



Procedure on Records Management

(Approved by the President in April 1, 2003)

I. PURPOSE

The purpose of this document is to establish the proper procedures for retaining and discarding University records.

II. BACKGROUND

This policy has been developed to implement BOR VI-6.10 Policy on Records Management issued by the Chancellor on January 6, 1992, and to provide procedures for maintaining the UMBI Records Retention and Disposal Schedule.

III. DEFINITIONS

- A. Unit - UMBI Centers and the UMBI Central Administration Offices
- B. Unit Head - A Center Director, Vice President, or the President
- C. UMBI Records Manager - Coordinates records management for UMBI
- D. Unit Records Coordinator - Coordinates records management for the respective UMBI Units

IV. PROCEDURE

- A. The Vice President for Operations and Finance will appoint a UMBI Records Manager to maintain the UMBI Records Retention and Disposal Schedule ("Schedule") according to the standards set by the Chancellor and the Code of Maryland Regulations, and to coordinate the retention and disposal of UMBI records.
- B. Each Unit Head will appoint a Unit Records Coordinator, or multiple Unit Records Coordinators, to assist the UMBI Records Manager in fulfilling the requirements of this policy.
- C. UMBI Records Retention and Disposal Schedule
 - 1. The Schedule shall be reviewed every five years and may be amended at that time if necessary. Updates to the Schedule must be made every ten years.
 - 2. Prior to amending or updating the Schedule, the UMBI Records Manager and each Unit Records Coordinator will complete the Agency Records Inventory Form for their respective Unit. The UMBI Records Manager will assemble the information from all of Units into one UMBI Agency Records Inventory Form, and will update the Schedule with inputs from the Centers, UMBI Central Administration, and appropriate Federal and State guidelines regarding retention during requirements.
 - 3. Upon approval from the Vice President for Operations and Finance, the UMBI Records Manager will submit the appropriate number of copies of the Schedule

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and the Agency Records Inventory Form to the Records Management Division of the Department of General Services for assignment of a new Schedule number. The Records Management Division will then forward the Schedule to the State Archivist for final approval.

4. The UMBI Records Manager and the Unit Records Coordinators will arrange for the disposal of records in accordance with the state-approved Schedule.
- D. Records shall be stored at the Unit until they become eligible for disposal. If sufficient space is not available within UMBI, the following procedures shall be followed:
1. Records requiring permanent retention - Guidelines set forth by the Maryland State Archives shall be observed. The UMBI Records Manager shall maintain copies of associated forms listing records that have been transferred to the Maryland State Archives for all Units.
 2. Records having limited retention - Guidelines set forth by the Department of General Services shall be observed. The UMBI Records Manager shall maintain copies of associated forms listing records that have been transferred to the State Record Center for all Units.
- E. Forms
1. Records Retention and Disposal Schedule
 2. Agency Records Inventory Form

DEPARTMENT OF GENERAL SERVICES RECORDS MANAGEMENT DIVISION		Schedule No.: Page 1 of 4
RECORDS RETENTION AND DISPOSAL SCHEDULE		
Agency: University of Maryland Biotechnology Institute		Division/Unit:
Item No.	Description	Retention
1	<p>Human Resource Records</p> <p>A. Timekeeping Records - individual time sheets approved by the supervisor which show leave taken and hours worked for exempt and non-exempt staff, both regular and contingent, and students.</p> <p>B. Faculty Time Reports - monthly reports showing days worked and leave taken by faculty members.</p> <p>C. Employee Leave Balances - leave balances for faculty members, and exempt and non-exempt staff, both regular and contingent.</p> <p>D. Personnel Files - contains all or some of the following: application and resume; appointment letter; reference checks; payroll forms; recruitment screening report; retirement forms; transcripts; change of address forms; clearance file; commendations; contracts; correspondence; counseling sessions; grievances; disciplinary actions; probation material; performance evaluations; affirmative action form; health insurance benefit forms; leave forms (including leave-without-pay and sabbatical requests); position history; resignation, retirement, transfer, or dismissal paperwork.</p>	<p>Retain for minimum of 3 years and until audit requirements are met, then destroy at the discretion of Office of Record. Office of Record before 02/23/02 is the Unit. Office of Record effective 02/23/02 is PHR.</p> <p>Retain individual monthly reports for minimum of 3 years and until audit requirements are met, then destroy at the discretion of Office of Record. Office of Record is the Unit.</p> <p>Retain final leave balances for minimum of 3 years after termination of employment, then destroy at the discretion of Office of Record. During the time the employee is active, retain ongoing balances for 3 years for audit purposes. Office of Record before 02/23/02 is the Unit. Office of Record effective 02/23/02 is PHR.</p> <p>Paper copies - retain for minimum of 3 years after termination of employment, then destroy at the discretion of Office of Record. Electronic copies - retain permanently. Office of Record is UMBI Human Resources.</p>
Authorized by Department Head or Designated Representative Signature: _____ Title: _____ Date: _____ Authorized by Vice President of Administrative Affairs Date: _____ Signature: _____ Type Name: _____ Title: _____		Schedule Authorized by State Archivist Date: _____ Signature: _____

