

An Introduction to the UMBC Records Management Policy

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UMBC Policy on Records Management

Records Management website: <http://aok.lib.umbc.edu/specoll/RecMgmt/index.php>

Administrative background information:

Responsible Administrator: UMBC Archivist

Responsible Office: UMBC Library

Originally Issued: November 17, 2003

Revised: September 12, 2008

153.0 VI-6.10 - POLICY ON RECORDS MANAGEMENT issued by the Chancellor January 6, 1992.

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, Title 10, Sections 10-632 through 10- 633.
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. The Schedule must be updated every ten years and may be amended as necessary.
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). The Chancellor may require periodic Records Retention and Disposal reports in the format and according to the schedule provided by him.

Records management programs are used to ensure that

- vital records are maintained,
- sensitive records are appropriately destroyed,
- department actions are consistent across the institution,
- and the historical record of the institution is preserved. Building the historical record is of particular importance at UMBC as we begin preparations for the 50th anniversary in 2016 (just around the corner!).

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.

What
about
digital
files?

Records Management is the systematic and administrative control of records throughout their life cycle to ensure efficiency and economy in their creation, use, handling, control, maintenance, and disposition. (A Glossary of Archival and Records Terminology. Society of American Archivists, 2005)

Life cycle: Creation > Active records > Non-current records > Destruction or disposition

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.

Non-current records mean records no longer needed by their creator to conduct business or with no further administrative value. Also called **inactive records**. At UMBC non-current records are stored and maintained by the creator (department); the creator also destroys records if appropriate.

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 (including email), and reports of any administrative or advisory board of the university
2. Records of the chief executive including correspondence (including email), administrative subject files, and reports
3. Correspondence (including email), subject files, and reports of the chief academic affairs officer; i.e. the Provost
4. Correspondence (including email), subject files, and reports of the chief administrative officer, i.e. the Vice-President for Administration and Finance
5. Correspondence (including email), subject files, and reports of the office of the chief student affairs officer i.e. Vice President for Student Affairs
6. Correspondence (including email), 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

Email that is to be retained permanently in the archives should be printed out and sent to the archives in paper form.

Select the records that are present in YOUR office:
(From Section II. Transfer of Records to the University Archives.)

- Constitutions and by-laws, minutes, memoranda, correspondence (including email), and reports of any administrative or advisory board of the university
- Records of the chief executive including correspondence (including email), administrative subject files, and reports
- Correspondence (including email), subject files, and reports of the chief academic affairs officer; i.e. the Provost
- Correspondence (including email), subject files, and reports of the chief administrative officer, i.e. the Vice-President for Administration and Finance
- Correspondence (including email), subject files, and reports of the office of the chief student affairs officer i.e. Vice President for Student Affairs
- Correspondence (including email), 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.
- 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
- Accreditation reports and supporting documentation.
- One copy of the campus wide annual budget and audit reports from the Administration and Finance Department
- Academic departmental records, including minutes, reports, syllabi, and sample test questions
- Records of the registrar including timetables and class schedules, enrollment reports, graduation rosters, and other reports issued on a regular basis
- Alumni records including minutes of the alumni association
- Reports of the admissions office
- Reports of the office of institutional research
- Reports of the university institutional advancement office
- Records of student organizations
- 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
- Audiovisual materials documenting the development of the university such as still photographs and negatives, motion picture films, oral history interviews, and audio and videotapes
- Preservation copies of microfilm produced by any campus vital records program
- Maps and plot plans documenting campus physical growth and development
- Reports of research projects, including non-restricted grant records

Documents that you can send to the University Archives every semester:

1. Departmental meeting minutes
2. Departmental newsletter
3. Annual report
4. Class syllabi
5. Department or faculty produced publications and/or reports
6. Materials relating to department sponsored student groups (Council of Majors)
7. Promotional materials for events (posters, announcements, press releases)
8. Photographs from department events (please include description event and identifying information about the people included in the images)

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 preserved by the University Archivist

The **Office of Record** is the department that is responsible for the maintenance and retention of a document. This could be the department that created the document (application materials in an academic department) or it might be a department that collects versions of a document from across the campus (the Registrar for student transcripts).

