

# **UNIVERSITY OF MINNESOTA RECORDS RETENTION SCHEDULE**

The University of Minnesota Records Retention Schedule applies to all University departments, units, and agencies. In addition, this retention schedule applies to all formats of information, including but not limited to hard copy paper records, electronic media, and microforms. Departments and units are encouraged to use electronic formats to manage and store their information, however electronic records must be maintained and accessible according to the following retention schedule and destroyed when the retention period for the information has been met.

## **UNIFORM GUIDANCE (FORMERLY A-133) AUDIT REPORTS**

This series consists of copies of Uniform Guidance (formerly A-133) Single Audit Reports and related work papers.

Retention:

A: Master record maintained at Accounting Services/Sponsored Financial Reporting: 10 fiscal years (OMB 2 CFR 200 )

B: Duplicates: Retain until updated

## **ABSENCE CARDS**

This series documents vacation and sick leave taken by employees. This process is now done online.

Retention: 3 fiscal years.

## **ACCESS RECORDS**

This series documents access by employees to workstations and buildings. Retention: 1 year after access terminated

## **ACCREDITATION RECORDS**

This series consists of reports and supporting information documenting the process of becoming accredited and/or activities associated with reporting and/or confirming accreditation by professional, licensing and certifying associations.

Retention: Retain records pertaining to current plus one previous accreditation period. Prior to destruction, offer to University Archives.

## **ADMINISTRATIVE SUPPORT RECORDS - ROUTINE**

This series contains communications or other routine information created, sent or received by University faculty and staff during the normal course of business operations. This information does not result in the formulation of policy or contract. It may be transmitted internally between employees, or externally, and may include but is not limited to notices of seminars, conferences or workshops, queries regarding processes or ideas, electronic journals and general information of programs.

Retention: Retain until administrative value is lost.

## **ADMINISTRATIVE SUPPORT RECORDS - HISTORICAL**

This series contains communications or other information created, sent or received by University faculty and staff that document substantive decisions affecting the University. This series may include but is not limited to information that sets policy, affects organization restructuring and alignment, documents strategic planning, or changes administrative directives, operations and responsibilities. This series includes speeches and other public engagements by University administrators. This series pertains to the offices of the President, Vice Presidents, Provosts, and Deans.

Retention: 3 fiscal years or until no longer active. Transfer to University Archives

## **ADMINISTRATIVE SUPPORT RECORDS - SUBSTANTIVE**

This series contains communications or other information created, sent or received by University faculty and staff, and may include but is not limited to legal or audit issues, changes in contract or financial terms, final reports or recommendations, documentation of department or office actions, decisions, operations and responsibilities. The information in this series relates to the functional responsibility of the department or unit.

Retention: 3 fiscal years.

## **ADMISSIONS APPLICATIONS – DENIED/DECLINED ADMISSION/NOT REGISTERED**

This series consists of applications of graduate and undergraduate students who have made applications to the University and have been denied, declined admission or did not appear to register. Master record maintained at Admissions or Graduate School.

Retention:

A: Master record: Maintained by Admissions or Graduate School: 1 year after application denied provided no litigation is pending.

B: Duplicates: College or Department: 1 year after application denied provided no litigation is pending.

## **ADMISSIONS APPLICATIONS – DENIED/DECLINED ADMISSION/NOT REGISTERED – PROFESSIONAL SCHOOLS**

This series consists of applications of students who have made applications to the Professional Schools and have been denied, declined admission or did not appear to register. Master record maintained at the Professional School Admissions Office.

Retention:

A: Master record: Maintained by Professional School Admissions Office: 5 years after application denied provided no litigation is pending.

B: Duplicates: College or Department: 1 year after application denied provided no litigation is pending.

## **ADMISSIONS APPLICATIONS - GRADUATE STUDENTS**

This series consists of admissions applications of graduate students who have registered for classes. The master record of the Graduate School application for those students who register is transferred to the Graduate School Record and is maintained at the Graduate School. Any additional information requested by colleges or departments, such as writing samples or additional application information, is held at the college or department.

Retention:

A: Master Record: Transferred to Graduate School Record

B: Master Record – Additional Application Information: 5 years after graduation or last date of attendance.

C: Duplicates: College or Department: Retain until obsolete, superseded or administrative value is lost.

### **ADMISSIONS APPLICATIONS – PROFESSIONAL SCHOOLS**

This series consists of admissions applications for students in professional schools such as law and the medical schools who have registered for classes. The master record of the application for those students who register is maintained at the school's student affairs office.

Retention:

A: Master Record: Maintained at the school's Student Affairs Office: 10 years after graduation or last date of attendance.

B: Duplicates: Department: Retain until obsolete, superseded or administrative value is lost.

### **ADMISSIONS APPLICATIONS - UNDERGRADUATE STUDENTS**

This series consists of admissions applications of graduate and undergraduate students who have registered for classes. Master record maintained at Admissions.

Retention:

A: Master Record: Maintained by Admissions: 5 years after graduation or date of last attendance.

