

# **University of Missouri System**

## **Records & Information Management**



## **Records Retention Guide**

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The Records Retention Guide provides a quick reference to the records retention requirements, including the proper disposition, of University records that are frequently found in all departments. These records may be the original records (copy of record) or copies.

The retention periods established for University records are based on the legal, administrative, financial, research, and historical needs of the University. “Just in case” or “We might need that” are not legitimate criteria for keeping records beyond their established retention time. Likewise, the type of media a record is created or retained on has no bearing on retention time requirements since retention periods are media neutral. However, records having long retention periods must be either retained on a media that has a long life span or a migration plan must be in place to ensure availability of the records for as long as they are needed.

The ‡ to the left of an entry indicates a change in a current retention requirement or a new Record Retention Requirement Authorization.

Due to the limited space available in the Records Retention Guide, the retention information provided is a summary of the actual Records Retention Authorizations. The exact wording for most Records Retention Authorizations is available on Records Management’s website at: <https://www.umsystem.edu/ums/fa/management/records>

Questions regarding any of the records described in the Guide may be directed to Records and Information Management at [recordsmanagement@umsystem.edu](mailto:recordsmanagement@umsystem.edu). We also provide records management training for University staff and departments at your convenience.

Please retain a copy of this guide in your department for records retention guidance until superseded.

Director of Records & Information Management

## Notes

# Records Retention Guide

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# I. Financial Records -- All Departments -- All Campuses

These are the various accounting and fiscal records of the University of Missouri that record its business functions on all campuses. In most instances, these records originate in the various departments and are processed through the various campus accounting offices.

Description of Record	Retention Period	Dept. Action Required	Official Copy of Record	Auth #
<b>Departmental Accounting Records: Originals kept in Accounting Office</b>				
Accounts Receivable Receipts (ARRs), Cash Receipt Reports (CRRs), University Invoices, and Supporting Documentation	2 Years	Destroy	Accounting	00-020
Bookstore Requisitions, Internal Order Forms, Printing Services Work Authorizations, Quick Copy Work Orders, Stores Requisitions	2 Years	Destroy	Accounting	00-020
Correcting Entries (CE), Internal Service Entries (ISE), Journal Entries (JE), Payroll Correcting Entries (PCE), Transfers (TRE), and Supporting Documentation	2 Years	Destroy	Accounting	00-020
Vouchers: Non-PO Vouchers, Petty Cash, Request for ACH Deposits, Travel Expense Vouchers, Vendor Invoices, W-9s, and all other Vouchers & Supporting Documentation	2 Years	Destroy	Accounting	00-020
<b>Departmental Accounting Records: Originals kept in each department</b>				
Accounting Support Records	5 Years	Destroy	Department	00-020
Accounts Receivable Invoice Supporting Records (Non ARBI Invoices)	10 Years	Destroy	Department	00-020
Audit Reports: (Department Copies)				
Audits conducted by External Auditing	5 Years	Transfer to Campus Archives		00-013
Audits conducted by Internal Auditing	2 Years	Destroy	Department	00-013
Bank Records	10 Years	Destroy	Department	00-020
Budget Preparation Files (Work Sheets, Request for Change, Allocation Letters, etc.)	5 Years	Destroy	Department	00-013
Cash Register Tapes, Envelopes	2 Years	Destroy	Department	00-020
Conference or Course Fiscal Records (Grant Funded)	5 Years	Destroy	Department	00-019
Conference or Course Fiscal Records (Internal or Full Fee)	2 Years	Destroy	Department	00-019



# I. Financial Records -- All Departments -- All Campuses

Description of Record	Retention Period	Dept. Action Required	Official Copy of Record	Auth #
(HIPAA) Health Insurance Portability and Accountability Act Subject Payment Records		Retain indefinitely in secure location	Department	00-020
Recharge Center Charge Support Documents	5 Years	Destroy	Department	00-020
Supporting Documents for Departmental Feeder Transmission to General Ledger	5 Years	Destroy	Department	00-020
Tickets to University Functions	2 Years	Destroy	Department Selling Tickets	00-011
<b>Departmental Payroll Records (not HR related)</b>				
Biweekly and Monthly Rosters, Expense Distribution, etc.	2 Years	Destroy	Payroll Office	00-016
Report of Absence Forms	5 Years	Destroy	Department	00-016
Time Sheets, Time Cards (non-grant)	5 Years	Destroy	Department	00-016
<b>Departmental Purchasing Records</b>				
Capital Equipment, Inventory List	2 Years	Destroy	Purchasing	41-112
PROCARD / UNICARD Credit Card Receipts and Related Documents	5 Years	Destroy	Department	41-112
Purchase Requisitions, Purchase Orders	2 Years	Destroy	Purchasing	41-112

## II. Administrative Records -- All Departments – All Campuses

The "year of record" for administrative files is normally *calendar* year or *fiscal* year. If any other time period is used, the records must be retained until that year is completed before taking the appropriate disposition steps.

