



UMBC Interim Policy on Records Management

UMBC Policy # VI – 6.10.01

153.0 VI-6.10 - POLICY ON RECORDS MANAGEMENT

(Issued by the Chancellor, January 6, 1992; Amended December 9, 2016)

1. The President of each institution shall establish a Records Management Program and shall develop and maintain a Records Management Plan consistent with the requirements of State Government Article, Sections 10-609 through 10-610, and COMAR 14.18.02.01 through 14.18.02.16.
2. The Vice President for Administration at each institution will be responsible for records management at that institution, unless the Chancellor is notified otherwise.
3. Each President shall prepare and shall submit to the Chancellor for approval a Records Retention and Disposal Schedule(s), which will be in compliance with standards set by the Chancellor consistent with COMAR 14.18.02.01 through 14.18.02.16. The Schedule must be reviewed and updated every two years and may be amended as necessary following the steps outlined in COMAR 14.18.02.01 through 14.18.02.16.
4. Each President will provide for the periodic transfer of records to the University Archives, State Archives, or State Records Center, as appropriate, or may otherwise dispose of records in accordance with the approved Records Retention and Disposal Schedule(s) and in compliance with applicable laws and USM policies. The Chancellor may require periodic Records Retention and Disposal reports in the format and according to the schedule provided by him.

UMBC Policy on Records Management

To facilitate the management of vital records, preserve the history of the campus and meet the requirements of the USM policy, the following policy is provided to govern non-current office records at UMBC.

I. Non-current University Records:

1. “University Records” means all documents, regardless of form or characteristics, created, received and maintained as evidence and information by any agency, officer or employee of the University in pursuance of legal obligations or in the transactions of business.
2. All documents deemed to be University Records are University property and subject to University guidelines for retention or disposal.

3. “Non-current records” mean records no longer needed by their creator to conduct business or with no further administrative value.
4. The University Archives is the official repository for all non-current university records that have sufficient value to warrant permanent preservation and for which no other Office of Record is designated.
5. Until an electronic records management (ERM) protocol is available on campus to preserve e-records, all records that are designated for permanent retention but are born digital (including email) must be transferred to the University Archives in one of the following formats: paper, microfilm, microfiche. Records saved in PDF format may be accepted with prior approval from the University Archivist. Machine dependent audiovisual records, including analog and digital formats, may be transferred to the University Archives only if the Library has the capability to view the content; prior approval is requested.

II. Transfer of Records to the University Archives:

UMBC offices and departments shall provide the following records to the University Archives in a timely manner:

1. Constitutions and by-laws, minutes, memoranda, correspondence , and reports of any administrative or advisory board of the university
2. Records of the chief executive including correspondence , administrative subject files, and reports
3. Correspondence , subject files, and reports of the chief academic affairs officer; i.e. the Provost
4. Correspondence , subject files, and reports of the chief administrative officer, i.e. the Vice-President for Administration and Finance
5. Correspondence , subject files, and reports of the office of the chief student affairs officer i.e. Vice President for Student Affairs
6. Correspondence , subject files, and reports of the chief officer of all University units designated to operate with a high degree of independence such as, the Deans of Arts and Sciences, the Graduate School, the College of Engineering; the Honors College, the Library, and major research institutes.
7. Minutes, memoranda, and reports of all major academic and administrative committees, including the faculty senate, the exempt staff senate, the non-exempt excluded staff senate and their committees
8. Accreditation reports and supporting documentation.
9. One copy of the campus wide annual budget and audit reports from the Administration and Finance Department
10. Academic departmental records, including minutes, reports, syllabi, and sample test questions
11. Records of the registrar including timetables and class schedules, enrollment reports, graduation rosters, and other reports issued on a regular basis
12. Alumni records including minutes of the alumni association
13. Reports of the admissions office
14. Reports of the office of institutional research

15. Reports of the university institutional advancement office
16. Records of student organizations
17. All publications, newsletters, or booklets distributed by the university, including: catalogs, special bulletins, yearbooks, student newspapers, university directories, and faculty/staff rosters, faculty and university newsletters, alumni magazines and ephemeral materials
18. Audiovisual materials documenting the development of the university such as still photographs and negatives, motion picture films, oral history interviews, and audio and videotapes
19. Preservation copies of microfilm produced by any campus vital records program
20. Maps and plot plans documenting campus physical growth and development
21. Reports of research projects, including non-restricted grant records

