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UNIVERSITY OF MARYLAND BALTIMORE COUNTY RECORDS AND RETENTION SCHEDULE (Draft)

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Section	Description	Retention Guidelines
I. Administrative Records		
I.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.	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 in accordance with the University Archives collecting policy (see appendix #).
I.2	Meeting Minutes - includes policy issues and other data relating to the department that are of historical significance.	Retain for 4 years or until audit requirements have been met, whichever is later, then send to University Archives.
I.3	Departmental Publications - includes newsletters, technical reports, brochures, annual reports, and other materials published by any department in the university.	Send two copies of each publication to the University Archives.
I.4	University Policies	Retain until superseded, then destroy. Send copies of policies to the University Archives.
I.5	Accreditation Files - accreditation standards, standards status reports, proof of compliance for purposes of accreditation, self-study material, and accreditation reports.	Retain for 1 year after accreditation, then send to University Archives.

Section	Description	Retention Guidelines
I.6	Consulting Reports for Faculty and Exempt Staff Members - individual reports and unit summaries on consulting.	Retain for 5 years, then destroy.
I.7	Alumni Material – event and project files, correspondence, reunion files, alumni cultivation files, and other alumni records.	Screen annually and destroy that material for which no further reference is required. Material deemed to have historical or permanent administrative value to be sent to University Archives.
I.8	Board of Visitors Files - biographies, correspondence, press releases, and news clippings.	Retain for 5 years, then send to University Archives.
I.9	Records Management Material - original records retention and disposal schedules for the University of Maryland, Baltimore County; original certificates of records disposal; agency records inventory forms; copy of statewide records inventory reports submitted by the University of Maryland, Baltimore County; and other pertinent supporting material.	Retain for 10 years, then destroy. Office of Record for original certificates of records disposal and agency records inventory forms is the Unit. Office of Record for other material is the Department of Management Advisory Services.
I.10	Ombudsman Office Client Files - material related to individual cases handled by the Ombudsman Office.	Retain for 10 years, then destroy.
I.11	President's Office of Legal Affairs Case Files - legal case files containing original correspondence, administrative correspondence, court decisions, evidence, and privileged attorney-client information.	Retain for 10 years in the President's Office of Legal Affairs, then send material with administrative, legal, and/or historical value to University Archives and destroy remaining material.

Section	Description	Retention Guidelines
I.12	President's Office of Legal Affairs Contract Files - legal contract files negotiated on behalf of the University of Maryland, Baltimore County containing attorney notes of negotiations, correspondence, and original contracts.	Retain for 10 years in the President's Office of Legal Affairs, then send material with administrative, legal, and/or historical value to University Archives and destroy remaining material.
I.13	Discrimination Complaint Files - includes complaint, investigation notes and evaluation, letter of findings, interview notes, and any related correspondence.	Retain for 7 years after case is closed, then destroy. If other cases related to the respondent exist, retain material for all cases until 7 years after the last case is closed, then destroy.
I.14	Legislative Audit Files	Units to retain for 4 years, or to the beginning of the next Legislative Audit, then destroy. Office of Record is the Maryland General Assembly Office of Legislative Audits.
I.15	University System of Maryland Audit Files	Units to retain for 4 years or until audit requirements are met, whichever is later, then destroy. Office of Record is the University System of Maryland.

Section	Description	Retention Guidelines
I.16	Patient Records - medical records.	Retain and destroy medical records in accordance with the Annotated Code of Maryland s. 4-403 and the Health Insurance Portability and Accountability Act (HIPAA). Retain employee medical records related to environmental or health exposure for 30 years after termination of employment, then destroy. Office of Record for employee medical records related to environmental or health exposure is the University Health Center.
I.17	Staff and Student Employee Timekeeping Records and Leave Balances - records approved by the supervisor that show leave taken and hours/duty days worked for student, Contingent Category I, Contingent Category II, and Regular employees; also includes leave balances for those employees eligible to earn leave.	For State/University accounts, retain for 4 years and until audit requirements are met, then destroy. For federal and other sponsored accounts, retain for 5 years after the close of the contract or for 10 years after the date of record creation (whichever is less), then destroy. The Office of Record for paper timesheets is the department. For electronic timesheets, PeopleSoft is the system of record and the office of record is Human Resources.
I.18	Faculty Time Reports and Leave Balances - monthly reports showing days worked and leave taken by faculty members.	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. Office of Record is the department. For electronic timesheets, PeopleSoft is the system of record and the office of record is Human Resources.

Section	Description	Retention Guidelines
I.19	<p>Search Committee Files - search committee materials for faculty, administrators, and exempt staff. Consists of advertisements, final recommendation of the committee, meeting minutes containing final recommendation data, voting results, top candidate resumes (top 2 or 5 only - depending on size of search), and all information on appointed candidate.</p>	<p>Office of Record (generally main office of the unit seeking the candidate) to retain listed material for 5 years, then destroy. Retain other search committee material for 1 year, then destroy.</p>
I.20	<p>Position Files - requests for position classification action, lists of eligibles, position numbers, and position descriptions.</p>	<p>Units to retain for 4 years after appointment associated with the position is abolished or until audit requirements are met, whichever is later, then destroy. University Human Resources (Office of Record) to retain position numbers permanently. University Human Resources to retain other position material for 3 years after the appointment associated with the position is abolished.</p>

Section	Description	Retention Guidelines
I.21	<p>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.</p>	<p>Department to retain for 7 years after termination of employment, then destroy. Office of Record is Human Resources. Office of record for student employees is the hiring unit/department.</p>
I.22	<p>Performance Review and Development Files - evaluations of exempt, non-exempt staff members, which indicate employee performance factors, performance ratings given by the employee's supervisor, and employee development plans.</p>	<p>Department to retain for 7 years after termination of employment, then destroy. Office of Record is the department.</p>
I.23	<p>Employment Applications - applications for employment by people who were not hired.</p>	<p>Retain applications for 1 year, then destroy.</p>
I.24	<p>Worker's Compensation First Report of Injury - State of Maryland form that includes the following information: employer's name and State mailing address; insurance policy; employee's name, address, Social Security Number, and occupation; occurrence - place of accident, date of injury/illness; physician's name and address; and hospital's name and address.</p>	<p>Office of Environmental Safety and Health (Office of Record) to retain for 30 years. Units to retain until employee leaves the Unit.</p>

