

<b>University Policies</b>	
<i>Click on a policy name to read its description. Keywords associated with the policy are in parenthesis.)</i>	
<b>Academic Probation and Suspension</b> (Probation, Suspension)	
<b>Course Numbering</b>	
<b>Credit and Grade Point Requirements</b> (Credit Limits, Graduation Requirements, Resident Requirements for Graduation)	
<b>Declaring a Major</b> (Undeclared Major)	
<b>Degrees with Distinction and Degrees with Honors</b> (Graduating with Distinction, Graduation with Latin Honors, Honors)	
<b>Establishing, Enforcing, and Waiving Prerequisites</b>	
<b>Equity, Diversity, Equal Opportunity, and Affirmative Action</b> (Equal Opportunity)	
<b>Grading and Transcripts</b> (Auditing, Dean's List, Discretionary Course Cancellation or Withdrawal, Incompletes, Repetition of Courses, Transcripts, Withdrawal from a Course)	
<b>Holds on Records and Registration</b> (Holds)	
<b>Leave of Absence and Readmission</b> (Leave of Absence, Readmission, Withdrawal from the University)	
<b>Managing Student Records</b> (Access to Educational Records)	
<b>Mandatory Attendance at the First Class Session</b> (Class attendance, Consequences for Absence and Makeup Work for Legitimate Absences, Leave of Absence)	
<b>Promoting Timely Graduation by Undergraduates</b> (Academic Progress, Four-year Graduation, Full-time Student Status, Student Responsibilities)	
<b>Retention of Student Records</b>	
<b>Scheduling Examinations, Final Examinations, and Study Days</b> (Final Exams)	
<b>Student Conduct Code</b> (Academic Integrity, Conduct Code, Academic Integrity and Grievance)	
<b>Teaching and Learning: Student Responsibilities</b>	
<b>Transfer of Undergraduate Credit</b> (Credit by Examination, Establishing, Enforcing, and Waiving Prerequisites)	
<b>Using Email as Official Student Communication</b> (Email)	



ADMINISTRATIVE POLICY

# Promoting Timely Graduation by Undergraduates: Twin Cities, Crookston, Morris, Rochester

**Policy Contents**

- [Policy Statement](#)
- [Reason for Policy](#)
- Procedures
- Forms/Instructions
- [Additional Contacts](#)
- Definitions
- Responsibilities
- Appendices
- FAQ
- Related Information
- [History](#)

**Effective Date:** April 2009

**Last Update:** December 2009

**Responsible University Officer:**

- Senior Vice President for Academic Affairs and Provost

**Policy Owner:**

- Vice Provost and Dean of Undergraduate Education

**Policy Contact:**

- [Robert McMaster](#)

CONSULTED WITH: Faculty Senate

Printed on: January 3, 2013. Please go to <http://policy.umn.edu> for the most current version of the Policy or related document.

## POLICY STATEMENT

[RETURN TO TOP](#)

1. The University expects undergraduate students to graduate in a timely manner, defined here as four years. All departments and programs must have in place a published or publicly available curricular plan that enables students to graduate in four years. Such a plan should assume that students will enroll for at least 15 degree-applicable credits per semester, on average, but the plan may not require that students enroll for more than 17 credits per semester, on average.
2. Admissions, collegiate, and registration materials must contain language emphasizing to students that they must complete at least 15 degree-applicable credits per semester on average to graduate within four years. All colleges and campuses are responsible for informing students of the average credit load necessary to graduate in four years.
3. The University must adopt policies, and further publicize existing policies, which will facilitate timely graduation for most students (within four years). The Office of the Senior Vice President for Academic Affairs and Provost will engage in regular conversations with the Senate Committee on Educational Policy about these policies and their effectiveness.

### Exclusions

This policy is not applicable to the Duluth campus.

## REASON FOR POLICY

[RETURN TO TOP](#)

Timely graduation is an underlying foundational principle for undergraduate education at the University. This policy outlines related guidelines to reinforce timely graduation.

## PROCEDURES

[RETURN TO TOP](#)

There are no procedures related to this policy.

## FORMS/INSTRUCTIONS

[RETURN TO TOP](#)

There are no forms related to this policy.

## ADDITIONAL CONTACTS

[RETURN TO TOP](#)

Subject	Contact	Phone	Fax/Email
Primary Contact(s)	<a href="#">Robert McMaster</a>	612-626-9425	<a href="mailto:mcmaster@umn.edu">mcmaster@umn.edu</a>

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Morris Campus Procedures	<a href="#">Bart Finzel</a>	320-589-6015	<a href="mailto:finzelbd@morris.umn.edu">finzelbd@morris.umn.edu</a>
Rochester Campus Procedures	<a href="#">Claudia Neuhauser</a>	507-258-8066	<a href="mailto:neuha001@umn.edu">neuha001@umn.edu</a>

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## DEFINITIONS

[RETURN TO TOP](#)

There are no definitions for this policy.

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## RESPONSIBILITIES

[RETURN TO TOP](#)

There are no specified responsibilities for this policy.

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## APPENDICES

[RETURN TO TOP](#)

There are no appendices related to this policy.

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## FREQUENTLY ASKED QUESTIONS

[RETURN TO TOP](#)

There is no FAQ for this policy.

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## RELATED INFORMATION

[RETURN TO TOP](#)

There is no related information for this policy.

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## HISTORY

[RETURN TO TOP](#)

**Amended:**

December 2009 - Policy now applies to Crookston.

**Amended:**

April 2009 - Clarified policy and put in standard format. Added contact information.

**Effective:**

April 2009

**Supersedes:**

*Policy of Academic Progress of Undergraduates*



## ADMINISTRATIVE POLICY

# Managing Student Records

**Policy Contents**

- [Policy Statement](#)
- [Reason for Policy](#)
- [Procedures](#)
- [Forms/Instructions](#)
- [Additional Contacts](#)
- [Definitions](#)
- [Responsibilities](#)
- [Appendices](#)
- [FAQ](#)
- [Related Information](#)
- [History](#)

**Effective Date:** June 2005**Last Update:** October 2009**Responsible University Officer:**

- University Registrar

**Policy Owner:**

- Director, Office of the Registrar

**Policy Contact:**

- [Tina Falkner](#)

Printed on: January 4, 2013. Please go to <http://policy.umn.edu> for the most current version of the Policy or related document.

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## POLICY STATEMENT

[RETURN TO TOP](#)

The University protects the rights of students with respect to their education records. Education records generally include any personally identifiable records maintained about a student by the institution, including academic, disciplinary, and administrative records. Each campus must:

- provide students with an annual notice of their rights,
- regulate access to education records in accordance with law and policy,
- maintain records as required by law and policy,
- provide students with the right to request amendment to their education records and the right to a hearing concerning their education records, and
- provide complete records, from all units at the University, in response to a student's request that records be provided.

**Access to student records.** University officials may have access to student information, if their responsibilities reasonably require access to that information for educational, administrative, or research purposes in the performance of their job duties. University employees who have access to student education records are obligated to carefully protect them and will be held accountable for safeguarding them. Policy or procedure violations may result in disciplinary action, including possible termination of employment, and applicable civil and criminal sanctions.

**Distributing grades.** The posting of grades or examination results with personally-identifiable information (i.e., student ID number, Social Security Number, student name) is prohibited. Examinations, papers, blue books, or any other graded materials that contain personally-identifiable student information (i.e., name, student ID number) should be distributed directly to students or made available for pick up in departmental offices in a manner that ensures the privacy of each student's grade.

**Student right to review.** Students are entitled by law to review portions of their records at the University and to request amendments of such records if the student believes they are inaccurate, misleading, or otherwise in violation of the privacy or other rights of the student.

**Disclosure of student records, including disciplinary background checks.** Personally-identifiable student information may only be released under the conditions outlined in the procedures or with the written permission of the student. When a student provides a valid authorization to release student records to a third party, all records that are legally covered by the authorization must be released as requested by the student. Units responding to external requests for information must ensure that the response includes all requested information that exists at the University.

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## REASON FOR POLICY

[RETURN TO TOP](#)

This policy implements Board of Regents Policy: *Student Education Records*, and establishes procedures to ensure compliance with state and federal law governing student education records.

## PROCEDURES

[RETURN TO TOP](#)

- [Assuring Student Rights Regarding Education Records](#)
- [Accessing and Using Student Education Records](#)
- [Releasing Student Information](#)
- [Responding to Authorizations to Disclose Student Records](#)
- [Students Managing Their Education Records](#)

## FORMS/INSTRUCTIONS

[RETURN TO TOP](#)

- UM 1711: [Reference Request and Student Authorization](#)
- FA 857: [Student Information Release Authorization](#) (PDF)
- [Access Request Form \(ARF\)](#) on the [OIT Data Security](#) page
- [Reference Request and Student Authorization](#)
- [Student Information Release Authorization](#)

## ADDITIONAL CONTACTS

[RETURN TO TOP](#)

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FERPA	Tina Falkner Tracy Smith	612-625-1064 612-624-4100	612-626-1754 612-626-9624

## DEFINITIONS

[RETURN TO TOP](#)

### Directory Information

Student's name, address, etc.

### Legitimate Education Interest

An interest in student records for the purpose of performing stated job duties.

### Student Applicant

A person who has applied for admission to a University college. It includes students who are enrolled in a University college and are applying for admission to another University college.

### Student Education Records

Any student record maintained by the institution that contains personally identifiable information.

### University Official

University officials are those members of the University whose responsibilities reasonably require access to student records for educational, administrative, or research functions and may include faculty, administration, clerical and professional employees, and other persons who manage student record information.

## RESPONSIBILITIES

[RETURN TO TOP](#)

### Custodian of Education Records

Bring Board of Regents Policy: *Student Education Records* and other pertinent federal and state laws to the attention of all people who have access to student records. Respond to requests by student to amend an educational record.

### Vice Provost & Chancellors

Appoint the custodians of student education records.

### Departments with Academic Records

Adopt these administrative procedures or prepare its own departmental procedures that are set forth in the Regents and this policy.

### Hearing Officers

Comply with the hearing procedures.

### Registered Student

Complete a request to prevent disclosure to prohibit the disclosure of directory information during the term of enrollment.

**Office of the Registrar**

Publish an annual public notice designating directory information and informing students of their option to prohibit release of directory information.

**University Officials**

Respond to inquiries about students without their consent if the requested information is a matter of public record or directory information and not suppressed.

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**APPENDICES**[RETURN TO TOP](#)

- [Persons And Institutions That May Receive Information Without Student Permission](#)

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**FREQUENTLY ASKED QUESTIONS**[RETURN TO TOP](#)

There is no FAQ associated with this policy.

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**RELATED INFORMATION**[RETURN TO TOP](#)**Statutes:**

- Minnesota Government Data Practices Act, Minn. Stat. section 13.01-.99.
- Family Educational Rights and Privacy Act, 20 U.S.C.A. section 1232g, and implementing regulations, 34 C.F.R. Part 99.

**Related Policies:**

- Board of Regents Policy: [Student Education Records](#)
- Administrative Policy: [Reporting and Notifying Individuals of Security Breaches](#)

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**HISTORY**[RETURN TO TOP](#)**Amended:**

September 2009 - Added new procedure: *Responding to Authorizations to Disclose Student Records*. Title changed from Protecting the Privacy of Student Education Records to Managing Student Records. Clarifying changes made throughout policy.

**Effective:**

June 2005



## ADMINISTRATIVE POLICY

# Grading and Transcripts: Twin Cities, Crookston, Morris, Rochester

**Policy Contents**

- [Policy Statement](#)
- [Reason for Policy](#)
- Procedures
- Forms/Instructions
- [Additional Contacts](#)
- [Definitions](#)
- [Responsibilities](#)
- Appendices
- [FAQ](#)
- [Related Information](#)
- [History](#)

**Effective Date:** April 2009**Last Update:** July 2010**Responsible University Officer:**

- Senior Vice President for Academic Affairs and Provost

**Policy Owner:**

- Vice Provost and Dean of Undergraduate Education
- Vice Provost and Dean of Graduate Education

**Policy Contact:**

- [Tina Falkner](#)

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**CONSULTED WITH:** Faculty Senate

Printed on: January 4, 2013. Please go to <http://policy.umn.edu> for the most current version of the Policy or related document.

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**POLICY STATEMENT**
[RETURN TO TOP](#)
**A. Establishment and Use of University Grading Systems**

1. There are two distinct grading systems on each campus of the University, A-B-C-D-F (with pluses and minuses as permitted by this policy) and S-N. The S-N system is a self-contained alternative to the A-F system and the two may not be combined for a particular student in a particular course. Students may receive grades or symbols only from the grading system under which they have registered for a course. This policy does not require any instructor to use pluses and minuses.
2. There are, in addition, registration symbols identified and described in this policy that carry neither grade nor credit.
3. No campus, college, or program is required to offer a course on the S-N grading system.
4. Any unit may choose to limit grades in a particular course to the A-F or the S-N system.
5. When both grading systems are available to a student, he or she must declare a choice of system as part of the initial registration for the course. The choice may not be changed after the end of the second week of classes (the first week in summer sessions).
6. Except as provided in this policy in Sections A (7) and F (12), no college may use any grading systems other than the ones established by this policy.
7. The Law School and the Medical School are exempt from the provisions of this policy, but will report their grading systems, and any changes therein, to the Faculty Senate. Any other units that believe that the national norms of their profession require a different grading system may make application to the Senate Committee on Educational Policy for an exemption from this policy. The Faculty Senate must approve all such exemptions.
8. The No Grade (NG) grading basis is used for certain graduate-level registrations as determined by the Graduate School.

**B. Permanent Grades for Academic Work for Credit**

1. The list below identifies the possible permanent grades that can be given for any course for which credit is to be awarded. These grades will be entered on a student's official transcript and, for an A, B, C, or D with permitted pluses and minuses, carry the indicated grade points. (Except for the Law School, the University does not award A+ grades, nor are D- grades permitted). The S grade will not carry grade points but the credits will count toward the student's degree program if allowed by the college, campus, or program.

- A 4.000 - Represents achievement that is outstanding relative to the level necessary to meet course requirements
  - A- 3.667
  - B+ 3.333
  - B 3.000 - Represents achievement that is significantly above the level necessary to meet course requirements
  - B- 2.667
  - C+ 2.333
  - C 2.000 - Represents achievement that meets the course requirements in every respect
  - C- 1.667
  - D+ 1.333
  - D 1.000 - Represents achievement that is worthy of credit even though it fails to meet fully the course requirements
  - S Represents achievement that is satisfactory, which is equivalent to a C- or better.
2. These definitions apply to grades awarded to students who are not enrolled in graduate, post-baccalaureate, and professional programs, but the grade points are the same no matter the level or course of enrollment.
  3. Instructors are permitted to hold graduate and undergraduate students who are in the same class to different standards of academic performance and accomplishment. The syllabus must make clear what the different standards will be for the different groups of students who may be enrolled in the class.
  4. These are the general University standards. In connection with all symbols of achievement instructors will define for a class, at one of its earliest meetings and as explicitly as possible, the performance that will be necessary to earn each.

