financial and historical information on the purchase, construction, renovation, addition and destruction of buildings, the improvement of roadways, utilities, and related activities at all System institutions, generally involving capital budget expenditure. Item 1, 2, and 3 overlap to some extent but the consensus is that material should be screened carefully within two years after the project is completed and material of historical value should be saved for 25 years, then destroyed. **ONLY THE OFFICE OF RECORD IS TO RECORD BUILDING PROJECT AND PHYSICAL PLANT FILES ON RECORDS RETENTION SCHEDULES AND MAINTAIN MATERIAL BEYOND THE COMPLETION OF THE PROJECT.**

Item No. 1	Description	Retention
	CONSTRUCTION AGREEMENT CONTRACTS	Files should be retained in original form for two years after completion of project and screened 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 (any reference to archives must include standard statement at bottom of retention schedule), then destroy.
	Architectural Engineering Contracts Records Relating to Construction Bidding Information Payment Requisitions Change Orders Submittals Progress Meetings Correspondence	
Item No. 2	Description	Retention
	BUILDING PROJECT FILES	Retain until project is completed; 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 year retention in an archives, then destroy.
	Contain planning information relating to the utilization of newly constructed or leased buildings at all System institutions. Files may include space classifications, facilities utilization, leases, progress reports, revised programs and projections, and correspondence with various departments of State Government and the institutions involved.	

Item No. 3 Description	Retention
PROPERTY AND BUILDING FILES	Retain until project is completed; 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, then destroy.
Consist of material relating to the purchase of selective property, and the construction, renovation and improvement of buildings on all campuses. Files may include correspondence, reports, memoranda, cost estimates, accounts, appraisals and negotiation agreements.	

This series contains retention for miscellaneous physical plan files.

Item No. 1 Description	Retention
ENERGY REPORTS	Office of record to retain for twenty-five (25) years, then destroy.
Item No. 2 Description	<i>Note: This is covered under Financial Records Retention and should be included in institution's Comptroller's office schedule, not in Physical Plant/Facilities Planning schedule.) However, it is listed again here for convenience.</i> Retain for three (3) years (be sure to insert standard statement regarding auditing at end of records retention schedule), then destroy
INVENTORY	
A. Physical inventory and building Inventory (Capital and Non-Capital Records consisting of: 1. Inventory Addition Books 2. Inventory Addition Forms 3. Surplus Property Forms, etc., concerning changes to inventory (all backup material affecting inventory)	
Item No. 3 Description	Retain for three (3) years for audit purposes (most institutions keep for five (5) years), then destroy. UMSA is considered the Office of Record for bond material and microfilms for permanent retention all material related to bond projects.
BONDS	
This item is covered under Financial Records Retention and would be the responsibility of the Office of Record, most likely the Comptroller's office to retain permanently. However, physical plan departments may have material (requisitions and orders) relating to bond funds.	

Item 4 Description	Retention
PLANT FUNDS (Requisitions and Orders)	Retain for three (3) years for audit purposes (most institutions keep for five (5) years, then destroy.
Item 5 Description	Retention
LESS THAN 15-YEAR LIFE FILES	Retain for three (3) years for audit purposes (most institutions keep for five (5) years after life cycle), then destroy.
Item 6 Description	Retention
VEHICLE RECORDS (Could also be part of motor pool retention schedule if institution has motor pool separate from physical plan):	
A. Vehicle Acquisition and Disposal Reports	To be retained for the life of the vehicle, then destroy.
B. Vehicle Mileage Reports	Retain life of the vehicle, then destroy.
C. Vehicle Records (Titles, etc)	Retain three (3) years, then destroy.
D. Fleet Reports (including safety/accident reports)	Retain for three (3) years, then destroy.
Item 7 Description	Retention
TELEPHONE RECORDS	
A. Policies	Retain until superseded, then destroy.
B. Directory Reference Index	Retain three (3) years, then destroy.
C. Request for Telephone Service Material	Retain for one (1) then destroy.
D. C& P Directory Information Telephone Repair Log.	Retain for one (1) year then destroy
Item 8 Description	Retention
WORK ORDERS	
A. Master Log	Retain for 25 years, then destroy.
B. Routine Maintenance Work Orders	Retain for three (3) years for self-support area, then destroy. Retain regular routine work orders for one (1) year, then destroy.
C. Non-routine Maintenance Work Orders.	Retain form as long as building is in use, then destroy.
Item 9 Description	Retention
KEY MATERIAL	
A. Key Signature Number Cards	Retained for twenty-five (25) years, then destroy.
B. Key record books	Retained for twenty-five (25) years, then destroy.
C. Key Authorization Forms	Retain for one (1) year, then destroy.
D. Key Record Cards	Retain until keys are returned, then destroy.

Item 10 Description	Retention
<p>BUGET RELATED MATERIAL This section is covered under Financial Records Retention but is included again here for information. Includes all budget request documents, budget instructions, CPS-related material, Capital Budget related materials, etc.</p>	<p>Office of Record to maintain for three (3) years. Screen and keep material of historical value only on microfilm (UMSA) or in paper form for a 25-year retention, then destroy. UMSA is considered the office of record for budget material.</p>

Records Retention and Disposal Standards

DATA PROCESSING

STANDARD STATEMENTS REGARDING AUDIT AND ARCHIVES MUST BE INCLUDED IN SCHEDULE.