Section	Description	Retention Guidelines
I.25	Donor/Gift Files - records showing name, date, amount, receipt and account number, and related data on gifts to the University by friends, alumni, corporations, associations, or foundations.	Retain for 4 years and until audit requirements are met, then destroy. Material with historical value to be sent to University Archives permanent retention. Office of Record is University Relations.
I.26	Endowment Material - memorandums of understanding, historical information on donors/recipients, and financial statements.	Retain financial records for 4 years and until audit requirements are met, whichever comes first, then destroy. Forward memorandums of understanding and historical information on donors/recipients to University Archives at for permanent retention.
I.27	Deed of Gift Records - agreement forms pertaining to donations to UMBC.	Units to retain for 25 years, then send to University Archives for permanent retention.\
I.28	Artwork Loan Agreements - forms pertaining to the loan of artworks to departments and galleries at UMBC for exhibitions.	Retain for 5 years, then destroy.
I.29	Performance Recordings - recordings of performances by faculty, students, and guest artists.	Retain for 25 years, then send original to University Archives for permanent retention. Send copy to time of creation to Library Media. Copies may be sent to University Archives at time of creation.
I.30	Residency Classification- Petition for Change in Residency Classification for Admission, Tuition, and Charge Differential; related correspondence; and supporting documentation, which may include, but is not limited, to copies of the following items: deed, settlement statement, lease agreement and cancelled checks, proof of all income sources, most recently filed federal and state income tax returns, vehicle registration and title, driver's license, voter's registration card, and immigration information.	Retain for 3 years after semester of petition, then destroy using a secure method.

Section	Description	Retention Guidelines
II. Academic Records		
II.1	Faculty Evaluations - surveys given to students to evaluate teaching of faculty members.	Screen annually and 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.
II.2	Faculty Files - resumes; appointment, promotion, and tenure (APT) material, including appointment letters; and leave without pay and sabbatical requests.	Retain for 10 years after termination of employment, then destroy. Office of Record for APT material is [?].
II.3	Faculty Review Files - records completed annually by each faculty member reflecting courses taught, number of credit hours, and number of students enrolled by class; administrative assignments; number of currently enrolled undergraduate and graduate students advised; names of graduate students who graduated from program; research including books and articles published; consultation; paid and unpaid State services performed; and UMBC services performed.	Retain for 10 years after termination of employment, then destroy.
II.4	Faculty Merit Files - records on individual faculty members used to determine merit pay raises.	Retain for 10 years, then destroy.
II.5	Course Final Exams - copy of course final exam with correct answers included.	Retain for a minimum of one year, then destroy.
II.6	Course Syllabi	Screen annually and retain until revised or course is discontinued, then destroy.
II.7	Comprehensive Examinations - exams that determine whether a student advances to candidacy for a doctoral degree.	Retain for 10 years, then destroy. Office of Record is the Department that administered the exam.
II.8	Theses and Dissertations	Retain permanently in University Archives.
II.9	Graded Final Examinations of Undergraduate and Graduate Students - graded final examinations not returned to undergraduate and graduate students.	Retain for a minimum of one year, then destroy.

Section	Description	Retention Guidelines
II.10	Graded Coursework of Undergraduate and Graduate Students - graded materials not returned to undergraduate and graduate students.	Retain for a minimum of one year, then destroy
II.11	Academic Files for Undergraduate or Graduate Students - applications and supporting material, advising records, experiential learning records, dissertation committee material, exception to policy requests, and correspondence related to academic activity.	Department to retain academic files for 4 years after student graduates or withdraws, then destroy.
II.12	Scholarship / Award Files - correspondence, applications, essays, recommendations, resumes, and other materials.	Retain for 4 years or until audit requirements are met, whichever is later, then destroy, then destroy.
II.13	Application Material of Prospective Students – student application form, transcripts, letters of recommendation, standardized test scores, statements of purpose, enrollment planner, residency information, athletic material, and merit-based award forms.	Retain materials of applicants who enroll for 3 years beyond last enrollment or until audit requirements are met, whichever is later, then destroy. Retain materials for non-enrollees for 2 years after receipt, then destroy.
II.14	Student Orientation Files - student and parent rosters used to verify attendance at orientation programs.	We no longer use rosters to verify attendance for billing purposes. Orientation is mandatory and all students are required to pay as part of enrollment deposit fees so billing is no longer necessary. Recommendation: remove this item.
II.15	Student Orientation Sign-Up Cards - contains student's name, Social Security Number, charges incurred, whether a new or transfer student, number of family members registering, date of attendance, additional nights in residence hall requested, charge reminders given, acknowledgement of charges, student's major, cancellations, and date changes.	Orientation sign up cards are no longer used. Recommendation: remove this item.

Section	Description	Retention Guidelines
II.16	Office of Judicial Programs and Student Ethical Development Case Files - summary reports of student judicial cases.	Office of Judicial Programs and Student Ethical Development to retain in electronic form for 4 years or until audit requirements are met, whichever is later, then destroy., then destroy.
II.17	Undergraduate/Graduate Grading Complaints - complaints by undergraduate and graduate students regarding arbitrary and capricious grading.	Retain for 4 years after submission of complaint or until audit requirements are met, whichever is later, then destroy.
II.18	Application for Credit by Examination	Retain permanently.
II.19	Interdisciplinary Studies Program Files - student files containing the requirements for individual students to obtain a degree through the Interdisciplinary Studies Program.	Retain for 20 years after requirements are approved, then destroy.
II.20	Study Abroad Records - files of students studying outside of the United States, including transcripts and other pertinent information.	Forward transcripts to the Office of the Registrar for permanent retention. Retain other material for 5 years after student returns to the United States, then destroy.
II.21	Office of International Affairs Country Files - exchange agreements, information concerning universities in different countries, correspondence with universities in different countries, and material relating to contacts in other countries.	Office of International Affairs [Study Abroad Office?] to retain for 25 years, then send to University Archives permanent retention.