### C. Permanent Grades for Academic Work for which No Credit is Given

1. There are two permanent grades given for a course for which no credit is to be awarded. These grades will be entered on a student's official transcript.
  - F "0" Represents failure and signifies that the work was either (1) completed but at a level of achievement that is not worthy of credit or (2) was not completed and there was no agreement between the instructor and the student that the student would be awarded an I (see Section D). The F carries 0 grade points and the credits for the course do not count toward any academic degree program. The credit hours for the course will count in the grade point average.
  - N Represents no credit and signifies that the work was either (1) completed but at a level of achievement that is not worthy of credit or (2) was not completed and there was no agreement between the instructor and the student that the student would be awarded an I (see Section C). The N carries no grade points and the credits for the course do not count toward any academic degree program. The credit hours for the course do not count in the grade point average.
2.
  - a. **Scholastic dishonesty.** Scholastic dishonesty in any portion of the academic work for a course will be grounds for awarding a grade of F or N for the entire course, at the discretion of the instructor. This provision allows instructors to award an F or an N to a student when scholastic dishonesty is discovered; it does not require an instructor to do so. Students who enroll for a course on the A-F grading system will receive an F if such grade is warranted; students who enroll for a course on the S-N system will receive an N if such grade is warranted. (See Board of Regents Policy: [Student Conduct Code](#) for a definition of scholastic dishonesty.)
  - b. If the instructor determines that a grade of F or N for the course should be awarded to a student because of scholastic dishonesty, the student cannot withdraw to avoid the F or N. If the student withdrew from the course before the scholastic dishonesty was discovered or before the instructor concluded that there was scholastic dishonesty, and the instructor (or the appropriate hearing body if the student requests a hearing) determines that the student should receive the F or the N, the student will be re-registered for the course and the F and N grade will be entered on the transcripts.

### D. Incompletes



1. There will be a symbol I (incomplete) awarded to indicate that the work of the course has not been completed. The I will be assigned at the discretion of the instructor when, due to extraordinary circumstances (as determined by the instructor), the student who has successfully completed a substantial portion of the course's work with a passing grade was prevented from completing the work of the course on time.
2. The assignment of an I requires a written agreement between the instructor and student specifying the time and manner in which the student will complete the course requirements. In no event may any such written agreement allow a period of longer than one year to complete the course requirements (except as provided in section D (8)).
3. Work to make up an I must be submitted within one year of the last day of final examinations of the term in which the I was given for all students except graduate and professional students. If not submitted by that time, the I will automatically change to an F (if the student was registered on the A-F system) or an N (if the student was registered on the S-N system) for the course. If an I changes automatically to an F or an N, the instructor has the discretion to reinstate the I for one additional year only.
4. For graduate and professional students, an I remains on the transcript until changed by the instructor or department.
5. When an I is changed to another symbol, the I is removed from the record. Once an I has become an F or an N, under the provisions of the preceding paragraph, it may subsequently be converted to any other grade, upon petition by the instructor (or the department if the instructor is unavailable) to the college.
6. A student does not need to be registered at the University in order to complete the work necessary to convert an I to a grade with credit in the time and manner previously agreed upon between the student and the instructor. The instructor is expected to turn in the new grade within four weeks of the date the work was submitted by the student. (Depending on the timing of when the work is turned in and the ability of the instructor to award a grade, an F or an N may appear temporarily on the transcript.) Students who have received an I in a course are not allowed to sit in on the class again (that is, without registering for it) to complete the grade.
7. If a student graduates with an I on the transcript, the I will remain permanently an I. A student may petition his or her college, within a year of graduation, to complete the work in the course and receive a grade. The degree GPA is frozen upon graduation but the cumulative GPA will reflect the change in GPA if a student chooses to complete the work and change the I to a grade within a year of graduation.
8. When students are called to active military duty, and reach agreement with their instructor(s) to take an incomplete, they will have up to one calendar year following their discharge from active duty to complete their incomplete(s).
9. Receipt of an I in a course does not create an entitlement for a student to take the course a second time.

## **E. Other Transcript Symbols**

### **1. Auditing a course.**

- a. There will be a symbol V, visitor, indicating registration as an auditor or visitor, which will carry no credit and no grade.
- b. Students auditing a course are required to pay full tuition but do not take exams and are not required to do homework. An auditor is entered on the class roster (grade report), is counted as filling a seat in a controlled entry course, and is counted in an instructor's student contact hours.
- c. Students may not sit in on a course without registering for it.
- d. A student will be allowed to take a previously audited class for a grade.

### **2. Withdrawing from a course.**

- a. There will be a symbol W, withdrawal, entered upon a student's record when the student officially withdraws from a course in accordance with procedures established by the student's college or campus. The W will be entered on the transcript irrespective of the student's academic standing in that course if the student withdraws from the course during the third through eighth week of class (Twin Cities) or the third through ninth week of class (Morris) or during the second or third weeks of summer sessions.
- b. If a student officially withdraws from a course during the first two weeks of classes, there will be no record of that course registration entered on the student's transcript.
- c. One-time late withdrawal: Each student may, once during his or her undergraduate enrollment, withdraw from a course without college approval, and receive the transcript symbol W, after the deadline for withdrawal and at any time up to and including the last day of instruction for that course. A student may not withdraw after completing the final examination or equivalent for a

course.

- d. Except as provided in the preceding section, withdrawal after the deadlines will require approval of the college and may not be granted solely because a student is failing the course; there must be extenuating non-academic circumstances justifying late withdrawal.
3. **Continuation course.** There will be a symbol X, indicating a student may continue in a continuation course in which a grade cannot be determined until the full sequence of courses is completed. The instructor will submit a grade for each X when the student has completed the sequence.
4. **Course in progress.** There will be a symbol K, assigned by an instructor to indicate the course is still in progress and that a grade cannot be assigned at the present time.

## F. Other Provisions

1. **Zero-credit courses.** Courses that carry zero credits do not count in either term or cumulative grade point averages. Such courses carry normal tuition and fee charges.
2. All grades for academic work are based on the quality of the work submitted, not on hours of effort. Instructors have the responsibility and authority to determine how final grades are assigned, including, in classes where they use numeric scores, the method that will be used to translate numeric scores into letter grades. (Examples: the instructor may decide that 90% equals an A, 80% a B, and so on, or the instructor may decide that the top 10% of the scores will receive an A, the next 20% a B, and so on.)
3. **Counting credits toward a University degree.**
  - a. A course that carries University credit toward a degree in one department or college must carry University credit in all other departments and colleges (except insofar as those credits exceed the limit on skills credits established in the policy Credit Requirements for an Undergraduate (baccalaureate) Degree.
  - b. A department or college has discretion to decide whether a course completed in another unit will count towards the specific college or department/program/major requirements.
4. When a student graduates, no further changes to his or her transcript will be made (to that portion of the transcript related to the program from which the student graduated) except as expressly allowed under the provisions of this policy.
5. **Releasing transcripts.** The University's official transcript, the chronological record of the student's enrollment and academic performance, will be released by the University only at the request of the student or in accord with state or federal statutes.
6. **Repeating courses.**
  - a. An undergraduate student may repeat a course only once (except as noted in section 6(c)). The college offering the course may grant an exception to this provision. [Morris only] Students who receive a grade of S or C or higher may repeat a course only if space permits.
  - b. When a student repeats a course before receiving his/her degree, (a) both grades for the course will appear on the official transcript, (b) the course credits may not be counted more than once toward degree and program requirements, and (c) only the last enrollment for the course will count in the student's grade point average.
  - c. Provisions 6 (a) and (b) of this policy will not apply to courses (1) using the same number but where students study different content each term of enrollment and (2) to courses designated as "repetition allowed."
  - d. If an undergraduate student repeats a course after his/her degree has been awarded, the original course grade will not be excluded from the degree GPA nor will the new grade be included in the degree GPA.
  - e. Bracketing is the practice of not including a course in the calculation of a student's GPA and not counting the course as satisfying any degree requirements, including electives, because a student has repeated a course. When a student repeats a course, all prior attempts are bracketed and only the most recent attempt counts (except as provided in 6 (c)). No department or college may bracket the courses of another department or college for any reason other than course repetition. An F may not be bracketed with an N. A University course may not be bracketed with a course taken at another institution. The Graduate School does not bracket courses.
  - f. When a student enrolled in the Graduate School repeats a course, provisions 6(a) and (b) apply, but all grades for the course will be counted in the student's grade point average.
7. **Grade point average.** Every student will have calculated, both at the end of each

grading period (quarter or semester) and cumulatively, a grade point average, which will be the ratio of grade points earned divided by the number of credits attempted with grades of A-F (including pluses and minuses). Both the term and cumulative grade point average will appear on each student's record.

8. **Final grade due date.** Final grades will be submitted to the Registrar no later than three business days after the last day of the final examination period.
9. This policy may be modified from time to time but existing transcripts will not be modified when there are changes in policy. Changes to the grading and transcript policy will be reflected on the legend on the back of the official transcript. 10.
10. **Compiling and reporting grading data.**
  - a. Data on the mean grade point average by designator and course level, on the percentage of As awarded by course level, and on overall collegiate grade point averages will be prepared for grades awarded each Fall Semester. Data should be reported for all undergraduate students. Cells in the tables with fewer than 10 grades should be suppressed, in order to protect the privacy of students, but the numbers should be included in the totals.
  - b. The Office of Institutional Research will produce the required tables and provide them to the chair of the Senate Committee on Educational Policy and to the Office of the Senior Vice President for Academic Affairs and Provost.
  - c. The data tables and graphs required in 10 (a) and (b) will be reported annually to the Faculty Senate. These data should also be provided to all deans and department heads and made available to faculty and students.
11. All colleges and campuses will publish each term a dean's list, consisting of students who achieved a 3.666 GPA or higher and who completed a minimum of 12 credits on the A-F grading system. There will be a transcript notation for each term that a student achieves the dean's list. Students who have chosen to suppress all their public information (which includes academic awards and honors) will not be included on the published dean's list.
12. **Alternative grading systems.**
  - a. Only the Senate Committee on Educational Policy will have the authority to grant to individual colleges or campuses permission to use alternative grading methods outside the provisions of this official University system, for a specified period (but no longer than five years), and only for the purpose of experimenting with a new grading system for possible system-wide adoption. Such permission may be granted if the proposal does not interfere significantly with the registration options of students from other colleges, campuses, and programs. Such alternative systems will be reported for information to the University Senate as soon as permitted and, after the specified period, will be re-evaluated, either to be discontinued, or with University Senate approval on recommendation from the Senate Committee on Educational policy, made part of the system-wide policy. Except for the provisions of this section 6, no college or program may use any grading system except for the one contained in this policy.
  - b. Because alternative grading systems, once used, must be maintained by the University forever afterward (to preserve the integrity of the transcripts), the Senate Committee on Educational Policy will rarely grant permission for alternative grading systems. It will consider doing so only when (1) those who propose it can make a persuasive case that the alternative is a more accurate and effective way to measure and record student academic performance, and (2) there is strong reason to believe that the proposal will be useful to all colleges and campuses of the University (except the Law School and Medical School).

## Exclusions

This policy is not applicable to the Duluth campus.

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## REASON FOR POLICY

[RETURN TO TOP](#)

A standard grading system establishes a common understanding of the meaning of grades and promotes uniformity in assigning them. Defining grades and their associated meaning (grade points and assessment of achievement) allows for comparison and for computation of the term and cumulative grade point average.

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## PROCEDURES

[RETURN TO TOP](#)

There are no procedures associated with this policy.

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## FORMS/INSTRUCTIONS

[RETURN TO TOP](#)

There are no forms associated with this policy.

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## ADDITIONAL CONTACTS

[RETURN TO TOP](#)

Subject	Contact	Phone	Fax/Email
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Twin Cities Campus	<a href="#">Sue Van Voorhis</a>	612-625-8098	<a href="mailto:vanvo002@umn.edu">vanvo002@umn.edu</a>
Crookston Campus	<a href="#">Ken Myers</a>	218-281-8200	<a href="mailto:kmyers@crk.umn.edu">kmyers@crk.umn.edu</a>
Morris Campus	<a href="#">Clare Dingley</a>	320-589-6026	<a href="mailto:strandcd@morris.umn.edu">strandcd@morris.umn.edu</a>
Rochester Campus	<a href="#">Nathan Tesch</a>	507-258-8075	<a href="mailto:tesch026@umn.edu">tesch026@umn.edu</a>

---

## DEFINITIONS

[RETURN TO TOP](#)

### Major/program requirements

Program requirements include those determined as the requirements to complete a major or minor in a department. Program requirements must be completed in addition to the other requirements for a degree (e.g. liberal education requirements).

### Scholastic Dishonesty

Plagiarizing; cheating on assignments or examinations; engaging in unauthorized collaboration on academic work; taking, acquiring, or using test materials without faculty permission; submitting false or incomplete records of academic achievement; acting alone or in cooperation with another to falsify records or to obtain dishonestly grades, honors, awards, or professional endorsement; altering, forging, or misusing a University academic record; or fabricating or falsifying data, research procedures, or data analysis.

---

## RESPONSIBILITIES

[RETURN TO TOP](#)

### Office of the Registrar

Maintain the transcript

### Instructor

Submit final grades within three working days of the last day of final exams.

---

## APPENDICES

[RETURN TO TOP](#)

There are no appendices associated with this policy.

---

## FREQUENTLY ASKED QUESTIONS

[RETURN TO TOP](#)

1. **What should I do if the time period for entering a grade has passed and I have not yet received my grade?**

You should first contact your instructor to determine if there are any extenuating circumstances that have resulted in a delayed grade. If the situation is not resolved, you may subsequently contact the Chair of the Department.

2. **How are grades from multiple University of Minnesota campuses considered when calculating the overall grade point average?**

A student's grade point average is calculated with all of his/her University of Minnesota coursework. Therefore, if a student has coursework at more than one campus of the University (e.g. Crookston, Duluth, Morris, Twin Cities, Rochester), all grades from coursework at all campuses are included in calculating the grade point average.

3. **What is the impact of having multiple W's on a transcript?**

Although W's carry no GPA points, displaying a pattern of enrolling in and withdrawing from classes, especially for undergraduate students, may be concerning to graduate or professional schools; particularly, if you withdraw from the same course multiple times.

---

## RELATED INFORMATION

[RETURN TO TOP](#)

- Board of Regents Policy: [Conflict Resolution Process for Student Academic Complaints](#)
- Board of Regents Policy: [Student Conduct Code](#)

- Administrative Policy: [Credit and Grade Point Requirements for an Undergraduate \(Baccalaureate\) Degree: Twin Cities, Morris, Rochester](#)
- [Office of Student Conduct and Academic Integrity](#)
- [Request for Official Transcript](#)

---

## HISTORY

[RETURN TO TOP](#)

**Amended:**

April 2010 - Scholastic Dishonesty: Aligns practices across campuses and eliminates a way for students to avoid consequences for cheating by withdrawing from course; Final Grade due date - makes language consistent with related policy and with current practice.