B: Duplicates: College or Department: Retain until obsolete, superseded or administrative value is lost.

### **ADVISING RECORDS**

This series consists of advising records used to monitor academic progress and provide advice. May include but is not limited to copies of transcripts, grade reports, awards, notes of meetings, various forms, email and correspondence.

Retention:

A: Master record: Maintained electronically by ASR: 5 years after graduation or date of last attendance.

B: Duplicates: Retain until administrative use is complete.

### **AFFIRMATIVE ACTION PLANS**

Retention: 5 calendar years. (29CFR1602.48)

### **ANNOUNCEMENTS AND INFORMATION: ROUTINE**

This series consists of information transmitted between parties, either in paper or electronic form. This information does not result in the formulation of policy or contract. It may be transmitted internally between employees, or externally, and may include but is not limited to notices of seminars, conferences or workshops, queries regarding processes or ideas, electronic journals and general information of programs.

Retention:

Retain until obsolete, superseded or administrative value is lost.

### **ANNUAL REPORTS**

This series consists of annual reports that document activities of the creating unit.

Retention: 5 fiscal years. Prior to destruction, offer to University Archives.

## **APPLICANT ACTION SHEET**

This series consists of the applicant action sheet which is used to activate the application for employment for civil service and bargaining unit staff. Retention: 30 days after application is activated.

## **APPLICANT TESTS**

This series consists of tests taken by applicants for employment. Scores are posted to the employment application.

Retention: 10 days after score posted.

## **APPLICATION FOR DEGREE FORMS**

This series consists of forms sent by students to Academic Support Resources. It is then used to flag the electronic records so that the Colleges can clear students for graduation. Academic Support Resources maintains the original application and the colleges maintain copies.

Retention: 5 years after graduation or date of last attendance.

## **APPLICATION/CONTRACT FOR ROOM AND BOARD**

This consists of application for housing and meal plan for the academic year, specifying housing preference and meal plan choice for a one-year period.

Retention: 5 fiscal years.

## **APPROVAL FOR INTERNAL/EXTERNAL SALES FILES**

This series consists of the documents and reports used to support the approval process for department internal/external sales and may include but is not limited to risk, insurance, environmental and compliance issues.

Retention:

A: Master copy:

- Internal Sales and Managed Risk External Sales - Maintained at the Internal/External Sales Office: Maintain file 3 fiscal years after approval rescinded or discontinuance of the activity.
- Low Risk External Sales - Maintained at the unit conducting the external sales activity: Maintain file 3 fiscal years after approval rescinded or discontinuance of the activity.

B: Duplicates: 3 fiscal years.

## **AWARDS AND HONORS**

This series documents awards made to students, volunteers, employees and other non-University people. This series may include but is not limited to nominations, selection criteria, names of selection committee members, applications, and award documentation.

Retention: 3 years after award given. Prior to destruction, offer to University Archives.

## **BACKGROUND CHECK FILES**

This series consists of requests for, and results of, criminal and other background checks on employees. *These records must be kept separate from the employee file and housed in a secure location.* No records of background checks should be kept at the college or department level.

Retention:

Hired: Master record: Maintained at Office of Human Resources: 7 years after termination of employment.

B. Not Hired: Master record: Maintained at Office of Human Resources: 30 months after position fill

## **BALLOTS**

This series consists of ballots used by internal departmental or college committees. Retention: 60 days after ballots counted and results announced.

## **BANK STATEMENTS**

Retention: 5 fiscal years

## **BRAINSTORMING AND COLLABORATING**

This series contains information generated as part of the brainstorming, collaborating, or project tracking process. This activity can occur over emails as well as in collaborative tools such as Slack, flip charts, Trello, Excel, post-its, Google Drive or hard copy documents and notes.

Includes status notes, prioritizing, tracking and monitoring, and notes. This series may also include recordings of meetings such as Zoom, Google Meet or other collaborative online meeting tools made for convenience purposes.

Retention: Retain until reference purpose is served. Destroy drafts of documents once a final copy is approved.

## **BUDGET FILES**

This series consists of internal budget worksheets and files that are created at the unit level and used to produce, update or manage the annual budget.

Retention: 3 fiscal years.

## **BUILDING PLANS, BLUEPRINTS AND SPECIFICATIONS**

Retention:

A: Master record: Maintained at Facilities Management: Life of building, transfer to archives.

B: Duplicates: Retain until obsolete, superseded or administrative value is lost.

## **CALENDARS**

SEE SCHEDULING RECORDS

## **CASH RECEIPT RECORDS**

This series includes documentation for payments received for both sponsored and non-sponsored accounts. May include but is not limited to cash register records, renumbered receipts, ticket records, payment logs, cash journals and cash reconciliation.

Retention: 4 fiscal years provided applicable audits have been released.

## **CLASS INFORMATION**

This series consists of electronic or paper copy of grade submissions, class schedules, class syllabi, class bulletins, class record books and course evaluations for each quarter or semester.

This information is usually maintained at the department level. Retention: 5 years after class completed.