Section	Description	Retention Guidelines
II.22	Fulbright Files - material pertaining to the Fulbright program, including proposals, awards of fellowships, newsletters, directories of scholars and members, correspondence with visiting scholars, and research focus of scholars.	Office of International Affairs [Study Abroad Office?] to retain for 25years, then send to University Archives for permanent retention.
II.23	Immigration Records - H-1 petitions and applications for Permanent Residency and copies of I-20s and IAPs for students and scholars.	Retain H-1 petitions and applications for Permanent Residency for 6 years after filed, then destroy. Retain I-20s (Certificate of Eligibility for Nonimmigrant (F-1) Student Status.) and IAPs (Now DS-2019 "Certificate of Eligibility for Exchange Visitor (J-1) Status) for 10 years, then destroy. Office of Record for I-20s, H-1 petitions, and applications for Permanent Residency is U.S. Citizenship and Immigration Services (USCIS). Office of Record for IAPs is U.S.I.A.

Section	Description	Retention Guidelines
II.24	Course Approval Information - new courses and changes to courses approved by the [Vice President's Advisory Committee?].	Retain in Units for 5 years, then send to University Archives for permanent retention. Office of Record is Academic Affairs.
III. Financial Services		
III.1	Financial Records - abandoned property records, account transactions, accounts receivable material, bad check records, bank books and statements, bank debit/credit memoranda, cancelled checks, cash income reports, cash register reports, cashier settlement sheets/certificates of deposit, Central Billing transactions, charges to other units/organizations for equipment/services and associated backup, check copies, check lists, check stubs, checkbooks and related data, contract items/transactions, courtesy certificate of deposit registrations, credit card sales/receipts, credits, deposits, disbursement vouchers, endowment correspondence relating to the dispensation of revenue, financial aid records, financial management system access forms, honoraria payments, inventory data, journal vouchers, miscellaneous payment requests, packing slips, payroll transfers, periodic financial reports, Perkins assignments, petty cash documentation, photocopier meter readings, receipts, reconciliations, refunds, returned checks, revolving fund material, sales records, scholarship account records, special payments, State Central Collection Unit transactions and bankrupt and return files, student account material, student check receipts, student loan material, suspense reports, Travel Card logs and supporting receipts, trial balance sheets, working fund records, 1099 change forms, and other financial material.	For State/University accounts, retain for 4 years and until audit requirements are met, then destroy. For federal and other sponsored accounts, retain for 5 years after the close of the contract or for 10 years after the date of record creation (whichever is less), then destroy. Retain federal financial aid material for 5 years and until audit requirements are met, then destroy. Retain accounts receivable material for 3 years after payment is received and until audit requirements are met, then destroy. Office of Record for billing backup is the Department. Office of Record for other financial material is the Office of the Comptroller. The Office of Record for the Financial Aid material is the Office of Financial Aid and Scholarships.

Section	Description	Retention Guidelines
III.2	Payroll Records - journals, one-pay certification cards, check register, W2 forms, journal vouchers, payroll entry forms, and other internal adjustment forms.	For State/University accounts, retain for 4 years and until audit requirements are met, then destroy. For federal and other sponsored accounts, retain for 5 years after the close of the contract or for 10 years after the date of record creation (whichever is less), then destroy. Office of Record is Human Resources.
III.3	Purchasing Records - purchase orders, requisitions, invoices, purchasing card transaction logs, UMBC purchasing cardholder agreements , advertising and bid requests, bids and quotes, bid tabulation records, requests for proposal and vendor responses, notices of award of contract, and purchasing register.	For State/University accounts, retain for 4 years and until audit requirements are met, then destroy. For federal and other sponsored accounts, retain for 5 years after the close of the contract or for 10 years after the date of record creation (whichever is less), then destroy. Office of Record for purchasing card transaction logs and Small Procurement Orders is the Unit. Office of Record for purchase orders is the Office of Procurement.
III.4	Inventory Material – 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.	Retain for 4 years or until audit requirements are met, whichever is later, then destroy. Office of Record for equipment loan forms is the Unit. Office of Record for capital and sensitive inventory material is Inventory Control, Office of the Comptroller. Office of Record for disposal of surplus property forms is the Department of Procurement.
III.5	Budget Material - annual working budgets, annual asking budgets, campus budget amendments, budget histories, budget system material, tuition revenue projections, fringe benefit projections, and indirect cost projections	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.

Section	Description	Retention Guidelines
III.6	<p>Extramural Awards - records that document extramural awards (ie contracts, grants, cooperative agreements, etc) received by UMBC from any source and include applications, proposals, agreements, research reports, effort reports, subaward documents, publicity notices, acknowledgments, and transfer of fund records, controlling rules and regulations, copies of periodic reports, coorespondence and memoranda.</p>	<p>Retain State contract and grant files (non-federal flow through) for 4 years after the close of the contract or until audit requirements are met, whichever is later, then destroy. For federal, federal flow-through (including state awards) and other sponsored contract and grant files and related subrecipient files, the general rule of thumb is to retain for 4 years from the date of submission of the final expenditure report and until audit requirements are met, then destroy at discretion of the Office of Record. However, the specific terms and conditions of each award govern the record retention requirements and should be followed accordingly. If there is any question about a specific award contact the Office of Record. In addition, any award with an A-133 audit finding should be retained for 5 years after audit resolution. Office of Record is Office of Sponsored Programs for all non financial records, Office of Contract and Grant Accounting for all financial reporting, and Financial Services for expense transaction records.</p>