**Amended:**

December 2009 - Policy now applies to Crookston.

**Amended:**

September 2009 - Added question 2 to FAQ.

**Amended:**

April 2009

**Effective:**

April 2009



## ADMINISTRATIVE POLICY

# Course Numbering: Twin Cities, Crookston, Morris, Rochester

**Policy Contents**

- [Policy Statement](#)
- [Reason for Policy](#)
- Procedures
- Forms/Instructions
- [Additional Contacts](#)
- [Definitions](#)
- Responsibilities
- Appendices
- [FAQ](#)
- Related Information
- [History](#)

**Effective Date:** April 2009**Last Update:** December 2009**Responsible University Officer:**

- Senior Vice President for Academic Affairs and Provost

**Policy Owner:**

- Vice Provost and Dean of Undergraduate Education
- Vice Provost and Dean of Graduate Education

**Policy Contact:**

- [Susan Van Voorhis](#)

**CONSULTED WITH:** Faculty Senate

Printed on: January 4, 2013. Please go to <http://policy.umn.edu> for the most current version of the Policy or related document.

## POLICY STATEMENT

[RETURN TO TOP](#)

1. The primary purpose of the course numbering system is to help students select and sequence courses. Consistent use of the course numbering system also helps those who view a student's transcript identify the level of courses that appear on the transcript. Semester courses will have four digit numbers. The first number designates the course level. The numbering system is as follows:

- 0xxx - Courses that are remedial and do not carry credit toward any University degree but which carry normal tuition and fee charges
- 1xxx - Courses primarily for undergraduate students in their first year of study
- 2xxx - Courses primarily for undergraduate students in their second year of study
- 3xxx - Courses primarily for undergraduate students in their third year of study
- 4xxx - Courses primarily for undergraduate students in their third or fourth year of study; graduate students may enroll in such courses for degree credit
- 5xxx - Courses primarily for graduate students; undergraduate students in their third or fourth year may enroll in such courses
- 6xxx - Courses for post-baccalaureate students in professional degree programs
- 7xxx - Courses for post-baccalaureate students in professional degree programs
- 8xxx - Courses for graduate students
- 9xxx - Courses for graduate students

**Notes:**

- **0xxx course credits:** Have normal tuition and fee charges and count in financial aid calculations.
- **3xxx and 4xxx courses:** 3xxx and 4xxx courses are generally considered to be upper division.
- **Use of 4xxx Courses in Graduate Programs:** 4xxx courses may be applied toward a Graduate School degree with approval by the student's major field and if the course is taught by a member of the graduate faculty or an individual authorized by the program to teach at the graduate level (subject to the corresponding Policy and Review Council's guidelines).

Also, a graduate program may restrict the use of 4xxx courses in the program (e.g., by stipulating that no more than y credits of 4xxx courses may be counted or by stipulating that only certain 4xxx courses may be counted). Such restrictions may be

applied both for 4xxx courses in the major field and for 4xxx courses outside the major field. These are matters left to the discretion of each graduate program.

- **6xxx and 7xxx Courses:** 6xxx and 7xxx courses are to be used primarily for post-baccalaureate professional programs that are not offered through the Graduate School. 6xxx and 7xxx courses may be counted for a Graduate School degree, if a degree program wants them to count. Similarly, 5xxx and 8xxx courses may be counted for a non-Graduate School degree, if a program wants them to count. Those departments or programs that offer both Graduate School degrees and non-Graduate School degrees should decide for themselves how best to number courses in the curriculum.
- **Alphabetic Suffixes:** No alphabetic suffixes other than those already in place at the time this policy is adopted (April, 2009) may be used (see the FAQ).

2. All thesis credit courses will use the following numbering conventions:

- 8666 - Doctoral Pre-thesis Credits
- 8777 - Thesis Credits: Masters
- 8888 - Thesis Credits: Doctoral

3. All-University numbering conventions for other kinds of courses are provided below.

- xx91 - Independent Study
- xx92 - Directed Reading
- xx93 - Directed Study
- xx94 - Directed Research
- xx95 - Problems
- xx96 - Field Study; Internships, Industrial Assignment
- xx97 - Reserved for future use
- xx98 - Reserved for future use

All of the above are examples of courses that may be repeated for credit. Use of a zero as the last digit of a course number should be reserved for other kinds of courses that may be repeated for credit (e.g., "topics" courses).

### Exclusions

This policy is not applicable to the Duluth campus.

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## REASON FOR POLICY

[RETURN TO TOP](#)

Course numbering helps students select courses and sequence courses. Consistent use of the course numbering system also helps those who view a student's transcript to identify the level of courses that appear on the transcript.

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## PROCEDURES

[RETURN TO TOP](#)

There are no procedures related to this policy.

---

## FORMS/INSTRUCTIONS

[RETURN TO TOP](#)

There are no forms related to this policy.

---

## ADDITIONAL CONTACTS

[RETURN TO TOP](#)

Subject	Contact	Phone	Fax/Email
Primary Contact(s)	<a href="#">Susan Van Voorhis</a>	612-624-1111	<a href="mailto:vanvo002@umn.edu">vanvo002@umn.edu</a>
Twin Cities Campus	<a href="#">Tina Falkner</a>	612-625-1064	<a href="mailto:rovic001@umn.edu">rovic001@umn.edu</a>
Crookston Campus	<a href="#">Ken Myers</a>	218-281-8200	<a href="mailto:kmyers@crk.umn.edu">kmyers@crk.umn.edu</a>
Morris Campus	<a href="#">Clare Dingley</a>	320-589-6026	<a href="mailto:strandcd@morris.umn.edu">strandcd@morris.umn.edu</a>

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## DEFINITIONS

[RETURN TO TOP](#)

### Directed Research

An opportunity in which a student designs and carries out a research project under the direction of a faculty member. Directed research may be taken for variable credit and special permission is needed for enrollment.

### Directed Study

A course in which a student designs and carries out an independent project under the direction of a faculty member. Directed study courses may be taken for variable credit and special permission is needed for enrollment.

### Remedial

Remedial courses are intended to correct or improve deficient skills and knowledge in a specific subject. 0xxx courses are remedial courses that do not carry credit.

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## RESPONSIBILITIES

[RETURN TO TOP](#)

There are no responsibilities related to this policy.

---

## APPENDICES

[RETURN TO TOP](#)

There are no appendices related to this policy.

---

## FREQUENTLY ASKED QUESTIONS

[RETURN TO TOP](#)

### What are suffixes and how can they be used?

Suffixes help identify certain characteristics of courses. Currently three suffixes are used: W (for writing intensive courses); H (for honors courses); and V (for courses that are both honors and writing intensive).

---

## RELATED INFORMATION

[RETURN TO TOP](#)

There is no related information for this policy.

---

## HISTORY

[RETURN TO TOP](#)

### Amended:

December 2009 - Policy now applies to Crookston.

### Effective:

April 2009





## ADMINISTRATIVE POLICY

# Transfer of Undergraduate Credit: Twin Cities, Crookston, Morris, Rochester

**Policy Contents**

- [Policy Statement](#)
- [Reason for Policy](#)
- Procedures
- Forms/Instructions
- [Additional Contacts](#)
- Definitions
- Responsibilities
- Appendices
- FAQ
- Related Information
- [History](#)

**Effective Date:** April 2009**Last Update:** December 2009**Responsible University Officer:**

- Senior Vice President for Academic Affairs and Provost

**Policy Owner:**

- Vice Provost and Dean of Undergraduate Education

**Policy Contact:**

- [Suzanne Bardouche](#)

**CONSULTED WITH:** Faculty Senate

Printed on: January 4, 2013. Please go to <http://policy.umn.edu> for the most current version of the Policy or related document.

## POLICY STATEMENT

[RETURN TO TOP](#)

The Director of Admissions on each campus will identify those institutions from which credit can be transferred and determine whether course work is college level. If questions arise with regard to transfer of specific courses, the Director of Admissions will confer with the appropriate college or departmental faculty. The following will apply.

1. Credit for course work taken at other institutions will be transferred subject to the following considerations:
  - a. the mission of the institution from which credits would be transferred;
  - b. the comparability of the course work with University course work; and
  - c. the appropriateness of the course work for meeting baccalaureate degree requirements at the University.
2. The University will not accept any transfer course with less than a "D" grade. Once a course has been accepted for transfer, all colleges and programs will honor this decision. (A course with a grade of less than C- will not count toward a major or a minor but it will count toward total credits.)
3. Regional accreditation will usually serve as the primary criterion for determining the transferability of course work from another institution.
4. Credits from technical schools may be considered for transfer when appropriate to a student's degree program. Credit is not normally transferred from specialized or proprietary institutions, military training, or industry-based education programs.
5. Credit granted by another institution for non-traditional experiences: College Level Examination Program (CLEP), Advanced Placement (AP), International Baccalaureate (IB), military training) will be re-evaluated for content and comparability by the Office of Admissions.
6. Religious studies courses transfer if they are not doctrinal, confessional, or sectarian in nature. Religious studies courses from public institutions transfer without special review; religious studies courses from all other institutions will be evaluated by appropriate college or departmental faculty.

### Exclusions

This policy is not applicable to the Duluth campus.

## REASON FOR POLICY

[RETURN TO TOP](#)

This policy specifies where authority resides for decisions regarding transferability of credit, and outlines the guidelines surrounding the transfer of credits from other institutions. Clear information is critical for students planning to transfer to the University.

## PROCEDURES

[RETURN TO TOP](#)

There are no procedures related to his policy.

## FORMS/INSTRUCTIONS

[RETURN TO TOP](#)

There are no forms related to this policy.

## ADDITIONAL CONTACTS

[RETURN TO TOP](#)

Subject	Contact	Phone	Fax/Email
Primary Contact(s)	<a href="#">Suzanne Bardouche</a>	612-626-9159	<a href="mailto:bardouch@umn.edu">bardouch@umn.edu</a>
Twin Cities Campus Procedures	<a href="#">Wayne Sigler</a>	612-625-2006	<a href="mailto:w-sigl@umn.edu">w-sigl@umn.edu</a>
Crookston Campus Procedures	<a href="#">Ken Myers</a>	218-281-8200	<a href="mailto:kmyers@crk.umn.edu">kmyers@crk.umn.edu</a>
Morris Campus Procedures	<a href="#">Bart Finzel</a>	320-589-6015	<a href="mailto:finzelbd@morris.umn.edu">finzelbd@morris.umn.edu</a>
Rochester Campus Procedures	<a href="#">Kendra Weber</a>	507-258-8008	<a href="mailto:weber362@umn.edu">weber362@umn.edu</a>

## DEFINITIONS

[RETURN TO TOP](#)

There are no definitions for this policy.

## RESPONSIBILITIES

[RETURN TO TOP](#)

There are no specified responsibilities for this policy.

## APPENDICES

[RETURN TO TOP](#)

There are no appendices related to this policy.

## FREQUENTLY ASKED QUESTIONS

[RETURN TO TOP](#)

There are no frequently asked questions for this policy.

## RELATED INFORMATION

[RETURN TO TOP](#)

- [Transfer credit policies and agreements](#)

## HISTORY

[RETURN TO TOP](#)**Amended:**

December 2009 - Policy now applies to Crookston.

**Amended:**

April 2009 - Clarified policy, and put into standard format. Added contact information.

**Effective:**

April 2009

**Supercedes:**

*Transfer of Credits*



## ADMINISTRATIVE POLICY

# Declaring and Pursuing an Undergraduate Major: Twin Cities, Crookston, Morris, Rochester

**Policy Contents**

- [Policy Statement](#)
- [Reason for Policy](#)
- Procedures
- Forms/Instructions
- [Additional Contacts](#)
- [Definitions](#)
- Responsibilities
- [Appendices](#)
- [FAQ](#)
- Related Information
- [History](#)

**Effective Date:** April 2009**Last Update:** June 2012**Responsible University Officer:**

- Senior Vice President for Academic Affairs and Provost

**Policy Owner:**

- Vice Provost and Dean of Undergraduate Education

**Policy Contact:**

- [Suzanne Bardouche](#)

**CONSULTED WITH:** Faculty Senate

Printed on: January 4, 2013. Please go to <http://policy.umn.edu> for the most current version of the Policy or related document.

## POLICY STATEMENT

[RETURN TO TOP](#)

All degree-seeking undergraduate students are required to declare a major or be admitted into a program before or upon the completion of 60 semester credits. Once a student has completed 60 credits, or earlier if programmatically warranted, an "adviser hold" will be placed on the student's record, preventing the student from registering for additional classes until the student has declared a major or been admitted to a program.

1. Colleges determine the process by which students declare a major or gain admission to a degree program .
2. Departments set the academic standards for declaring and being allowed to enter a major in the field.
3. Department standards are subject to college review and approval. Department, college and campus standards for declaring a major are subject to review and approval by the Senior Vice President for Academic Affairs and Provost or the Vice President for Health Sciences, as appropriate.

## Exclusions

This policy is not applicable to the Duluth campus.

## REASON FOR POLICY

[RETURN TO TOP](#)

Undergraduate degree-seeking students are admitted to the University to pursue an undergraduate degree. The University expects students to complete their degrees in a timely manner, and declaring a major is a fundamental part of this progression. This policy exists to promote timely intervention by advisers that will guide students toward majors that suit their talents and interests. To make the best use of students' resources, as well as University resources, students are not allowed to continue registering for courses indefinitely without having a formal plan for completing a degree.

## PROCEDURES

[RETURN TO TOP](#)

There are no procedures related to this policy.

## FORMS/INSTRUCTIONS

[RETURN TO TOP](#)

There are no forms related to this policy.

## ADDITIONAL CONTACTS

[RETURN TO TOP](#)

Subject	Contact	Phone	Fax/Email
Primary Contact(s)	<a href="#">Suzanne Bardouche</a>	612-626-9159	<a href="mailto:bardouch@umn.edu">bardouch@umn.edu</a>
Twin Cities Campus	<a href="#">Sue Van Voorhis</a>	612-625-8098	<a href="mailto:vanvo002@umn.edu">vanvo002@umn.edu</a>
Crookston Campus	<a href="#">Ken Myers</a>	218-281-8200	<a href="mailto:kmyers@crk.umn.edu">kmyers@crk.umn.edu</a>
Morris Campus	<a href="#">Clare Dingley</a>	320-589-6026	<a href="mailto:strandcd@morris.umn.edu">strandcd@morris.umn.edu</a>
Rochester Campus	<a href="#">Nathan Tesch</a>	507-258-8075	<a href="mailto:tesch026@umn.edu">tesch026@umn.edu</a>

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## DEFINITIONS

[RETURN TO TOP](#)

### Academic Major

A student's main field of specialization during his or her undergraduate or graduate studies. The major is recorded on the student's transcript.

### Academic Minor

A student's declared secondary field of study or specialization during his or her undergraduate or graduate studies. A minor typically consists of a set of courses that meet specified guidelines and is designed to allow a sub-major concentration in an academic discipline or in a specific area in or across disciplines. The minor is recorded on the student's transcript.

