

UNIVERSITY OF BALTIMORE
RECORDS RETENTION AND DISPOSAL SCHEDULE

| Ctrl No. | Description | Retention Policy | Office of Record |
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100 Series – GENERAL CORRESPONDENCE

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| 101 | <u>GENERAL FILES</u> - (Alpha, Subject, Administrative and Chronological Correspondence) Maintained by all departments at all institutions. These files contain internal and external correspondence, original incoming and copies of outgoing correspondence, reports, memoranda, statistics, proposed programs, minutes, policy and procedure statements, special projects, and substantive data concerning the operation of the office that maintains it. | Screen annually and destroy that material having no further reference value. Remaining material having continuing administrative, legal or historical value related to the development of the agency to be microfilmed or kept in paper by the Office of Record for 25 year retention, then destroy. | All departments. |
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Drafted 10/25/2005

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UNTIL AUDIT REQUIREMENTS ARE MET MEANS THREE YEARS FOR STATE RELATED DOCUMENTS, THREE YEARS FOR NON-MONETARY FEDERAL RELATED DOCUMENTS, THREE YEARS FOR MONETARY FEDERAL RELATED DOCUMENTS UNDER \$25,000, AND 6 YEARS, 3 MONTHS FOR MONETARY FEDERAL RELATED DOCUMENTS OVER \$25,000.

IF UNIVERSITY OF BALTIMORE ARCHIVES ARE NOT AVAILABLE, MATERIAL HAVING PERMANENT RETENTION WILL BE TRANSFERRED TO THE MARYLAND STATE ARCHIVES IN ANNAPOLIS AND MATERIAL HAVING LIMITED RETENTION (i.e. 25 YEARS) WILL BE TRANSFERRED TO THE STATE RECORDS CENTER IN JESSUP.

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| 200 Series – CAPITAL/FACILITIES PLANNING/PHYSICAL PLANT | | | |
| 201 | CONSTRUCTION AGREEMENT CONTRACTS ARCHITECTURAL ENGINEERING CONTRACTS Records Relating to Construction: Bidding Information Payment Requisitions Change Orders Submittals Progress Meetings Correspondence | Retain in original form for 2 years following completion of project; then screen to remove that material for which no further reference is required. Remaining material having continued reference value to be microfilmed or kept in paper form by Office of Record for 25 years in an archives; then destroy. | Capital Planning Facilities Management |
| 202 | <u>BUILDING PROJECT FILES</u> Includes planning information relating to utilization of newly constructed and/or leased buildings; such as, space classifications, facilities utilization, leases, progress reports, revised programs and projections, and State agency/university correspondence.) | Retain until project is completed; screen for and destroy material having no further reference value. Remaining material having continuing reference value to be microfilmed or kept in paper form by Office of Record for 25 year retention in an archives, then destroy. | Capital Planning Facilities Management |
| 203 | <u>PROPERTY AND BUILDING FILES</u> (Includes material relating to the purchase of selective property, and the construction, renovation and improvement of buildings such as correspondence, reports, memoranda, cost estimates, accounts, appraisals and negotiation agreements). | Retain until project is completed; screen for and destroy material having no further reference value. Remaining material having continuing reference value to be microfilmed or kept in paper form by Office of Record for 25 year retention in an archives, then destroy. | Capital Planning Facilities Management |

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| 204 | <u>PHYSICAL PLANT FILES</u> | | |
| 204.1 | Energy reports | Retain for 25 years, then destroy. | Facilities Management |
| 204.2 | Inventory Physical inventory and building inventory (Capital and Non-Capital) Records consisting of: Inventory Addition Books Inventory Addition Forms Surplus Property Forms, etc. concerning changes to inventory (all backup material affecting inventory). | Retain 3 years and until needs have been fulfilled; then, destroy. | Facilities Management |
| 204.3 | Bond Funds/Records Bond issue agreements Indentures Certificates Requisitions Bank statements | Retain 5 years after life of bond and until audit needs have been fulfilled; then, destroy | Capital Planning Facilities Management |
| 204.4 | Plant Funds (Includes requisitions/purchase orders) | Retain 5 years or until audit needs have been fulfilled; then, destroy. | Facilities Management |
| 204.5 | Less Than 15-Yr Life Files (Includes requisitions/orders) | Retain for life cycle plus 5 years or until audit needs have been fulfilled; then, destroy. | Facilities Management |

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| 204.6 | Vehicle Records (Includes the following: | | |
| | Vehicle Acquisition & Disposal Reports | Retain 3 years and until audit needs have been fulfilled; then, destroy. | Motor Pool/Facilities Management |
| | Vehicle Mileage Reports | Retain for life of vehicle. | Motor Pool/Facilities Management |
| | Vehicle Records (Titles, etc.) | Retain for life of vehicle. | Motor Pool/Facilities Management |
| | Fleet Reports (Including safety/accident reports) | Retain 3 years and until audit needs have been fulfilled; then, destroy. | Motor Pool/Facilities Management |
| 204.7 | Telephone Records | Reference only – see Series 1200 | Information Technology |
| 204.8 | Work Orders | | |
| | Master Log | Retain for 25 years, then destroy | Facilities Management |
| | Routine Maintenance Work Orders | Retain for 3 years for self-support area then destroy. Retain regular routine work orders for one 1 year, then destroy. | Facilities Management |
| | Non-routine Maintenance Work Orders | Retain for as long as building is in use, then destroy. | Facilities Management |

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|-------------|---|---|-------------------|
| 204.9 | Key Material | | |
| | Signature Number Cards and Record Books | To be retained for 25 years, then destroy | Campus Police |
| | Key Authorization Forms | Retain for one year, then destroy | Campus Police |
| | Key Record Cards | Retain until keys are returned, then destroy. | Campus Police |
| 204.10 | Budget Related Material | Reference only – See Ctrl #510 | Financial Affairs |

