

**RETENTION/ARCHIVAL POLICY
UNIVERSITY OF MARYLAND BALTIMORE**

POLICY STATEMENT

The University of Maryland and the State of Maryland require that different types of records be retained for specific periods of time, and has designated official repositories for their maintenance. The records must be managed according to procedures that are contained in another document.

REASON FOR POLICY

The University is committed to effective record retention to preserve its history, meet legal standards, optimize the use of space and computer storage, optimize the cost of record retention, and ensure that outdated and useless records are destroyed.

POLICY DEVELOPMENT PROCESS

CITS has researched relevant State document retention laws and sample archiving-retention policies from the University of Iowa, University of Massachusetts, and Cornell University. CITS has also consulted with EDUCAUSE to determine best practices where they exist. What follows is a general listing of documents maintained by UMB departments and State of Maryland retention requirements. If no requirements were found, an average retention length was derived from the policies of the three schools listed above.

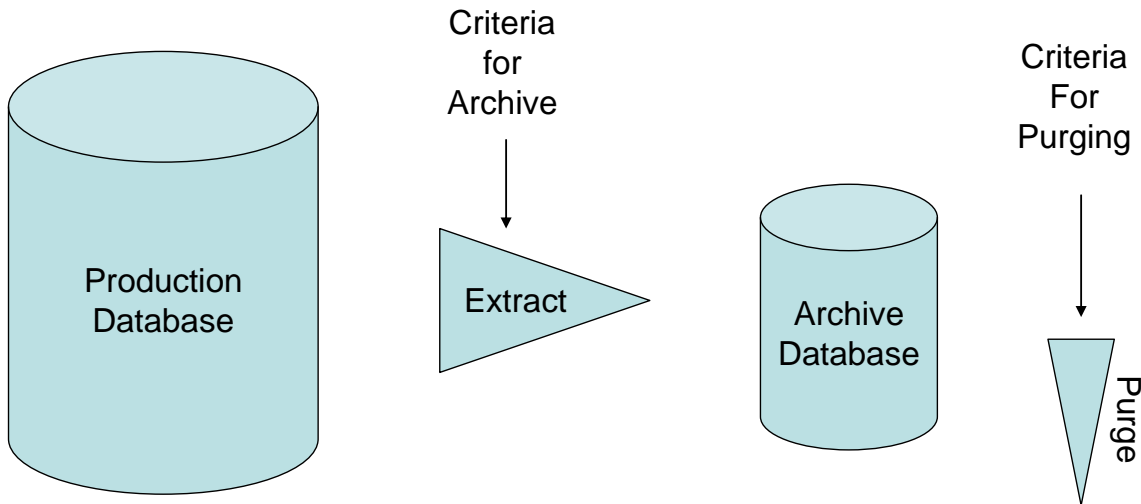
There is also a diagram which suggests a standard for architecture to support archiving and purging of these documents. The diagram suggests that an archival repository would be created to house archived data for all enterprise systems. Programs would be written to analyze the production databases to determine which items could be moved to the archive database, based on archival strategies agreed upon by the data stewards in departments responsible for the data. These programs would export archived data to the archival database, which would be maintained with appropriate database, OS, and application upgrades. This should improve production performance as record size will be reduced. Automated processes will periodically analyze the archival database to determine which data no longer need to be retained according to the retention/archival policy agreed upon between CITS and Data Stewards. This data will be purged from the archival database.

The proposed process for developing a UMB Retention/Archival Policy would be to share the attached documents with all designated data stewards. Each document would

be further researched to determine if campus or superseding regulations apply. The data stewards would sign-off on a specific policy for the documents under their control. The aggregate policies would form the UMB Retention/Archival Policy. CITS would then begin the work of creating the archival databases and programming routines.

Implementation of this policy will reduce the growth of required storage for enterprise systems while improving the performance of the systems for end users. As CITS considers the technology tools to enact this policy along with an enterprise reporting strategy we will investigate the creation of data marts eventually rolled into a data warehouse that could best serve the functional needs of our campus users. This may eliminate the need for importing data back into production systems and serve a dual role of improving reporting and enhancing document management.

MODEL FOR ARCHIVING DATA



RETENTION RULES, BUSINESS PROCESS DECISIONS, & OPTIONS

Accounting Records

General Accounting Records

CoD, Bank Deposit slips:	Retain for 3 yrs/audited, then destroy
Distribution of Charges	
Memorandum of Adjustments	
Monthly Report: State Funds	

Special Accounting Reports

LA Audit Reports	Retain for 10 years, then destroy
Non-LA Audits	Permanent
Books of Final Entry/GL	Permanent

Budget and Fiscal Planning Records

Budget Estimates, Bud. Sched.	Three years, until audited, destroy
Amendment, Materials & Supplies	
Physical Inventory, Report of	
Fixed Assets, Report of Materials	
And Supplies, Request for Position	
Action	