---

## RESPONSIBILITIES

[RETURN TO TOP](#)

There are no responsibilities related to this policy.

---

## APPENDICES

[RETURN TO TOP](#)

- [Changing college or major page on One Stop](#)

---

## FREQUENTLY ASKED QUESTIONS

[RETURN TO TOP](#)

- [Declaring an Undergraduate Major: Twin Cities, Crookston, Morris, Rochester FAQ](#)

---

## RELATED INFORMATION

[RETURN TO TOP](#)

- Administrative Policy: [Holds on Records and Registration: Twin Cities, Crookston, Morris, Rochester](#)

---

## HISTORY

[RETURN TO TOP](#)

### Amended:

June 2012 - Major Revision, Comprehensive Review, Policy now specifically states that an advisor hold may be placed on a student record, even prior to the completion of 60 credits if the student is not satisfactorily progressing toward a degree.

### Amended:

January 2011 - Title modified to "Declaring an Undergraduate Major" from "Declaring a Major".

### Amended:

August 2010 - Added questions 2-4 to Frequently Asked Questions.

### Amended:

December 2009 - Policy now applies to Crookston.

### Effective:

April 2009



## ADMINISTRATIVE POLICY

# Using Email as Official Student Communication

**Policy Contents**

- [Policy Statement](#)
- [Reason for Policy](#)
- Procedures
- Forms/Instructions
- [Additional Contacts](#)
- [Definitions](#)
- [Responsibilities](#)
- Appendices
- FAQ
- [Related Information](#)
- [History](#)

**Effective Date:** September 2001**Last Update:** April 2008**Responsible University Officer:**

- Registrar

**Policy Owner:**

- Director, Office of the Registrar

**Policy Contact:**

- See [Contacts Section](#).

Printed on: January 4, 2013. Please go to <http://policy.umn.edu> for the most current version of the Policy or related document.

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## POLICY STATEMENT

[RETURN TO TOP](#)

The University provides students with an email account upon the student's matriculation to the institution. This account is free of charge and currently is active as long as the student remains active.

A University assigned student email account will be the University's official means of communication with all students. Students are responsible for all information sent to them via their University assigned email account. If a student chooses to forward their University email account, he or she is responsible for all information, including attachments, sent to any other email account.

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## REASON FOR POLICY

[RETURN TO TOP](#)

To better serve our students, upon matriculation students are informed that their University assigned email account is the primary means of communication from the University community and that they will be held responsible for the information in the email. Increasingly, email is becoming the primary mode of communication between students and the University. The information distributed via email varies from college updates to registration summaries.

It is imperative that students understand that a majority of information will be communicated to them via their University assigned account while they are students.

---

## PROCEDURES

[RETURN TO TOP](#)

There are no procedures associated with this policy.

---

## FORMS/INSTRUCTIONS

[RETURN TO TOP](#)

There are no forms associated with this policy.

---

## ADDITIONAL CONTACTS

[RETURN TO TOP](#)

Subject	Contact	Phone	Fax/Email
Policy Information	Susan Van Voorhis	612-625-8098 612-626-1754 (fax)	<a href="mailto:vanvo002@umn.edu">vanvo002@umn.edu</a>

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## DEFINITIONS

[RETURN TO TOP](#)**Student**

Any undergraduate, graduate and professional students. Student status starts upon matriculation. Student status may depend upon credit load.

**Student Information**

Any information related to student activities at the University of Minnesota.

**Matriculation**

The time a student has submitted his or her deposit for attendance.

---

**RESPONSIBILITIES**

[RETURN TO TOP](#)

**Coordinate Campus**

Promote the use of email communication throughout their respective campuses.

**Student**

Routinely check assigned University of Minnesota email account to review relevant information.

**Registrar Twin Cities Campuses**

Maintain policy. Respond to unique student requests. Promote the use of email communication throughout the University campuses.

---

**APPENDICES**

[RETURN TO TOP](#)

There are no appendices associated with this policy.

---

**FREQUENTLY ASKED QUESTIONS**

[RETURN TO TOP](#)

There is no FAQ associated with this policy.

---

**RELATED INFORMATION**

[RETURN TO TOP](#)

- Administrative Policy: [Acceptable Use of Information Technology Resources](#)

---

**HISTORY**

[RETURN TO TOP](#)

**Amended:**

April 2008 - This policy now applies University Wide, rather than to the Twin Cities Campus Only.

**Effective:**

September 2001



**UNIVERSITY OF MINNESOTA  
BOARD OF REGENTS POLICY**

Page 1 of 2

**Administrative  
EQUITY, DIVERSITY, EQUAL OPPORTUNITY,  
AND AFFIRMATIVE ACTION**

**Adopted:** September 7, 1995

**Amended:** July 8, 2009

**Supersedes:** (see end of policy)

**EQUITY, DIVERSITY, EQUAL OPPORTUNITY, AND  
AFFIRMATIVE ACTION**

**SECTION I. GUIDING PRINCIPLES.**

The following principles shall guide the commitment of the University of Minnesota (University) to equity, diversity, equal opportunity, and affirmative action:

(a) Consistent with its academic mission and standards, the University is committed to achieving excellence through equity and diversity.

(b) A diverse student body enhances the academic and social environment for all students and prepares students to thrive in an increasingly diverse workforce and society.

(c) Equal educational access is critical to preparing students for the responsibilities of citizenship and civic leadership in a heterogenous society.

(d) As a community of faculty, staff, and students engaged in research, scholarship, artistic activity, teaching and learning, or the activities that support them, the University seeks to foster an environment that is diverse, humane, and hospitable.

(e) In partnership with community groups, the University is committed to serving the state, the nation, and the world through its outreach and public service.

**SECTION II. IMPLEMENTATION.**

The University shall:

(a) provide equal access to and opportunity in its programs, facilities, and employment without regard to race, color, creed, religion, national origin, gender, age, marital status, disability, public assistance status, veteran status, sexual orientation, gender identity, or gender expression;

(b) advocate and practice affirmative action consistent with law, including the use of recruiting and search processes to enhance participation of racial minorities, women, persons with disabilities, and protected veterans;



**UNIVERSITY OF MINNESOTA  
BOARD OF REGENTS POLICY**

Page 2 of 2

**Administrative  
EQUITY, DIVERSITY, EQUAL OPPORTUNITY,  
AND AFFIRMATIVE ACTION**

**Adopted:** September 7, 1995

**Amended:** July 8, 2009

**Supersedes:** (see end of policy)

(c) establish and nurture an environment for faculty, staff, students, and visitors that actively acknowledges and values equity and diversity and is free from racism, sexism, ageism, homophobia, and other forms of prejudice, intolerance, or harassment;

(d) provide equal educational access to members of underrepresented groups and develop affirmative action admission programs, where appropriate, to achieve the University's educational mission; and

(e) promote and support equity and diversity through its academic programs, its employment policies and practices, its delivery of services, and the purchase of goods, materials, and services for its programs and facilities from businesses of the diverse communities it serves.

**SECTION III. MONITORING.**

The president or delegate shall set performance goals consistent with this policy and law; remedy any discriminatory practice that deviates from this policy; and assess and reward the performance of individuals and units using the University's critical measures for the equity and diversity performance goals as part of the University's planning and budgeting process.

**SUPERSEDES:** POLICY STATEMENT ON WOMEN ACADEMIC EMPLOYEES DATED JULY 13, 1990; EQUAL EDUCATIONAL ACCESS AND OPPORTUNITY DATED NOVEMBER 8, 1991; EQUAL OPPORTUNITY: FACILITIES DATED JULY 9, 1993; EQUAL OPPORTUNITY IN EMPLOYMENT DATED JULY 9, 1993; DIVERSITY DATED JULY 9, 1993; AND EQUAL OPPORTUNITY DATED JULY 9, 1993.





ADMINISTRATIVE POLICY

# Establishing, Enforcing, and Waiving Prerequisites: Twin Cities, Crookston, Morris, Rochester

**Policy Contents**

- [Policy Statement](#)
- [Reason for Policy](#)
- Procedures
- Forms/Instructions
- [Additional Contacts](#)
- [Definitions](#)
- Responsibilities
- Appendices
- FAQ
- Related Information
- [History](#)

**Effective Date:** April 2009

**Last Update:** December 2009

**Responsible University Officer:**

- Senior Vice President for Academic Affairs and Provost

**Policy Owner:**

- Vice Provost and Dean of Undergraduate Education
- Vice Provost and Dean of Graduate Education

**Policy Contact:**

- [Tina Falkner](#)

---

**CONSULTED WITH:** Faculty Senate

Printed on: January 4, 2013. Please go to <http://policy.umn.edu> for the most current version of the Policy or related document.

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## POLICY STATEMENT

[RETURN TO TOP](#)

1. Departments and colleges should be selective in determining prerequisites for courses. Prerequisites should not be set for a course except in progressive, sequence courses or where departments can clearly demonstrate that a student will not be able to complete the course successfully without first completing the prerequisite course work.
2. Where prerequisites have been set, catalogues and course materials must list them and advise students to take only those courses for which the prerequisites have been met.
3. Where prerequisites have been set, instructors may require that any student who has not taken the specified prerequisites for the course must withdraw. Instructors may, however, grant permission, on an individual basis, for a student to take a course without having taken the prerequisite(s).
4. When a student successfully completes a prerequisite course after successfully completing a subsequent course that required the prerequisite, credit for the prerequisite course will be granted. Colleges and departments, at their discretion, may also allow students to receive credit by examination for the prerequisite course.

### Exclusions

This policy is not applicable to the Duluth campuses.

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## REASON FOR POLICY

[RETURN TO TOP](#)

Prerequisites inform students that, in order to be successful in a particular course, they must enter the course already having attained specific knowledge as a necessary background.

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## PROCEDURES

[RETURN TO TOP](#)

There are no procedures related to this policy.

---

## FORMS/INSTRUCTIONS

[RETURN TO TOP](#)

There are no forms related to this policy.

---

## ADDITIONAL CONTACTS

[RETURN TO TOP](#)

Subject	Contact	Phone	Fax/Email

Primary Contact(s)	<a href="#">Tina Falkner</a>	612-625-1064	<a href="mailto:rovic001@umn.edu">rovic001@umn.edu</a>
Twin Cities Campus	<a href="#">Sue Van Voorhis</a>	612-625-8098	<a href="mailto:vanvo002@umn.edu">vanvo002@umn.edu</a>
Crookston Campus	<a href="#">Ken Myers</a>	218-281-8200	<a href="mailto:kmyers@crk.umn.edu">kmyers@crk.umn.edu</a>
Morris Campus	<a href="#">Clare Dingley</a>	320-589-6026	<a href="mailto:strandcd@morris.umn.edu">strandcd@morris.umn.edu</a>
Rochester Campus	<a href="#">Nathan Tesch</a>	507-258-8075	<a href="mailto:tesch026@umn.edu">tesch026@umn.edu</a>

---

## DEFINITIONS

[RETURN TO TOP](#)

### Prerequisite

A course that is a necessary requirement before subsequent advanced courses.

---

## RESPONSIBILITIES

[RETURN TO TOP](#)

There are no specified responsibilities related to this policy.

---

## APPENDICES

[RETURN TO TOP](#)

There are no appendices related to this policy.

---

## FREQUENTLY ASKED QUESTIONS

[RETURN TO TOP](#)

There is no FAQ related to this policy.

---

## RELATED INFORMATION

[RETURN TO TOP](#)

There is no related information for this policy.

---

## HISTORY

[RETURN TO TOP](#)

### Amended:

December 2009 - Policy now applies to Crookston.

### Effective:

April 2009



## ADMINISTRATIVE POLICY

# Scheduling Examinations, Final Examinations, and Study Days: Twin Cities, Crookston, Morris, Rochester

**Policy Contents**

- [Policy Statement](#)
- [Reason for Policy](#)
- Procedures
- Forms/Instructions
- [Additional Contacts](#)
- Definitions
- Responsibilities
- Appendices
- FAQ
- Related Information
- [History](#)

**Effective Date:** April 2009**Last Update:** December 2009**Responsible University Officer:**

- Senior Vice President for Academic Affairs and Provost

**Policy Owner:**

- Vice Provost and Dean of Undergraduate Education
- Vice Provost and Dean of Graduate Education

**Policy Contact:**

- [Susan Van Voorhis](#)

**CONSULTED WITH:** Faculty Senate

Printed on: January 4, 2013. Please go to <http://policy.umn.edu> for the most current version of the Policy or related document.

## POLICY STATEMENT

[RETURN TO TOP](#)

### A. Examinations During the Term

1. Examinations during the term (e.g., mid-terms) will normally be given only during the regular class sessions, except that make-up exams may be given at other times arranged to accommodate student class schedules. Exams may be held at times other than the regularly scheduled class period only under unusual circumstances, and only if approved by the dean of the college in consultation with the Vice Provost and Dean of Undergraduate Education or the appropriate decision-making office on the coordinate campuses. Any regularly scheduled examination to be held outside of regular class time must be listed in the published class schedule.
2. Accommodation must be provided by the examining department(s) to any student who encounters an academic conflict, such as between an examination scheduled outside of regular class time and the regular class period of another course, or between two exams scheduled to be held simultaneously outside of regular class time.
3. Comprehensive examinations, which require reflection, study, and application of the work of the entire semester, are strongly encouraged, but must be given during the final examination period. The only examinations allowed during the last week of classes are those equivalent in scale, scope, length, and percent of grade to other examinations given in that class during the term. Although late-semester examinations may rely on cumulative knowledge of the work of the course during the semester, such examinations must not be comprehensive in nature if they are given other than during the final examination period. In a course where only one examination is given during the term, that examination may not be given during the last week of classes.
4. Take-home examinations are specifically exempted from this section of the policy.

### B. Final Examinations

1. All classes that normally permit undergraduates to enroll will follow the standard examination schedule. Final examinations on the Twin Cities campus will extend over a six-day period. It is not a violation of this policy for a faculty member to use secure online test-taking, authorized by the academic unit, that permits students to take an exam at a time of their choosing rather than at a scheduled final examination time. Coordinate campuses will each determine the length of their final examination period.
2. Final examinations normally will be two clock hours (120 minutes) long.
3. Instructors may offer take-home final examinations (but see 7(c) below).
4. Instructors may schedule longer examinations with the approval of their department, which will arrange longer use of the examination room with the appropriate campus scheduling office. Instructors and departments must decide in advance of scheduling a

course if the examination is to exceed two hours, and must work with the campus office that schedules central classrooms on scheduling the location of the exam. Any examinations that exceed two hours must be noted in the class schedule, in order that students are informed and can try to fit the longer examination in their schedule of final examinations. Accommodation must be provided by the examining department to any student who encounters a conflict with another final examination because of this lengthened examination time.