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300 Series – DATA PROCESSING FILES

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| 301 | <u>DATA ROCESSING-PROGRAM LIBRARY</u> (Includes documentation for computer programs used in information management, such as; flow charts, narratives, machine lists, operating instructions, contracts and supporting correspondence.) | Retain for that period of time for which the computer program remains in use, then destroy. | Information Technology |
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400 Series – ENVIRONMENTAL SAFETY

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| 401 | <u>HAZARDOUS MATERIAL AND ENVIRONMENTAL SAFETY FILES</u> Consists of reports and other pertinent material (including laboratory training files, inventory records, laboratory survey records, Rad user authorization, etc.), biohazard safety, lead safety, assurance of hazardous procedures, motor vehicle accident claims, accident training and investigation, incidence reports, permits, hazardous waste, radioactive waste, industrial hygiene, PCB transformer information, facility permits, civil defense material, and any other material relating to the above for which this University is the Office of Record. | Retain material permanently either on microfilm or in paper form. | Facilities Management |
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| 500 | Series – FINANCIAL FILES | | |
| 501 | <u>ACCOUNTING RECORDS</u> Includes all standard State accounting forms as well as other accounting media which provide support data for the special and general accounting records). | | |
| | <u>Special Accounting Records</u> | | |
| 501.1 | Books of Final Entry | Retain 3 years; then. microfilm for permanent retention or destroy. | Financial Affairs |
| 501.2 | General Ledgers | Retain 3 years; then. microfilm for permanent retention or destroy. | Financial Affairs |
| 502 | <u>Budget and Fiscal Planning Records</u> Budget Estimates Budget Schedule Amendment Materials and Supplies Physical Inventory and Building Inventory Report of Fixed Assets Report of Materials and Supplies Request for Position Action | Retain 3 years and until audit needs have been fulfilled; then, destroy. | Financial Affairs |
| 503 | <u>Payroll Accounting Records</u> Employee Roster Card File Payroll and Check Register Payroll Exceptions Time Report Payroll Transmittals Payroll Warrants | Retain 3 years and until audit needs have been fulfilled; then, destroy. | Financial Affairs |

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| 504 | <u>Payroll Records</u> | | |
| | Journals | Retain 3 years and until audit needs have been fulfilled; then, destroy. | Financial Affairs |
| | One Pay Certification Cards | | Human Resources |
| | *Master Exceptions | *NOTE: Annapolis is the Office of Permanent Retention. | |
| | Check Register | | |
| | W2 | | |
| | Labor | | |
| | Savings Bond Material | | |
| | Journal Vouchers, Payroll Transfers, and | | |
| | Other Forms of Internal Adjustment | | |
| 505 | <u>Miscellaneous Accounting Records</u> | | |
| | Alpha Vendor Files | Retain 3 years and until audit needs have been fulfilled; then, destroy. | Financial Affairs |
| | Bad Check Records * | | |
| | Bank Books, Statements and Deposits | | |
| | Budget Papers and Work Sheets | | |
| | Cashier's Report | * Unless involved in collection effort. | |
| | Cash Receipts | ** See Academic/Student Files for more information. | |
| | Cancelled Checks, Check copies & Stubs | | |
| | Certificate of Deposit (State Treasurer) | | |
| | Condemnation Reports | | |
| | Disbursement Voucher files | | |
| | Delivery Orders and Receipts | | |
| | Financial Aid Records ** | | |
| | Gas Withdrawal Tickets and Mileage | | |
| | Insurance Correspondence | | |
| | Mail Remittance List | | |
| | Memorandum Receipt and Property | | |
| | Off-campus Accounts, bills, etc. * | | |
| | Paid Bills and Invoices | | |

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| | <u>Miscellaneous Accounting Records (cont.)</u> | | |
| | Paid Bonds and Coupons | Retain 3 years and until audit needs have been fulfilled; then, destroy. | Financial Affairs |
| | Periodic Financial Reports | | |
| | Parking Registration | | |
| | Receipt Copies and Stubs | | |
| | Receiving Reports | | |
| | Reconciliation and Trial Balance Sheets | | |
| | Renewable Licenses | | |
| | Reports | | |
| | Requisitions and Purchase Orders | | |
| | Stock Record Cards | | |
| | Student Accounts * | | |
| | Scholarship Account Cards, Records, etc. | | |
| | Withholding Tax Forms and Statements (Local, State and Federal Agencies) | | |
| | Working Fund Records | | |
| 506 | <u>Special Payments File</u> (Consists of documents which show honorarium payments to non-employees. The file also includes the request form, documentation supporting the payment/contract to pay). | Retain 3 years and until audit needs have been fulfilled; then, destroy. | Financial Affairs |
| 507 | <u>Revolving Fund Records</u> (Computer produced reports which show a listing of funds deposited and withdrawn from the revolving fund.) | Retain 3 years and until audit needs have been fulfilled; then, destroy. | Financial Affairs |
| 508 | <u>Checkbook/Stubs</u> (Maintained to verify payment of certain bills and accounts.) | Retain 3 years and then, microfilm or retain original copy for 25 year retention. | Financial Affairs |

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| 509 | <u>GRANTS/CONTRACTS</u> (Includes records that document grants and/or contracts received from any source such as, applications, proposals, agreements, research reports, publicity notices, acknowledges and transfer of funds records, controlling rules and regulations, copies of periodic reports, correspondence and memoranda.) | Retain <u>State</u> contracts/grants for 3 years following termination date; then, destroy. Retain <u>Federal</u> contracts/grants for 3 years following termination date; then, destroy if under \$25,000. Retain for 6 years, 3 months following termination date; then destroy if \$25,000 or more. | Financial Affairs Institutional Advancement |
| 510 | <u>BUDGET RECORDS</u> (Includes official budget request documents, budget instructions, CPS request, Capital Budget requests, and related material). | Retain 3 years and until audit needs have been fulfilled; then, destroy. NOTE: CPS and Capital Budget related documents from each institution are retained permanently on microfilm by USMA. | Financial Affairs |
| 511 | <u>AUDITS</u> Legislative Audit Files Internal Audit Files | Retain 10 years; then, destroy. | Financial Affairs |
| 512 | <u>BOND RECORDS</u> Bond issue agreements Indentures Certificates Requisitions Bank Statements | Retain 5 years after life of bond and until audit needs have been fulfilled; then, destroy. | Financial Affairs |