<b>Description of Record</b>	<b>Retention Period</b>	<b>Dept. Action Required</b>	<b>Auth #</b>
Activity Consent / Liability Waivers and Release Forms (Adults)	5 Years	Destroy	00-013
Activity Consent / Liability Waivers and Release Forms (Minors)	23 Years	Retain twenty-three (23) years after created, then destroy	00-013
Appointment Calendars	2 Years	Destroy	00-013
Association / Organization Records <sup>1</sup>	2 Years	Destroy	00-013
Awards, Honors, Fellowships, Scholarships (Students, Faculty, Staff)	5 Years	Transfer to Campus Archives	00-013
Building Coordinator Files		Retain until superseded or no longer of administrative value, then destroy	00-013
<b>Committees</b>			
Ad Hoc Committee Files (Official files of boards, task forces, search committees, etc., appointed for a specific purpose and the committee disbands when the task is completed. Files normally kept by Chairperson or Secretary.)		Retain until work of committee has been completed and committee disbanded, then transfer to Campus Archives	00-013
Committee Member Files (Informational copies kept by standing committee and ad hoc committee members.)		Retain until member no longer on committee, then destroy	00-013
Standing Committee Files (Official files of all committees that function on a continuing basis. Files are normally kept by Chairperson or Secretary.)	3 Years	Transfer to Campus Archives	00-013
Conference & Non-Credit Course Program Files	5 Years	Destroy	00-019
Conference Credit Course Program Files	5 Years	Destroy	00-019

<sup>1</sup>See Authorization 00-013-13 for exception to 2 year retention.

## II. Administrative Records -- All Departments -- All Campuses

Description of Record	Retention Period	Dept. Action Required	Auth #
<b>Conflicts of Interest:</b>			
Grants		Retain for three (3) fiscal years after final payment, then transfer to Campus Archives	00-010
Non-grants		Retain for three (3) fiscal years after termination of the conflict, then transfer to Campus Archives	00-010
Departmental Surveys	3 Years	Destroy	00-013
<b>Directives, Policy &amp; Procedure Records:</b>			
Informational Copies		Retain until superseded, then destroy	00-013
Official Record (Original)		Retain until superseded, then transfer to Campus Archives.	00-013
Equipment Maintenance Records		Retain for one (1) year after disposing of equipment, then destroy	00-013
Foundation Records		Retain until no longer of administrative value, then transfer to Campus Archives	00-013
<b>General Administrative Files</b>			
Correspondence sent or received in the transaction of University business	5 Years	Transfer to Campus Archives	00-013
Subject files that document the department's role in University affairs.	2 Years	Transfer to Campus Archives	00-013
<b>Personnel-</b> see footnote on page 7			
<b>Prohibited Personnel Records</b>			
Many personnel related records are confidential in nature and are not to be retained within departments. The list of prohibited records lengthy. See Records Retention Authorization 00-016 at <a href="https://www.umsystem.edu/ums/fa/management/records/guide/rrg00-016#3">https://www.umsystem.edu/ums/fa/management/records/guide/rrg00-016#3</a> for a complete list of prohibited records and instructions regarding the disposition of those records.			00-016
Applications for Employment (Rejected Faculty Positions - originals and copies)	3 years	Destroy	77-104
Applications for Employment (Rejected Staff Positions - copies)	All Years	Destroy - Not to be retained in department	77-104
Applications for Employment (Rejected Staff Positions - originals)	All Years	Not to be retained by departments. Transfer to appropriate Human Resources Office	77-104

## II. Administrative Records -- All Departments -- All Campuses

Description of Record	Retention Period	Dept. Action Required	Auth #
EEO / Affirmative Action Records		Retain until superseded, then transfer to Campus Archives	00-013
Employment Eligibility Verification Form (I-9) and support documents (originals)	All Years	Transfer to appropriate Human Resources Office	00-016
Terminated Employee Files (Faculty)	2 Years	Transfer to Campus Archives	00-016
Terminated Employee Files (Staff) <sup>2</sup>	2 Years	DESTROY - <i>Except</i> all originals of disciplinary material and performance appraisals to be transferred to Campus Human Resources office	00-016
Transferred Employees (Staff)	All Years	Forward to new department	00-016
Photos & Slides	5 Years	Transfer to Campus Archives	00-013
Publications		Send one copy to Campus Archives at time of publication. Retain balance until no longer of administrative value, then destroy	00-013
Publicity Release Records		Retain for five (5) years after last use, then destroy	00-013
Reference Materials, External		Retain until no longer of reference value, then destroy	00-013
Reports / Project Records - Ad Hoc	5 Years	Transfer to Campus Archives	00-013
Reprint Permission for Copyrighted Materials		Retain for five (5) years after material was reprinted, then destroy	00-013
Statistical Data Records	3 Years	Destroy	00-013
Strategic Plan Records		Retain until superseded, then transfer to Campus Archives	00-013
Vehicle Records		Retain for five (5) years after vehicle is traded or sold, then destroy	00-013

<sup>2</sup>UMC departments contact Human Resources for guidance on handling student employee files.