5. For courses that do not run for a full semester, the final examination will be administered (or due, in the case of take-home or other out-of-class examinations) on the last day of the course, except that short courses that end with the semester may use the final exam time scheduled for that course.
6. The requirement that the final examination period on the Twin Cities campus be six days will not apply to units that have been granted an exemption from the University calendar by the Senate Committee on Education Policy.
7. Final examinations at times other than regularly scheduled.
  - a. **Examinations outside the final examination period.** Instructors are permitted to schedule their final examinations outside of the scheduled examination days only under extraordinary circumstances and with the approval of their dean and the campus academic officer. (For the Twin Cities, this is the Vice Provost and Dean of Undergraduate Education.)
  - b. **Moving an examination within the final examination period.** When an instructor and students conclude they wish to move the final examination for the course to a different time and/or day during the final examination period, the change must be (1) proposed by the instructor, (2) have the concurrence of the department chair, and (3) must be approved unanimously by written secret ballot by students in class when the vote is taken.
  - c. Laboratory practicums may be given during the final week of classes during the normal lab period, and take-home or other out-of-class finals may be distributed prior to the final exam week but may not be due before the scheduled final exam for that course.
  - d. Students with final examination conflicts, or with three (or more) final examinations in one calendar day, will be expected to notify and provide documentation to instructors as soon as possible during the term. Instructors are expected to make appropriate accommodation to eliminate the conflict. In the event none of the instructors agrees to make appropriate accommodation, the student should contact his or her advisor. If a student has three or more examinations in one day because one exam date was changed, the instructor who changed the exam must make the accommodation. Note: this section does not cover cases where a student has three (or more) examinations within a 24-hour period, only cases where he or she has three (or more) examinations from morning to evening the same day.
  - e. **Summer term final examinations.** Final examinations for summer terms will be scheduled during the regular meeting time of the course on the last day.

### C. Study Days

Each campus will decide whether or not to have a study day; when the calendar permits, a study day should be added to the schedule. For campuses that choose to have one, the final examination period will begin on the second day after classes end, with the day after classes designated as a study day. In the event classes end on a Friday, final examinations will not start until the following Monday and Saturday and Sunday will be designated study days.

### D. Classes and Events During the Study Day/Finals Week Period

1. No classes will be permitted after the last scheduled day of instruction for that term/semester for any course that normally includes undergraduate students. Instructors may not schedule classes on Study Day.
2. Instructors may not hold a regular class during examination week (which can interfere with students' other exams) and may not hold a class during the first hour of the examination period and then conduct the final examination during the remaining hour(s).
3. No University-sponsored extra-curricular events, which require the participation of students, may be scheduled from the beginning of Study Day to the end of Finals Week. Exceptions to this policy may be granted ONLY by the Senate Committee on Educational Policy. Instructors must provide an alternative and timely opportunity for students to complete course requirements they were unable to complete because of an absence permitted by this policy.

### Exclusions

This policy is not applicable to the Duluth campus.

## Special Situations

The Senate Committee on Educational Policy has the authority to grant waivers to the provisions of this policy, and will report such waivers to the Faculty Senate at its next meeting.

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## REASON FOR POLICY

[RETURN TO TOP](#)

This policy defines exams, outlines common scheduling practices and guidelines, to allow students and faculty to plan for study day and exam week, with a minimum of scheduling conflicts.

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## PROCEDURES

[RETURN TO TOP](#)

There are no procedures related to this policy.

---

## FORMS/INSTRUCTIONS

[RETURN TO TOP](#)

There are no forms related to this policy.

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## ADDITIONAL CONTACTS

[RETURN TO TOP](#)

Subject	Contact	Phone	Fax/Email
Primary Contact(s)	<a href="#">Susan Van Voorhis</a>	612-624-1111	<a href="mailto:vanvo002@umn.edu">vanvo002@umn.edu</a>
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Crookston Campus	<a href="#">Ken Myers</a>	218-281-8200	<a href="mailto:kmyers@crk.umn.edu">kmyers@crk.umn.edu</a>
Morris Campus	<a href="#">Clare Dingley</a>	320-589-6026	<a href="mailto:strandcd@morris.umn.edu">strandcd@morris.umn.edu</a>
Rochester Campus	<a href="#">Nathan Tesch</a>	507-258-8075	<a href="mailto:tesch026@umn.edu">tesch026@umn.edu</a>

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## DEFINITIONS

[RETURN TO TOP](#)

There are no definitions related to this policy.

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## RESPONSIBILITIES

[RETURN TO TOP](#)

There are no specific responsibilities related to this policy.

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## APPENDICES

[RETURN TO TOP](#)

There are no appendices related to this policy.

---

## FREQUENTLY ASKED QUESTIONS

[RETURN TO TOP](#)

There are no frequently asked questions related to this policy.

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## RELATED INFORMATION

[RETURN TO TOP](#)

There is no related information for this policy.

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## HISTORY

[RETURN TO TOP](#)

### Amended:

December 2009 - Policy now applies to Crookston.

### Effective:

April 2009



## ADMINISTRATIVE POLICY

# Undergraduate Degrees with Distinction and Degrees with Honors: Twin Cities, Crookston, Morris, Rochester

**Policy Contents**

- [Policy Statement](#)
- [Reason for Policy](#)
- Procedures
- Forms/Instructions
- [Additional Contacts](#)
- [Definitions](#)
- Responsibilities
- Appendices
- [FAQ](#)
- Related Information
- [History](#)

**Effective Date:** April 2009**Last Update:** January 2011**Responsible University Officer:**

- Senior Vice President for Academic Affairs and Provost

**Policy Owner:**

- Vice Provost and Dean of Undergraduate Education

**Policy Contact:**

- [Suzanne Bardouche](#)

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**CONSULTED WITH:** Faculty Senate

Printed on: January 4, 2013. Please go to <http://policy.umn.edu> for the most current version of the Policy or related document.

---

## POLICY STATEMENT

[RETURN TO TOP](#)

**1. General Provisions**

- a. Any campus may offer both degrees with honors and degrees with distinction, only one, or neither.
- b. A student may obtain both a degree with honors and a degree with distinction, if offered by the campus attended.
- c. For the purpose of awarding degrees with honors and degrees with distinction, the overall performance of degree candidates on each campus will be judged in relationship to the performance of degree-seeking students on that campus, not in relationship to other University students.
- d. To qualify for either a degree with distinction or a degree with honors, a student must have completed 60 or more semester credits at the University. For the purposes of meeting the grade point average standards set forth in this policy, only University course work will be counted.
- e. It is the expectation of the Faculty Senate that in general, a campus will not award degrees with honors and with distinction, in total, to more than approximately 10 - 15% of any graduating class.
- f. The University transcript will contain a brief explanation of the difference between a degree with distinction and a degree with honors.
- g. The Senate Committee on Educational Policy will review annually data on the number and percentage of students on each campus who receive degrees with distinction and degrees with honors.

**2. Degrees with Distinction**

- a. The initiative in establishing degrees with distinction will lie with the campuses concerned and must be approved by the chief academic officer on the campus.
- b. To graduate "with distinction," a student must have a cumulative grade point average of 3.750 or higher at the time the student graduates. To graduate "with high distinction," a student must have a cumulative grade point average of 3.900 or higher.
- c. The grade point average alone will be used in determining the granting of degrees "with distinction" or "with high distinction." Campuses may choose to offer only degrees "with distinction" or only degrees "with high distinction," but in either case they would be subject to section 2(b) of this policy.

**3. Degrees with honors and campus honors programs**

- a. The requirements for a degree with honors will not consist of only the accomplishment

of a designated amount of course work or achievement of a stipulated grade point average, but will also include a definite standard of excellence in scholarship with specific evidence of ability to accomplish independent or original work. To obtain a degree with honors, the student must participate in a fully developed campus honors program.

- b. The initiative for establishing degrees with honors (that is, cum laude, magna cum laude, and summa cum laude) will lie with each campus and must be approved by the senior academic officer on the campus. Qualifications for degrees with honors must meet the requirements of sections 3(b-d) of this policy.
- c. A campus desiring to grant degrees with honors must propose an honors program, specifying how honors students are to be selected, the nature, depth, and breadth of the honors requirements, and the general requirements for obtaining a degree cum laude, magna cum laude, and summa cum laude.
- d. The minimum cumulative grade-point average in courses taken after the completion of 60 semester credits will be 3.500 to obtain a degree "cum laude," 3.666 for a degree "magna cum laude," and 3.750 for a degree "summa cum laude." Counting courses for the purpose of calculating the grade-point average begins after the student completes his or her 60th credit. Campuses have the authority to adopt higher grade-point averages.
- e. Campuses will attempt to ensure that there is reasonable consistency across units in the amount of work required of its students to obtain degrees with honors.

## Exclusions

This policy is not applicable to the Duluth campus.

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## REASON FOR POLICY

[RETURN TO TOP](#)

Students who achieve high academic performance as evidenced in their grade point average or who participate in an honors program (either University or campus based) receive recognition on their transcripts and diplomas. The standards for graduating with distinction and/or honors need to be clearly articulated so they can be applied consistently, and so students know what is required to achieve these recognitions.

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## PROCEDURES

[RETURN TO TOP](#)

There are no procedures related to this policy.

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## FORMS/INSTRUCTIONS

[RETURN TO TOP](#)

There are no forms related to this policy.

---

## ADDITIONAL CONTACTS

[RETURN TO TOP](#)

Subject	Contact	Phone	Fax/Email
Primary Contact(s)	<a href="#">Suzanne Bardouche</a>	612-626-9159	<a href="mailto:bardouch@umn.edu">bardouch@umn.edu</a>
Twin Cities Campus	<a href="#">Sue Van Voorhis</a>	612-625-8098	<a href="mailto:vanvo002@umn.edu">vanvo002@umn.edu</a>
Crookston Campus	<a href="#">Ken Myers</a>	218-281-8200	<a href="mailto:kmyers@crk.umn.edu">kmyers@crk.umn.edu</a>
Morris Campus	<a href="#">Clare Dingley</a>	320-589-6026	<a href="mailto:strandcd@morris.umn.edu">strandcd@morris.umn.edu</a>
Rochester Campus	<a href="#">Nathan Tesch</a>	507-258-8075	<a href="mailto:tesch026@umn.edu">tesch026@umn.edu</a>

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## DEFINITIONS

[RETURN TO TOP](#)

### Graduating with Distinction

Degree with distinction indicates graduation with high grade point average; the words "with distinction" or "with high distinction" are printed on the transcript and on the diploma.

### Graduating with Latin Honors (Twin Cities)

Graduation with Latin Honors (cum laude, magna cum laude, summa cum laude) is available to those students who have a GPA of 3.5 or higher and have completed the requirements of the University Honors Program. Students who have met the requirements may be considered for the following Latin Honors Graduation Levels:

- cum laude: 3.500 GPA or higher
- magna cum laude: 3.666 GPA or higher

- summa cum laude: 3.750 GPA or higher

### The Honors Program (Morris)

Successful completion of the Honors Program, an interdisciplinary curriculum team-taught by faculty from across the campus, provides the student a degree 'with Honors' in recognition of the student's achievement.

### University Honors Program (Twin Cities)

The University Honors Program (UHP) is a selective program that provides an enriched and intellectually stimulating academic experience for University of Minnesota, Twin Cities students and provides a path toward graduation with Latin Honors. The UHP provides a unique set of experiences for students including tailored curricular offerings, personalized academic advising, and a wide variety of co-curricular opportunities. Students are either offered admission to UHP upon acceptance to the University or can apply for admission to UHP as a current student.

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## RESPONSIBILITIES

[RETURN TO TOP](#)

There are no responsibilities related to this policy.

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## APPENDICES

[RETURN TO TOP](#)

There are no appendices related to this policy.

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## FREQUENTLY ASKED QUESTIONS

[RETURN TO TOP](#)

### 1. How are Latin honors determined (Twin Cities)?

Graduation with Latin Honors (cum laude, magna cum laude, summa cum laude) is based on the grade point average in a student's final 60 graded credits at the University of Minnesota-Twin Cities (transfer credits are not included). The GPA in these 60 graded credits, combined with meeting the University Honors Program requirements, qualifies the student to be considered for the following Latin Honors Graduation Levels:

- cum laude: 3.50 GPA or higher
- magna cum laude: 3.66 GPA or higher
- summa cum laude: 3.75 GPA or higher

All students pursuing Latin Honors must complete an Honors Thesis consistent with the level of Latin Honors they are attempting. All students graduating with Latin Honors at the University of Minnesota, Twin Cities must meet the residency requirement of 60 graded credits on the UMTC campus.

### 2. Can a student graduate with more than one type of honors designation?

At the University of Minnesota, Twin Cities, a student may earn graduation with distinction or high distinction at the same time as graduation with Latin Honors. / At the University of Minnesota, Morris and the University of Minnesota, Rochester, a student may be able to graduate with more than one type of honors designation. Students are encouraged to speak with their advisors regarding their eligibility for an honors designation.

### 3. How are grades from multiple University of Minnesota campuses considered when calculating the overall grade point average?

A student's grade point average is calculated with all of his/her University of Minnesota coursework. Therefore, if a student has coursework at more than one campus of the University (e.g. Crookston, Duluth, Morris, Twin Cities, Rochester), all grades from coursework at all campuses are included in calculating the grade point average.

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## RELATED INFORMATION

[RETURN TO TOP](#)

- Administrative Policy: [Grading and Transcripts: Twin Cities, Crookston, Morris, Rochester](#)

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## HISTORY

[RETURN TO TOP](#)

### Amended:

January 2011 - Title modified so to clarify that Policy applies to Undergraduate Degrees.

### Amended:

December 2009 - Policy now applies to Crookston.





## ADMINISTRATIVE POLICY

# Credit and Grade Point Requirements for an Undergraduate (Baccalaureate) Degree: Twin Cities, Crookston, Morris, Rochester

**Policy Contents**

- [Policy Statement](#)
- [Reason for Policy](#)
- Procedures
- Forms/Instructions
- [Additional Contacts](#)
- [Definitions](#)
- [Responsibilities](#)
- Appendices
- [FAQ](#)
- [Related Information](#)
- [History](#)

**Effective Date:** April 2009**Last Update:** June 2012**Responsible University Officer:**

- Senior Vice President for Academic Affairs and Provost

**Policy Owner:**

- Vice Provost and Dean of Undergraduate Education

**Policy Contact:**

- [Suzanne Bardouche](#)

**CONSULTED WITH:** Faculty Senate

Printed on: January 4, 2013. Please go to <http://policy.umn.edu> for the most current version of the Policy or related document.