Please contact the University Archivist to discuss donating **non-documentary objects** as discussed above. These objects can have great importance depending on the topic, group, event, or department documented; for example, student group non-documentary objects have a lot of value because we have little documentation about student groups and they may not have significant traditional records available.

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.

The **Office of Record** is the department that is responsible for the maintenance and retention of a document. This could be the department that created the document (application materials in an academic department) or it might be a department that collects versions of a document from across the campus (the Registrar for student transcripts).

A **Retention Schedule or Period** refers to the length of time a record should be maintained by the department, either from the time that it is created or the time that it becomes non-current. When the retention period has expired then you should either send the records to the University Archives or **destroy** the records. Please use proper destruction methods such as shredding for sensitive documents.

“Retain for X years after the current year and/or until audit requirements are met, then destroy.” Do not destroy records when your department is participating in an active audit; wait until the audit has been completed, then destroy.

University Archives submissions

Please note that all submissions to the University Archives must adhere to Section II of this policy in addition to the record format types listed below.

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.

General files should only be transferred if they adhere to Section II.1-6.

These files vary greatly between departments – contact the University Archivist if you are unsure if files have historical value.

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 University Archives at time of publication. In addition the department should retain a copy of each as long as needed, then destroy.
5. **Employee Resumes**
Retention: Send copy to University Archive when received.

Financial records

6. **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.
7. **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.
8. **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.

Office of Record example

The Office of Record for purchasing records is Procurement. This means that the records they maintain in Procurement are all that need to be maintained as a record after 3 years – even though your department may have more complete or descriptive records of what was purchased.

9. **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.
10. **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.

11. **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.

Student and academic records

12. **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.

13. **Course Final Exams:** copy of course final exams with correct answers included.

Retention: Retain as long as needed by the academic department, then destroy.

14. **Graded Final Examinations of Undergraduate and Graduate Students**

Retention: Professors to retain as long as needed, then destroy.

15. **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

16. **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.

17. **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.

18. **Comprehensive Examinations**

Retention: Retain for 20 years, then destroy.

19. **Textbook Orders** includes the list of textbooks ordered by faculty members for departmental courses.
Retention: Retain for 1 year, then destroy.

Personnel records

20. **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.
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.]

Off-site storage locations:

Special Collections does not accept any records that are not available for use by researchers or that have a retention period that recommends destruction after a set amount of time. If your department is lacking storage space you will need to locate additional space either through the campus or by contracting with an outside company. The companies listed below offer environmentally controlled storage areas and have been used by other area archival institutions:

Iron Mountain
www.ironmountain.com
800-899-IRON

Highly
recommended,
secure storage
facility in
Pennsylvania

Paxton Record Retention
www.paxton.com
Springfield, VA
(800) 336-4536

Office Archives
http://www.officearchives.com/
800-807-3431

BONSAI FINE ARTS INC.
info@bonsai-finearts.com
410-768-ARTS (2787)
Glen Burnie, MD

Security Storage
http://www.sscw.com/
Maryland and DC
800.736.6825

ARTEX Fine Art Services
www.artexfas.com/services/storage.html
Washington, DC
1-800-OK-ARTEX

Shredding companies:

Shredding documents is the appropriate way to destroy files. Special Collections has an office sized shredder available for use if needed. There are area companies that can accommodate large shredding loads; please note that these companies are suggestions only and have not been used by or recommended to Special Collections. **Always request a confidential shredding option.**

Athelas National Recovery Institute
Columbia, MD 21045
PHONE: (410) 964-1241

Incred-A-Shred
Lutherville, MD 21093
PHONE: (888) 467-4744
CONTACT: jeff@incred-a-shred.com

Document Management Solutions
Frederick, MD 21704
PHONE: (301) 846-0707
CONTACT: jeng@managingmydocs.com

Proshred Security
Baltimore, MD 21227
PHONE: (410) 242-9224

First Secure Shred, Inc.
Frederick, MD 21702
PHONE: (888) 620-1404

Shred-it
Elkridge, MD 21075
PHONE: (410)796-1500
CONTACT: http://www.shredit.com/

Used by
UMBC

Source: MDRecycles.com, Recycling Directory : <http://www.mdrecycles.org/>

University Archives Collecting Policy (Library Guideline 521)

<http://aok.lib.umbc.edu/specoll/RecMgmt/index.php>

In accordance with the UMBC Policy on Records Management, the University Archives is the designated repository for records of enduring value made or received officially by UMBC and for other materials of historical value related to the function and history of UMBC (hereinafter "the University"). The University Archives is administered by the Special Collections department in the Albin O. Kuhn Library & Gallery. If and when records or other items are no longer needed for ordinary conduct of business by the office of origin or its successor(s), the responsible administrator(s) should notify the University Archives to make arrangements for transfer of permanently valuable materials to the Archives; records that have not been designated as permanently valuable should be destroyed according to the schedule as outlined in the Policy on Records Management.