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| 600 Series – FUNDRAISING, ALUMNI, ENDOWMENTS, RESEARCH AND DEVELOPMENT FILES | | | |
| 601 | <u>DONOR (GIFT) FILES</u> (These are records that reflect name, date, amount, receipt and account number, related data (including gift envelope and receipt), on all gifts donated to the University by friends, alumni, corporations, associations, or foundations.) | Retain gift envelope until audit needs have been fulfilled; then, destroy. Remaining material having historical value to be microfilmed for permanent retention. | Institutional Advancement |
| 602 | <u>ENDOWMENT FUND RECORDS</u> (Includes ledgers, journals, vouchers, bank statements, reports to the Regents and dividend reports that document endowment fund transactions. Includes Endowments for the Humanities (both MD and National)). | Retain permanently in microfilm or paper form. | Institutional Advancement |
| 603 | <u>CAPITAL CAMPAIGN</u> | Retain permanently in microfilm or paper form. | Institutional Advancement |
| 604 | <u>SPONSORED PROGRAMS</u> (Specifically U.S. Government, Title III and Grants) | Refer to retention policy for GRANTS/CONTRACTS (Ctrl #509,above). | Financial Affairs Institutional Advancement |
| 605 | <u>ALUMNI FILES</u> (Includes general correspondence, events and projects files, reunion files, newsletter, and alumni cultivation files.) | Retain 1 year; then, screen for and destroy material having no further reference value. Remaining material having continuing administrative, legal or historical value will be microfilmed for 25 year retention. | Institutional Advancement |

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700 Series – LIBRARY RECORDS RETENTION AND DISPOSAL STANDARDS

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| 701 | <p><u>SPECIAL PROJECT FILES</u> (Contains correspondence, records of negotiation, legal agreements and working papers relating to efforts to preserve certain “collections**”).</p> <p>** List each collection separately under special projects.</p> | <p>Screen annually and destroy material for which no further reference is required. Material having continued historical value to be retained permanently in institutional archives*.</p> <p>*or State archives if institution does not have appropriate archival facilities.</p> | Library |
| 702 | <p><u>DONOR FILES</u> Correspondence, gift agreements, collection inventories, processing notes, publicity materials, and working papers documenting the gift of library materials by outside donors to units within the Library system.</p> | <p>Retain permanently in library unit* in paper form.</p> <p>*or State archives if institution does not have appropriate archival facilities.</p> | Library |
| 702.1 | <p>Research notes, correspondence, and copies of gift receipts relating to gifts to the library. Includes files on individual donors, special projects, and prospective donors.</p> | <p>Retain for ten (10) years after file is declared inactive, and then destroy</p> | Library |

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| 703 | <u>INTERLIBRARY LOAN</u> | | |
| 703.1 | Off-campus Borrowing requests generated to borrow books and photocopies of journal articles from off-campus sources. | Retain for 3 years; then, destroy. | Library |
| 703.2 | Non-campus Requests by non-campus borrowers to borrow books and copies of journal articles owned by campus library. | Retain for 3 years and until all audit requirements are met, then destroy. | Library |
| 704 | <u>INFORMATION TECHNOLOGY</u> | | |
| 704.1 | System-wide Log Records listing dates of system-wide backups of the library's databases and indicating which backup tapes were used. | Retain until tapes are re-used. *Tapes are not destroyed; information is erased as tapes are used over and over. | Library |
| 704.2 | Tape Backup Records Lists of disk files copied onto each backup tape. | Retain for one (1) month or until tape is re-used then destroy. Library | Library |
| 704.3 | Shift Log Summary and highlight of system problems reported that may continue over more than one operator's shift. | Retain for six (6) months, then destroy. | Library |

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| 704.4 | Problem Reports Records of open and closed problems with the Library's CARL (Colorado Alliance Research Libraries)* on-line cataloging system reported by all library sites. *CSU used the VICTOR system, a component of CARL. | Retain in electronic form until no longer needed, then destroy. Retain paper copies for two years. | Library |
| 704.5 | Operator Logs Record of system operators' daily activities, including routine operational tasks, system problems, and any non-routine occurrences. | Retain for six (6) months, then destroy. | Library |
| 704.6 | Transaction Logs Records of interactions of patrons and piece(s) of library material, including financial transactions and borrowing or returning items. <u>Usually maintained in online electronic form as tape backups, and on microfilm.</u> | Retain in online electronic format for three years. Then transfer to tape backup. Retain electronic tape backup in Information Technology until no longer needed, then reuse. Retain in computer generated microfiche/microfilm form for three years or until all audit requirement are met, then destroy. | Library |
| 705 | <u>CIRCULATION AND RESERVES</u> | | |
| 705.1 | Billing Records Correspondence regarding billing questions and problems, copies of bills and invoices, and reports of billing status, for overdue fines, library materials' replacement costs, and other library charges against patron's accounts. | Retain 3 years and until audit needs have been fulfilled; then, destroy. | Library |