**POLICY STATEMENT**[RETURN TO TOP](#)

1. Degrees are awarded by the Regents of the University on recommendation of the faculty, not by colleges or departments or campuses. Degree requirements and standards are set by the University, but the determination of requirements and standards related to programs and majors are delegated to departments, colleges, and campuses, but must be consistent with this policy.
2. All credit awarded by the University, regardless of the campus or type of instruction, must be recognized by all University campuses, must appear on the transcript, and count toward the requirements for the degree (subject to the limitation on skills credits and requirements and standards established by departments, colleges, and campuses). In some cases, students may accumulate credits that, while recognized by the University, are in excess of what may be required for the degree program in which he or she may be enrolled.
3. Baccalaureate degrees require a minimum of 120 semester credits. College/campus approval is required for any baccalaureate degree programs that require more than 120 credits. Academic units that propose baccalaureate degree programs requiring more than 132 credits must also receive approval from the appropriate chancellor or provost in consultation with the Senate Committee on Educational Policy.
4. The accumulation of 120 or more credits, without meeting requirements and standards set out in this policy and by departments, colleges, and campuses, does not entitle a student to a degree.
5. Requirements regarding breadth of study (i.e., liberal education requirements) and other campus-wide graduation standards must be approved by the faculty governing body for that campus.
6. Limits on use of S/N grades (see the Grading and Transcripts Policy for definitions of S and N).
  - a. The maximum number of S/N credits allowed to a student is 25% of University credits counted toward the degree (from any campus).
  - b. [Twin Cities only] No unit will allow S/N grading in major course work unless the S/N grading system is preset by the unit for specific courses.
  - c. [Twin Cities only] For a student who completes only the minimum number of 30 credits at the University, no more than 8 of the 30 credits may be taken S/N.
  - d. [Twin Cities only] Subject to the overall University policy contained in 4, above, colleges, campuses, and programs may specify what courses or proportion of courses taken by its students or its prospective students must be on the A-F or S-N grading system.
7. [Twin Cities and Rochester only] D grades are not permitted in major or minor

courses. Required courses for the major or minor in which a student receives a D grade (with or without plus or minus) do not count toward the major or minor (including transfer courses). All other courses, including courses in the major or minor field that are not required to complete the major or minor, will count toward a degree if the student earns a D or better.

8. **(Morris only)** No more than 8 credits in Music Ensembles, Mus 1300 through Mus 1340, no more than 4 credits in WSS 12xx Skills courses, no more than 4 credits Varsity Athletics, WSS 1401 through WSS 1412, and no more than 4 credits in Psychology Field Experience, Psy 4896 may be applied to the 120 credit degree requirement.
9. GPA requirement for graduation. The minimum cumulative GPA required for graduation will be 2.00, and will include all, and only, University course work. (That is, a student who is admitted to a degree program or major and who completes all requirements with a cumulative GPA of at least 2.00 in University course work will be allowed to graduate). No academic unit may impose additional grade point standards or conditions to graduate.

## Exclusions

This policy is not applicable to the Duluth campus.

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## REASON FOR POLICY

[RETURN TO TOP](#)

It is expected that students who graduate from the University will have completed a minimum amount of coursework from the University campus from which they are seeking to graduate. This requirement allows the faculty of each campus to ensure the student meets the campus and institutional standards of achievement.

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## PROCEDURES

[RETURN TO TOP](#)

There are no procedures associated with this policy.

---

## FORMS/INSTRUCTIONS

[RETURN TO TOP](#)

There are no forms associated with this policy.

---

## ADDITIONAL CONTACTS

[RETURN TO TOP](#)

Subject	Contact	Phone	Fax/Email
Primary Contact(s)	<a href="#">Suzanne Bardouche</a>	612-626-9159	<a href="mailto:bardouch@umn.edu">bardouch@umn.edu</a>
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Crookston Campus	<a href="#">Ken Myers</a>	218-281-8200	<a href="mailto:kmyers@crk.umn.edu">kmyers@crk.umn.edu</a>
Morris Campus	<a href="#">Clare Dingley</a>	320-589-6026	<a href="mailto:strandcd@morris.umn.edu">strandcd@morris.umn.edu</a>
Rochester Campus	<a href="#">Nathan Tesch</a>	507-258-8075	<a href="mailto:tesch026@umn.edu">tesch026@umn.edu</a>

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## DEFINITIONS

[RETURN TO TOP](#)

### Academic Major

A student's main field of specialization during his or her undergraduate or graduate studies. The major is recorded on the student's transcript.

### Academic Minor

A student's declared secondary field of study or specialization during his or her undergraduate or graduate studies. A minor typically consists of a set of courses that meet specified guidelines and is designed to allow a sub-major concentration in an academic discipline or in a specific area in or across disciplines. The minor is recorded on the student's transcript.

### Requirements for the major and minor

The set of courses that constitute a particular degree program. These courses make up a portion of the University of Minnesota degree.

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## RESPONSIBILITIES

[RETURN TO TOP](#)

### Colleges or campuses

Prepare request to establish standard higher than those set in the policy. Communicate the new standards, if approved.

**Senior Vice President for Academic Affairs and Provost**

Consider collegiate or campus requests on higher standards and communicate the decision.

---

**APPENDICES**

[RETURN TO TOP](#)

There are no appendices related to this policy.

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**FREQUENTLY ASKED QUESTIONS**

[RETURN TO TOP](#)

1. **Do study abroad credits taken through the University of Minnesota count in the “15 of the last 30 credits” requirement?**

Yes, if the study abroad experience is coordinated by the University of Minnesota, it counts as being taken on the student’s home campus.

2. **Do special exam credits count toward campus-specific credit requirements?**

No.

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**RELATED INFORMATION**

[RETURN TO TOP](#)

- Administrative Policy: [Campus Specific Credit Requirements for an Undergraduate \(Baccalaureate\) Degree: Twin Cities, Crookston, Morris, Rochester](#)

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**HISTORY**

[RETURN TO TOP](#)

**Amended:**

June 2012 - Major Revision, Comprehensive Review: 1. Specifies that Ds will not be allowed in courses required for the minor, which has been the current practice on the Twin Cities campus. 2. Clarifies that this rule applies to Rochester as well.

**Amended:**

August 2011 - Major Revision, Comprehensive Review: Eliminates the skills requirements for the Twin Cities, Crookston, and Rochester, to allow students choices as to how to use their electives. There are sufficient other controls in place to ensure that an undergraduate degree does not have an excess of electives.

**Amended:**

December 2009 - Policy now applies to Crookston.

**Effective:**

April 2009



ADMINISTRATIVE POLICY

# Holds on Records and Registration: Twin Cities, Crookston, Morris, Rochester

**Policy Contents**

- [Policy Statement](#)
- [Reason for Policy](#)
- Procedures
- Forms/Instructions
- [Additional Contacts](#)
- Definitions
- Responsibilities
- Appendices
- FAQ
- [Related Information](#)
- [History](#)

**Effective Date:** April 2009

**Last Update:** December 2009

**Responsible University Officer:**

- Senior Vice President for Academic Affairs and Provost

**Policy Owner:**

- Vice Provost and Dean of Undergraduate Education

**Policy Contact:**

- [Tina Falkner](#)

---

**CONSULTED WITH:** Faculty Senate

Printed on: January 4, 2013. Please go to <http://policy.umn.edu> for the most current version of the Policy or related document.

---

## POLICY STATEMENT

[RETURN TO TOP](#)

The University may impose holds on student records for financial, judicial, or academic reasons.

1. Holds may be placed on a student's record under the following circumstances:
  - a. In order to assist the student, advisers may at any stage during a student's academic career impose a hold on his or her record that affects the student's ability to register when appropriate for advising purposes.
  - b. The University may place a hold on a student's record for a violation of Board of Regents Policy: [Student Conduct Code](#) or for failure to meet financial obligations to the University (for example, unpaid bills, library fees, unreturned keys).
  - c. The Senior Vice President for Academic Affairs and Provost and/or Vice President for Health Sciences may designate other appropriate reasons for the University to place a hold on a student's record.
2. A hold ordinarily will prevent a student from obtaining an official transcript or registering for courses or making changes to courses for which they have already registered.
3. To remove a hold from a student record, the student must first pay the debt owed; correct the deficiency or problem; or be cleared by the Office for Student Conduct and Academic Integrity (or the appropriate office on the coordinate campuses.)

### Exclusions

This policy is not applicable to the Duluth campus.

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## REASON FOR POLICY

[RETURN TO TOP](#)

Holds are placed on student records as leverage where needed to protect the University's interests where necessary. For various reasons the University may need to place holds on students' records to compel student action. Placing holds is not an arbitrary action. Only certain offices on campus are able to place holds.

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## PROCEDURES

[RETURN TO TOP](#)

There are no procedures related to this policy.

---

## FORMS/INSTRUCTIONS

[RETURN TO TOP](#)

There are no forms related to this policy.

## ADDITIONAL CONTACTS

[RETURN TO TOP](#)

Subject	Contact	Phone	Fax/Email
Primary Contact(s)	<a href="#">Tina Falkner</a>	612-625-1064	<a href="mailto:rovic001@umn.edu">rovic001@umn.edu</a>
Twin Cities Campus	<a href="#">Julie Selander</a>	612-625-6579	<a href="mailto:goode021@umn.edu">goode021@umn.edu</a>
Crookston Campus	<a href="#">Ken Myers</a>	218-281-8200	<a href="mailto:kmyers@crk.umn.edu">kmyers@crk.umn.edu</a>
Morris Campus	<a href="#">Clare Dingley</a>	320-589-6026	<a href="mailto:strandcd@morris.umn.edu">strandcd@morris.umn.edu</a>
Rochester Campus	<a href="#">Nathan Tesch</a>	507-258-8075	<a href="mailto:tesch026@umn.edu">tesch026@umn.edu</a>

## DEFINITIONS

[RETURN TO TOP](#)

There are no definitions related to this policy.

## RESPONSIBILITIES

[RETURN TO TOP](#)

There are no specific responsibilities related to this policy.

## APPENDICES

[RETURN TO TOP](#)

There are no appendices related to this policy.

## FREQUENTLY ASKED QUESTIONS

[RETURN TO TOP](#)

There are no frequently asked questions related to this policy.

## RELATED INFORMATION

[RETURN TO TOP](#)

- Board of Regents Policy: [Student Conduct Code](#)
- Administrative Policy: [Declaring an Undergraduate Major: Twin Cities, Crookston, Morris, Rochester](#)

## HISTORY

[RETURN TO TOP](#)

**Amended:**

December 2009 - Policy now applies to Crookston.

**Effective:**

April 2009



## ADMINISTRATIVE POLICY

# Leave of Absence and Readmission for Undergraduates: Twin Cities, Crookston, Morris, Rochester

**Policy Contents**

- [Policy Statement](#)
- [Reason for Policy](#)
- [Procedures](#)
- [Forms/Instructions](#)
- [Additional Contacts](#)
- [Definitions](#)
- [Responsibilities](#)
- [Appendices](#)
- [FAQ](#)
- [Related Information](#)
- [History](#)

**Effective Date:** April 2009**Last Update:** January 2011**Responsible University Officer:**

- Senior Vice President for Academic Affairs and Provost

**Policy Owner:**

- Vice Provost and Dean of Undergraduate Education

**Policy Contact:**

- See [Contacts Section](#).

**CONSULTED WITH:** Faculty Senate

Printed on: January 4, 2013. Please go to <http://policy.umn.edu> for the most current version of the Policy or related document.

## POLICY STATEMENT

[RETURN TO TOP](#)

Undergraduates are expected to maintain continuous registration from the time they matriculate until they graduate. Students who will not maintain continuous registration for any reason should consult with an adviser about whether to request a leave of absence because there may be financial aid or re-admission implications if a student leaves without a leave of absence.

1. Students in good academic standing will ordinarily be granted a leave of absence upon request. The term of the leave must be specified and may not exceed two years. (Study abroad may or may not require a leave of absence.)
2. All colleges will have a process for implementing this policy.
3. Students who follow the college process and whose leave is approved in accordance with this policy need not apply for re-admission when they return, and students may return before the expiration of the leave. Whether the student returns early or at the expiration of the leave, colleges may condition the timing of re-admission to a program on availability of space. Re-admission may be denied based on crimes or other serious misconduct occurring during the leave that would have been grounds for suspension or expulsion had the student engaged in the conduct while enrolled (see Board of Regents Policy: [Student Conduct Code](#).)
4. Undergraduates who fail to register for a semester (excluding summer) (Twin Cities and Rochester) or two semesters (Morris) and who have not been granted a leave of absence or whose leave of absence has expired will be placed on "inactive" status. Students who are placed on Inactive status must obtain permission to be re-admitted to a program. Students in good academic standing at the time they became Inactive normally should be allowed to return to Active status. Students on Inactive status must contact their college office for approval to regain Active status before registering for another term.
5. At the time of matriculation, students should be informed about both the consequences of Inactive status and the University's policy, including whether re-admission after a period of Inactive status is dependent on availability of space in the program.
6. A student who has left the University without a leave of absence for more than two consecutive semesters (not including summer session) may be held to new program requirements upon his or her return. A student returning after one year or less will be allowed to follow the program requirements.

This policy is not applicable to the Duluth campus.

## REASON FOR POLICY

[RETURN TO TOP](#)

Periodically students must interrupt their enrollment for a variety of reasons. Allowing students to take a "leave of absence" provides students the opportunity to return to the University under

the rules and policies in effect when they left. It also allows the University the opportunity to counsel students about the required actions to return upon the end of the leave.

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## PROCEDURES

[RETURN TO TOP](#)

There are no procedures related to this policy.

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## FORMS/INSTRUCTIONS

[RETURN TO TOP](#)

- [Application for readmission form](#)
- [Leave of Absence Form](#)

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## ADDITIONAL CONTACTS

[RETURN TO TOP](#)

Subject	Contact	Phone	Fax/Email
Student Services Contact Information	<a href="#">List of Contacts</a>		
Policy Questions	<a href="#">Suzanne Bardouche</a>	612-626-9159	<a href="mailto:bardouch@umn.edu">bardouch@umn.edu</a>
Crookston Campus	<a href="#">Ken Myers</a>	218-281-8200	<a href="mailto:kmvers@crk.umn.edu">kmvers@crk.umn.edu</a>
Morris Campus	<a href="#">Bart Finzel</a>	320-589-6015	<a href="mailto:finzelbd@morris.umn.edu">finzelbd@morris.umn.edu</a>
Rochester Campus	<a href="#">Kendra Weber</a>	507-258-8008	<a href="mailto:weber362@umn.edu">weber362@umn.edu</a>

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## DEFINITIONS

[RETURN TO TOP](#)

### Inactive status

Undergraduates who have not been granted a formal "leave of absence" or who do not register for one semester (excluding summer session) will be placed on "inactive" status. A student who is no longer active in his or her program is in inactive status.

### Leave of absence

Refers to a process by which students request official permission to leave the University for a set duration of time.

### Matriculate

Students who have been admitted to the University, choose to attend the University and enroll in courses; students who may begin taking courses towards a degree.

### Readmission

The process of reapplication to the University for admission. Readmission is required following a break in enrollment without an approved leave of absence, as well as after failure to return by the term immediately following an approved leave of absence (excluding summer).

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## RESPONSIBILITIES

[RETURN TO TOP](#)

### College

Inform students of space limitations on re-admission/returning from leave.

### Student

- Complete a leave of absence form when planning a leave of absence
- Talk with college student services staff before planning the leave of absence

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## APPENDICES

[RETURN TO TOP](#)

- [Student Services Contact Information](#)

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## FREQUENTLY ASKED QUESTIONS

[RETURN TO TOP](#)

### 1. Who should a student contact about taking a leave of absence?

A student should contact his/her academic advisor and follow the process for the college in which the student is enrolled. Links to the student services offices for the college on the Twin Cities campus are at [http://policy.umn.edu/Policies/Education/Education/READMISSIONLOA\\_APPA.html](http://policy.umn.edu/Policies/Education/Education/READMISSIONLOA_APPA.html). Contacts for Crookston, Morris, and Rochester are listed above under "additional contacts."