Section	Description	Retention Guidelines
III.7	Property Files - material relating to the lease/purchase of property by UMBC .	Screen upon completion of lease or purchase and destroy that material for which no further reference is required. Remaining material with non-historical value to be retained for 15 years, then destroyed. Remaining material with historical value to be microfilmed for permanent retention.
III.8	Finance Committee Files - minutes, agendas, related working documents, and letters of approval/disapproval regarding items discussed at committee meetings.	Budget and Fiscal Analysis to retain for 5 years, then send to University Archives for permanent retention.
III.9	Revenue Bond Reports - daily record of meter register readings, outgoing U.S. Postal Service accountable mail record book, incoming U.S. Postal Service accountable firm book, and miscellaneous mail records.	Retain for 10 years and until audit requirements are met, then destroy.
III.10	Mail Records - daily record of meter register readings, outgoing U.S. Postal Service accountable mail record book, incoming U.S. Postal Service accountable firm book, and miscellaneous mail records.	Retain for 4 years or until audit requirements are met, whichever is later, then destroy. Office of Record is the Department of Business Services.
III.11	Mailbox Rental Agreements - documentation relating to the rental of mailboxes in the Mail Facility by University-affiliated organizations or individuals.	Retain for 4 years or until audit requirements are met, whichever is later, then destroy. Office of Record is the Department of Business Services.
III.12	Departmental Mail Service Charge Cards - cards used by departments to authorize charges for mail services to be billed to a Financial Reporting System (FRS) number.	For State/University accounts, retain for 4 years or until audit requirements are met, whichever is later, then destroy. For federal and other sponsored accounts, retain for 5 years after the close of the contract or for 10 years (whichever is less), then destroy. Office of Record is the Department of Business Services.

Section	Description	Retention Guidelines
III.13	Approved Travel Requests and Expense Statements - documents evidencing appropriate approval to undertake travel on behalf of UMBC on official business, and documents summarizing expenses for which personal funds have been advanced by the traveler on behalf of UMBC.	For State/University accounts, retain for 4 years after the date of approval of travel request/expense statement or until audit requirements are met, whichever is later, then destroy. For federal and other sponsored accounts, retain for 5 years after the close of the contract or for 10 years after the date of approval of travel request/expense statement (whichever is less), then destroy. Office of Record is the Department of Business Services.
III.14	Travel Approval Signature Cards - records of the name and signature of the individual with Unit Approving Authority and those other individuals officially designated by the Approving Authority to approve travel requests and expense statements.	Retain for 4 years after card has been superseded or until audit requirements are met, whichever is later, then destroy. Office of Record is the Department of Business Services.
III.15	Travel Card Invoices - invoices from credit card vendors for travel purchases made for UMBC.	Retain for 4 years or until audit requirements are met, whichever is later, then destroy.
III.16	Travel Supplier Reports - monthly productivity reports from travel suppliers detailing tickets issued in accordance with University agreements.	Retain for 4 years or until audit requirements are met, whichever is later, then destroy.
III.17	Vending Material - documentation related to commission payments.	Retain for 4 years or until audit requirements are met, whichever is later, then destroy.
III.18	Parking Meter Collection Forms, Card Transaction System Reports, and Key Sign-Out Sheets - reports, collection schedules, sign-out sheets, and coin deposit receipts for University meter collection; Card Transaction System reports; and meter key sign-out sheets.	Department of Transportation Services to retain for 4 years or until audit requirements are met, whichever is later, then destroy.

Section	Description	Retention Guidelines
III.19	Logistics Management Records - inbound and outbound shipment documentation, bills of lading, import and export documentation, freight invoices, delivery tickets, shipment claims, and related shipping/receiving/distribution material.	For State/University accounts, retain for 4 years or until audit requirements are met, whichever is later, then destroy. For federal and other sponsored accounts, retain for 5 years after the close of the contract or for 10 years after the date of record creation (whichever is less), then destroy.
III.20	Procurement Contracts - master contracts, construction and non-construction project contracts, freight rate contracts, moving contracts, and related documents.	Retain for 4 years after the close of the contract or audit requirements are met, whichever is later, then destroy.
III.21	Procurement and Supply Vendor List - includes goods and services offered by responding vendors and indicates vendor identification of small business and minority business eligibility.	Retain until superseded, then destroy.
III.22	Payroll Deduction Authorization Forms - applications by a faculty or staff member authorizing the Central Payroll Bureau to initiate or terminate deductions from an employee's paycheck.	Retain for 4 years after the termination of deduction or employment (whichever is first), or until audit requirements are met, whichever is later, then destroy.
III.23	Supplemental Retirement Annuity Authorization Forms	Retain for 1 year after termination of employment, then destroy.
III.24	Pay Reports - W-2, master exception, labor distribution, check register by Social Security Number, check register by account, and deductions taken.	Retain for 25 years for customer service research, then destroy.
III.25	Non-Resident Alien Tax Exemption Forms – W-4, 8233, and 1001 Internal Revenue Service forms and Citizenship status forms.	Retain for 10 years and until audit requirements are met, then destroy.
III.26	Miscellaneous Payroll Services Reports - computer-generated multiple and alphabetical lists, and W-4 reports.	Retain for 6 weeks, then destroy.

Section	Description	Retention Guidelines
III.27	Office of the Comptroller Systems Payroll Certifications - payroll certification journals, one pay appointment cards, certification cards, overtime sheets, and receipts for University of Maryland Eastern Shore petty cash.	Retain in paper form for 16 weeks, then transfer to microfilm. Retain microfilm for 10 years, then destroy. Destroy paper records upon receipt of microfilm.
III.28 (note from second copy: I think this can be deleted same as earlier one)	Office of the Comptroller Sponsored Project Records— accounting related portion of award agreements, account set up information, accounting transaction forms, copies of invoices sent to sponsors, correspondence, record of collection activity, reconciliation work papers, financial status reports, and other related information.	Retain in the Office of the Comptroller for 6 years, then for 4 additional years in storage and until audit requirements are met, and then destroy.
III.29	Office of the Comptroller Work Papers for Restricted Fund Financial Reports, Ad Hoc Studies and Analyses, and Other Periodic Reports/Statements	Retain for 6 years, then destroy.
III.30	Office of the Comptroller Work Papers for Indirect Cost Study and Rate Proposal, Ad Hoc Studies and Analyses, and Other Periodic Reports/Materials	Retain for 6 years, then destroy.
III.33	Books of Final Entry - ledgers.	Retain in the Office of the Comptroller for 10 years, then send to University Archives for permanent retention.
III.34	Batch Control Daily Reports and Overhead Program	Retain until month end has been successfully completed, then destroy.
III.35	Batch Sheets and Reports - exception summary sheets, update summary sheets, pension reports, travel batches, ISTORE and VSTORE reports, check cancellation batches, overpayment batches, and medical insurance subsidy report and batches.	Retain for 4 years or until audit requirements are met, whichever is later, then destroy.