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| 705.2 | Patron Registration Names and address of library borrowers; initially maintained in paper form, then entered into automated library. | Retain paper copies for six (6) months, then destroy. Retain information on active borrowers in automated system on a perpetual basis, then destroy as borrowers become inactive. | Library |
| 705.3 | User Notices Copies of recall, availability, and overdue notices sent to library patrons. | Retain for three (3) years and until all audit requirements are met, then destroy. | Library |
| 705.4 | Collection Information Reports Reports listing temporary conversion records (TCR) created and books identified as missing. | Retain TCR reports for one (1) month or until online records appear, then destroy. Retain missing book reports for one (1) year, then destroy. | Library |
| 705.5 | Manual Charge Slips-Reserves Records of items on reserve charged out manually to library patrons. | Retain for one (1) month, then destroy. | Library |
| 705.6 | Faculty Lists-Reserves Lists of materials that faculty member have requested to have held on reserve. | Retain for two (2) years, then destroy. | Library |
| 705.7 | Statistics Printouts Computer-generated printouts of circulation statistics, reserves processing, holds, reclass, temporary conversions, tracers, and claims returned, including transaction logs and "snapshots". | Retain for one (1) year, then destroy. | Library |

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UNTIL AUDIT REQUIREMENTS ARE MET MEANS THREE YEARS FOR STATE RELATED DOCUMENTS, THREE YEARS FOR NON-MONETARY FEDERAL RELATED DOCUMENTS, THREE YEARS FOR MONETARY FEDERAL RELATED DOCUMENTS UNDER \$25,000, AND 6 YEARS, 3 MONTHS FOR MONETARY FEDERAL RELATED DOCUMENTS OVER \$25,000.

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UNIVERSITY OF BALTIMORE
RECORDS RETENTION AND DISPOSAL SCHEDULE

| Ctrl No. | Description | Retention Policy | Office of Record |
|-------------|---|---|------------------|
| 705.8 | Traffic Reports Records of hourly exit turnstile counts. | Retain current year plus one (1) year, then destroy. | Library |
| 705.9 | Computer Downtime Log Record of downtime for automated circulation system; includes notations of time system went down, time operations resumed, and reason for downtime. | Retain for one (1) year, then destroy. | Library |
| 706 | <u>SEARCH FILES – ELECTRONIC REFERENCE</u> These files contain search requests, statistics, and billings for search performed by Electronic Reference Services unit. | Retain for three (3) year and until audit requirements are met, then destroy. | Library |
| 707 | <u>PRESERVATION TREATMENT WORK FORMS</u> Records of routine preservation treatments performed on library materials, such as rebinding, reformatting or enclosing. | Retain for one (1) year, then destroy. | Library |
| 708 | <u>SPECIAL COLLECTIONS USE</u> | | |
| 708.1 | Sign in sheets, addresses, status of each individual using special collections material. | Retain for seven (7) years, then destroy. | Library |
| 708.2 | Copies of call slips used by patrons to request materials held by rare books department | Retain for seven (7) years, then destroy. | Library |

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UNIVERSITY OF BALTIMORE
RECORDS RETENTION AND DISPOSAL SCHEDULE

| Ctrl No. | Description | Retention Policy | Office of Record |
|-------------|---|---|------------------|
| 708.3 | Forms signed by researchers indicating that they will abide by rules established for use of primary source/original materials; including user's name, address, and ID number. | Retain permanently in library units in paper form. Transfer periodically to archives. | Library |
| 708.4 | Records of manuscript materials, photographs and memorabilia which have been requested for use by patrons (This is a permanent record of usage maintained for security and copyright purposes). | Retain permanently in library unit in paper form. Transfer periodically to archives. | Library |
| 709 | <u>PHOTOCOPY CENTER</u> Reports listing beginning and ending readings, total meter copies, money collected, differences between meter reading and money collected for each copier, deposits and income reports, completed requests for photocopying services performed by the photocopy center, reports of cash income. | Retain for three (3) years or until all audit requirements are met, then destroy. | Library |

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UNIVERSITY OF BALTIMORE
RECORDS RETENTION AND DISPOSAL SCHEDULE

| Ctrl No. | Description | Retention Policy | Office of Record |
|-------------|-------------|------------------|------------------|
|-------------|-------------|------------------|------------------|

800 Series – PERSONNEL/HUMAN RESOURCES RECORDS (STATE STANDARDS)

This series applies to Departments of Personnel within Maryland State Government and includes all standard personnel forms as well as other personnel media which provide supporting data for both special and general personnel records.

801 PERSONNEL FOLDERS

Upon selection for employment within a Department either as a new hire, transfer, reinstatement or temporary employee, a personnel folder is prepared. This folder may contain all or some of the following documents.

Application
Appointment Letter
Correspondence Relating to New Appointments
Personnel Payroll Form
Personnel Position Action Request
Personnel Recruitment Screening Report
Personnel Transaction Form
Retirement Form

Retain for three (3) years following termination of employment; then, destroy.

Human Resources

During continued employment, the folder may contain the following:

Change of Address Forms
Clearance File

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UNIVERSITY OF BALTIMORE RECORDS RETENTION AND DISPOSAL SCHEDULE

| Ctrl No. | Description | Retention Policy | Office of Record |
|-------------|--|------------------|------------------|
| 801 | Charges for Removal Commendations Contractual Employment Counseling Sessions Disciplinary Actions Efficiency Ratings EOE Statistical Reports General Correspondence Grievance Actions Health Insurance Benefits Form Leave Form Orientation Program Position History Probation Promotions Reclassification Resumes Suggestion file Summer Employment Suspension Actions Training | | |

The final documents in the folder are a personnel payroll form and the following:

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UNIVERSITY OF BALTIMORE RECORDS RETENTION AND DISPOSAL SCHEDULE

| Ctrl No. | Description | Retention Policy | Office of Record |
|-------------|--|---|------------------|
| 802 | <u>PERSONNEL I.D. NUMBER (KNOWN A PIN FOR FORMER BTSUC INSTITUTIONS AND STUDY NUMBERS FOR FORMER UNIVERSITY OF MARYLAND INSTITUTIONS</u> | Retain permanently in paper form or microfilm. | Human Resources |
| 803 | <u>STATUS CARD FILE</u> | Retain 5 years, then, destroy. | Human Resources |
| 804 | <u>HISTORY CARD</u> Upon being selected for employment within a Department either as a new hire, transfer, reinstatement or temporary employee, a personal history card is prepared. This card contains the following data: Name Address Social Security Number Telephone Number Race Sex Birth Date Increment Date EOD (Entry on Duty) Date Classification Effective Date of Classification Employment Status Salary Position Identification Number for Employee | Retain for three (3) years following termination of employment; then destroy. | Human Resources |