The following types of materials have permanent historical value and are collected by the University Archives:

- Constitutions and by-laws, minutes, memoranda, correspondence (including email), and reports of any administrative or advisory board of the university
- Correspondence (including email), subject files, and reports from office of the President, Provost, Vice-President for Administration and Finance, Vice President for Student Affairs, and the chief officer of all University units designated to operate with a high degree of independence such as, the Deans of the Graduate School, the College of Arts, Humanities and Social Sciences, the College of Natural and Mathematical Sciences, the College of Engineering and Information Technology; the Honors College, the Library, and major research institutes
- 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
- Accreditation reports and supporting documentation
- One copy of the campus wide annual budget and audit reports
- Reports of research projects, including non-restricted grant records
- Records of the registrar including timetables and class schedules, enrollment reports, graduation rosters, and other reports issued on a regular basis
- Reports from the offices of admissions, institutional research, and institutional advancement
- Academic departmental records, including minutes, reports, syllabi, and sample test questions
- Records of individual faculty and staff created in their official capacities in the University
- Alumni records including minutes of the alumni association
- Records of student organizations
- Two copies of all publications, newsletters, or booklets distributed by the university
- Audiovisual materials documenting associated cultural events and the development of the university
- Maps, plot plans, and blueprints documenting campus physical growth and development
- Preservation copies of microfilm produced by any campus vital records program
- Other items as determined by the Archivist

Office records should be transferred to the University Archives using stated transfer procedures. Records should be transferred as arranged in actual use, since their organization reflects the functioning of the office of origin. Offices may request acid-free record cartons from Special Collections. Transferred records should be labeled and include a folder or box listing to aid the storage, description, and retrieval of records. After transfer, University Archives staff will process the

records, which includes reviewing the records for content, destroying inappropriate items, rehousing items according to preservation standards, and then making the items available for public research. All materials transferred to the University Archives are open for public research; unprocessed records will need to be reviewed by Special Collections staff prior to use.

The University Archives does not accept personnel or student academic files; these items should be removed prior to transfer and if appropriate destroyed according to the Policy on Records Management schedule.

References:

Library policy 360 and Appendix A: "Records Retention....Schedule"

UMS BOR VI-6.10

President M. Hooker, memo dated 11/4/91 concerning "Preservation..."

Policy revised 09/12/2008, LW, LL

Transfer procedures

<http://aok.lib.umbc.edu/specoll/RecMgmt/procedures1.php>

University Publications:

- Two copies of every publication produced, in whatever format, by any school, department, office or center of UMBC should be transferred to the University Archives in a print format at the time of publication.
- All copies may be sent through the normal inter-office mail system and require one transmittal form for each publication at the start of regular submissions.
- A notice should be sent to the Archives when a publication is to be discontinued so that we may close the file.

University Office Records:

For all other records identified for transfer to the University Archives:

- Contact the Special Collections Department at x52353 to acquire as many records cartons you will need. (These cartons are acid free and aid in the preservation of documents placed in the Archives.)
- Completely fill all records cartons to be sent. One series may follow another in the same box.
- Inventory the contents of each box completing one online Transmittal Form for each box. This ensures that the Archives can easily retrieve records for you should you need them in the future.)
- Print one copy of the completed inventory forms for your records and send one copy via email to the University Archives.
- When describing the contents of each box please note each group of related records, ie. documents generated by a specific activity and filed and used as a unit, for example: syllabi, general correspondence files, minutes etc.
- Number boxes 1 of 3, 2 of 3, 3 of 3, etc. and mark each one with the name of the department on the side of the box containing the logo.
- Please let us know the day materials are to be sent so that arrangements may be made to receive them.