## **CLASS LISTS**

This series consists of lists of students in each class and was discontinued in hard copy in 2000.

This information is now generated as needed using the data warehouse.

Retention: Retain until obsolete, superseded or administrative value is lost.

### **COLLECTION OBJECT FILES**

This series consists of files documenting objects that are parts of the museums and galleries collections on campus. Files include name of donor, value and description of item. Retention: 1 year after item removed from collection.

### **COMMENCEMENT RECORDS**

This series consists of commencement program planning and may include but is not limited to attendance forms, programs, correspondence, student permissions and planning or committee records. Master record maintained at college.

Retention: Retain until administrative value is lost. Transfer programs to University Archives.

### **COMMITTEE FILES**

This series documents the service of individuals on university committees and boards.

Retention: Retain until obsolete, superseded or administrative value is lost. Prior to destruction, offer to University Archives.

### **COMPLAINT RECORDS**

This series consists of formal and informal complaint files, and may include but is not limited to complaint, investigation records, interviews, notes and settlement documents when appropriate.

Retention:

A: Litigation involved: 10 years after case closed.

B: Non-litigation: 7 years after case closed.

C: Summary records: 10 calendar years.

### **COMPLIANCE REVIEWS**

This series consists of compliance reviews undertaken for internal, state or federal reporting.

Master record maintained at the unit level.

Retention: 5 years after review completed.

### **CONFERENCE CONTRACTS**

This series consists of preliminary synopsis, final synopsis and contract for individuals and groups (non-U students) using residence hall facilities during the summer and during winter and spring break period.

Retention: 6 fiscal years after close of contract.

### **CONFERENCE RECORDS**

This series consists of but is not limited to registration materials, correspondence, financial reimbursement and public relations materials for conferences. Retention: 3 fiscal years

### **CONSTRUCTION CONTRACT RECORDS**

This series consists of project records related to construction contracts.

Retention: 12 years after substantial completion of contract. (M.S. 541.051)

## **CONSULTATION RECORDS**

This series documents consultant services provided by University faculty and staff to private industry. May include but is not limited to correspondence, invoices and documentation of fees for services and equipment. Also see External Sales.

Retention: 6 fiscal years after close of contract provided no litigation is pending.

## **COURSE AND PROGRAM RECORDS**

This series consists of course description, outlines, objectives, program documentation and A96 forms used to create classes.

Retention: Retain until obsolete, superseded or administrative value is lost. Prior to destruction, offer to University Archives.

## **CREDIT CARD TRANSACTION RECORDS**

This series consists of credit card transaction records received for payment to or the sale of services or goods. May include but is not limited to merchant receipts, and any other information related to the transaction.

Retention: 3 years from date of transaction provided no litigation is pending. (Visa, MasterCard, American Express, Discover, and Wells Fargo Merchant Services)

## **DATA REQUESTS**

This series consists of requests for information received under the Minnesota Government Data Practices Act. May include but not limited to copy of request, correspondence, actual information sent in response to request, copies of original and redacted documents. Retention: 1 year after response provided no litigation is pending.

## **DEGREE CLEARANCE FORMS**

This series is used by colleges to clear students for graduation.

Retention:

A: Master record: Maintained by Academic Support Resources: 5 years after graduation. B:

Duplicates: Maintained by College: 1 year after graduation or date of last attendance.

## **DISCIPLINARY LETTERS - EMPLOYEES**

This series consists of letters sent or given to employees documenting discipline and may include but is not limited to written warnings, suspension letters and final letters of discipline.

Retention: Maintain in employee personnel file according to union contracts, civil service rules, or academic policy.

## **DROP-ADD FORMS**

This series consists of electronic or hard copy drop-add forms used to change, add or drop courses after registration.

Retention:

A: ELECTRONIC ONLINE DATA: 1 year after date submitted.

B: HARD-COPY FORMS: 1 year after date submitted.

## **EMPLOYMENT APPLICATIONS**

This series consists of employment applications received from individuals seeking employment in civil service and bargaining unit staff positions but were not hired. May consist of but is not

limited to applications for employment, resumes, application supplements, correspondence, test scores, background investigations, recommendations and other supporting documentation.

Retention:

A: Master Record: Hired Applicants: Maintained at Office of Human Resources: Retain in Employee Personnel File.

B: Not-Hired Applicants: 30 months after date of action unless litigation is pending. (29 CFR 1602.49)

### **EMPLOYEE BENEFIT FILE - TERMINATED EMPLOYEES**

This series documents employees' benefits, and may include but is not limited to administration of plan, dates employee may be off plan, general salary information, correspondence, changes in beneficiary, summary of contributions, restoration of benefits, disability information and waivers.

Retention: 7 years after termination of employment. (29USC1027)

### **EMPLOYEE EXPOSURE MEDICAL RECORD**

This series may include but is not limited to hepatitis B status documents, records of hepatitis B exams/testing/correspondence and follow-up, Hepatitis B Vaccination Declination form, HIB and HIV status and exposure forms.

