

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 that format has been met.

A-133 REPORTS

This series consists of copies of A-133 Reports.

Recommended retention:

A: Master record maintained at Accounting Services: 10 fiscal years (OMB Circular A-133)

B: Duplicates: Retain until updated

ABSENCE CARDS

This series documents vacation and sick leave taken by employees.

Recommended retention: 3 fiscal years.

ACCESS RECORDS

This series documents access by employees to workstations and buildings.

Recommended 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.

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

ADMINISTRATIVE POLICY RECORDS

This series is typically arranged in alphabetical subject files, and may include chronological reading files, bound reports, tape recordings, photographs, electronic mail and other information types, all of which document the activities of the Provosts, Vice Presidents, Assistant/Associate Vice Presidents, Deans and Assistant/Associate Deans.

Recommended retention: 3 fiscal years. Transfer to University Archives.

ADMINISTRATIVE SUPPORT RECORDS

This series documents the administrative records that are used to carry out the functions of the office and may include video, audio, electronic and paper media.

Recommended 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.

Recommended 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 – MEDICAL SCHOOL

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

Recommended retention:

A: Master record: Maintained by Medical School Admissions: 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..

Recommended 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.

Recommended 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.

Recommended retention:

Recommended 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.

Recommended 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.

Recommended 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.

Recommended 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.

Recommended 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.

Recommended 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.

Recommended 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

GRANT PROPOSAL RECORDS

This series consists of the grant proposals sent to granting agencies, and may include but is not

C: 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. For additional information, see Student Records Management.

Recommended 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.

Recommended 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.

Recommended 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.

Recommended 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.

Recommended 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 non-students for jobs of less than 29 hours.

Recommended retention: 5 fiscal years.

STUDENT EVALUATIONS OF FACULTY

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

Recommended 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.

Recommended retention:

A: Graduates: 1 year after graduation.

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

STUDENT HEARING TAPES

This series consists of tapes of hearings before the Student Behavior Committee and the President Student Behavior Review Panel. Outcomes are recorded in the Student file.

Recommended retention:

A: Expelled Students: Retain transcript of hearing permanently. Once transcript is certified, tape can be destroyed.

B: Other Discipline: 10 years after case closed.

STUDENT SCHOLARSHIP RECORDS

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

Recommended 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.

Recommended retention: 4 fiscal years.

TELEPHONE MESSAGES

This series consists of voice mail and telephone message books or slips filled out by employees, and includes online messages used through Gopher messaging.

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

TIME CARDS

Recommended retention:

A: Non-Sponsored Accounts: 3 fiscal years. (29 CFR 519.17)

B: Sponsored Accounts: SEE SPONSORED ACCOUNTS

TRAINING RECORDS - MERTKA

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

Recommended 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.

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

TRANSCRIPT REQUEST FORMS

This series consists of requests for transcripts by students, and may be submitted either electronically or in hard copy.