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UNIVERSITY OF BALTIMORE
RECORDS RETENTION AND DISPOSAL SCHEDULE

| Ctrl No. | Description | Retention Policy | Office of Record |
|-------------|--|--|------------------|
| 805 | <u>WORKER'S COMPENSATION FIRST REPORT OF INJURY REPORTS</u> | Retain 5 years; then, destroy. | Human Resources |
| 806 | <u>PART TIME QUARTERLY REPORTS</u> | Retain 5 years; then destroy. | Human Resources |
| 807 | <u>ANNUAL REPORTS</u> | Retain 5 years; then destroy. | Human Resources |
| 808 | <u>DEPARTMENT BUDGET REPORTS</u> | Retain 5 years; then, destroy. | Human Resources |
| 809 | <u>GRIEVANCE MATERIAL</u> | Retain until grievance has been completely adjudicated; then, microfilm for permanent retention. | Human Resources |
| 810 | <u>SAVINGS BOND CAMPAIGN</u> | Retain 3 years; then, destroy. | Human Resources |
| 811 | <u>TIME SHEETS</u> | Retain 3 years and until audit needs have been fulfilled; then, destroy. Exception: If employee is terminated, retain last time sheet (or computer leave printout, if more accurate) for 3 years following termination date; then, destroy. | Human Resources |

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UNIVERSITY OF BALTIMORE
RECORDS RETENTION AND DISPOSAL SCHEDULE

| Ctrl No. | Description | Retention Policy | Office of Record |
|-------------|--|--|------------------|
| 812 | <u>EQUAL EMPLOYMENT OPPORTUNITY/ AFFIRMATIVE ACTION</u> | Retain 5 years; then, destroy. | Human Resources |
| 813 | <u>SEARCH COMMITTEE FILES</u> | Microfilm material legally required and retain permanently. (e.g., advertisements, committee recommendations and voting and top candidate resumes). | Human Resources |

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UNIVERSITY OF BALTIMORE
RECORDS RETENTION AND DISPOSAL SCHEDULE

| Ctrl No. | Description | Retention Policy | Office of Record |
|--|--|--|--|
| 900 Series – PROCUREMENT RECORDS FILE | | | |
| 901 | <u>PURCHASING RECORDS</u> Including the following: | | |
| | Actual Emergency and Repair Reports | Retain for five years and until audit needs have been fulfilled; then destroy. | Procurement Department (except files identified with asterisk (*)). |
| | Advertising and Bids | | |
| | Agency Inter-Office Requisitions | | |
| | Bid and Quote Files | | |
| | Copy of Contracts Awarded | Refer to retention policy for GRANTS/ | |
| | Credit Memoranda | CONTRACTS (Ctrl #509, above). | |
| | *Inventory Dispositions | | Facilities |
| | *Invoices/Expenditure Transfer Authorizations | | Financial Affairs |
| | *Issue Tickets or Receipts | | ? |
| | Materials/Supplies Specifications | | |
| | Monthly Expenditure Printouts | | |
| | Notice of Award of Contracts | | |
| | Unscheduled Requisitions for Supplies | | |
| | *Packing Slips, Shipping Tickets, Bills of Lading | | Central Receiving |
| | Purchase Orders | | |
| | Purchasing Register | | |
| | *Receiving Reports | | Central Receiving |
| | *Report of Delivery/Partial Delivery | | Central Receiving |
| | *Requisition Forms, Miscellaneous | | |
| | Requisitions for Supplies | | |
| | Warehouse Requisitions | | |
| | Automation Management Reports | | |

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UNIVERSITY OF BALTIMORE
RECORDS RETENTION AND DISPOSAL SCHEDULE

| Ctrl No. | Description | Retention Policy | Office of Record |
|-------------|--------------------------------|---|------------------------|
| 903 | <u>CORRESPONDENCE</u> | Screen annually and destroy that material having no further reference value. Remaining material having continuing administrative, legal or historical value will be microfilmed for permanent retention. | Procurement Department |
| 904 | <u>CONTRACTS/GRANTS</u> | Refer to retention policy for GRANTS/ CONTRACTS (Ctrl #509, above). | Procurement Department |

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UNIVERSITY OF BALTIMORE
RECORDS RETENTION AND DISPOSAL SCHEDULE

| Ctrl No. | Description | Retention Policy | Office of Record |
|--|--|---|------------------|
| 1000 Series – PUBLIC SAFETY FILES | | | |
| 1001 | <u>JUVENILE RECORDS</u> A police record concerning a child is confidential and shall be maintained separate from those of adults. Its contents may not be divulged, by subpoena or otherwise, except by order of the court upon good cause shown. This does not prohibit access to and confidential use of the record by the Department of Juvenile Services or in the investigation and prosecution of the child by any law enforcement agency. | Juvenile records are to be kept permanently in a file separate from the records of adults. The contents of the files may only be divulged by court order. The contents of the files may be used to aid criminal investigation but the contents of the files may not be divulged during these investigations unless there is a court order. A locked, fireproof file cabinet is required for storage of the files. | Public Safety |
| 1002 | <u>EXPUNGEMENT RECORDS</u> Records ordered sealed by the court. If sealed, the court records may not be opened for any purpose except by order of the court upon good cause shown. | Criminal records ordered sealed by the court are to be kept permanently in a file that is fireproof and secure. If the records ordered expunged are for juveniles, these records must be kept in a separate file cabinet. | Public Safety |
| 1003 | <u>CRIMINAL RECORDS</u> This series contain all records maintained on criminal over the age of 18. | Criminal records on adults are to be kept permanently in a locked, fireproof safe. If files re ordered expunged, the contents of the files may only be divulged by court order. If files are not in expunged category, the contents of the files may be divulged to aid a criminal investigation. | Public Safety |