**DEPARTMENT OF GENERAL SERVICES
RECORDS MANAGEMENT DIVISION**

**RECORDS RETENTION AND DISPOSAL SCHEDULE
(CONTINUATION SHEET)**

Schedule No.:

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Item No.	Description	Retention
	<p>E. Search Committee Files - search committee materials for faculty, administrators and exempt staff. Consists of search and selection plans, advertisements, final recommendation of committee, meeting minutes containing final recommendation data, voting results, resumes, and all information on appointed candidate.</p>	<p>Retain material for minimum of 2 years, then destroy at the discretion of Office of Record. Office of Record is the Unit.</p>
	<p>F. Position Files - position files for faculty, and exempt and non-exempt staff, both regular and contingent, including any of the following: requests for position classification action, lists of eligibles, position descriptions, position ID numbers, EEO statistical reports.</p>	<p>Retain for minimum of 3 years after position is abolished, then destroy at the discretion of Office of Record. Office of Record is UMBI Human Resources.</p>
2	<p>Payroll Records - journals, one pay certification cards, check register, journal vouchers, payroll entry forms, and other internal adjustment forms.</p>	<p>Retain for minimum of three years and until all audit requirements are met, then destroy at the discretion of Office of Record. Office of Record is USM Payroll.</p>
3	<p>Purchasing Records - internal account records including copies of requisitions, invoices, packing slips, purchasing card transaction logs and reconciled statements, and receipts.</p>	<p>Retain for minimum of 3 years and until audit requirements are met, then discard at the discretion of Office of Record. Office of Record for SM Small Procurement Orders, Master Orders, and Procurement Card Purchases is the Unit. Office of Record for purchase orders is Procurement and Supply.</p>
4	<p>Accounting Records - miscellaneous payments, contract items, revolving fund, checkbook data, special payments, periodic financial reports, operating budget items including amendments, estimates and other pertinent data.</p>	<p>Retain for minimum of 3 years and until audit requirements are met, then destroy at the discretion of Office of Record. Office of Record for Miscellaneous payments is the Unit. Office of Record for all other Accounting Records is UMBI Operations and Finance.</p>
5	<p>Contract and Grant Files - records that document contracts and grants received by the institution from any source, including applications, proposals, agreements, research reports, effort reports, publicity notices, acknowledgments and transfer of fund records, controlling rules and regulations, copies of periodic reports, correspondence and memoranda.</p>	<p>Retain state contract and grant files for minimum of 3 years after the close of the contract and until audit requirements are met, then destroy at the discretion of Office of Record. Retain federal contract and grant files for minimum of 3 years from the date of submission of the final expenditure report and until audit requirements are met, then destroy at the discretion of Office of Record. Office of Record is UMBI Contract and Grant Accounting.</p>

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Item No.	Description	Retention
6	Inventory Material - records identifying capital and sensitive equipment and related material including inventory inclusion, adjustment, loan, and deletion forms.	Retain for minimum of 3 years and until audit requirements are met, then discard at the discretion of Office of Record. Retain record of items purchased with federal funds for minimum of 3 years after final disposition, then discard at the discretion of Office of Record. Office of Record for Deletion forms is UMBI Operations and Finance. Office of Record for all other Inventory Material is the Unit.
7	Faculty Files - resumes; appointment, promotion, and tenure (APT) material, including appointment letters.	Retain for minimum of 3 years after termination of employment, then destroy at the discretion of Office of Record. Office of Record is UMBI Academic Affairs.
8	Advisory Council Files - council and other bodies which serve in an advisory capacity to the President. Files consist of original minutes and related records of proceedings and reports, including UMBI Faculty-Staff Senate minutes.	Retain policy items until superseded, then discard at the discretion of Office of Record. Policies and minutes having historical value to be retained permanently. Office of Record is UMBI President's Office.
9	State Budget Correspondence - includes all budget request documents, budget instructions, CPS-related material, Capital Budget related material, etc (This item does not pertain to daily operating budget - see item #4 for this category)	Retain for minimum of 3 years and until audit requirements are met, then destroy at the discretion of Office of Record. Office of Record is UMBI Operations and Finance. USM keeps all CPS and Capital Budget documents from each institution for 25 years on microfilm.
10	<p>Audits</p> <p>A. Legislative Audit Files - audits conducted by State legislative auditors.</p> <p>B. Internal Audit Files - audits conducted by USM internal auditors.</p>	<p>Retain material for minimum of 3 years and until audit requirements are met, then destroy at the discretion of Office of Record. Office of Record is State Legislative Audit Office; also USM keeps these records for 10 years. UMBI Office of Record is Operations and Finance.</p> <p>Retain material for minimum of 3 years, then destroy at the discretion of Office of Record. Office of Record is USM Internal Audit Office which keeps reports permanently. UMBI Office of Record is Operations and Finance.</p>