Item No. 1 Description	Retention
<p>DATA PROCESSING-PROGRAM LIBRARY This series includes documentation for computer programs used in information management. Examples include flow charts, narratives, machines requirements, reports, descriptions, distribution lists, operating instructions, contracts and correspondence.</p>	<p>Retain for that period of time for which the computer program remains in use, then destroy.</p>

Records Retention and Disposal Standards

ENVIRONMENTAL SAFETY

STANDARD STATEMENTS ON ARCHIVES AND AUDITS MUST BE INCLUDED IN SCHEDULES.

Item No. 1 Description	Retention
<p>HAZARDOUS MATERIAL & 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 investigations, incidence reports, permits, hazardous waste, radioactive waste, industrial hygiene, PCP transformer information, facility permits, civil defense material, and any other material relating to the above for which this agency is the Office of Record.</p>	<p>OOR (Environmental Safety) to retain material permanently either on microfilm or in paper form.</p>

Records Retention and Disposal Schedule
FINANCIAL RECORDS
STATEMENT REGARDING AUDIT REQUIREMENTS MUST APPEAR ON
RETENSION SCHEDULE

Item No. 1	Description	Retention
ACCOUNTING RECORDS		
	A. Special Accounting Records Books of Final Entry General Ledgers	Office of Record to retain for three (3) years, then destroy
	B. Budget & Fiscal Planning Records Budget Estimates Budget Schedule Amendment Materials & Supplies Physical Inventory and Building Inventory Report of Fixed Assets Report of Materials and Supplies Request for Position Action	Office of Record to retain for three (3) years, then destroy.
	C. Payroll Account Records Employees Roster Card File Payroll & Check Register Payroll Exception Time Report Payroll Transmittals Payroll Warrants	Office of Record to retain for three (3) years, then destroy
	D. Payroll Records Journal One-Pay certificate card	Office of Record to retain for three (3) years, then destroy
	Master Exceptions: Check Register W2 Labor Savings Bond Material Journal Vouchers, Payroll Transfers, and Other Forms of Internal Adjustment.	<i>Office of Record to retain for three (3) years, then destroy. Annapolis is Office of Record.</i>
	E. Misc. Accounting Records Alpha Vendor Files Bad Check Records (unless involved in collection)	Office of Record to retain for three (3) years, then destroy

<p>Bank Books, Statements and Deposit Budget Papers and Work Sheets Cashier's Report Cash Receipts Canceled Checks, Check copies and Check Stubs Certificates of deposit (State Treasurer) Condemnation Reports Disbursement Voucher Delivery Orders and Receipts Financial Aid Records (for more information see Academic/Student Records) Gas Withdrawal Tickets and Mileage Insurance Remittance List Memorandum Receipt and Property Off-Campus Accounts, Bills, etc. (unless involved in collection) Paid Bills and Invoices Paid Bonds and Coupons Periodic Financial Reports Receipt Copies & Stubs Receiving Reports Reconciliation and Trial Balance Sheets Renewable Licenses Reports Requisitions & Purchase Orders Stock Record Cards Student Accounts (unless involved in collection. For more information see Academic/Student Records. Scholarship Account Cards, Records, etc.</p>	<p>Office of Record to retain for three (3) years, then destroy</p>
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Withholding Tax Forms & Statement (Local, State and Federal	
Agencies) Working Fund Records. F. Special Payment File Consists of documents that show the honorarium payments to non-employees. The file also includes the request form, documentation supporting the payment/contract to pay. G. Revolving Fund Records Computer produced reports that show a listing of funds deposited and withdrawn from the revolving fund.	Office of Record to retain for three (3) years, then destroy. Office of Record to retain for three (3) years, then destroy.
Item 2 Description	Retention
GRANTS/CONTRACTS Consists of records which document grants/contracts received by the institutions from any source, including applications, proposals, agreements, research reports, publicity notices, acknowledgements and transfer of funds records, controlling rules and regulations, copies of periodic reports, correspondence and memoranda.	Office of Record to retain State contracts and grants for three (3) years after the close of the contract, and Federal contract/grants under \$25,000 for three (3) years. Federal contract/grants over \$25,000 for six (6) years three (3) months after close of contract, then destroy. See OMB requirements for record keeping.

Records Retention and Disposal Standards
OMB
Circular No. A-110, Subpart C
SUBPART C - Post Award Requirements

This section sets forth requirements for record retention and access to records for awards to recipients. Federal awarding agencies shall not impose any other record retention or access requirements upon recipients.