III. Records to be retained in the Office of Record:

All records for which the University has established a retention and disposal schedule should be retained by the Office of Record. The Office of Record is held to be the department in which the files are created with a few exceptions that are so noted. Such records may include:

1. Records for which there is an Office of Record stipulated as responsible for permanent retention such as student records (Registrar) or personnel records (Human Resources)
2. Routine financial records such as invoices and receipts
3. Routine letters of transmittal and acknowledgement
4. Non-personally addressed (e.g. To: Deans and Directors) correspondence and memoranda, except for one record copy provided to the University Archives from the issuing officer
5. Requests for publications or information for which responses have been provided to the requestor
6. Replies to questionnaires if the results are recorded and preserved in a published report
7. Non-documentary objects, artifacts and memorabilia related to the university's history except those of great importance and manageable physical size and condition which might be preserved by the University Archivist

IV. Procedures for Retention of Records within Departments or Offices of Record

The following records shall be retained and destroyed or forwarded to the University Archives by the department or Office of Record which created or houses those records according to the following protocols.

1. **General Files** includes alpha, subject, administrative, and chronological correspondence containing original incoming and copies of outgoing correspondence, email**, reports, memoranda, statistics, proposed programs, minutes, policy and procedure statements, special projects, and substantive data concerning the operation of the office that maintains it.

Retention: Material with continuing administrative or legal value should be kept in paper by Office of Record for 5 years beyond the date that the file is declared inactive, then destroyed. Non-current material deemed by the archivist to have historical value should

be transferred to the University Archives pursuant to Section II of this policy.

**Significant email should be printed and placed in a file along with other correspondence at least once a year.

2. **Departmental Meeting Minutes** includes policy issues and other data relating to the department that are of historical significance.
Retention: Retain for 3 years then send to University Archives.
3. **Departmental Publications** includes newsletters, technical reports, brochures, annual reports, and other materials published by any department in the university.
Retention: Forward a copy of each publication to the University Archives for permanent retention.
4. **Faculty Publications** includes articles and other publications of individual faculty members of a department for which a department or individual faculty member is the publisher.
Retention: One copy of each article, publication, and reprint should be sent to the archive at time of publication. In addition the department should retain a copy of each as long as needed, then destroy.
5. **Student Course Evaluations** includes surveys given to students to evaluate teaching of faculty members.
Retention: Retain for as long as needed, then destroy. A permanent copy of the final report for all departments will be sent to the University Archives from the Office of Institutional Research.
6. **Employee Resumes**
Retention: Send copy to University Archive when received.
7. **Budget Files** including email, correspondence, memos, notes, and printed reports.
Retention: Screen annually and destroy that material for which no further reference is required. Documents with continuing administrative value should be kept in paper by department for 5 years, then destroy.
8. **Purchasing Card Transactions Files.** Office of Record: Procurement.
Retention: Retain for at least 5 years after fiscal year end, either in the cardholder's department or in readily accessed department archives.
9. **Purchasing Records** includes internal account records, including copies of requisitions, invoices, and packing slips. Office of Record: Procurement.
Retention: Retain for 3 years after the current year and until audit requirements are met, then destroy.
10. **Accounting Records** includes honoraria payments, contract items, revolving fund, checkbook data, special payments, periodic financial reports, telecommunication service and equipment bills, budget items including amendments and estimates, and other data. Office of Record: Accounting Department.
Retention: Retain for 3 years after the current year and until audit requirements are met, then destroy.
11. **Course Final Exams:** copy of course final exams with correct answers included.
Retention: Retain as long as needed by the academic department, then destroy.
12. **Graded Final Examinations of Undergraduate and Graduate Students**
Retention: Professors to retain as long as needed, then destroy.
13. **Graded Coursework of Undergraduate and Graduate Students** includes graded materials not returned to students.