Payroll Accounting Records

Employee Roster, Payroll & Check	Three years, until audited, destroy
Register, Payroll Exceptions Time,	
Payroll Transmittals, Payroll Warrants	

Misc. Accounting Records

Bank Books, Statements, Deposit Receipts,	Three years until audited, destroy
Budget papers & work sheets, Cancelled	
Checks, Delivery Orders & Receipts, Gas	
Withdrawal & Mileage Reports, Memo	
Receipts & Condemnation Reports, Paid	

Bills and Invoices, Paid Bonds & Coupons,
Periodic Fin. Reports to State Agencies,
Receipt Copies & Stubs, Receiving Reports,
Reconciliation & Trial Balance, Renewable
Licenses, Requisitions & POs, Stock Record
Cards, Time Sheet, Withholding Tax Forms &
Statements (local, state, and Federal)

Purchasing Records

Actual Emergency & Repairs Report,
Copy of Contract Awarded, Credit
Memorandum, Notice of Award of
Contract, Out-of-schedule Requisition
For Supplies, Purchase Order, Report of
Partial Delivery, Requisition for Supplies
Vendor List
Correspondence

Retain 5 years, audit, then destroy

Retain until Superseded, then destroy
3 yr, then screen for business need

Business Process Decisions

Options

Personnel Folders

Application, Appointment Letter, Correspondence
Relating to New Appointment, Personnel Payroll
Form, Personnel Position Action Request,
Personnel Recruitment Screening Report,
Personnel Transaction Form, Retirement Form,
Change of Address Forms, Clearance File,
Charges for Removal, Commendations,
Contractual Employment documents,
Counseling Sessions, Disciplinary Actions,
Efficiency Ratings, EOE Statistical Reports,
General Correspondence, Grievance Actions,
Health Insurance Benefits Forms, Leave
Forms, Orientation Program, Position History,
Probation, Promotions, Resumes, Suggestion
File, Summer Employment, Suspension
Actions, Training, Letter of Resignation,
Retirement, Transfer, Dismissal
I-9 Forms (faculty, staff, students)

Retain for 3 years after termination
of employment, then destroy

I.D. Number (EMPL ID)

Permanent

History Data

Name, Address, Social Security Number, Race, Sex, Birthdate, Increment Date, Start Date, Classification, Effective Date Of Classification, Employment Status, Salary, Position ID Number for Employee

Retain for 3 years after termination of employment, then destroy

Other Personnel Records

Worker's Compensation 1st Report of Injuries
Part-time Quarterly reports, Annual Reports,
Agency/Dept. Personnel Budget Reports

Retain for 5 yrs, then destroy

Student & Financial Aid Records (example from Cornell University)

Academic Actions (dismissal, etc.)

5 yrs from graduation or date of last attendance.

Academic integrity code violation:
(and related case files)

Permanent

Academic records (including narrative
Evaluations, competency assess., etc.)

Permanent

Change of Course documentation (Cont. Ed.,
Summer, Extramural Studies)

5 yrs from date of enrollment

Change of Grade documentation

Permanent

Change to Student ID Number

Permanent

Class Lists (original)

Permanent

Consent to Release Personally Identifiable

Information (or non-disclosure requests)

Kept until next academic year

Course Offerings

Permanent

Curriculum Change Authorizations

5 yrs. From graduation or date of
Last attendance

Disciplinary Records (findings of violation
And related case files)

Permanent where penalty imposed is
probation, suspension, or expulsion)

Enrollment Verifications

1 year from enrollment date

Financial Aid Records (for applicants who
Do not enroll)

3 yrs. From date of graduation

Financial Aid Records (applicants who
Enroll)

5 years from graduation date

Grade Sheets

Permanent

Graduation Lists

Permanent

Hold or encumbrance authorization

Until Released

Name Changes

Permanent

Original Grade Sheets

Permanent

Student Class Schedules

1 Year from graduation or date of
Last attendance

Student Registration forms

1 year from registration

Term Reports

5-7 years. depending on School

Transcripts	Permanent
Transcript Requests	1 year from submission date
Transfer Credit Evaluations	5 years from graduation
Veteran Administration Certifications	5 years from graduation or date of Last attendance
Withdrawal Authorizations/Leaves of Absence	2 years
Admissions documents for Applicants who do not enroll	2 years from date of start of application term
Advanced Placement Records	5 years from date of graduation or Date of last attendance
Letters of Recommendation	Until Date of Admission
Recruitment Materials	Until date of enrollment
Residency Certificates	Until date of enrollment
Residency Change Documents (non-Resident to Resident)	5 years from graduation or date of last attendance
Student Waivers for Right of Access	Until graduation or date of last Attendance
Transcripts (high school and other college)	5 years from graduation or date Of last attendance
International Student Forms (visa documentation, etc.)	5 years
Degree, grade, enrollment, racial/ethnic stats	Permanent
Schedule of Classes (institutional)	Permanent
State Reports	Permanent
Catalogs	Permanent
Commencement Programs	Permanent
Student Loan records	3 years after loan paid in full
Tuition and fee charges	6 years