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RECORDS RETENTION AND DISPOSAL SCHEDULE

| Ctrl No. | Description | Retention Policy | Office of Record |
|-------------|-------------|------------------|------------------|
|-------------|-------------|------------------|------------------|

Series 1100 – STUDENT/ACADEMIC RECORDS RETENTION STANDARDS

1101 UNDERGRADUATE STUDENTS

| | | | |
|--------|---|--|------------------|
| 1101.1 | Academic records (transcripts) | Office of Record (Registrar's Office) to retain these records permanently (Make determination to microfilm, etc. or retain in original paper form. This must be stated in records disposition schedule). | Student Services |
| 1101.2 | Student folders Contains high school transcripts, admission material pertinent to student admission, transcripts from other colleges, change of major forms, change of address, application for diplomas, application for admission to college, other miscellaneous materials deemed necessary. | Office of Record (Registrar's Office/ Admissions Office) to retain records for five (5) years for undergraduate non-graduates and ten (10) years for undergraduate graduates, then destroy. | Student Services |
| 1101.3 | Provisional advanced standing sheets for transfer students | Admissions Office to retain permanently either on microfilm or in paper form. | Student Services |
| 1101.4 | International student folders; undergraduate student residency folders; control cards; predicted average cards; and transfer student requests to study at another institution. | Retain for ten (10) years, then destroy. | Student Services |

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UNIVERSITY OF BALTIMORE
RECORDS RETENTION AND DISPOSAL SCHEDULE

| Ctrl No. | Description | Retention Policy | Office of Record |
|-------------|--|---|------------------|
| 1101.5 | Transcript requests, registration forms and material. | Office of Record to keep for two (2) years, then destroy. | Student Services |
| 1101.6 | College catalogues from creation of institution to present. | Office of Record to retain 25 years, then destroy. NOTE: Copies of each catalogue published by the university must be forwarded to the Office of Vice Chancellor for Advancement at UM System Admin for permanent retention. | Student Services |
| 1101.7 | New Course Material | Registrar's Office to retain 5 years, then destroy. | Student Services |
| 1101.8 | Budget/Accounting Files connected with undergraduate student matters | Retain 3 years or until audit needs have been fulfilled, then destroy. | Student Services |
| 1101.9 | General Correspondence relating to undergraduate student matters | Refer to retention policy for GENERAL FILES (Ctrl #101). | Student Services |
| 1101.10 | Counseling Files connected with undergraduate or graduate students. These include locator cards and record sheet on visits. | Office of Record to retain 7 years following graduation or departure; then destroy. | Student Services |

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UNIVERSITY OF BALTIMORE
RECORDS RETENTION AND DISPOSAL SCHEDULE

| Ctrl No. | Description | Retention Policy | Office of Record |
|-------------|--|---|------------------|
| 1101.11 | Health-related files (Includes patient charts, lab and x-ray reports, hospital visits, allergy schedule, and health history, records of visits, etc.) | Retain 5 years following last visit; then, destroy. | Student Services |
| 1101.12 | Quality Assurance Information (Lab Work) | Retain 7 years; then destroy. | Student Services |
| 1101.13 | Health Fees and related services | Retain 3 years or until collection is complete, and until audit requirements have been fulfilled; then destroy. | Student Services |
| 1101.14 | Financial Files (Includes the following: Statement of Fees Cash Receipts Certificates of Deposits Credit Card Receipts Refund Request Vouchers Library Adjustments Paid Deferred Payment Contracts Paid Company Contracts Paid Collection Accounts Tuition Calculation Reports Purge Reports Cashier Summary Reports Drop/Add Reports Paid Parking Reports Paid Health Insurance Reports) | Retain 5 years or until audit requirements have been fulfilled; then, destroy. | Student Services |

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UNIVERSITY OF BALTIMORE RECORDS RETENTION AND DISPOSAL SCHEDULE

| Ctrl No. | Description | Retention Policy | Office of Record |
|-------------|--|--|------------------|
| 1101.15 | Financial Aid Files (Includes the following: Applications/FAF's Pell SAR Perkins Loan (NDSL, Guaranteed Student Loan Applications) Check Release Contracts Book Coupons Control Cards Confirmation Reports Merged Reports Batch Transmittals Fiscal Operations/Application Reports) | Retain 5 years after student ceases to be active, or until audit requirement are complete; then destroy. | Student Services |
| 1101.16 | Unsatisfied Financial Accounts (Includes the following: Unpaid Perkins Loan Files Unsatisfied Checks Unpaid Deferred Payment Contracts Unpaid Company contracts Unpaid Collection Accounts | Retain until account is satisfied and all audit requirements are met, then destroy. | Student Services |
| 1101.17 | Student Housing Contracts | Retain for three (3) years after student leaves, then destroy. | Student Services |