<p>A. Financial records, supporting documents, statistical records, and all other records pertinent to an award shall be retained for a period of three (3) years from the date of submission of the final expenditure report or, for awards that are renewed quarterly or annually, from the date of the submission of the quarterly or annual financial report, as authorized by the Federal awarding agency. The only exceptions are the following:</p> <ol style="list-style-type: none"> 1. If any litigation, claim or audit is started before the expiration of the three (3) year period, the records shall be retained until all litigation, claims or audit findings involving the records have been resolved and final action taken. 2. Records for real property and equipment acquired with Federal funds shall be retained for three (3) years after final disposition. 3. When records are transferred to or maintained by the Federal awarding agency, the 3-year retention requirement is not applicable to the recipient. 4. Indirect cost rate proposals, cost allocations plans, etc., as specified in

paragraph .53(g).
B. Copies of original records may be substituted for the original records if authorized by the Federal-awarding agency.
C. The Federal-awarding agency shall request transfer of certain records to its custody from recipients when it determines that the records possess long-term retention value. However, in order to avoid duplicate record keeping, a Federal-awarding agency may make arrangements for recipients to retain any records that are continuously needed for joint use.
D. The Federal awarding agency, the Inspector General, Comptroller General of the United States, or any of their duly authorized representatives, have the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that are pertinent to the awards, in order to make audits, examinations, excerpts, transcripts and copies of such documents. This right also includes timely and reasonable access to a recipient's personnel for the purpose of interview and discussion related to such documents. The rights of access in this paragraph are not limited to the required retention period, but shall last as long as records are retained.
E. Unless required by statute, no Federal awarding agency shall place restrictions on recipients that limit public access to the records of recipients that are pertinent to an award, except when the Federal awarding agency can demonstrate that such records shall be kept confidential and would have been exempted from disclosure pursuant to the Freedom of Information Act (5U.S.C. 552) if the records had belonged to the Federal awarding agency.
F. Indirect cost rate proposals, cost allocations plans, etc. Paragraph (g) (1) and (g) (2) apply to the following types of documents, and their supporting records: indirect cost rate computations or proposals, cost allocation plans, and any similar accounting computations of the rate at which a particular group of costs is chargeable (such as computer usage charge back rates or composite fringe benefit rates).
1. If submitted for negotiation. If the recipient submits to the Federal awarding agency or the sub recipient submits to the recipient the proposal, plan, or other computation to form the basis for negotiation of the rate, then the three (3) year retention period for its supporting records starts on the date of such submission.
2. If not submitted for negotiation. If the recipient is not required to submit to the Federal awarding agency or the sub recipient is not required to submit to the recipient the proposal, plan, or other computation for negotiation purposes, then the three (3) year retention period for the proposal, plan or other computation and its supporting records starts at the end of the fiscal year (or other account period) covered by the proposal, plan, or computation.

3. BUDGET RECORDS Official budget request documents, budget instructions, CPS requests, Capital Budget requests, and related material.	Retention Office of Record to maintain for three (3) years and then destroy. UMSA keeps all CPS and Capital Budget related documents from each institution permanently on microfilm for 25 years.
4. AUDITS Legislative Audit Files	The State Legislative Audit office is the Office of Record for Legislative Audits. UMSA also keeps Legislative Audit material for ten (10) years.
5. BOND RECORDS Includes bond issue agreements, indentures, certificates, requisition, and bank statements.	UMSA is Office of Record for bond material and retains material in paper form during life of bond and until audit requirements are met, and on microfilm for permanent retention after that time. Offices of Records at institutions should keep material for life of bond and until audit requirements are met, then destroy.

Records Retention and Disposal Standards
**FUND RAISING, ALUMNI, ENDOWMENTS, RESEARCH AND
DEVELOPMENT**

STANDARD STATEMENT ON AUDIT AND ARCHIVES MUST BE INCLUDED IN
SCHEDULE.

Item No. 1 Description	Retention
DONOR (GIFT) FILES These are records which show name, date amount, receipt and account number, and related data (including gift envelope and receipt), on all gift donated to the System by friends, alumni, corporations, associations, or foundations	Office of Record (OOR) to retain gift envelope until audit is complete, then destroy. Remaining material having historical value to be microfilmed by Office of Record for permanent retention.
Item No. 2 Description	Retention
ENDOWMENT FUND RECORDS Ledgers, journals, vouchers, bank statements, reports to the Regents and dividend reports that document endowment fund transactions. Includes Endowments for the Humanities (both Maryland and National).	Office of Record (OOR) to retain permanently either in microfilm or paper form.
Item No. 3 Description	Retention
CAPITAL CAMPAIGN	Office of Record (OOR) to retain permanently either in paper form or microfilm form.

Item No. 4 Description	Retention
SPONSORED PROGRAMS (Specifically U.S. Government, Title III and Grants.	Covered under Financial Standards, Item 2, Contract/Grants.
Item No. 5	Retention
ALUMNI FILES Includes general correspondence, events and project files, reunion files, newsletter, and alumni cultivation files.	See General Correspondence standards

Records Retention and Disposal Standards

LIBRARY

Item No. 1 Description	Retention
SPECIAL PROJECT FILES Contains correspondence, records of negotiations, legal agreements and working papers relating to efforts to preserve certain “collections.” <i>Note: List each collection separately under special projects.</i>	Screen annually and destroy material for which no further reference is required. Material having continued historical value to be retained permanently in institutional archives (<i>or State archives if institution does not have appropriate archival facilities.</i>)
Item No. 2	Retention
DONOR FILES Correspondence, gift agreements, collection inventories, processing notes, publicity materials, and working papers documenting the gift of library materials by outside donors to units within the library system. Research notes, correspondence, and copies of gift receipts relating to gifts to the library. Including files on individual donors, special projects, and prospective donors.	Retain permanently in library unit in paper form (<i>or State archives if institution does not have appropriate archival facilities.</i>) Retain for ten (10) years after file is declared inactive, then destroy.
Item No. 3	Retention
INTERLIBRARY LOAN Borrowing requests generated to borrow books and photocopies of journal articles from off-campus sources. Requests by non-campus borrowers to borrow books and copies of journal articles owned by campus library.	Retain for three (3) years, then destroy. Retain for three (3) years, then destroy.
Item No. 4	Retention
CIRCULATION AND RESERVES A. Billing Records Correspondence regarding billing questions and problems, copies of bills and invoices, reports of billing status, for overdue fines, library materials’ replacement costs, and other library charges	Retain for three (3) years, then destroy.