2. **If a student is on a leave of absence and has questions about returning or extending the leave, who should the student contact?**

The student should contact the college student services office for the college in which the student was enrolled at the time of taking the leave. Links to the student services offices for the college on the Twin Cities campus are at [http://policy.umn.edu/Policies/Education/Education/READMISSIONLOA\\_APPA.html](http://policy.umn.edu/Policies/Education/Education/READMISSIONLOA_APPA.html). Contacts for Crookston, Morris, and Rochester are listed above under "additional contacts."

3. **If a student is inactive (i.e., not on an approved leave of absence) and would like to inquire about resuming studies at the University of Minnesota, who should the student contact?**

The student should contact the college student services office for the college in which the student was enrolled at the time of last enrollment. Links to the student services offices for the college on the Twin Cities campus are at [http://policy.umn.edu/Policies/Education/Education/READMISSIONLOA\\_APPA.html](http://policy.umn.edu/Policies/Education/Education/READMISSIONLOA_APPA.html). Contacts for Crookston, Morris, and Rochester are listed above under "additional contacts." The student should provide current contact information, and the student's U of M ID number, and indicate that the student is inquiring about readmission.

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## RELATED INFORMATION

[RETURN TO TOP](#)

- Board of Regents Policy: [Student Conduct Code](#)

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## HISTORY

[RETURN TO TOP](#)

**Amended:**

January 2011 - Policy title updated to reflect that Policy applies to Undergraduate students.

**Amended:**

December 2009 - Policy now applies to Crookston.

**Effective:**

April 2009





## ADMINISTRATIVE POLICY

# Academic Probation and Suspension for Undergraduate Students: Twin Cities, Morris, Rochester

**Policy Contents**

- [Policy Statement](#)
- [Reason for Policy](#)
- Procedures
- Forms/Instructions
- [Additional Contacts](#)
- [Definitions](#)
- Responsibilities
- [Appendices](#)
- [FAQ](#)
- Related Information
- [History](#)

**Effective Date:** April 2009**Last Update:** January 2011**Responsible University Officer:**

- Senior Vice President for Academic Affairs and Provost

**Policy Owner:**

- Vice Provost and Dean of Undergraduate Education

**Policy Contact:**

- [Robert McMaster](#)

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**CONSULTED WITH:** Faculty Senate

Printed on: January 4, 2013. Please go to <http://policy.umn.edu> for the most current version of the Policy or related document.

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**POLICY STATEMENT**
[RETURN TO TOP](#)

All colleges and programs will use the following rules for determining probation and suspension.

Every college and campus must have a Student Scholastic Standing Committee.

**A. Probation**

1. **A student will be placed on probation** (and will remain on probation) if either the term or the cumulative GPA is below 2.000. A student on probation will have a hold placed on his or her record and must see an adviser in order to register.
2. **Academic contract.** Colleges may develop contracts specifying additional requirements that students enrolled in that college must meet to be removed from probation or to register for classes while on probation. The academic contract may include GPA expectations more rigorous than the 2.000 term and cumulative GPA minimum standard, where programmatically warranted and where clearly communicated to the student. If the student meets the conditions of the contract, and the term and cumulative GPA are at least 2.000, the student will be removed from probation. Even if the contract conditions are met, the student must still meet the minimum GPA requirements of this policy. If the conditions of the contract are not met, the student will be suspended.
3. **Registering while on probation.** Students will be given an override for the probation hold to enable them to register when they have met with an adviser and, if a contract is required, when the student's academic adviser and college office are satisfied that the conditions of the contract have been met.

**B. Suspension**

1. **A student is suspended if**
  - a. at the end of the probation term (semester), both the term and the cumulative GPA are below 2.000, or
  - b. the conditions of an academic contract are not fulfilled. The suspension is effective immediately.
2. **Consequences of suspension.** When suspended, a student is no longer in the program and cannot register for any University courses for at least one full academic year. All colleges and campuses at the University must recognize the probationary holds and will not allow students, including non-degree seeking students, with these holds to register without the approval of the college placing the hold.
3. **Appealing suspension decisions.** Students may appeal suspension decisions or petition for re-admission in writing to the college's Student Scholastic Standing Committee (SSSC) according to a defined collegiate petition process.

4. **Re-admission after suspension.** Re-admission after a period of suspension is not automatic. To be re-admitted, a student must show evidence of changes in circumstances that demonstrate that he or she will succeed in an academic program.
5. **Returning to the college or a different college after suspension.** Upon return to the college after petitioning to reenter, students will be placed on probation, and all colleges will use a probation hold and contract for the purpose of monitoring the student's performance. If the student does not successfully complete the contract, he or she will be suspended again, but then will be required to reapply for admission to a college, rather than petition to reenter.

## Exclusions

This policy is not applicable to the Crookston or Duluth campuses.

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## REASON FOR POLICY

[RETURN TO TOP](#)

Units have a responsibility to identify students who are unlikely to earn degrees and terminate their enrollment. This practice preserves the resources of the unit and the student. Standardizing the eligibility criteria for academic probation and suspension allows for greater understanding and consistent application of probation and suspension across units. Students need to have clearly articulated processes for being placed on and removed from probation or suspension.

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## PROCEDURES

[RETURN TO TOP](#)

There are no procedures associated with this policy.

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## FORMS/INSTRUCTIONS

[RETURN TO TOP](#)

There are no forms associated with this policy.

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## ADDITIONAL CONTACTS

[RETURN TO TOP](#)

Subject	Contact	Phone	Fax/Email
Primary Contact(s)	<a href="#">Robert McMaster</a>	612-626-9425	<a href="mailto:mcmaster@umn.edu">mcmaster@umn.edu</a>
Twin Cities Campus	<a href="#">Sue Van Voorhis</a>	612-625-8098	<a href="mailto:vanvo002@umn.edu">vanvo002@umn.edu</a>
Crookston Campus	<a href="#">Ken Myers</a>	218-281-8200	<a href="mailto:kmyers@crk.umn.edu">kmyers@crk.umn.edu</a>
Morris Campus	<a href="#">Clare Dingley</a>	320-589-6026	<a href="mailto:strandcd@morris.umn.edu">strandcd@morris.umn.edu</a>
Rochester Campus	<a href="#">Nathan Tesch</a>	507-258-8075	<a href="mailto:tesch026@umn.edu">tesch026@umn.edu</a>

See also [Student Services Contact Information](#).

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## DEFINITIONS

[RETURN TO TOP](#)

### Contract

A formal, written document that specifies both the corrective action and associated timeline, and expectations of student performance.

### Evidence of changes in circumstances

A student is able to demonstrate via a transcript that he or she is academically ready to resume work at the University of Minnesota.

### Probation

A student is performing poorly academically and is "on notice" that further performance decline (or lack of improvement) will result in more severe consequences (suspension).

### Suspension

A period of time (one year) where a student is not allowed to take any course work at the University of Minnesota.

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## RESPONSIBILITIES

[RETURN TO TOP](#)

There are no specified responsibilities related to this policy.

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## APPENDICES

[RETURN TO TOP](#)

- [Student Services Contact Information](#)

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## FREQUENTLY ASKED QUESTIONS

[RETURN TO TOP](#)

1. **Can a student who is suspended enroll in courses at the University of Minnesota during the suspension period?**

No, students who are suspended may not enroll in courses at the University of Minnesota until their suspension is complete. At the University of Minnesota, Twin Cities the suspension period also includes not being eligible to enroll in courses offered through the College of Continuing Education (CCE). The suspension period applies to all academic terms within the suspension period, including May term and Summer Session.

2. **Is a contract required for probation?**

No, use of a contract for probation is determined by the college or campus. A student should contact his or her college office to determine if a contract is required.

3. **What is the difference between an optional probation contract and a mandatory returning after suspension contract?**

The optional contract for probation is just that, optional; some colleges or campuses employ these while others do not. After a student has been suspended, however, he or she must have a written contract from the college or campus outlining what performance will be necessary to return to full, unrestricted student status.

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## RELATED INFORMATION

[RETURN TO TOP](#)

There is no related information associated with this policy.

---

## HISTORY

[RETURN TO TOP](#)

**Amended:**

January 2011 - Title updated to reflect that Policy applies to Undergraduate Students.

**Amended:**

December 2009 - Policy now applies to Crookston campus.

**Effective:**

April 2009

# **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:

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

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

### **ADVISING RECORDS**

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

Recommended retention: 5 years after graduation or date of last attendance.

### **AFFIRMATIVE ACTION PLANS**

Recommended retention: 5 calendar years. (29CFR1602.48)

### **AIR CONDITIONING SERVICE RECORDS**

This series consists of service technician training records and certification, equipment certification, and records of the purchase and use of refrigerants.

Recommended retention: 3 calendar years (40 CFR 82.42).

### **ALARM AGREEMENTS**

This series consists of annual contracts with University departments for alarm monitoring.

Recommended retention: 6 years after contract closed

### **ALCOHOL RECORDS**

This series documents shipping, receiving and customer order authorizations at Office Equipment Services for tax-free alcohol use

Recommended retention: 3 fiscal years. (27 CFR 22.104; 27 CFR 22.161; 27 CFR 22.164).

### **AMBULANCE CREW SIGN-IN**

This series documents staff presence at University events.

Recommended retention: 3 calendar years.

### **AMBULANCE CREW REGISTRATION**

This series consists of the online ambulance crew registration to work events.

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

### **AMBULANCE LICENSING RECORDS**

This series consists of the ambulance license file, and may include but is not limited to application, attendant qualification information, medical director's identification, and other supporting documents.

Recommended retention: 2 years after license expires or is superseded.

### **AMBULANCE OPERATIONAL PROCEDURES**

This series consists of written procedures for the ambulance service.

Recommended retention: Retain until updated. (M.S. 144E.125)

### **ANIMAL HEALTH REPORT**

This series consists of a card used by staff at RAR to identify any problems with animals that are seen during rounds. Includes species, room number, animal identification, investigator, phone number and problem.

Recommended retention: 3 years. 9CFR, Chapter 1, Subchapter A

### **ANIMAL LOG BOOKS**

This series documents the arrival of new animals to RAR.

Recommended retention: 3 years after animal arrives. 9CFR, Chapter 1, Subchapter A

### **ANIMAL MORBIDITY FORMS**

This series documents any problems with the animals at RAR found on rounds, and includes location, animal number, history, assessment and observations and what plan to do.

Recommended retention: 3 years. 9CFR, Chapter 1, Subchapter A

### **ANIMAL USE CERTIFICATIONS**

This series consists of signed employee statements acknowledging understanding of Animal Care and Use Policies and agreement to comply with the Policies. Master record maintained by the University Animal Care Committee.

Recommended retention:

A: Master record: Maintained by Institutional Animal Care and Use Committee: 3 years after completion of activity for which the certification was signed. (OLAW Public Health Service Policy on Humane Care and Use of Laboratory Animals, and 9CFR, Chapter 1, Subchapter A

B: Duplicates: Departments should check with publications and/or sponsors of research for additional requirements.

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

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

Recommended retention:

Retain until obsolete, superseded or administrative value is lost.

### **ANNUAL & MONTHLY REPORTS**

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

### **APPLICANT ACTION SHEET**

This series consists of the applicant action sheet which is used to activate the application for employment for civil service and bargaining unit staff.

Recommended retention: 30 days after application is activated.

### **APPLICANT TESTS**

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

Recommended retention: 10 days after score posted.

#### **APPLICATION FOR DEGREE FORMS**

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

Recommended retention: 5 years after graduation or date of last attendance.

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

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

Recommended retention: 5 fiscal years.

#### **APPROVAL FOR EXTERNAL SALES FILES**

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

Recommended retention:

A: Master copy: Maintained at the Controllers Office: Maintain file 3 fiscal years after approval rescinded.

B: Duplicates: 3 fiscal years.

#### **BALLOTS**

This series consists of ballots used by internal departmental or college committees.

Recommended retention: 60 days after ballots counted and results announced.

#### **BACKGROUND CHECK FILES**

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

Recommended retention:

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

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

#### **BANK STATEMENTS**

Recommended retention: 5 fiscal years

#### **BCT FILES**

This series consists of student files kept at the Office for Student Conduct and Academic Integrity and may include correspondence, reports and interviews.

Recommended retention: 5 years after graduation or date of last attendance.

#### **BIKE LOCKER RECORDS**

This series documents payment and rental of Coffman Union bike lockers.



Recommended retention: 1 year after contract expires.

### **BIKE SURVEYS AND STATISTICAL RECORDS**

Recommended retention: 1 fiscal year.

### **BILLING RECORDS - SUBCONTRACTOR**

This series consists of subcontractor information regarding billing and includes monthly reconciliation records, invoices and correspondence. Master record of payments to vendors maintained at Disbursement Services.

Recommended retention:

A: Disbursement Services: 10 fiscal years.

B: Departments and Units: Sponsored Projects: See SPONSORED ACCOUNTS

C: Departments and Units: State Funds: Maintain original materials for 3 fiscal years provided no litigation is pending. Duplicate information, such as that held at Disbursements must be kept for current plus one fiscal year.

### **BUDGET FILES**

This series consists of internal budget worksheets and files.

Recommended retention: 3 fiscal years.

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

Recommended retention:

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

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

### **CALENDARS**

SEE SCHEDULING RECORDS

### **CARD ACCESS RECORDS**

This series documents access requests by access card coordinators for employees to workstations and buildings.

Recommended retention: 1 year after access terminated

### **CARD ACCESS REPORTS**

This series consists of reports of employees with card access rights, and are used to audit access rights.

Recommended retention:

A: Master Record: Maintained at Department of Public Safety: 3 fiscal years.

B: Duplicates: Retain until updated.

### **CASH RECEIPT RECORDS**

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

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

### **CLASS INFORMATION**

This series consists of electronic or paper copy of grade submissions, class schedules, class syllabi, class bulletins, class record books and course evaluations for each quarter or semester. This information is usually maintained at the department level.  
Recommended retention: 5 years after class completed.

### **CLASS LISTS**

This series consists of lists of students in each class, and was discontinued in hard copy in 2000. This information is now generated as needed using the data warehouse.  
Recommended retention: Retain until obsolete, superseded or administrative value is lost.

### **CLIENT MEDICAL RECORDS**

This series documents medical care given by UMEMRT Team members at events, and may include but is not limited to Pre-Hospital Care Report, Special Request Forms, and patient releases.  
Recommended retention: 7 years after care given provided no litigation is

### **COLLECTION OBJECT FILES**

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

### **COMMENCEMENT RECORDS**

This series consists of commencement program planning and may include but is not limited to attendance forms, programs, correspondence, student permissions and planning or committee records. Master record maintained at college.  
Recommended retention: Retain until administrative value is lost. Transfer programs to University Archives.