### III. Academic Department Administrative Files -- All Campuses

<b>Description of Record</b>	<b>Retention Period</b>	<b>Dept. Action Required</b>	<b>Auth #</b>
Accreditation Records	5 Years	Transfer to Campus Archives	00-015
Add and Drop Records	1 Year	Retain for one (1) year or until contested grade resolved, then destroy	00-015
Alumni / Alumni Assoc. Records		Retain until no longer of administrative value, then transfer to Campus Archive	00-015
Class Roll Records	1 Year	Retain for one (1) year or until contested grade resolved, then destroy	00-015
Course Records	3 Years	Transfer to Campus Archives	00-015
Curriculum / Syllabus	5 Years	Transfer to Campus Archives	00-015
<b>Faculty Records</b>			
Faculty Evaluation Records	5 Years	Transfer to Archives	00-014
Faculty Service / Activity Records		Retain until termination of employment, then transfer to Campus Archives	00-014
Promotion and Tenure Records	All Years	Retain until termination of employment, then transfer to Campus Archives	00-014
Teaching Evaluation Records	3 Years	Retain for three (3) years then destroy, unless used for promotion or tenure purposes, then see Authorization 00-014 (above)	00-014
Terminated Faculty	1 Year	Transfer to Campus Archives	00-016
Grade Books	7 Years	Retain for five (7) year or until contested grade resolved, then destroy	00-015
Grade Rolls (SIS)	5 Years	Destroy	00-015
Graduation Activity Records	3 Years	Transfer to Campus Archives	00-015
<b>Grant Records</b>			
Pending/Rejected Grant Files	3 Years	Destroy	00-021
Awarded Grant Files			
Fiscal records including effort verification reports paid by grant funds		Send all fiscal material related to the grant to Office of Sponsored Programs Admin	00-021
Grant Project Director's Files and/or Administering Department Files Awarded, completed grant files	3 Years	Contact campus grant's office for approval to destroy	00-021
Grant History File	3 Years	Place copy of grant proposal, final report and sample of data in Campus Archives	00-021

### III. Academic Department Administrative Files -- All Campuses

Description of Record	Retention Period	Dept. Action Required	Auth #
<b>Research Records</b>			
Approved Animal Protocols - Expired	3 Years	Destroy	00-018
Care of vertebrate animals as subjects in research & teaching records	3 Years	Transfer to Campus Archives	00-018
Research Data		Retain for seven (7) years <i>after final report or project has been completed</i> , then destroy	00-018
Research Final Reports	5 Years	Transfer to Campus Archives	00-018
<b>Student Records</b>			
Advising Files / Student Folders	5 Years	Destroy	00-012
Application Records, Non-Enrolled	5 Years	Destroy	00-012
Examinations, Tests, Blue Books	1 Year	Retain for one (1) year or until contested grade is resolved, then destroy	00-012
Placement Files	10 years	Retain for ten (10) years or until contested grade is resolved, then destroy	00-012
Student Health Records	10 years	Retain for ten (10) years after date of last treatment	00-012
<b>Medical Records</b>			
Patient Billing Records including Remittance Advices, CRR's, Submitted Claims, and supporting documentation	10 Years	Destroy	
Adult Patients (18 years old and older)	10 Years	Retain for ten (10) years after the year of last treatment, then destroy	42-402
Minor Patients (younger than 18 years old)	23 Years	Retain for twenty-three (23) years after the year of last treatment, then destroy	42-402
Deceased Patients	10 Years	Retain for ten (10) years after the year of death, then destroy	99-07

## **IV. Individual Department Records & Changes**

In addition to the records listed, each department may have records unique to its operation which document the type of work it performs. Such records are to be reviewed by Records Management and, with the department's assistance, a retention authorization developed to cover these records.

Until such a time as this departmental authorization is written and approved, such records cannot be disposed of by the department. Pending the development of this authorization, these records may be stored in the University Records Center on a temporary basis if they present a storage or security problem for the department.

Departments that presently have individual departmental authorizations should review their authorizations at this time and dispose of their records accordingly. If the departmental authorizations are not available, request copies from Records Management.

### **Records Management Contact Information**

If a department creates a new records series, changes the name of a records series, or eliminates a records series, please contact Records and Information Management so we can update the appropriate retention authorizations. Likewise, anytime a department changes its name, address, or contact information, Records and Information Management should be notified as soon as possible.

Questions regarding records retention and disposition, use of the University Records Center, destruction of confidential records, as well as requests for brochures, materials, and training should be sent to Records Management, 2910 LeMone Industrial Boulevard, Columbia, MO 65211 or by contacting us via:

Telephone: (573) 882-5324  
(573) 882-5955

Web: <http://www.umsystem.edu/ums/fa/management/records/>

E-mail: [RecordsManagement@umsystem.edu](mailto:RecordsManagement@umsystem.edu)

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## Notes



## Notes