<p>against patrons' accounts.</p>	
<p>B. Patron Registration Names and addresses of library borrowers; initially maintained in paper form, then entered into automated library system.</p> <p>C. User Notices Copies of recall, availability, and overdue notices sent to library patrons.</p> <p>D. Collection Information Reports Reports listing temporary conversion records (TCR) created and books identified as missing.</p> <p>E. Manual Charge Slip-Reserves Records of items on reserve charged out manually to library patrons.</p> <p>F. Faculty Lists-Reserves Lists of materials that faculty members have requested to hold on reserve.</p> <p>G. Statistics Printouts Computer-generated printouts of circulation statistics, reserves processing, holds, reclass, temporary conversions, tracers, and claims returned, including transaction logs and "snapshots".</p> <p>H. Information Technology</p> <ol style="list-style-type: none"> 1. System-wide log Records listing dates of system-wide backups of the library's database and indicating which backup tapes were used. 2. Tape Backup Records Lists of disk files copied onto each backup tape. 3. Shift Log Summary and highlight of system problems reported that might continue over more than one operator's shift. 4. Problem Reports Records of open and 	<p>Retain paper copies for six months, then destroy. Retain information on active borrowers in automated system on a perpetual basis, then destroy as borrowers become inactive.</p> <p>Retain for three (3) years then destroy.</p> <p>Retain TCR reports for one (1) month or until online record appears, then destroy. Retain missing book reports for one (1) year, then destroy.</p> <p>Retain for one (1) month, then destroy.</p> <p>Retain for two (2) years, then destroy.</p> <p>Retain for one (1) year, then destroy.</p> <p>Retain until tapes are re-used. <i>Tapes are not destroyed; information is erased as tapes are used over and over.</i></p> <p>Retain for one (1) month or until tape is re-used.</p> <p>Retain for six (6) months, then destroy.</p> <p>Retain in electronic form until no longer needed, then destroy. Retain paper</p>

<p>closed problems with the library's CARL (Colorado Alliance Research Libraries) on line cataloging system reported by all library sites. <i>Note: If something other than CARL is used, please note!</i></p> <p>5 Operator Logs Record of system operator's daily activities, including routine operational tasks, system problems, and any non-routine occurrences.</p> <p>6. Transaction Logs Records of interactions of patrons and piece(s) of library material, including financial transactions and borrowing or returning items. Usually maintain in on-line electronic form, as tape backups, and on microfilm.</p> <p>7. Traffic Reports Records of hourly exit turnstile counts.</p> <p>8. Computer Downtime Log Record of downtime for automated circulation system; includes notations of time system went down, time operations resumed, and reason for downtime.</p> <p>I. Search Files Electronic Reference These files contain search requests, statistics and billing for searches performed by Electronic Reference Services unit.</p> <p>J. Preservation Treatment Work Forms Records of routine preservation treatments performed on library materials, such as rebinding, reformatting or enclosing.</p>	<p>copies for two (2) years, then destroy.</p> <p>Retain for six (6) months, then destroy.</p> <p>Retain in on-line electronic format for three (3) years. Then transfer to tape backup. Retain electronic tape backups in the Information Division until no longer needed, then reuse. Retain in computer generated microfiche or microfilm form for three (3) years, then destroy.</p> <p>Retain current year plus one (1) year, then destroy.</p> <p>Retain for one (1) year, then destroy.</p> <p>Retain for three (3) years, then destroy.</p> <p>Retain for one (1) year, then destroy.</p>
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<p>K. Special Collection Use</p> <ol style="list-style-type: none"> 1. Sign-in sheets, addresses, status of each individual using special collection materials. 2. Copies of call slips used by patrons to request materials held by rare books department. 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. 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). <p>L. Photocopy Center</p> <p>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 the photocopy center, reports of cash income.</p>	<p>Retain for seven (7) years, then destroy.</p> <p>Retain for seven (7) years, then destroy.</p> <p>Retain permanently in library units in paper form. Transfer periodically to archives.</p> <p>Retain permanently in library unit in paper form. Transfer periodically to archives.</p> <p>Retain for three (3) years, then destroy.</p>
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Records Retention and Disposal Standards
PERSONNEL/HUMAN RESOURCES

STANDARD STATEMENT REGARDING AUDITS AND ARCHIVES MUST BE INCLUDED ON SCHEDULE.