Section	Description	Retention Guidelines
III.36	Financial Records System Documents - account create requests and abandoned property information.	Retain for 25 years or until implementation of new accounting system, then destroy. Retain abandoned property records for 25 years after recovery of funds or attempt to recover has been denied, then destroy.
III.37	Office of the Comptroller Interface Reports - daily reports supporting interface of the Financial Records System (FRS) to the State's Accounting and Reporting System (STARS) or the Relational State's Accounting and Reporting System (RSTARS).	Retain subsets of reversals, transmittals, and RSTARS reports for 4 years or until audit requirements are met, whichever is later, then destroy. Screen other material annually and destroy that material with no further value.
III.38	Office of the Comptroller Interagency Reports - original RSTARS transaction register, Interagency batches and supporting invoices, transaction reconciliation worksheet files, and summary printouts of annual Interagency activity.	Retain for 4 years or until audit requirements are met, whichever is later, then destroy.
III.39	Office of the Comptroller Reconciliation Material - supporting documentation for the Financial Records System (FRS) - Relational State's Accounting and Reporting System (RSTARS) revenue, and expense and cash reconciliation on a monthly basis.	Retain for 4 years or until audit requirements are met, whichever is later, then destroy.
III.40	Tax Submissions – employee relocation, tuition remission, and athletic ticket forms.	Retain for 10 years and until audit requirements are met, then destroy.
III.41	Stop Payments, Check Cancellations, and Refunds – documentation for stop payments, check cancellations, and refunds.	Screen annually and destroy material for which no further reference is required. Office of Record is the Central Payroll Bureau.
IV. Information Technology		
IV. 1	On-campus Security Logs - These are logs related to access control and alarm monitoring.	Retain for 2 years, then destroy. Office of Record is DoIT.

Section	Description	Retention Guidelines
IV. 2	Telecommunications Landline Call Detail Records	For State/University accounts, retain for 4 years and until audit requirements are met, then destroy. For federal and other sponsored accounts, the Office of Sponsored Programs and the department of record for the activity will retain the records according to the granting organization's requirements. Office of Record is DoIT
IV. 3	File Backup Copies - Backup copies of files on DoIT Servers	Retain for 28 Days, then over. Office of Record is DoIT.
IV.4	Third-Party Telecommunications Billing Magnetic Tapes	Destroy after bill has been run.
IV.5	Networking and Telecommunications Orders and Bills - requests to install, move, or disconnect data and telecommunications equipment/service; statements of data and telecommunications charges; and documentation of reimbursement made by employees for personal long distance calls	For State/University accounts, retain for 4 years and until audit requirements are met, then destroy. For federal and other sponsored accounts, retain for 5 years after the close of the contract or for 10 years after the date of record creation (whichever is less), then destroy.
IV.6	Telecommunications System Accounting Records - computer tape of AT&T network bill, telephone system chargeback summary, end-of-month telephone bill summary, centrex equipment report, telephone bill adjustments, vendor telephone bills, telecommunications pricing sheets billed to Units, and contract items.	For State/University accounts, retain for 4 years or until audit requirements are met, whichever is later, then destroy. For federal and other sponsored accounts, retain for 5 years after the close of the contract or for 10 years after the date of record creation (whichever is less), then destroy. Destroy paper records for end-of-month telephone bill summary after microfiche or digital records are verified.
IV.7	Tape of Student Telephone Bills and Student Account Adjustments	Retain for 4 years or until audit requirements are met, whichever is later, then destroy.

Section	Description	Retention Guidelines
IV.8	Software Documentation - software documentation for operating systems used in information management including machine specifications, production reports, operating instructions, training materials, reference materials, contracts, and supporting correspondence.	Retain while subject equipment is in use, then destroy.
IV.9	Tape Backup Records - list of files copied onto backup tapes.	Retain until tape is reused, then destroy. Retain for 6 months, then destroy.
IV.10	Information Technology Shift Log - summary of system problems reported that may continue over more than one operator's shift.	Retain for 6 months, then destroy.
IV.11	Information Technology Problem Reports – records of open and closed problems with information technology systems.	Retain for 2 years, then destroy. Retain for 6 months, then destroy.
IV.12	Information Technology System Operator Logs - record of system operators' daily activities including routine operational tasks, system problems, and any non-routine occurrences.	Retain for 1 year, then destroy
IV.13	Information Technology System Downtime Log - record of downtime for system, including notation of time system went down, time operations resumed, and reason for downtime.	Retain for 1 year, then destroy.
IV.14	FCC License Applications	Retain for 25 years, then destroy.
IV.15	Telecommunications Trouble Tickets - requests for telecommunications repair service.	Retain for 3 years or until audit requirements are met, whichever is later, then destroy. Office of Record is the Office of Information Technology.