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UNIVERSITY OF BALTIMORE
RECORDS RETENTION AND DISPOSAL SCHEDULE

| Ctrl No. | Description | Retention Policy | Office of Record |
|-------------|--|--|------------------|
| 1101.18 | Alpha Roster: listing of all students living on campus by semester | Retain for 25 years either on microfilm or paper form, then destroy. | Student Services |
| 1101.19 | Student Housing Files | Retain for minimum of four (4) years or until student graduates, then destroy. | Student Services |
| 1101.20 | Applications for Admission (Including other general correspondence on students who were cancelled or denied admission). | Retain for three (3) years after cancellation or denial. | Student Services |
| 1101.21 | Student Affairs/Dean of Students | | |
| | Handicapped: accessibility requirements, individual student files, recording for the blind catalogs, Section 504 data, inventory of equipment, etc. | Retain individual student files for four (4) years or for tenure of student, then destroy. Catalogues to be kept until superseded, and inventory to be maintained for three (3) years or until audit requirements are met, then destroy. | Student Services |
| | Student Policies: committee data on policy formation, code of conduct, sexual harassment, and any other policy used for education, implementation and enforcement purpose. | Maintain policies until superseded. Only policies having historical value to be kept permanently in paper or microfilm form. | Student Services |
| | Judicial: card index of individual case files, summary reports used for counseling or adjudication of judicial cases of students. | Retain card index for five (5) years (tenure of student) or until judicial adjudication, then destroy. | Student Services |

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UNIVERSITY OF BALTIMORE RECORDS RETENTION AND DISPOSAL SCHEDULE

| Ctrl No. | Description | Retention Policy | Office of Record |
|-------------|--|---|------------------|
| 1101.21 | Student Affairs/Dean of Students (continued) | | |
| | Orientation: programs, procedures, budget data, justification of work, etc. in support of new student and family orientation. | Retain for three (3) years or until audit requirements have been fulfilled, then destroy. | Student Services |
| | Student Organizations: budget data, correspondence, etc. on student organizations used. | Retain for three (3) years or until audit requirements have been fulfilled, then destroy. | Student Services |
| 1102 | <u>CREDENTIAL/CAREER PLANNING/PLACEMENT</u> (Repository of records for professional and personal references, records of awards, requests by students and alumni for job purposes. Includes personal information, unofficial grade report, references, evaluations, etc.) | Retain for five (5) years following graduation/departure of student; then, destroy. | Student Services |
| 1103 | <u>GRADUATE STUDENTS</u> NOTE: There are general areas under <u>UNDERGRADUATE STUDENTS</u> (Ctrl #901) that will also apply to Graduate Student files. | | |
| 1103.1 | General Files (Includes applications and supporting correspondence/documents.) | Retain 10 years; then, destroy unless involved in collection activity. | Graduate School |

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UNTIL AUDIT REQUIREMENTS ARE MET MEANS THREE YEARS FOR STATE RELATED DOCUMENTS, THREE YEARS FOR NON-MONETARY FEDERAL RELATED DOCUMENTS, THREE YEARS FOR MONETARY FEDERAL RELATED DOCUMENTS UNDER \$25,000, AND 6 YEARS, 3 MONTHS FOR MONETARY FEDERAL RELATED DOCUMENTS OVER \$25,000.

IF UNIVERSITY OF BALTIMORE ARCHIVES ARE NOT AVAILABLE, MATERIAL HAVING PERMANENT RETENTION WILL BE TRANSFERRED TO THE MARYLAND STATE ARCHIVES IN ANNAPOLIS AND MATERIAL HAVING LIMITED RETENTION (i.e. 25 YEARS) WILL BE TRANSFERRED TO THE STATE RECORDS CENTER IN JESSUP.

UNIVERSITY OF BALTIMORE
RECORDS RETENTION AND DISPOSAL SCHEDULE

| Ctrl No. | Description | Retention Policy | Office of Record |
|-------------|---|--|------------------|
| 1103.2 | Grade Documentation (Final semester printout) | Retain permanently in paper or microfilm form. | Graduate School |
| 1103.3 | Course Approval Cards, Intercampus Forms (transfer from other campuses), Adds/Drops | Retain 7 years; then, destroy unless involved in collection activity. | Graduate School |
| 1103.4 | Registration forms | Retain 3 years; then, destroy unless involved in collection activity. | Graduate School |
| 1103.5 | Billing material, Cashier's Remittances Refunds, Bill Authorizations, etc. | Retain 3 years or until all audit needs have been fulfilled; then, destroy. | Graduate School |
| 1103.6 | Student Statistics | Retain 5 years; then destroy. | Graduate School |
| 1103.7 | Graduate Faculty Meeting Files (Includes minutes and general papers, includes Senate meetings with minutes)> This would apply to undergraduate faculty meetings and files also. | Screen and retain minutes having historical value permanently on microfilm or in paper form. All other material, retain for five (5) years; then, destroy. | Graduate School |
| 1103.8 | Graduate Faculty <u>Resume</u> Only File | Retain for five (5) years; then, destroy. | Graduate School |
| 1103.9 | Faculty Research Awards and Faculty Fellowships | Retain for three (3) years following termination or until audit requirements have been fulfilled, then destroy. | Graduate School |

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UNIVERSITY OF BALTIMORE RECORDS RETENTION AND DISPOSAL SCHEDULE

| Ctrl No. | Description | Retention Policy | Office of Record |
|-------------|---|---|---|
| 1103.10 | Graduate Course Schedules, Audit Trails, Section Lists, Printouts on Registration and Paid Bills or Students | Retain for seven (7) years, then destroy. | Graduate School |
| 1103.11 | Theses | Retain permanently in original form. | Graduate School |
| 1104 | <u>GENERAL ACADEMIC FILES</u> NOTE: The Office of Personnel/Human Resources on each campus is Office of Record for all personnel files. (Refer to PERSONNEL/HUMAN RESOURCES RECORDS (STATE STANDARDS), 800 Series, above) | | |
| 1104.1 | Faculty APT (Appointments, Promotions and Tenure Files) | Retain all APT files dated April 5, 1989 and later permanently either on microfilm or in hard copy. NOTE: Office of Academic Affairs in the Chancellor's Office is Office of Record for period prior to 4/5/89. These files are retained permanently in UMSA archives. | Undergraduate Programs Graduate School |