HUMAN RESOURCES RECORDS (STATE STANDARDS)

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

Item No. 1 Description	Retention
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<p>PERSONNEL FOLDERS</p> <p>Upon selection for employment within a Department either as a permanent new hire, transfer, reinstatement or temporary employee (i.e. part-time, contractual, if and when needed), a personnel folder is prepared. This folder may contain all or some of the following document:</p> <ul style="list-style-type: none"> A. Application B. Transcripts C. Appointment Letter D. Correspondence Relating to New Appointment (i.e., reference checks) E. Personnel Payroll Form F. Personnel Position Action Request G. Personnel Recruitment Screening Report H. Personnel Transaction Form I. Retirement Form <ul style="list-style-type: none"> During continued employment, the folder may contain the following: <ul style="list-style-type: none"> A. Change of Address Forms B. Clearance File C. Charges for Removal D. Commendations E. Contractual Employment F. Counseling Sessions G. Disciplinary Actions H. Efficiency Ratings I. EOE Statistical Reports J. General Correspondence K. Grievance Actions L. Health Insurance Benefits Forms M. Leave Forms N. Orientation Program O. Position History P. Probation Q. Promotion R. Reclassification S. Resumes T. Suggestion File U. Summer Employment V. Suspension Actions W. Training <p>The final documents in the folder are a personnel payroll form and the following:</p>	<p>Office of Record (OOR) to retain three (3) years after termination of employment, and then destroy.</p>
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i. Letter of resignation ii. Retirement iii. Transfer iv. Dismissal	
Item No. 2 Description	Retention
PERSONNEL I.D. NUMBER (Known as PIN for former BTSUC Institutions and Study Numbers for former University of Maryland Institutions).	Office of Record (OOR) to retain permanently (paper or microfilm)
Item No. 3 Description	Retention
STATUS CARD FILE	Office of Record (OOR) to retain for five (5) years, then destroy
Item No. 4 Description	Retention
HISTORY CARD Upon being selected for employment within a Department either as a new hire, transfer, reinstatement or temporary employee, a personnel history card is prepared. This card contains the following data: <ol style="list-style-type: none"> 1. Name 2. Address 3. Social Security Number 4. Telephone Number 5. Race 6. Sex 7. Birthdate 8. Increment Date 9. EOD (Entry on Duty) Date 10. Classification 11. Effective date of Classification 12. Employment Status 13. Salary 14. Position Identification Number for Employee 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: <ol style="list-style-type: none"> 1. Resignation 2. Retirement 3. Transfer 4. Dismissal 5. Expiration The card would then be filed inside the	Office of Record (OOR) to retain for three (3) years after termination of employment and then destroy.

personnel folder and filed in the inactive personnel file.	
Item No. 5 Description	Retention
WORKERS' COMPENSATION FIRST REPORT OF INJURY REPORT In 1995, Workers' Compensation instituted a paper-free system. Claim Number is issued for the injury and this should be kept in employee's file.	Office of Record (OOR) to retain claim number for three (3) years from the date of injury.
Item No. 6 Description	Retention
SEARCH COMMITTEE FILES Consist of search committee materials for faculty, administrators, and associate staff. Consists of advertisements, final recommendation of the committee, meeting minutes containing the final recommendation data, voting results, top candidate resumes (five or two copies depending on size of search), and all information on the appointed candidate.	Office of Record (OOR) generally main office of the department seeking the candidate to retain pertinent material for twenty-five (25) years, then destroy. Other material not historical may be destroyed after one (1) year.
Item No. 7 Description	Retention
TIMEKEEPING RECORDS A. Employee Timekeeping Records- Individual records approved by the supervisor that shows leave taken and hours worked for classified, associate staff, administrative employees, contractual, and if and when needed. Also includes summary leave date. <i>PLEASE NOTE – EMPLOYEE TIMEKEEPING RECORDS ARE SUBJECT TO AUDIT.</i> B. Faculty Timekeeping Records Individual faculty timekeeping records showing hours worked and leave taken for faculty members. Also includes final summary leave data. <i>PLEASE NOTE –FACULTY TIMEKEEPING RECORDS ARE SUBJECT TO AUDIT.</i>	Department to retain bi-weekly sheets for three (3) years until audit requirements are met. Departments to maintain final leave balances on employee for two (2) years beyond termination of employee, then destroy. Employees returning to University service within two (2) years of termination will be entitled to annul and/or sick leave balances in place when they terminated. <u>As of 1996, Departments have the responsibility for maintaining those balances and are the Office of Record.</u> Retain individual timekeeping records for three (3) years until audit requirements are met. Retain summary sheets for three (3) years after termination of faculty member, then destroy.

Records Retention and Disposal Standards
PROCUREMENT/PURCHASING

INCLUDE STANDARD STATEMENTS REGARDING AUDIT AND ARCHIVES
ON SCHEDULE

Item No. 1 Description	Retention
PURCHASE RECORDS INCLUDE: A. Actual Emergency and Repair Reports. B. Advertising and Bids C. Agency Inter-Office Requisitions D. Bid and Quote Files E. Bid Tabulation Records F. Copy of Contract Awarded G. Credit Memoranda H. Inventory Disposition I. Invoices/Expenditure Transfer Authorization J. Issue Tickets or Receipts K. Materials/Supply Specs L. Monthly Expenditure Printouts M. Notice of Award of Contract N. Unscheduled Requisitions for Supplies O. Packing Slips, Shipping Tickets, Bills of Lading P. Purchase Orders Q. Purchasing Register R. Receiving Reports S. Report of Deliver/Partial Delivery T. Requisition Forms, Misc. U. Requisitions for Supplies V. Warehouse Requisitions W. Automation Management Reports.	State: Office of Record (OOR) to retain for three (3) years, then destroy. <i>Note: Regarding contracts awarded, see Financial Records Retention Standards Item 2, Grants and Contracts, for more detail. Also note standards for Audits on Federal Related items on page 2 Item 4 and OMB instructions following Financial Records Retention Standards.</i>
Item 2. Description	Retention
VENDOR LIST	Office of Record (OOR) to retain until superseded, then destroy
Item 3. Description	
CORRESPONDENCE	See General Correspondence standards
Item 4. Description	
CONTRACT/GRANTS	See Financial Records standards, item 2. <i>Note: Regarding contracts awarded, see Financial Records Retention standards Item 2, Grants and Contracts for more detail. Also note standards for Audits on Federal related items on page 2, Item 4 and OMB instructions.</i>