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Item No.	Description	Retention
11	Donor (Gift) Files - records which show name, date, amount, receipt and account number, and related data (including gift envelope and receipt), on all gifts donated to the institution by friends, corporations, associations, or foundations.	Retain gift envelope until audit is complete, then destroy at the discretion of Office of Record. Remaining material having historical value to be kept by UMBI in paper form for permanent retention. Office of Record is the University of Maryland Foundation, Inc.
12	Endowment Fund Records - ledgers, journals, vouchers, bank statements, reports to the Regents and dividend reports which document endowment fund transactions.	Retain permanently in paper form. Office of Record is the University of Maryland Foundation, Inc.
13	General Correspondence Alpha, Subject, Administrative and Chronological correspondence maintained by the unit. These files contain internal and external, original incoming and outgoing correspondence, reports, memoranda, statistics, proposed programs, policy and procedure statements, special projects and data concerning the operation of the office that maintains it.	Screen annually and destroy that material for which no further reference is required. Remaining material having continuing administrative or legal value to be microfilmed or kept in paper form by the Office of Record for minimum of 25 years, then destroy at the discretion of Office of Record. Material deemed to have historical value will be placed in UMBI archives for permanent retention. Office of Record is the Unit.
14	Legal Documents Non-sponsored research related legal contracts, agreements, leases, memoranda of understanding (MOU).	Screen annually and destroy that material for which no further reference is required. Retain remaining material permanently. Office of Record for administrative records is UMBI Operations and Finance. Office of Record for academic records is UMBI Academic Affairs. Office of Record for health, safety, and compliance documents is UMBI Research and Development.
15	Asset Protection and Commercialization Files Patents and patent application documents, invention disclosures, material transfer agreements, confidential disclosure agreements, memoranda of understanding related to licensing and intellectual property, and documents related to licensing and marketing of technology. If University of Maryland Biotechnology Institute archives are not available, material having permanent retention will be transferred to the Maryland State Archives in Annapolis. Material having limited retention (ie, 25 years) will be transferred to the State Records Center in Jessup.	Retain permanently. Office of Record is UMBI Research and Development.