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UNIVERSITY OF BALTIMORE

RECORDS RETENTION AND DISPOSAL SCHEDULE

| Ctrl No. | Description | Retention Policy | Office of Record |
|-------------|--|---|--|
| 1104.2 | Advisory Council Files (Councils and other bodies which serve an advisory capacity to Chancellor, Presidents, etc. Files consist of original of minutes and related records of proceedings and reports). | Retain policy items until superseded. Policies and minutes having historical value, retain permanently on microfilm or in paper form. | Office of the President |
| 1104.3 | Academic Program Files (Records relating to programs either proposed by System institutions or adopted by the BOR). | Office of Academic Affairs at UMSA to retain permanently on microfilm in UMSA archives. | UMSA Academic Affairs |
| 1104.4 | Board of Regents/Board of Trustees Files (Include the original as well as copies of meeting minutes, committee reports, correspondence, memoranda, notes, agendas and general background material as a result of meetings and related activities of Board of Regents and former Board of Trustees. | Chancellor's Office at UMSA keeps BOR and BOT minutes and other official Board records prior to July 1, 1981 in UMCP archives in hard copy. Material after 1981 is kept in UMSA archives in hard copy form. | UMSA Archives |
| 1104.5 | Middle State Association/Southern Regional Education Board (Official reports and related materials of accrediting agencies concerning UMA institutions and programs). | Office of Academic Affairs at UMSA microfilms all reports or correspondence of historical value for permanent retention in UMSA archives. | UMSA Archives |
| 1104.6 | State Board for Higher Education and MHEC (Board and committee meeting minutes and related material which established policies affecting the System). | UMSA screens annually and destroys material no longer affecting the System. General Administration, UMSA, will retain historical material on financial matters and Academic Affairs, UMSA, will retain historical material on academic matters for permanent retention. | UMSA General Administration UMSA Academic Affairs |

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UNIVERSITY OF BALTIMORE
RECORDS RETENTION AND DISPOSAL SCHEDULE

| Ctrl No. | Description | Retention Policy | Office of Record |
|-------------|--|---|---|
| 1104.7 | President/Chancellor Files (Historical) (These files are subject oriented to the programs and projects of former System Administration Presidents/Chancellors from 1917 to present). | Applies specifically to System Administration but would apply to what to do with similar material on current Presidents at institution UMSA Chancellor's Office screens and destroys routine correspondence, duplicate and information copies, and related papers not needed to document an action. Historical files dated 1917 to 1988 are microfilmed and deposited in UMCP archives. Material after 1988 is microfilmed and placed in UMSA archives for permanent retention. | Office of President UMSA Archives |
| 1104.8 | Bookstore/Textbook Related Material | | |
| | Textbooks Adoption Form – a listing of textbooks used for each course. | Retain for six (6) years, then destroy. | Graduate School Undergraduate Programs |
| | Books in Print – a listing of all publications currently being published. | Microfiche annually, as new editions are published. | Graduate School Undergraduate Programs |
| | Wholesaler Buying Guide | Microfiche bi-monthly. | Graduate School Undergraduate Programs |
| | Medical Book Distribution Index | Microfiche monthly. | Graduate School Undergraduate Programs |

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UNIVERSITY OF BALTIMORE
RECORDS RETENTION AND DISPOSAL SCHEDULE

| Ctrl No. | Description | Retention Policy | Office of Record |
|-------------|--|--|---|
| | Faculty Charge Forms and In-House Charge Forms – lists of charges made by staff member or individual departments including signed authorization forms and work orders. | Retain three (3) years or until audit requirements are met, then destroy. | Graduate School Undergraduate Programs |
| 104.9 | Department Meeting Minute (Includes Dean's Office, etc.) | Retain 3 years; then, screen for and destroy material having no further reference value. Remaining material having continuing administrative, legal or historical value will be microfilmed for 25 year retention. | <u>All</u> departments |
| 1104.10 | Faculty Evaluations | Retain 2 years beyond termination of faculty member; then, destroy. | Graduate School Undergraduate Programs |
| 1104.11 | Course Final Exams, Course Descriptions and Grade Rosters | Retain for 25 years (either paper or microfilm), then destroy. | Graduate School Undergraduate Programs |
| 1104.12 | Library Technical Record Files (Includes Card Catalog, Shelf List, Acquisition Files, Serial Record Files, Documents Files, Withdrawal Files, Circulation Registration Files.) | Retain for 25 years (either paper or microfilm), then destroy. | Library Services Graduate School Undergraduate Programs |
| 1104.13 | College Archival Files (Includes files for former Presidents, Board of Regents, etc.) | Retain permanently only material of historical value. | Graduate School Undergraduate Programs |

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UNIVERSITY OF BALTIMORE RECORDS RETENTION AND DISPOSAL SCHEDULE

| Ctrl No. | Description | Retention Policy | Office of Record |
|-------------|--|---|-------------------------------------|
| 1104.14 | Academic Press/Sports Releases | Retain for 25 years (either paper or microfilm), then destroy. | Office of Institutional Advancement |
| 1104.15 | Food Service (Includes meal card information, snack bar, dining hall, etc., daily cash reports, and catering records, stockroom inventory, contract on food and supplies.) | Retain for three (3) years or until audit requirements are met, then destroy. | Center Operations |

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| Ctrl No. | Description | Retention Policy | Office of Record |
|-------------|-------------|------------------|------------------|
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1200 Series – TELECOMMUNICATIONS/COMMUNICATIONS

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|--------|---|--|------------------------|
| 1201 | <u>Communications Material</u> | | |
| 1201.1 | FCC License Application for Public Radio Station Grant Proposals | Retain for 25 years (either paper or microfilm), then destroy. Refer to retention policy for GRANTS/CONTRACTS (Ctrl #509, above). | Information Technology |
| 1201.2 | Interagency Telephone Invoices | Retain for three (3) years, then destroy | Information Technology |
| 1201.3 | C&P Reports detailing all equipment rented by University | Retain for three (3) years, then destroy. | Information Technology |

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