Records Retention and Disposal Schedule
PUBLIC SAFETY (REVISED OCTOBER 20, 1995)

The office of record (OOR) for criminal files is the “court” system. The courts keep their dockets permanently. Criminal records of any kind at the institutions of the University of Maryland System are not considered “official” records requiring permanent retention.

Item No. 1 Description	Retention
JUVENILE RECORDS A police record concerning a juvenile is confidential and shall be maintained separate from those of adults. Its contents may not be divulged, by subpoena or otherwise, except by order of the court upon good cause shown. This does not prohibit access to a confidential use of the record by the Department of Juvenile Services or in the investigation and prosecution of the child by any law enforcement agency. If files are being used for criminal research purposes, the report may not contain the name of the individual to whom the record pertains, or any other identifying information that in any way reveal the individual’s name.	Juvenile records are to be kept for twelve (12) years beyond the date of the last entry item, then destroyed.
Item No. 2	Retention
ARREST/CRIMINAL RECORDS This series contains all criminal records maintained on persons over the age of 18.	Retain case files for twelve (12) years after case is closed, then destroy.
Item No. 3	Retention
EXPUNGEMENT OF RECORDS Records ordered destroyed by the court.	If the institution has criminal files that are ordered to be expunged, destroy records immediately upon court order.

Records Retention and Disposal Schedule
STUDENT/ACADEMIC RECORDS RETENTION STANDARDS

In this area, it is important, especially for large institutions, to establish office of record (OOR) for student files. We find duplication of records retention by departments and financial/administrative offices regarding student records. Many institutions keep records permanently on microfilm, fiche, tape, etc., and this is always an option for all files; however, the attempt here is to provide actual retention time for files unless the files definitively must be kept permanently...and these types of files are few and far between. **STANDARD STATEMENT REGARDING ARCHIVES AND AUDIT REQUIREMENT MUST APPEAR ON THE RECORDS RETENTION SCHEDULE.**

Item 1. Description	Retention
<p>ACADEMIC RECORDS (TRANSCRIPTS) Final grades, both for graduate and undergraduate students, become part of the permanent transcript record, but please note that each institution has the authority to set policy for review of alleged arbitrary and capricious grading. The standard is the following for departments who deal with final grades: Graduate and Undergraduate students may file an appeal within 20 days after the first day of instruction of the next semester (excluding summer terms) to administrator or committee as set by the institution. It is recommended that any material pertaining to final grades be maintained at the department level for this 20-day standard or the standard, which is in keeping with the institution's appeals policy. <i>Note: Days refers to normal workdays excluding Saturdays, Sundays and University holidays.</i></p>	<p>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 schedules).</p>
Item No. 2	Retention
<p>STUDENT FOLDERS Contain 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.</p>	<p>Office of Record (Registrar's Office/Admissions Office) to retain records for ten (10) years for undergraduate non-graduates, and five (5) years for undergraduate graduates, then destroy.</p>
Item No. 3	Retention
<p>PROVISIONAL ADVANCED STANDING SHEETS FOR TRANSFER STUDENTS</p>	<p>Admission office to retain permanently either on microfilm or in paper form.</p>
Item No. 4	Retention
<p>INTERNATIONAL STUDENT FOLDERS Undergraduate student residency folders, control cards, predicted average cards; and transfer student requests to study at another institution.</p>	<p>Retain for ten (10) years, then destroy</p>
Item No. 5	Retention
<p>TRANSCRIPT REQUESTS, REGISTRATION FORMS AND MATERIAL.</p>	<p>Office of Record to keep for two (2) years, then destroy</p>
Item No. 6	Retention
<p>COLLEGE CATALOGUES FROM CREATION OF INSTITUTE TO PRESENT</p>	<p>Office of Record to retain for twenty – five years (25), then destroy</p>