INSTRUCTIONS: TYPE OR PRINT A SEPARATE FORM FOR EACH NEW OR REVISED RECORD SERIES. FORWARD WITH RECORDS RETENTION SCHEDULE RMGT - 201 (7/92)		AGENCY RECORDS INVENTORY	
		PAGE _____ OF _____	
1. AGENCY University of Maryland Biotechnology Inst	2. DIVISION	3. UNIT	
DEFINITION - RECORD SERIES: A GROUP OF RELATED RECORDS NORMALLY FILED AND USED AS A UNIT FOR REFERENCE AS WELL AS RETENTION AND DISPOSITION PURPOSES.			
4. RECORD SERIES TITLE		5. EARLIEST YEAR/LATEST YEAR _____ TO _____	
6. RECORD SERIES DESCRIPTION (BRIEFLY DESCRIBE THE TYPES OF INFORMATION/DOCUMENTS/FORMS FOUND IN THE SERIES, INCLUDING THE PURPOSE OR FUNCTION OF THE SERIES.)			
7. RECORD SERIES FORMAT(S) <input type="checkbox"/> LETTER SIZE <input type="checkbox"/> MICROFILM <input type="checkbox"/> LEGAL SIZE <input type="checkbox"/> COMPUTER TAPE <input type="checkbox"/> BOUND BOOK <input type="checkbox"/> FLOPPY DISK <input type="checkbox"/> AUDIO TAPE <input type="checkbox"/> VIDEO TAPE <input type="checkbox"/> OTHER (SPECIFY) _____		8. RECORD SERIES SEQUENCE <input type="checkbox"/> ALPHABETICAL <input type="checkbox"/> NUMERICAL <input type="checkbox"/> CHRONOLOGICAL <input type="checkbox"/> GEOGRAPHICAL <input type="checkbox"/> OTHER (SPECIFY) _____	
		9. VOLUME <input type="checkbox"/> FILE DRAWER(S) <input type="checkbox"/> MICROFILM(S) <input type="checkbox"/> COMPUTER TAPE(S) <input type="checkbox"/> OTHER (SPECIFY) _____ _____ NUMBER	
		10. ANNUAL ACCUMULATION <input type="checkbox"/> FILE DRAWER(S) <input type="checkbox"/> MICROFILM REEL(S) <input type="checkbox"/> COMPUTER TAPE(S) <input type="checkbox"/> OTHER (SPECIFY) _____ _____ NUMBER	
11. FILE IS USED <input type="checkbox"/> DAILY <input type="checkbox"/> WEEKLY <input type="checkbox"/> MONTHLY		12. FILE BECOMES INACTIVE AFTER _____ NUMBER <input type="checkbox"/> MONTH(S) <input type="checkbox"/> YEAR(S)	
13. CURRENT LOCATION(S) (BUILDING, FLOOR, ROOM)		14. IS RECORD SERIES DUPLICATED ELSEWHERE? (IF YES, SPECIFY AGENCY OR OFFICE) <input type="checkbox"/> YES <input type="checkbox"/> NO	
15. ACCESS RESTRICTIONS* <input type="checkbox"/> YES <input type="checkbox"/> NO (IF YES, CITE LAW(S) & REGULATIONS)		16. AUDIT REQUIREMENTS <input type="checkbox"/> NONE <input type="checkbox"/> STATE <input type="checkbox"/> FEDERAL <input type="checkbox"/> INDEPENDENT	
17. IS AN INDEX SYSTEM USED? (IF YES, EXPLAIN BRIEFLY AND DESCRIBE ANY HARDWARE/SOFTWARE) <input type="checkbox"/> YES <input type="checkbox"/> NO		18. RECOMMENDED RETENTION	
19. NAME AND TITLE OF PREPARER		20. TELEPHONE NUMBER	
		21. DATE	

* Access to records is subject to, and may be restricted by, applicable Federal and State laws and regulations. Access to any specific document must be determined by the specific facts of the case analyzed in the context of the applicable laws and regulations.

DEPARTMENT OF GENERAL SERVICES -- STATE RECORDS MANAGEMENT CENTER
 P.O. BOX 275, JESSUP, MD. 20794 (TELEPHONE-799-1379)

RECORDS TRANSMITTAL AND RECEIPT

DIRECTIONS-PLEASE TYPE OR PRINT CLEARLY ALL ENTRIES

A. AGENCY 1.		ACCESSION NO.	DATE REC'D
B. DIVISION/UNIT			RM CODE
C. MAILING ADDRESS		LOCATION RANGE SECTION(S)	NO. OF CU. FT.
D. PHONE NO.		RECORDS CENTER MANAGER	
E. AGENCY OFFICIAL		TO BE COMPLETED AT STATE RECORDS MANAGEMENT CENTER	
2. BOX NUMBERS	3. DESCRIPTION OF RECORDS WITH INCLUSIVE DATES	4. DISPOSAL AUTHORITY SCHEDULE, ITEM NO., DISPOSAL DATE	

PRE-TRANSFER RECORD ASSESSMENT FORM
Maryland State Archives

AGENCY

Name & Address:

() _____

CURRENT STORAGE CONDITIONS: (e.g. in boxes on the floor, on shelves; offsite storage, etc)

Has storage area ever had problems with (circle all that apply)?:

flooding leaks plumbing fire mildew insects rodents other

If so, please explain problem and how it was resolved:

Were the records damaged as a result? If so, please explain:

GENERAL CONDITION OF RECORDS:

- | | |
|--|--|
| <input type="checkbox"/> surface dirt | <input type="checkbox"/> separated pages |
| <input type="checkbox"/> tears/losses | <input type="checkbox"/> brittle paper |
| <input type="checkbox"/> folds/creases | <input type="checkbox"/> lacy paper |
| <input type="checkbox"/> multicolored stains/discoloration | <input type="checkbox"/> tunnels in pages |
| <input type="checkbox"/> residues/accretions | <input type="checkbox"/> sawdust accumulation |
| <input type="checkbox"/> insect damage/remains | <input type="checkbox"/> broken/detached cover |
| <input type="checkbox"/> water damage | <input type="checkbox"/> odor |

ADDITIONAL COMMENTS:

Completed By: _____
() _____

Date: _____