Section	Description	Retention Guidelines
IV.16	Calling Card Orders - requests for calling cards.	Retain for 4 years after card becomes inactive or until audit requirements are met, whichever is later, then destroy. Office of Record is the Office of Information Technology.
V. Student Affairs		
V.1	Student Housing Files - material related to students living in Residence Halls, including contracts and alpha rosters.	Retain alpha rosters for 25 years, then destroy. Retain other material for 3 years, then destroy. Can be sent to University Archives at time of creation.
V.2	Career Center Credential Files - files established by graduating students to support applications for employment or graduate school. Includes personal background data, employment history, scholastic preparation and qualifications, extracurricular interests, and recommendations by faculty members and employers.	Retain in Career Center for 5 years, then forward to State Records Center for an additional 30 years, and then destroy. Can be sent to University Archives at time of creation.
V.3	Health Professions Credential Files - credential files for Pre- Med and Allied Health students.	Retain for 5 years after student graduates, then destroy.
V.4	Student Activities Files - records that document student activities including officers, meetings, and programs.	Unit to retain for 5 years, then send to University Archives for permanent retention. Can be sent to University Archives at time of creation.
V.5	Federal Work Study Files - records that document student acceptance to the program, student evaluations, funding, and position descriptions.	Retain for 7 years after student graduates, then destroy.
VI. Facilities Management		
VI.1	Key Requests	See VI.33
VI.2	Key Issue Forms	See VI.33
VI.3	Key Creation and Issuance Records	See VI.33
VI.4	Key Pick-up Sheet - signed record indicating receipt of keys from the FM Work Control Office.	See VI.33
VI.5	Key Sign-out Sheets - records of temporary usage of keys.	Retain for the calendar year then destroy

Section	Description	Retention Guidelines
VI.6	Vehicle Sign-out Sheets - sign-out sheets recording use of vehicles, including the name of the individual using the vehicle and the dates/times the vehicle was taken out and returned.	Retain for 1 year, then destroy.
VI.7	Vehicle Records - acquisition records; vehicle mileage reports; inspection, maintenance, and repair reports; titles; and accident reports, investigations, and claims.	Units to destroy vehicle records upon disposal of vehicle. Department of Environmental Safety & Health (Office of Record) to retain accident reports, investigations, and claims for 3 years after accident or until audit requirements are met, whichever is later, then destroy. Facilities Management (Office of Record) to retain vehicle title until vehicle is disposed of, then transfer title. UMBC to retain copy of vehicle title for 3 years after vehicle disposal for vehicles purchased with State/University funds and for 10 years after disposal for vehicles purchased with federal and other sponsored funds, then destroy.
VI.8	Equipment Maintenance - records of chargeable and non-chargeable service calls for equipment maintenance and repair.	See VI.33
VI.9	Faculty and Staff Parking Registration Material - applications by faculty and staff members requesting a parking permit.	Retain for 4 years or until audit requirements are met, whichever is later, then destroy. Office of Record is the Office of Parking Services.
VI.10	Student Parking Registration Material - requests by students for a parking permit.	Office of Parking Services to retain for 5 years and until audit requirements are met, then destroy.

Section	Description	Retention Guidelines
VI.11	Temp Medical Parking Permit Requests - applications requesting a temporary parking assignment permit with the approval of UMBC University Health Services .	Office of Parking Services to retain for 1 year, then destroy.
VI.12	Special Projects Parking Permit Requests - applications requesting the registration of visitors, service/technician representatives, faculty, staff, alumni, emeritus faculty, construction workers, etc.	Office of Parking Services to retain for 3 years and until audit requirements are met, then destroy.
VI.13	Parking Registration Exception Requests - requests by students ineligible to register for parking for an exception to the policy.	Office of Parking Services to retain for 1 year, then destroy.
VI.14	Vehicle Information Record - completed vehicle information record, backup material, and registered owner detail.	Office of Parking Services to retain for 5 years and until audit requirements are met, then destroy.
VI.15	Monthly Parking Agreement - agreement signed by customers to arrange for monthly parking.	Office of Parking Services to retain for 4 years or until audit requirements are met, whichever is later, then destroy.
VI.16	Carpool Program Applications - requests to obtain a carpool permit, which allows parking in closer lots.	Office of Parking Services to retain for 1 year, then destroy.
VI.17	Record of Impoundment - record of towing and release of vehicles.	Office of Parking Services to retain for 5 years and until audit requirements are met, then destroy.
VI.18	Parking Violation Notices - original, paid, and voided parking tickets.	Office of Parking Services to retain for 10 years and until audit requirements are met, then destroy.
VI.19	Ticket Appeals - parking ticket review material, including incoming correspondence pertaining to high-fine violations and archival printouts reflecting adjudicated tickets.	Destroy correspondence relating to voided tickets and general violations (low-fine) after resolution. Office of Parking Services to retain other material for 4 years and until audit requirements are met, then destroy.

Section	Description	Retention Guidelines
VI.20	Ticket Abatement - list of uncollected parking tickets that are 3years old or older.	Office of Parking Services to retain for 4 years or until audit requirements are met, whichever is later, then destroy.
VI.21	Archival Summaries of Parking Records - summaries of Parking Violation Notices; tickets and subsequent resolution; relevant information stemming from applications for parking permits; Office of Parking Services address file of people not in the University System of Maryland; and statistical reports of information collected.	Office of Parking Services to retain for 5 years and until audit requirements are met, then destroy.
VI.22	Hazardous Material and Environmental Safety Files - reports and other pertinent material related to asbestos, laboratory safety (including laboratory training, files, inventory records, laboratory survey records, radiation user authorization, etc.), biohazard safety, lead safety, assurance of hazardous procedures, incidence reports, permits, hazardous waste, radioactive waste, industrial hygiene, PCB transformer information, facility permits, civil defense material, and other related material.	Retain permanently in secure, fireproof location.
VI.23	Energy Reports	Retain for 25 years, then destroy.

Section	Description	Retention Guidelines
VI.24	<p>Facilities Management Funding Documentation - copies of Board of Public Works letters to Department of General Services and approval of funds transfers, copies of selected Requests for Services general back-up authorization information that does not become part of Financial files, copies of State funding and University System of Maryland Bond history, University System of Maryland-funded construction program “Project and Account Initiation Agreement” documents, Board of Regents approvals, and Maryland Legislative submissions and approvals.</p>	<p>Retain for 5 years from the date that the project is completed, then destroy.</p>
VI.25	<p>Facilities Management Project Management Unit’s Project Files:</p> <p>A. Requests for Estimates – individual files identified by work request (D-Log) numbers, campus, department, and building number. Includes change requests, schedules, diagrams, drawings, financial data, etc.</p> <p>B. Requests for Services – individual files identified by work request (D-Log) numbers, campus, department, and building number. Includes change requests, schedules, diagrams, drawings, financial data, correspondence, etc.</p>	<p>Retain in Facilities Management for 5 years after project completion or after placed in an inactive status, then send to the State Records Center for an additional 10 years, then destroy.</p>