Item No. 7	Retention
NEW COURSE INFORMATION	Registrar's office to keep for five (5) years, then destroy.
Item No. 8	Retention
BUDGET/ACCOUNTING FILES CONNECTED WITH UNDERGRADUATE STUDENT MATTERS	Retain for three (3) years, then destroy.
Item No. 9	Retention
GENERAL CORRESPONDENCE RELATED TO UNDERGRADUATE STUDENT MATTERS.	This is the standard approved statement under general correspondence standard: Screen annually and destroy material no longer needed. Remaining material having continuing administrative, legal or historical value pertaining to development of agency to be kept for twenty-five (25) years (microfilm or paper storage in archives).
Item No. 10	Retention
COUNSELING FILES CONNECTED WITH UNDERGRADUATE OR GRADUATE STUDENTS. These include locator cards, record sheets, and summary of visits.	Office of Record to retain mental health counseling files for seven (7) years after the student graduates, and then destroy. Other counseling files such as academic counseling records to be kept for three (3) years after the student graduates unless the institutional policy differs from three (3) years.
Item No. 11	Retention
HEALTH RELATED FILES Includes patient charts (lab reports, x- ray reports, hospital visits, allergy schedule, health history, records of visits, etc.)	Office of Record to retain for five (5) years after last visit, then destroy.
Item No. 12	Retention
QUALITY ASSURANCE INFORMATION (LAB WORK)	Office of Record to retain for seven (7) years, then destroy.
Item No. 13	Retention
MATERIAL ON HEALTH FEES AND RELATED SERVICES.	Office of Record to retain for three (3) years or until collection is complete, then destroy.
Item No. 14	Retention
FINANCIAL FILES 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, drop/	Office of Record to retain for three (3) years, then destroy.

add report, paid parking reports, paid health insurance reports.	
Item No. 15	Retention
FINANCIAL AID FILES 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.	Office of Record to retain for three (3) years after student ceases to be active, then destroy.
Item No. 16	Retention
UNSATISFIED FINANCIAL ACCOUNTS Unpaid Perkins Loan files, unsatisfied checks, unpaid deferred payment contracts, unpaid company contracts, and unpaid collection accounts.	Office of Record to retain for three (3) years until account is satisfied and all audit requirements are met, then destroy.
Item No. 17	Retention
STUDENT HOUSING CONTRACTS	Office of Record to retain for three (3) years after student leaves, then destroy.
Item No. 18	Retention
ALPHA ROSTER Listing of all students living on campus by semester.	Office of Record to retain for twenty-five (25) years either on microfilm or paper form, then destroy.
Item No. 19	Retention
STUDENT HOUSING FILES Includes offer, letter, student check in/out status.	Office of Record to retain at least four (4) years or until student graduates, then destroy.
Item No. 20	Retention
APPLICATION FOR ADMISSION Including other general correspondence on students who were canceled or denied admission.	Office of Record to retain for three (3) years after cancellation or denial.
Item No. 21	Retention
STUDENT AFFAIRS/DEAN OF STUDENTS A. Handicapped Accessibility requirements, individual student files, recording for the blind catalogs, Section 504 data, inventory of equipment, etc. B. Student Policies Committee data on policy formation, code of conduct, sexual harassment, and any other policy used for education, implementation and enforcement purposes. C. Judicial Card index of individual case	Office of Record to 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, then destroyed. Office of Record to maintain policies until superseded. Only policies having historical value to be kept permanently in paper or microfilm form. Office of Record to retain card index for five (5) years (tenure of student) or

files, summary reports used for counseling or adjudication of judicial cases of students. D. Orientation Programs, procedures, budget, data, justification of work order, etc., in support of new student and family orientation. E. Student Organization Budget data, correspondence, etc., on student organizations used to advise student leaders, etc.	until judicial adjudication, then destroy. Office of Record to retain for three (3) years, then destroy. Office of Record to retain for three (3) years, then destroy.
Item No. 22	Retention
CREDENTIAL/CAREER PLANNING PLACEMENT 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.	Office of Record to retain for five (5) years after graduation, then destroy. Office of Record to retain for five (5) years after graduation, then destroy.
Graduate Students: Please note there are general areas under the heading undergraduate students that will apply to graduate student record keeping.	
Item No. 1 Description	Retention
GRADUATE STUDENT DESCRIPTION FILES Application and supporting papers	Graduate School Admissions to retain for ten (10) years, then destroy.
Item No. 2	Retention
GRADE DOCUMENTATION Final Semester printout A. Final Grade	Graduate School Admission to retain permanently in paper/microfilm form. See Item 1, Academic records, this section, for instructions on keeping final grade records. <i>Note: UMCP Requests ALL historical material be sent to the McKeldin Library.</i>
Item No. 3	Retention
COURSE APPROVAL CARDS, INTER-CAMPUS FORMS Transfer from other campuses, add/drops	Graduate School Admission to retain for seven (7) years, then destroy.
Item No. 4	Retention
REGISTRATION FORMS	Graduate School Admission to retain for three (3) years, then destroy.
Item No. 5	Retention
BILLING MATERIAL Cashier's remittances, refunds, bill authorizations, etc.	Graduate School Admission to retain for three (3) years then destroy.
Item No. 6	Retention
STUDENT STATISTICS	Office of Record to retain for fives (5) years, then destroy.
Item No. 7	Retention

GRADUATE FACULTY MEETING FILES Minutes and general papers, includes Senate meetings with minutes. This would apply to undergraduate faculty meetings and files also.	Office of Record to screen and retain minutes shaving historical or legal value for twenty-five (25) years on microfilm or in paper form. All other material comes under general correspondence.
Item No. 8	Retention
GRADUATE FACULTY <u>RESUME</u> ONLY FILES	Office of Record to retain for five (5) years, then destroy.
Item No. 9	Retention
FACULTY RESEARCH AWARDS AND FACULTY FELLOWSHIPS	Office of Record to retain for three (3) years after termination, then destroy.
Item No. 10	Retention
GRADUATE COURSE SCHEDULES, AUDIT TRAILS, SECTION LISTS, PRINTOUTS ON REGISTRATION AND PAID BILLS OF STUDENTS	Office of Record to retain for seven (7) years, then destroy.
Item 11	Retention
THESES	Retain permanently in original form.