Retention: 30 years after termination of employment. (29 CFR 1910.20)

### **EMPLOYEE PERSONNEL FILES-**

This series consists of the department, OHR and desk files that are kept to document employment at the University of Minnesota. May include but is not limited to personnel evaluations, notes, memos, discipline, applications, personnel changes, job descriptions, job requisitions, settlement agreements and releases, letters of offer, letters of resignation, notice of layoff, termination agreements, requests for leave, suspension letters, temporary appointment letters, and other materials for all job classes of employees.

Retention: 7 years after termination provided no litigation is pending.

### **EQUIPMENT RECORDS**

This series consists of documents detailing the purchase, lease,, receipt, fabrication, trade, transfer, retirement, disposal, etc. of equipment, and may include but is not limited to warranties and purchase information.

Retention: 6 years after disposal of equipment

### **EXAMS**

SEE GRADED MATERIALS

### **EXTERNAL SALES CONTRACTS**

This series consists of contracts that units have with external customers who are purchasing goods or services. Master record kept at Unit level.

Retention:

A: Unit copy: 6 fiscal years after contract expiration provided no litigation is pending.



## **FINANCIAL RECORDS**

This retention encompasses all finance and accounting data entered into Enterprise Systems by the departments and units.

Retention:

A: Master record: 3 fiscal years provided no litigation is pending

B: Duplicates: Retain until verified to the Enterprise system then destroy.

## **FIRST REPORT OF INJURY**

This series consists of the copy of the First Report of Injury filed by employees who have been injured on the job. Master record maintained at University Worker's Compensation Department.

Retention: Duplicates: 1 fiscal year.

## **FMLA DOCUMENTATION**

This series consists of employee FMLA documentation.

Retention: 4 years (29 CFR 825.500)

## **GRADE BOOKS**

This series consists of either electronic or hard copy grade books.

Retention: 1 year after final grade posted.

## **GRADE CHANGE FORMS**

This series consists of hard copy forms that are filled out by instructors and used to change previous grades of students. The forms are sent to the Academic Support Resources from the departments. This procedure is currently being offered electronically.

Retention:

A: Master record: Maintained at the Academic Support Resources: Permanent.

B: Duplicates: Maintained at the department or college offices: 1 year after grade changed provided no litigation is pending.

## **GRADE COMPLAINT RECORDS**

This series documents complaints made by students to the instructor, program chair and/or department head about grades.

Retention: 1 year after complaint is resolved.

## **GRADED MATERIALS**

This series may consist of but is not limited to exams, papers, portfolio, and other materials either given to or received from students.

Retention: 30 days after grades posted to transcript. (U Senate Policy – Maintaining Course Records)

## **GRADING OPTION REQUESTS**

This series consists of electronic or hard copy requests to grade either A-F or S/N. Retention: 1 year after date submitted.

## **GRADUATE ASSISTANT FILES**

This series documents problems, correspondence between graduate assistant employment office and student, notes and action papers. Master record of employment status maintained at Office of Human Resources.

Retention: 30 months after termination of employment.

### **GRADUATE ASSISTANT PROVISIONAL APPOINTMENTS**

This series documents provisional graduate student hourly appointments and may include but is not limited to department estimates, verification of hours worked, worksheets, and department bills.

Retention: 3 calendar years. (29CFR1627)

### **GRADUATE ASSISTANT UNREGISTERED REPORTS**

This series documents graduate assistants who have insufficient credits or who are not registered for classes. May include but is not limited to computer generated report, department correspondence and action papers. Retention: 1 fiscal year.

### **GRADUATE STUDENT FILES – DEPARTMENT COPY**

This series consists of Application for Admission to Grad School, Degree Program List, grade transcripts, comprehensive exams, oral exam documentation, and related correspondence.

Master record maintained at the Graduate School.

Retention: 7 years after graduation or date of last attendance.

### **GRADUATE STUDENT FILES – GRADUATE SCHOOL FILE**

This series consists of Application for Admission to Grad School, Degree Program List, grade transcripts, comprehensive exams, oral exam documentation, and related correspondence.

Master record maintained at the Graduate School.

Retention:

A: Master record, graduates: 50 years after graduation or withdrawal.

B: Mater record, withdrawn: 5 years after withdrawal.

C: Master record, accepted but not enrolled: 1 year after term for which application processed provided no litigation is pending.

### **GRANTS MANAGEMENT RECORDS**

SEE SPONSORED PROJECT RECORDS

### **GRIEVANCE FILES**

This series documents grievances, and may include but is not limited to correspondence, background information, appeals and decisions. Master record maintained at Office for Conflict Resolution or OHR Employee Relations.

Retention:

A: Master record: 7 years after close provided no litigation is pending.

B: Duplicates: 1 year after final decision has been made and all appeals have lapsed.

### **HEALTH INFORMATION SHEET**

This series consists of the health information sheet that is collected from children attending activities such as summer camp. Information on the sheet includes name, emergency contact information, insurance and physician information and a health history, such as allergies. This form acts as an authorization to treat the member in case of an emergency and is signed by the parent or guardian.