Section	Description	Retention Guidelines
VI.26	Facilities Management Design Files - design program, architect/engineer selection and design contract award, design meeting minutes, drawing and specification reviews, correspondence, approval of construction documents, advertisement of project, receipt of bid proposals, and recommendation of construction award.	Screen upon completion of project and destroy that material for which no further reference is required, e.g., duplicates, progress prints, personal notes, etc. Remaining material having continuing value to be microfilmed one year after building occupancy. Retain specifications and 100% contract drawings in paper form for 5 years after building occupancy, then destroy. Destroy remaining material after it has been microfilmed.
VI.27	Facilities Management Programming and Design Unit's Building Project Files - construction contracts, work initiation meeting minutes, construction change orders, design files, invoices, progress photos, final building punchout records, building completion and acceptance, and contractor evaluations.	Retain files for 2 years after building completion, then destroy.
VI.28	Campus Maps - building names and numbers, topological surveys, site borings, steam lines, water lines, gas lines, electric service lines, telephone/video service lines, sanitary sewer lines, storm sewer lines, and central control and monitoring service.	Retain permanently in University Archives. Retain digitized maps in department.
VI.29	As-Built Drawings - as-built drawings for the University of Maryland, College Park; University of Maryland, Baltimore County; Bowie State University; Salisbury University; University of Maryland Center for Environmental Science Horn Point Laboratory; University of Maryland Eastern Shore; and Frostburg State University.	Retain permanently in University Archives. Retain digitized maps in department.

Section	Description	Retention Guidelines
VI.30	<p>Construction Documents - contract information, bid proposals, pre-bid documents, minutes, building permits, as-built files, shop drawings, requests for information, change orders/proposals, design files, construction change bulletins and schedules, progress photos, inspection reports, field/non- compliance reports, certified payrolls, payment invoices, outage notices, project orders, submittal proposals, testing/inspection reports, quality assurance/quality control, guarantees/warranties, building acceptance documents, final punch lists, contractors' evaluations, and equipment manuals.</p>	<p>Screen upon building completion and destroy that material for which no further reference is required, e.g., duplicates, progress prints, personal notes, etc. Retain historically significant drawings and specifications permanently in paper and microfilm at University Archives. Retain manuals for the life of the equipment, then destroy. Remaining material with non-historical value to be retained for 15 years, then destroyed. Remaining material with historical value to be microfilmed for permanent retention in University Archives.</p>
VI.31	<p>Campus and Project Photography - photographic documentation of the general UMBC campus (aerial, districts, landscapes, buildings, architectural features) and projects (landscape and site development, buildings and structures including new and renovations/additions).</p>	<p>Retain in Facilities Management until inactive, then transfer to University Archives.</p>
VI.32	<p>Tape Backup of Facilities Management Local Area Network Servers - files include project data, word processing documents, spreadsheets, and Computer-Aided Design and Drafting (CADD) material.</p>	<p>Retain backup tapes for 10 years, then destroy.</p>
VI.33	<p>Work Orders and Requests for Facilities Management Services</p>	<p>Retain for 3 years or until audit requirements are met, whichever is later, then destroy. Recorded electronically in AiM database.</p>

Section	Description	Retention Guidelines
VI.34	Department of Facilities Planning Building Project Files - building files, capital programs files, facilities planning files, working group files, land files, lease files, site files, safety files, utility files, small-scale drawings, Teaching Facilities Committee files, University System of Maryland construction program material, building inventory lists and reports, environmental issues files, and capital improvement files.	Retain in the Department of Facilities Management for 25 years after completion of project, then transfer materials with historical value to University Archives. Destroy remaining materials.
VI.35	Facilities Management Operating Account and Planning & Construction Project Files - funding documentation, contract files, invoices, certified payroll for contractors, project correspondence, requests for reimbursement from bond and general construction loan funds, and cost cards.	Retain operating account records for 10 years and until audit requirements are met, then destroy. Retain planning & construction project files for 5 years from the date the project is completed, then destroy.
VI.36	Motor Transportation Services Vehicle Reservation and Rental Material	NA
VII. Library		
VII.1	Gifts to the Libraries Material - correspondence, gift agreements, collection inventories, processing notes, publicity materials, and working papers documenting gifts of library materials to the Library.	Retain permanently in Library.
VII.2	Interlibrary Loan Borrowing Requests - requests generated by UMBC patrons to borrow books and other materials from off-campus sources.	Retain for 4 years or until audit requirements are met, whichever is later, then destroy.
VII.3	Filled Interlibrary Loan Requests - requests by non-UMBC patrons to borrow books and other materials owned by the Library.	Retain for 4 years or until audit requirements are met, whichever is later, then destroy.
VII.4	Backup Logs for the University of Maryland Libraries - records listing dates of backups of the Libraries' databases and indicating which tapes were used.	Retain until tapes are reused, then destroy.

Section	Description	Retention Guidelines
VII.5	Library Transaction Logs - records of interactions of patrons and library materials, including financial transactions and borrowing and returning of items.	Retain for 4 years or until audit requirements are met, whichever is later, then destroy.
VII.6	Library Patron Information - names and contact information of patrons.	Retain in paper for 6 months, then destroy. Retain in electronic form on a perpetual basis, destroy as borrower becomes inactive.
VII.7	Library Patron Notices - copies of recall, availability, and overdue notices sent to patrons.	Retain for 4 years or until audit requirements are met, whichever is later, then destroy.
VII.8	Library Collection Information Reports - reports listing temporary conversion records (TCR) created and books identified as missing.	Retain TCR reports until online record appears, then destroy. Retain missing book reports for 1 year, then destroy.
VII.9	Library Manual Charge Slips for Reserves - records of items on reserve charged out manually to patrons.	Retain for 1 month, then destroy.
VII.10	Library Faculty Lists for Reserves - lists of materials that faculty members have requested be held on reserve.	Retain for 2 years, then destroy.
VII.11	Library Statistics - circulation statistics, reserves processing, holds, recalls, temporary conversions, tracers, and claims returned; includes transaction log and snapshots.	Retain for 1 year, then destroy.
VII.12	Library Traffic Reports - records of hourly turnstile exit counts.	Retain for current year and previous year, then destroy.
VII.13	Library Preservation Treatment Files - records of routine preservation treatments performed on library materials, such as rebinding, reformatting, and enclosing.	Retain for 1 year, then destroy.
VII.14	Library Special Collections Guest Registers - sign-in sheets recording names, addresses, and status of individuals who have used materials serviced in the Special Collections Reading Room.	Retain for 7 years, then destroy.