- Retention:** Professors to retain graded materials as long as needed, then destroy
14. **Academic Files for Undergraduate and Graduate Students** includes advising records and correspondence related to academic activity. Office of Record: Registrar.
Retention: Department to retain academic files for 4 years after student graduates, then destroy.
15. **Application Material of Perspective Students** includes student application form, transcripts, letters of recommendation, standardized test scores, statements of purpose, and merit-based award forms
Retention: Transfer materials of accepted applicants to student's academic file upon matriculation. Retain rejected applicants for 2 years after receipt, then destroy.
16. **Comprehensive Examinations**
Retention: Retain for 20 years, then destroy.
17. **Textbook Orders** includes the list of textbooks ordered by faculty members for departmental courses.
Retention: Retain for 1 year, then destroy.
18. **Faculty Files** includes appointment, promotion, and tenure material, including appointment letters; faculty review files; and leave without pay and sabbatical requests.
Retention: Retain for 10 years after termination of employment, then destroy.
19. **Contract and Grant Files** includes records that document contracts and grants received by any department 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.
Retention: Office of Record to retain state contracts and grants for three years after the close of the contract, then destroy. Federal grants and agreements over \$25,000 are to be retained for 3 years after the close of contract, then destroy. OMB Circular No. A-110, Subpart C. 53 requires that: Financial records, supporting documents, statistical records and all other records pertinent to an [federal] award shall be retained for a period of three 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. If any litigation, claim, or audit is started before the three-year period ends, the records shall be retained until all litigation, claims, or audit findings involving records have been resolved and final action taken. Records for real property and equipment acquired with federal funds shall be retained for three years after final disposition.
20. **Inventory Material** includes records identifying non-capital and capital equipment and related material including: manual sheets, inventory adjustment forms, replacement of inventory tag forms, equipment loan forms, and disposal of surplus property forms.
Retention: Retain for 3 years after current year and until audit requirements are met, then destroy.
21. **Human Resource Records**
a. **Timekeeping Records** includes individual sheets approved by the supervisor showing leave taken and hours worked for student, Contingent I, Contingent II contractual, non-

exempt, exempt, and faculty employees.

Retention: Retain for at least 3 years and until audit requirements are met, then destroy.

b. **Faculty Time Reports** includes monthly reports showing days worked and leave taken by faculty members.

Retention: Retain individual monthly reports for at least 5 years and until audit requirements are met, then destroy. Retain summary records of monthly time reports until the faculty member leaves employment, then destroy.

c. **Employee Leave Balances** includes leave balances for faculty members, contractual, exempt and non-exempt employees.

Retention: Retain final leave balance for 3 years after termination of employment, and then destroy. During time employee is active, retain ongoing balances for 3 years for audit purposes.

22. **Payroll Records** includes journals, one-pay certification cards, check register, W2 forms, journal vouchers, payroll entry forms, and other internal adjustment forms. Office of Record: Human Resources.

Retention: Retain for 3 years after the current year and until audit requirements are met, then destroy

23. **Personnel Files** includes folders prepared upon the commencement of employment, including any of the following items: application and resume; appointment letter; reference checks; payroll form; position action request; recruitment screening report; personnel transaction form; retirement form; transcripts; change of address forms; clearance file; commendations; contracts; correspondence; counseling sessions; grievances; disciplinary actions, including charges for removal, probation, or suspension; efficiency ratings; EOE statistical reports; health insurance benefits forms; leave forms; orientation and training material; position history; promotions and reclassification; suggestion file; summer employment material; and letters of resignation, retirement, transfer, and/or dismissal. Office of Record: Human Resources.

Retention: Department to retain for 7 years after termination of employment, then destroy.

24. **Performance Review and Development Files** includes evaluations of exempt, non-exempt staff members, which indicate employee performance factors, performance ratings given by the employee's supervisor, and employee development plans. Office of Record: Human Resources.

Retention: Department to retain for 7 years after termination of employment, then destroy.

25. **Position Files** includes requests for position classification action, lists of eligibles, study numbers, and position descriptions.

Retention: Retain for 3 years after position is abolished, then destroy.

[Works used: Bellardo, Lewis and Lynn Carlin. *A Glossary for Archivists, Manuscript Curators, and Records Managers*. SAA, 1992. Maher, William J. *The Management of College and University Archives*. SAA and Scarecrow Pres Inc., 1992.

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