Retention:

A: No injury or accident reported: 1 year after event completed provided no accident or emergency has taken place and provided no litigation is pending.

B: Accident or injury reported: 7 years after medical treatment provided no litigation is pending.

### **HEALTH CARE/DEPENDENT CARE FORMS**

This series documents health care or dependent care forms filed on-line by employees for pre-tax benefits.

Retention: 4 calendar years.

### **INDEPENDENT STUDY RECORDS**

This series documents departmental, college and/or instructor approval for students to enroll in independent study programs.

Retention: 5 years after graduation or date of last attendance.

### **INFORMATION REQUEST RECORDS**

This series consists of correspondence and emails accumulated in answering inquiries from the public.

Recommended retention; Retain until administrative value is lost.

### **INSTRUCTOR GRADE RECORDS**

This series consists of electronic or hard copy grade books, logs, files or sheets maintained by professors or instructors and may include individual grade assignments. Final grades for classes are sent to Academic Support Resources. See Graded Materials for individual student work product.

Retention: 1 year after appeal process is complete.

### **INSURANCE CERTIFICATES**

This series consists of proof of personal injury insurance and building damage deposit by conference users of residence hall facilities.

Retention: 5 fiscal years after event completed provided no litigation is pending.

### **INTERNAL/EXTERNAL SALES COMPLIANCE REVIEW REPORTS**

This series consists of documentation related to Internal/External Sales Office cyclical compliance review of units conducting internal/external sales. Master record maintained at Internal/External Sales Office.

Retention: 10 fiscal years.

### **INTERNAL/EXTERNAL SALES RATE DEVELOPMENT FILES**

This series consists of the documentation and reports used to support the rate charged to University departments and external entities. Master record maintained at the unit that conducts the internal/external sales activities.

Retention: 5 fiscal years.

### **INVENTORY COUNT RECORDS**

This series consists of annual count reports and property disposal forms. Master record maintained at Accounting Services.

Retention:

- A: Master record: 6 fiscal years.
- B: Duplicates: Retain until updated.

## **INVESTIGATIONS**

This series consists of internal and external investigations and may include but is not limited to notes, correspondence and interviews.

Retention: 7 years after investigation complete provided no litigation is pending and all regulatory requirements have been met.

## **JOB CLASSIFICATION FILES**

This series consists of position specifications and the history of each class.

Retention: Retain until administrative value is lost.

## **JOB POSTING FILES**

This series consists of advertisements to inform eligible job seekers of openings for available job vacancies. Notices include position number, position title, monthly salary range, job location, minimum qualifications, brief description of duties, where to apply for job and special instructions.

Retention: 30 months after job filled. (29 CFR 1627.3)

## **JOB QUESTIONNAIRES**

This series consists of JEQ's and JRQ's used to determine classification job codes and titles for a specific person or for a specific position.

Retention: 5 fiscal years.

## **JOB REQUISITIONS**

This series consists of civil service and bargaining unit staff requisitions for job postings filled out by departments or units, and includes position, job qualifications, requisition number, department, brief description of duties, job location and monthly salary range.

Retention:

A: Master record: Maintained at Office of Human Resources: 5 years after posting. (29CFR1602.49)

B: Duplicates: Retain until obsolete, superseded or administrative value is lost.

## **LABOR RELATIONS NEGOTIATIONS FILES**

This series documents negotiations with bargaining units. Agreements are negotiated every 2 years.

Retention: 30 years after negotiation completed. Prior to disposal, check with the Office of General Counsel. Send copy of signed agreements to University Archives.

## **LABOR RELATIONS POLICIES**

Retention: Retain until obsolete, superseded or administrative value is lost.

## **PROPERTY LEASE RECORDS**

This series consists of all University property leases and includes description of property leased.

Retention: 7 years after lease terminated provided no litigation is pending.

## **MATERIAL SAFETY DATA SHEETS**

Retention: Retain until updated.

## **MEETING MINUTES**

SEE COMMITTEE FILES

## **MEETING NOTICES**

This series consists of notices of meetings. Often, this series will act as an avenue to set up meetings by coordinating schedules or acting as a reminder of meetings and is often maintained in electronic form via email or text messages. Formal meeting notices along with attendees, agendas, and minutes will be maintained as a separate series scheduled as Committee Files.

Retention: Retain until obsolete, superseded or administrative value is lost

## **MEMORANDA**

This series consists of interoffice or interdepartmental communications which do not subsequently result in the formulation of policies.

Retention: Retain until obsolete, superseded or administrative value is lost.

## **MINORITY VENDOR FILES**

This series consists of records documenting construction vendor's commitment to hire minorities and women, and includes the monthly reports from the vendors tracking hiring. Retention: 3 fiscal years, or as long as construction is in process.

## **NAME CHANGE AUTHORIZATIONS - STUDENT**

Retention: 5 years after graduation or date of last attendance.