General Academic Files:

Item No. 1	Retention
FACULTY APT Appointments, Promotion and Tenure Files.	Office of Academic Affairs in Chancellor's Office is Office of Record for former University of Maryland institutions APT files prior to April 5, 1989. These files are retained permanently in UMS. Former University of Maryland Institutions are Office of Record for individual institution APT files after April 5, 1989. Former Board of Trustee institutions are the Office of Record for ALL APT files since establishment of institution. These files must be kept permanently either on microfilm or in hard copy.
Item No. 2	Retention
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.	Office of Record will retain policy items until superseded. Policies and minutes having historical value retain permanently (microfilm or paper).
Item No. 3	Retention
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.
Item No. 4	Retention
BOARD OF REGENTS/BOARD OF TRUSTEES FILES These files include the original as well as copies of meeting minutes, committee reports, correspondence, memoranda,	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.

notes, agendas and general background material as a result of meetings and related activities of Board of Regents and former Board of Trustees.	See item 13, this section, on College Archival files, also.
Item No. 5	Retention
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.
Item No. 6	Retention
STATE BOARD FOR HIGHER EDUCATION AND MHEC Board and committee meeting minutes and related material that establishes policies affecting the System.	UMSA screens annually and destroys material no longer affecting the System. Administration and Finance, UMSA, will retain historical material on financial matters and Academic Affairs, UMSA, will retain historical material on academic matters for permanent retention.
Item No. 7	Retention
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 institutional level. 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. See item 13, College Archival Files, this section.
Item No. 8	Retention
BOOKSTORE/TEXTBOOK RELATED MATERIAL A. Textbooks Adoption Form – a list of textbooks used for each course. B. Books in Print – a listing of all publications currently being published. C. Wholesaler Buying Guide D. Medical Book Distribution Index E. Faculty Charge Forms and In-House Charge Forms. Lists of charges made by staff members or individual department including signed authorization forms and work order.	Office of Record to retain for six (6) years, then destroy. Office of Record to microfiche annually as new editions are published. Office of Record to microfiche bi-monthly. Office of Record to microfiche monthly. Office of Record to retain for three (3) years or until audit requirements are met, then destroy.

Item No. 9	Retention
DEPARTMENTAL MEETING MINUTES Includes Dean's Office, etc.	Office of Record to retain material of historical value for twenty-five (25) years, then destroy.
Item No. 10	Retention
FACULTY EVALUATIONS	State has approved retention for two (2) years beyond termination of faculty member, then destroy.
Item No. 11	Retention
COURSE FINAL EXAMS, COURSE DESCRIPTIONS, GRADE ROSTERS	Office of Record to retain for twenty-five (25) years, then destroy.
Item No. 12	Retention
LIBRARY TECHNICAL RECORD FILES Includes card catalog, shelf list, acquisition files, serial record files, documents files, withdrawal files, circulation registration files.	Office of Record to retain for twenty-five (25) years, then destroy.
Item No. 13	Retention
COLLEGE ARCHIVAL FILES Includes files for former Presidents, Board of Regents, etc.	Office of Record to retain permanently only material of historical value.
Item No. 14	Retention
ACADEMIC PRESS RELEASES/ SPORTS RELEASES	Office of Record to retain for twenty-five (25) years, then destroy.
Item No. 15	Retention
FOOD SERVICE Includes meal card information, snack bar, dining hall, etc., daily cash reports, and catering records, stockroom inventory, contracts on food and supplies.	Office Of Record to retain for three (3) years, then destroy. Follow instructions under financial standards for records retention.
Item No. 16	Retention
FACULTY PUBLICATIONS, REPRINTS, ARTICLES Includes all articles, publications, reprints of individual faculty members of the department.	Department to retain copy of articles, publications, reprints for twenty-five (25) years beyond termination of faculty member, then destroy. If after twenty-five (25) years, the publication is still being requested by the general public, retain document for an additional 25 years or until superseded by a more up-to-date document, then destroy. <i>Note: Copy of all publications for which the institution is the primary author need to be sent to the State Library Resource Center, Library and Information Services Division, Annapolis, Maryland. This does not apply to individual faculty member publications.</i>

Records Retention and Disposal Standards
TELECOMMUNICATION/COMMUNICATIONS

STANDARD STATEMENT ON ARCHIVES AND AUDITS MUST BE INCLUDED IN
SCHEDULES.

Item No. 1 Description	Retention
COMMUNICATION MATERIAL FCC License application for Public Radio Station Grant Proposals	Office of Record (OOR) to retain for twenty-five (25) years, then destroy. See financial Records Standards section, Contract and Grants, Item 2, for retention of grant documents.
Item No. 2	Retention
INTERAGENCY TELEPHONE INVOICES	Office of Record (OOR) to retain for three (3) years, then destroy.
Item. No. 3	Retention
C&P REPORTS DETAILING ALL EQUIPMENT RENTED BY COLLEGE	Office of Record (OOR) to retain for three (3) years, then destroy.

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