Section	Description	Retention Guidelines
VII.15	Library Special Collections Call Slips - copies of call slips used by patrons to request materials held by the Library Special Collections Department	Department retain for 10 years after inactive, then destroy.
VII.16	Library Use and Agreement Forms for Special Collections - forms signed by researchers indicating that they have read and agree to abide by the rules established for the use of primary source/original materials; includes user's name, address, and identification information.	Retain permanently in paper form.
VII.17	Library Collection and Retrieval Requests for Special Collections - records of manuscripts materials, photographs, and memorabilia that have been requested for use by patrons.	Retain permanently in paper form. Transfer annually from unit to University Archives.
VIII. Athletics		
VIII.1	NCAA Compliance Material - required documentation for the recruiting, eligibility, financial aid, etc. for student-athletes as required by the NCAA.	Retain for 5 years and until audit requirements are met, then destroy.
VIII.2	Department of Athletics Photographs - photographs of teams, coaches, players, fields, and game action.	Department of Athletics to retain for 25 years, then send to University Archives for permanent retention.
VIII.3	Department of Athletics Recordings - recordings of games, interviews, team history, instructional material, press conferences, endorsements, and documentaries.	Department of Athletics to retain for 25 years, then send to University Archives for permanent retention.
VIII.4	Department of Intercollegiate Athletics Recordings of Games of Upcoming Opponents and Recruitment-Related Recordings	Department of Athletics to retain recordings with historical value for 25 years, then send to University Archives for permanent retention. Other recording media to be reused as needed, then destroyed.

Section	Description	Retention Guidelines
VIII.5	Retriever Athletic Center Membership Forms - applications for membership in the Retriever Athletic Center including payment information and membership release and informed consent document.	Retain for 4 years or until audit requirements are met, whichever is later, then destroy. Office of Record is the Department of Athletics.
VIII.6	Retriever Athletic Center Guest Pass Forms - requests for guest pass including guest release and informed consent document.	Retain for 4 years or until audit requirements are met, whichever is later, then destroy. Office of Record is the Department of Athletics.
VIII.7	Retriever Athletic Center Membership Service Forms - requests for additional services and/or programs by Retriever Athletic Center members; includes payment information.	Retain for 4 years or until audit requirements are met, whichever is later, then destroy. Office of Record is the Department of Athletics.
VIII.8	Retriever Athletic Center Cancellation/Refund Forms - requests for cancellations, refunds, and/or course transfers by Retriever Athletic Center members.	Retain for 4 years or until audit requirements are met, whichever is later, then destroy. Office of Record is the Department of Athletics.
VIII.9	Retriever Athletic Center Parental Release and Informed Consent Forms	Retain for 4 years or until audit requirements are met, whichever is later, then destroy. Office of Record is the Department of Athletics.
VIII.10	Retriever Athletic Center Sport Club Release and Informed Consent Forms	Retain for 4 years or until audit requirements are met, whichever is later, then destroy. Office of Record is the Department of Athletics.
IX. Research		
IX.1	Technology Development Files - Patents, and patent application documents, invention disclosures, material transfer agreements, confidential disclosure agreements, memoranda of understanding related to or referencing licensing and intellectual property, and documents related to licensing and marketing of technology	Retain Permanently. Office of record is UMBC's Office of Technology Development. Both Electronic and hard copies

Section	Description	Retention Guidelines
IX.2	Other OVPR Agreements - Data Use Agreements, Space Use Agreements, Equipment Use Agreements	Retain for period outlined in Agreement. The Office of the VP for Research is the Office of Record for the Agreements. Although the units may have some responsibility to maintain records defined in the agreements.
IX.3	Research Compliance files - IRB, IBC, IACUC, COI, EC, ORI, Training Records	The Office of Record is the Office of Research Protections and Compliance.
IX.4	ESH covered in VI.22	
IX.5	Human Subjects	Retain any actions and activities of the IRB for 5 years after completion of research, then destroy by shredding of documents/deleting of electronic files. IRB minutes retained for 5 years, then destroy by shredding of documents/deleting of electronic files.
IX.6	Human Subject Files - records detailing work done by students and faculty on human subjects, review of research, and permission given by Institutional Review Board.	Retain for 5 years after completion of research, then destroy by shredding of documents/deleting of electronic files.
IX.7	Animal Care and Use	Retain any actions and activities of the IACUC for 4 years after completion of research, then destroy by shredding of documents/deleting of electronic files. IACUC minutes retained for 4 years or until audit requirements are met, whichever is later, then destroy by shredding of documents/deleting of electronic files.
IX.8	Biosafety	Retain any actions and activities of the IBC for 4 years after completion of research or until audit requirements are met, whichever is later, then destroy by shredding of documents/deleting of electronic files. IBC minutes retained for 3 years, then destroy by shredding of documents/deleting of electronic files.

Section	Description	Retention Guidelines
IX.9	COI (Conflict of Interest)	Retain any actions and activities of the ORPC regarding FCOI review and management for up to 5 years as required by the grant or contractual agreement OR at least 5 years beyond the date of submission of the award's final expenditure report, OR until the resolution of any actions by PHS involving the records, whichever is longer, then destroy by shredding of documents/deleting of electronic files.
IX.10	Export Control	Retain any actions and activities of the ORPC regarding export control review for 5 years from the date of the export, then destroy by shredding of documents/deleting of electronic files.
IX.11	Training Records	CITI and Webnet training records retained on the respective program's websites.