## **NAME CHANGE RECORDS - EMPLOYEE**

Retention: 1 fiscal year.

## **PACKING SLIPS**

This series consists of packing slips from items received. The EFS system contains the receiving information on items that are entered into the system by departments and units and may, include purchase order, receiving and invoice processing.

Retention: Departments and Units: Retain as needed for warranty purposes, otherwise destroy once administrative use is complete.

## **PAYROLL RECORDS**

This series may include but is not limited to copies of payroll records, such as W-2's, Earning Records, Deduction Registers, payroll sheets, and departmental abstracts. Master record maintained at Payroll.

Retention:

A: Payroll: 8 calendar years.

B: Duplicates: Current fiscal year.

## **PAYROLL RECORDS - STUDENT**

This series documents student employment at the department or unit level, and may include but is not limited to copies of employment forms, W-4 cards, payroll records and copies of social

security cards. Master record maintained at Employment & Career Services, or Payroll.  
Retention: Duplicates: 3 fiscal years after termination of employment. (29 CFR 519.7)

### **PAYROLL REPORTS**

This series consists of year-to-date and leave-to-date reports. Master record maintained at Payroll.

Retention:

A: Payroll copy: 3 fiscal years.

B: Duplicates: Retain until obsolete, superseded or administrative value is lost.

### **PHOTOGRAPHIC, VIDEO, AUDIO AND WEB SITE CONSENT AND RELEASE FORM**

This series consists of a release form authorizing the use of visual and audio media that may include the member for promotional or other purposes, and is signed by member or parent/legal guardian.

Retention: Retain as long as visual or audio media is maintained, or as long as the media is used in promotional pieces.

### **PICK-UP AND DELIVERY SLIPS**

This series consists of signed receipts for pick-up and deliveries made through Auxiliary Services.

Retention: Retain until reconciled to budget.

### **PROMOTION AND TENURE RECORDS**

This series consists of documentation for the review process on promotions and tenure. May contain but is not limited to forms, letters and accompanying data. The letter granting promotion and/or tenure is kept in the Personnel File at Human Resources.

Retention:

A: Denied: 7 years after termination of employment provided no litigation is pending.

B: Granted: Maintain until after next review period is complete.

C: Duplicates: Retain until obsolete, superseded or administrative value is lost.

### **PUBLICATIONS AND PHOTOGRAPHS**

This series consists of publications and photographs from University departments, colleges, and units.

Retention: Retain until administrative value is lost. Transfer to University Archives.

### **PUBLICATION SALES RECORDS**

This series documents the departmental sales of publications and the collection of state sales tax on the sales.

Retention: 4 calendar years.

### **PURCHASING & ACCOUNTS PAYABLE RECORDS**

This series consists of vendor invoice, including contractor and subcontractor information regarding billing and includes monthly reconciliation records, invoices, and correspondence. Master record of payments to vendors/suppliers maintained at Purchasing Services.

Retention:

A: PurchasingServices: 10 fiscal years.

B: Sponsored Projects Administration (SPA): For subawards, see SPONSORED PROJECTS  
C: Departments and Units: All other Activities: Maintain original materials for 3 fiscal years provided no litigation is pending. Duplicate information, such as that held at Purchasing Services must be kept for current fiscal year. may be destroyed after verification to Enterprise Systems.

## **PURCHASING CONTRACTS**

This series consists of contracts for goods and services as well as contracts for consulting or other professional services provided by non-University sources, and may include contract amendments, copies of the RFP and vendor proposals or justifications. Also see Purchasing & Accounts Payable.

Retention:

A: Under \$50,000: Master record maintained at department: 6 fiscal years after termination of contract.

B: Over \$50,000: Master record maintained at Purchasing Services: 6 fiscal years after termination of contract.

C: Duplicates: Retain until administrative value is lost.

## **READING FILES**

This series consists of duplicates of all outgoing correspondence which is filed chronologically. Copies are usually maintained in administrative subject files.

Retention: Retain until obsolete, superseded or administrative value is lost.

## **RESEARCH MISCONDUCT FILES**

This series consists of the file of research misconduct proceedings and may include but is not limited to the information that is gathered for the proceeding, inquiry report and final documents produced in preparing the report, documentation of decisions to investigate, investigation report and records of all interviews, and records of any institutional appeal.

Retention: 7 years after completion of proceeding or the completion of any external or government proceeding provided no litigation is pending. ( 42 CFR 93.317)

## **RESOURCE SUBJECT FILES**

This series consists of publications, articles and other general resource information.

Retention: Retain until obsolete, superseded or administrative value is lost. Prior to destruction, offer internal publications to University Archives.

## **RETURNED DIPLOMAS**

This series consists of diplomas that are returned to Academic Support Resources because of a bad address or other problem encountered in mailing.

Retention: 10 years.

## **SAFETY TRAINING RECORDS**

This series contains employee training records for lab and chemical safety.

Retention: 5 years from date of training. (MR 5206)

## **SALARY SCHEDULES**

Retention: Retain until updated.