Academic Personnel

Academic Search Records	AA/EEO rules
Annual Conflict of Interest Disclosure Statements	3 years
Grievances	No cause findings: 3 years from Determination; cause findings: Permanent
Personnel files, appointment letters, forms	Same as HR
Tenure or promotion dossiers	If approved, 3 years. If tenure Denied, 3 years from end of term Appointment
Trustee decisions regarding academic Personnel & designated Execs.	Permanent

Alumni Affairs and Development

Alumni Records	Permanent
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Gift Records	Permanent for electronic records
Gifts of Art	Permanent
Original Gift Letter Agreements (signed By President and donor)	Permanent
Original gift letter (all others)	Permanent
Planned gifts (trusts, life income, Agreements, annuities) real estate gifts	Permanent

Business Process Decisions

Options

Affirmative Action/Equal Opportunity

Academic search plans/statements	3 years
Academic search waivers	For permanent waivers, 3 years from Date of appointment; for limited- Term waivers, 3 years from satis- faction of subsequent search require- ments or appointment termination
Affirmative Action Programs	Permanent
Conciliation Agreements/Orders on Consent	Permanent
Documents supporting other academic or non- Academic selection decisions (e.g., Promotion, termination, compensation)	3 yrs after effective date of decision
Federal & State required statistics	Permanent
Non-academic search/hiring documentation	3 years from date of appointment
Sexual harassment complaints, investigations, And findings	No-Cause findings: 3 yrs. from determination, cause finding: Permanent

Business Process Decisions

Options

Construction

As-built drawings	Permanent
Contracts and agreements	6 years

Business Process Decisions

Options

Environmental Health & Safety

Evacuation drill records	5 years
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Fire protection systems records	5 years
Fume hood testing records	3 years
Hazardous waster disposal manifests/reports	3 years
Incident Records	5 years
Portable extinguisher training records	3 years
Radiation dose reports	Permanent
Radiation safety training records	3 years
Radioactive materials license & Safety Committee reports	Permanent
Radioactive material receiving/inventory records	3 years

Corporate Records

Accreditation Records	Permanent
Board of Regents Minutes	Permanent
Bylaws	Permanent
Charter	Permanent

Insurance

Certification of insurance, indemnification Agreements hold-harmless agreements, Contracts	6 years after expiration
Insurance Policies (liability, property, et al.)	Permanent
Incident reports, Accident reports	4 years after report date

Legal

Consent orders	Permanent
Court orders	Permanent
Judgments	Permanent
Releases	Permanent
Settlements	Permanent

Patent and Trademarks

Original executed invention disclosure forms	Permanent
Original executed United State Patent and Trademark Office assignment forms	Permanent
Original Letters, Patents	Permanent
U.S. patent/application correspondence papers	Permanent
U.S. patent/application filing papers	1 yr after issuance of abandonment
Foreign patent/application-related work papers	Permanent
Original registered Trademarks	Permanent
Trademark-related work papers	Permanent
Original executed licensing agreements	Permanent
Licensing agreement-related work papers	6 yr from expiration or termination Of agreement
Royalty Records	Life of technology/Patent or Trademark plus 6 years

Real Property

Documents for leases, licenses, construction Contracts, other temporary contracts <\$50K	6 years after expiration of leases or contract term
Property deeds, easements, licenses, rights of Way, leases, rights of first refusal, Remainder Interests, mortgages	Permanent
Title Insurance Policies	10 years after disposal of property

Public Safety

Accident Reports	4 years after report date
Crime Reports	4 years after report date
Property Damage Reports	4 years after report date

Sponsored Projects, Contracts, Grants

Animal welfare records	3 years or contract period
Grant and contract applications, proposals, And supporting documentation	6 years after close of grant (for federal grants/contracts)
Human Subject Records	3 years or contract period
Recombinant DNA research records	Permanent

SOURCES

Maryland State Department of Management and Budget

<http://www.msa.md.gov/msa/mdmanual/11dbm/html/dbm.html>

MD IT Security and Standards Document

http://www.dbm.maryland.gov/dbm_publishing/public_content/dbm_taxonomy/security/prevention/itsecuritypolicies.pdf

Maryland State Records Management Guidance

http://www.msa.md.gov/msa/intromsa/html/record_mgmt/homepage.html

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Cornell University Retention/Archival Policy

http://www.policy.cornell.edu/vol4_7.cfm

University of Iowa Records Management Policy

<http://www.uiowa.edu/~fusrmp/retention.html>

University of Massachusetts Record Management, Retention, and Disposition Policy

<http://media.umassp.edu/massedu/policy/RecordsManagementRetention.pdf>