## **SCHOLARSHIP FILES**

This series documents scholarships awarded by units, colleges and departments. This series may include but is not limited to applications, documentation of financial need when applicable, names of selection committee, notes of selection committee members, selection criteria, and award documentation.

Retention: 3 years after scholarship awarded. Prior to destruction, offer to University Archives.

## **SEARCH COMMITTEE RECORDS**

This series may consist of but is not limited to evaluations, minutes, reports, vitas, resumes, references of applicants, reasons candidates were not referred, and Forms UM1596 and UM 1598 (formerly Forms 16 & 17) or the unit version of this form. Retention:

A: Master record: Maintained by the hiring authority: 7 years after search completed provided no litigation or complaint is pending.

B: Duplicates: 1 year after search completed.

## **SENIORITY ROSTERS**

This series documents the seniority of each person within the bargaining units. Retention: 3 years after termination of employment.

## **SERVICE AGREEMENTS**

This series consists of agreements regarding maintenance and repair of leased equipment.

Retention: 5 fiscal years.

## **SERVICE CALL LOG BOOK**

This series consists of records of calls for service made to outside vendors for repair of equipment.

Retention: Retain for life of equipment.

## **SEXUAL HARASSMENT BOARD RECORDS**

This series documents the meetings of the University's Sexual Harassment Board.

Retention: 3 fiscal years. Prior to destruction, offer to University Archives.

## **SPONSORED PROJECT RECORDS**

This series documents grants received by departments and units through Sponsored Projects Administration and may include copies of proposals, budget sheets, appropriations documents, authorizations, cost allocation plans and indirect cost rates..

Retention:

A: Sponsored Projects Administration:

1. Federal Grants: For any records not maintained by the sponsor (including pass-through entities) three years from the date of submission of the final expenditure report, as extended by the sponsor, or until all litigation, claims, or audit findings involving the records have been resolved and final action has been taken.

1. Other Grants: 6 years after close of grant provided no litigation is pending and all audits have been completed.

B: Departments and Units:

1. Federal Grants: Maintain original materials for 3 years after close of grant. Duplicate information, such as that held at SPA should be kept for current fiscal year.



2. Other Grants: Maintain original materials for 6 years after close of grant. Duplicate information, such as that held at SPA should be kept for current fiscal year.

### **STATISTICAL AND SUMMARY RECORDS**

This series consists of daily, weekly, monthly, quarterly, and yearly reports and includes those generated from a computer database.

Retention: Retain until obsolete, superseded or administrative value is lost.

### **STUDENT ACADEMIC RECORD - TRANSCRIPT**

This series consists of the student academic record and may include but is not limited to courses taken, grades, degree information, and test credits. This information is now kept in electronic format.

Retention:

A: Master record: Maintained by Academic Support Services: Permanent.

B: Duplicates: Maintained by college and department offices: Retain until administrative value is lost.

### **STUDENT BIWEEKLY PAYROLL DOCUMENT**

This series consists of the biweekly payroll documents for student employees. Master record maintained at Payroll. Retention:

A: Payroll: 3 fiscal years. (29 CFR 519.17) B:

Duplicates: Current fiscal year.

### **STUDENT CORRESPONDENCE**

This series consists of communications between students and Academic Support Resources or college and departmental offices. This communication is now done mostly by electronic mail.

Retention:

A: AUTO-GENERATED ELECTRONIC MAIL: Maintain audit trail of when, why and to whom email was sent for 5 years after graduation or date of last attendance.

B: ELECTRONIC MAIL SPECIFIC TO A STUDENT ISSUE OR CONCERN: 5 years after graduation or date of last attendance.

### **STUDENT EDUCATION RECORDS**

This series consists of departmental copies of admission applications, transcripts, correspondence, drop/add forms, application for degree, registration information, change slips, notice of admission, student petition records and correspondence. Master record maintained at Academic Support Resources or Graduate School.

Retention: Duplicates: 1 year after graduation.

### **STUDENT EMPLOYEES DAILY TIME SHEETS**

This series consists of daily time sheets for each parking facility, and includes name and hours worked. This sheet is signed by the supervisor.

Retention: 3 fiscal years provided applicable audits have been released.

### **STUDENT EMPLOYMENT COMMUNITY SERVICE PROGRAMS**

This series documents the federal program designed for need-based employment of students. May include but is not limited to bills for reimbursement of wages, contracts, supporting

documents, correspondence, time cards, copies of paychecks, and employment documents.  
Retention: 5 fiscal years. (34 CFR 675.19)

### **STUDENT EMPLOYMENT JOB REVIEW QUESTIONNAIRE (JRQ)**

This series documents the review of student jobs to move to other classifications. Retention: 5 fiscal years.

### **STUDENT EMPLOYMENT RECORDS**

This series documents student employment at the department or unit level, and may include but is not limited to copies of employment forms, W-4 cards, payroll records and copies of social security cards.

Retention: 3 fiscal years after termination of employment.

### **STUDENT EMPLOYMENT WAIVERS**

This series documents waivers sent to student employment by departments or units to hire nonstudents for jobs of less than 29 hours. Retention: 5 fiscal years.

### **STUDENT EVALUATIONS OF FACULTY**

This series consists of summary sheets reflecting student evaluations of faculty and courses.

Retention: Retain until next review period of faculty member is complete.

### **STUDENT GRADUATION RECORDS**

This series may include but is not limited to balance sheets, lack notices, petitions, and graduation related correspondence. Master record maintained by Academic Support Resources, College Office or Graduate School.

Retention:

A: Graduates: 1 year after graduation.

B: Non-graduates: Retain 7 years after termination of attendance unless special circumstances are present.

### **STUDENT LEAVE OF ABSENCE FORMS**

This series consists of forms filed at the collegiate level. They are good for 1 semester and if filed, the student is held to the requirements for graduation that the student registered under.

Retention:

A: Master record maintained by College Office: 5 years after graduation or date of last attendance.

B: Duplicates: Retain until administrative value is lost.

### **STUDENT OFFICIAL GRADUATION LISTS**

This series is compiled by the Academic Support Resources after all clearances are completed and is done by semester.

Retention: Permanent. Send copy of list to University Archives.

### **STUDENT PETITION FORMS**

This series consists of forms filed by students requesting special considerations. These forms are typically filed with University or standing committees, but in some cases may be filed at the college level.

Retention:

A: Granted: Master record maintained by the Office of the Registrar: 5 years after graduation or date of last attendance.

B: Denied: Master record maintained by the Scholastic Standing Committee: 5 years after graduation or date of last attendance.

C: All other petition forms: 5 years after graduation or date of last attendance.

## **STUDENT SCHOLARSHIP RECORDS**

This series documents the application and award of scholarships to undergraduate and graduate students, and may contain committee records.

Retention:

A: Awarded: 5 fiscal years after award.

B: Not awarded: 1 year after application denied.

## **TAX RECORDS**

This series consists of documents used for tax purposes.

Retention: 4 fiscal years.

## **TRAINING RECORDS - MERTKA**

This series documents MERTKA-mandated employee training, including but not limited to fire prevention and chemical handling (Minn. Rules, Pt. 5206).

Retention: 5 years after training.

## **TRAINING AND WORKSHOP FILES**

This series documents training and workshops given internally and may include but is not limited to handouts, overheads, lecture notes, evaluations and attendee registrations.

Retention: Retain until obsolete, superseded or administrative value is lost.

## **TRANSITORY INFORMATION**

This series contains communications and postings such as announcements of meetings, acknowledgements, notifications, email messages, text messages, voice mail, instant messages (IM) or chat, listserv or other types of distributed messages, statistical or other reports printed from a database that can be reprinted as needed, publications and newsletters.

Retention: Retain until reference purpose is served.

## **UNCLAIMED PROPERTY**

This series consists of reports filed with the State of Minnesota on unclaimed property.

Retention: 10 years after report filed

## **UNION DUES PAYMENTS**

This series documents payment of union dues.

Retention: 5 fiscal years.

## **UNION HEALTH AND WELFARE PAYMENTS**

This series consists of the payments made to the trade unions of health and welfare payments for employees.

Retention: 5 fiscal years. (29 USC 436)

## **VENDOR/SUPPLIER FILES**

This series may include but is not limited to publications, samples and catalogs.

Retention: Retain until obsolete, superseded or administrative value is lost.

## **VEHICLE RECORDS**

This series consists of registration files, vehicle certificate of title, insurance coverage, accident reports, expense reports and insurance information for leased and department owned vehicles.

Retention:

**A:** Leased vehicles: 5 fiscal years.

**B:** Department owned vehicles: 1 year after disposition of vehicle.

## **VETERANS RECORDS**

This series documents the status and enrollment of veterans in the University, and may include but is not limited to any documents or information that is used to certify that the student is eligible for veteran benefits.

Retention: 3 years from date of last certification.

## **VOLUNTEER APPLICATION FORM**

This series consists of the application forms for each volunteer in the extension and 4-H program. Information includes contact information, demographic information, self-reference check list, reference forms, authorizations, and volunteer signature. Background checks are done when a new volunteer is accepted, and then periodically on that person, not yearly. Background check information is included in the file with the volunteer application.

Retention: 6 years after volunteer leaves the program provided no litigation is pending.

## **VOLUNTEER ENROLLMENT FORM**

This series consists of a yearly enrollment form required for each volunteer in the 4-H program. Information on the form includes contact information, demographic information and signature of volunteer.

Retention: 6 years after volunteer leaves the program provided no litigation is pending.

## **WITHDRAWAL AUTHORIZATIONS**

This series consists of a request to drop classes after deadlines. Master record of this series maintained at College or Department Office.

Retention: 1 year after date submitted.

## **WORKSHOP RECORDS**

This series consists of registration fees, publications and correspondence related to workshops conducted or sponsored by departments or units.

Retention: 3 fiscal years.