### **COMMITTEE FILES**

This series documents the service of individuals on university committees and boards.  
Recommended retention: Retain until obsolete, superseded or administrative value is lost. Prior to destruction, offer to University Archives.

### **COMPLAINT RECORDS**

This series consists of formal and informal complaint files, and may include but is not limited to complaint, investigation records, interviews, notes and settlement documents when appropriate.  
Recommended retention:  
A: Litigation involved: 10 years after case closed.  
B: Non-litigation: 7 years after case closed.  
C: Summary records: 10 calendar years.

### **COMPLIANCE REVIEWS**

This series consists of compliance reviews undertaken for internal, state or federal reporting.  
Recommended retention: 5 years after review completed.

### **CONFERENCE CONTRACTS**

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

Recommended retention: 6 fiscal years after close of contract.

### **CONFERENCE RECORDS**

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

Recommended retention: 3 fiscal years

### **CONSTRUCTION CONTRACT RECORDS**

This series consists of project records related to construction contracts.

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

### **CONSULTATION RECORDS**

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

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

### **CONTRACTS**

This series consists of University contracts with vendors or other entities. See Grants Management Records for retention of sponsored project records.

Recommended retention: 6 fiscal years after close of contract.

### **CONTRACT FOR PROFESSIONAL SERVICES**

This series consists of contracts for consulting services provided by non-University sources, and may include contract amendments.

Recommended retention:

A: Under \$10,000: Master record maintained at department: 6 fiscal years after termination of contract.

B: Over \$10,000: Master record maintained at Purchasing Services: 6 fiscal years after termination of contract.

C: Sponsored Accounts: **SEE SPONSORED ACCOUNTS.**

D: Duplicates: Retain until administrative value is lost.

### **CONTROLLED SUBSTANCE RECORDS**

This series documents the purchase, sale and use of controlled substances. These drugs are sold to the researchers, who keep logs of usage and return the logs when treatment completed.

Recommended retention: 2 years. (21 CFR 1304.04)

### **COURSE AND PROGRAM RECORDS**

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

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

### **CREDIT CARD RECORDS**

This series consists of credit card records received for payment of services or goods and may include but is not limited to merchant receipts, and any other information identifying the name of card holder, account number, expiration date and authorization code.

Recommended retention:

A: Domestic Transactions: 24 months after transaction processed provided no litigation is pending. (PCI Data Security Standard)

NOTE: This information must be disposed securely, either by shredding of paper documents or following the requirements for disposal of electronic information  
at: <http://www1.umn.edu/oit/security/assureddelete.html>.

B: International Transactions: 7 years after transaction processed provided no litigation is pending. (PCI Data Security Standard)

NOTE: This information must be disposed securely, either by shredding of paper documents or following the requirements for disposal of electronic information  
at: <http://www1.umn.edu/oit/security/assureddelete.html>.

### **CREDIT CARD REPORTS**

This series consists of credit card reports sent to or created by merchants, and are used for reconciliation.

Recommended retention: 3 fiscal years provided applicable audits have been released.

### **CREDIT CARD TRANSACTION REPORTS**

This series consists of the end of day close tapes and daily reports from credit card terminals. If these reports contain the full credit card number, the reports must be managed in compliance with the PCDISS requirements. PCDISS regulations require that this information be managed securely. Additional information is available at:

[http://www.controller.umn.edu/ExternalSales/external\\_sales\\_dept\\_pcidss.htm](http://www.controller.umn.edu/ExternalSales/external_sales_dept_pcidss.htm)

Recommended retention: 24 months after daily close. (PCI Data Security Standard)

### **DEFIB INSPECTION REPORTS**

This series documents inspection of defib equipment used by UMEMRT team members.

Recommended retention: 3 calendar years

### **DEGREE CLEARANCE FORMS**

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

Recommended retention:

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

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

### **DEPOSIT ENVELOPES**

This series consists of the envelope from each parking facility by shift, and lists the number of tickets sold and the amount of money deposited. Envelopes are reconciled to each shift report daily.

Recommended retention: 60 days after reconciliation to shift report.

#### **DETAILED DEFERRED INCOME REPORT**

This report calculates liability for year-end close.

Recommended retention:

A: Monthly Report: Retain until superseded.

B: Year-end Report: 3 fiscal years.

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

#### **DISCIPLINARY LETTERS - EMPLOYEES**

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

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

#### **DOSEMITRY RECORDS**

This series consists of the radiation dosimeter request card and the reports of dosimeter readings.

Recommended retention: 30 years after employee termination. (29 CFR 1910.1020(d)(1)(i))

#### **DROP ENVELOPES**

This series consists of the drop envelopes used by attendants to drop collections into safes at facilities.

Recommended retention: 60 days after reconciliation to ticket system.

#### **DROP-ADD FORMS**

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

Recommended retention:

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

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

#### **EASEMENT RECORDS**

This series consists of all easements either granted or acquired by the University of Minnesota.

Recommended retention: 7 years after termination of easement provided no litigation is pending.

#### **EDUCATIONAL SESSIONS**

This series documents the educational sessions regarding NCAA compliance given by the Athletic Compliance Office.

Recommended retention: 6 calendar years.

#### **ELIGIBILITY AND SQUAD LISTS**

This series consists of the lists of players certified eligible to play in games and matches.

Recommended retention: 10 calendar years. Prior to destruction, Offer to University Archives.

#### **EMPLOYMENT APPLICATIONS**

This series consists of employment applications received from individuals seeking employment in civil service and bargaining unit staff positions but were not hired. May consist of but is not limited to applications for employment, resumes, application supplements, correspondence, test scores, background investigations, recommendations and other supporting documentation.

Recommended retention:

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

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

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

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

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

### **EMPLOYEE EXPOSURE MEDICAL RECORD**

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

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

### **EMPLOYEE PERSONNEL FILE - ACADEMIC EMPLOYEES**

This series consists of the master record, held at the Office of Human Resources, of the personnel file for academic employees, including faculty, academic professional and administrative staff, professionals in training, and graduate assistants. May include but is not limited to PAF's, phased retirement or terminal agreement, sabbatical forms, single quarter or semester forms, notice of appointments, payroll distribution documents, termination documents, change in status, employee earnings, leave of absence, insurance applications, consultant agreements, application for employment, recommendations, and promotion and tenure final decision. For retention of department information, see Employee Personnel File – Department.

Recommended retention: Maintained at Office of Human Resources:

A: Retain the following information for 7 years after termination of employment:

- Employee Performance Appraisals

- Formal Letters of Discipline (unless purged according to contracts or agreements and including oral warnings, written warnings and suspensions)

- Forms 14 & 15 (AREPA Forms)

- Forms UM 1596 and UM 1597 (formerly forms 16 & 17)

- PAF's

- Phased Retirement Information

- Special Awards and Recognitions

- Temporary Appointment Letters

- Vitas and Letters of Application

B: Retain the following information for 30 years after termination of employment:

- Employee Earnings Reports

- Letters of Resignation
- Letter of Offer
- Notice of Non-Renewal
- Promotion and Tenure Records
- Request for Leave – Approved
- Sabbatical/Furlough Records
- Settlement Agreements and Releases
- Termination Agreements
- Vacation/Sick Leave Records

### **EMPLOYEE PERSONNEL FILE - NON-ACADEMIC EMPLOYEES**

This series consists of the master record, held at the Office of Human Resources, of the personnel file for civil service, bargaining unit, temporary no-post employees, and temporary employees. May include but is not limited to PAF's, leave of absence forms, termination of service, biweekly payroll distribution documents, application for employment, performance appraisals, and employee earnings reports. For retention of department information, see Employee Personnel File – Department.

Recommended retention: Maintained at Office of Human Resources:

A: Retain the following information for 7 years after termination of employment:

- Application for Employment
- Employee Performance Appraisals
- Formal Issuance of Discipline (unless purged according to contracts or agreements, and includes oral warnings, written warnings and suspension documents)
- Job Requisitions
- Outstanding Service Awards
- PAF's
- Suspension Letters
- Temporary Appointment Letters

B: Retain the following information for 30 years after termination of employment:

- Employee Earnings Reports
- Letters of Offer
- Letters of Resignation
- Notice of Layoff
- Request for Leave – Approved
- Settlement Agreements and Releases
- Termination Agreements
- Vacation/Sick Leave Records

### **EMPLOYEE PERSONNEL FILE – DEPARTMENT**

This series consists of departmental files, and includes copies of hiring documents and PAF's. It also may include but is not limited to letters of commendation or recommendation, disciplinary letters and other correspondence.

Recommended retention: 7 years after termination.

### **ENDOWMENT/CONTRIBUTION FILES**

This series documents financial contributions received from donors and from the Minnesota Foundation to be used for departmental endowments and student scholarships.  
Recommended retention: 5 fiscal years.

### **EQUIPMENT BUY-OUT/TRANSFER RECORDS**

This series consists of documents detailing the purchase and transfer of ownership of leased equipment to the department from OES.  
Recommended retention: 3 fiscal years.

### **EQUIPMENT FILES**

This series documents purchases of equipment, and may include but is not limited to warranties and purchase information.  
Recommended retention: 6 years after disposal of equipment.

### **EQUIPMENT LEASES**

This series consists of lease agreements between OES and departments leasing equipment.  
Recommended retention: 3 fiscal years.

### **EXAMS**

SEE GRADED MATERIALS

### **EXTERNAL SALES ANNUAL REPORTS**

This series consists of annual reports by units sent to External Sales.  
Recommended retention:  
A: Master copy: Maintained at External Sales: 5 fiscal years.  
B: Duplicates: 3 fiscal years.

### **EXTERNAL SALES CONTRACTS**

This series consists of contracts that units have with external customers who are purchasing goods or services from them. Master record kept at Unit level.  
Recommended retention:  
A: Unit copy: 6 fiscal years provided no litigation is pending.  
B: External Sales: Retain until administrative value is lost.

### **FEDERAL APPROPRIATION DRAWS**

This series consists of the draw-down on federal funds used to replenish accounts after expenditures.  
Recommended retention: 5 fiscal years provided applicable audits have been released.

### **FINANCIAL RECORDS – NON SPONSORED ACCOUNTS**

This retention encompasses all non-sponsored finance and accounting data entered into EFS by the departments and units.  
Recommended retention:  
A: Master record: 3 fiscal years provided no litigation is pending  
B: Duplicates: Retain for current fiscal year then destroy.  
C: Imaged documents: Retain until verified to the Imaging system then destroy.



**FINANCIAL RECORDS – SPONSORED PROJECT**  
SEE SPONSORED PROJECT RECORDS

**FINANCIAL REPORTS**

This series consists of copies of computer generated budget and financial reports.  
Recommended retention: Retain until administrative value is lost.

**FIRST REPORT OF INJURY**

This series consists of the copy of the First Report of Injury filed by employees who have been injured on the job. Master record maintained at University Worker's Compensation Department.  
Recommended retention: Duplicates: 1 fiscal year.

**FLEET INSPECTION STATION LICENSE RECORDS**

This series consists of a State of Minnesota license to conduct air pollution emissions tests on fleet vehicles for purposes of vehicle registration.  
Recommended retention: 5 years after expiration of license.

**FUEL RECORDS**

This series consists of federal excise and state tax records and inventory reports pertaining to gasoline, propane, diesel and compressed natural gas dispensed at Fleet Services.  
Recommended retention: 8 calendar years (26 CFR 48.4041-6 and -7).

**GRADE BOOKS**

This series consists of either electronic or hard copy grade books.  
Recommended retention: 1 year after final grade posted.

**GRADE CHANGE FORMS**

This series consists of hard copy forms that are filled out by instructors and used to change previous grades of students. The forms are sent to the Academic Support Resources from the departments. This procedure is currently being offered electronically.  
Recommended retention:  
A: Master record: Maintained at the Academic Support Resources: Permanent.  
B: Duplicates: Maintained at the department or college offices: 1 year after grade changed provided no litigation is pending.

**GRADE COMPLAINT RECORDS**

This series documents complaints made by students to the instructor, program chair and/or department head about grades.  
Recommended retention: 1 year after complaint is resolved.

**GRADED MATERIALS**

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

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

limited to proposals, reports, final reports and award documents.

Recommended retention:

A: Awarded Grants: **SEE SPONSORED PROJECT RECORDS**

B: Not Awarded: 1 year after award denied provided no litigation is pending.

### **GRIEVANCE FILES**

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

Recommended retention:

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

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

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

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

Recommended retention: 4 calendar years.

### **EQUIPMENT HISTORY FILES**

This series consists of documentation relating to equipment no longer owned by OES, including but not limited to expired leases, property disposal documents, equipment buyout/transfer records, correspondence, expired service agreements, original purchase documents and repair records.

Recommended retention: 3 fiscal years after disposal of equipment.

### **HOLD HARMLESS AGREEMENT**

This series documents agreement between the University and outside landowners in which landowner agrees to release University employees from liability for changes or damage to land while taking soil or water samples in connection with research projects.

Recommended retention: 6 years after completion of project.

### **INDEPENDENT STUDY RECORDS**

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

Recommended retention: 5 years after graduation or date of last attendance.

### **INFORMATION REQUEST RECORDS**

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

Recommended retention; Retain until administrative value is lost.

### **INSTRUCTOR GRADE RECORDS**

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

Recommended retention: 1 year after appeal process is complete.

### **INSURANCE CERTIFICATES**

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

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

### **INTERNAL SALES COMPLIANCE REVIEW REPORTS**

Recommended retention: 3 fiscal years.

### **INTERNAL SALES RATE DEVELOPMENT FILES**

This series consists of the documentation and reports used to support the rate charged to University departments.

Recommended retention: 10 years.

### **INVENTORY RECORDS**

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

Recommended retention:

A: Master record: 6 fiscal years.

B: Duplicates: Retain until updated.

### **INVESTIGATIONS**

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

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

### **JOB CLASSIFICATION FILES**

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

Recommended retention: Retain until administrative value is lost.

### **JOB POSTING FILES**

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

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

### **JOB QUESTIONNAIRES**

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

Recommended retention: 5 fiscal years.

### **JOB REQUISITIONS**

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

Recommended retention:

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

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

### **KEY CARDS/LOGS**

This series consists of signature cards that record agreement to terms and conditions when issuing residence hall room keys, outside door keys and mailbox keys. The cards also are used to acknowledge return or exchange of keys.

Recommended retention: 1 year after keys returned.

### **KEY CUT INFORMATION**

Recommended retention: Retain until updated.

### **KEY REQUEST FORMS**

SEE LOCKSMITH WORK ORDERS

### **LAB RECORDS**

This series consists of the Animal Disease Diagnostic and Investigative Laboratory forms, and includes date, lab number, information on the animal, and lab procedures. A new sheet is created each day, and results for any tests performed by outside labs are stapled to the form.

Recommended retention: 3 years. (9CFR, Chapter 1, Subchapter A)

### **LABOR RELATIONS NEGOTIATIONS FILES**

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

Recommended retention: 6 years after agreement issued. Send copy of signed agreements to University Archives.

### **LABOR RELATIONS POLICIES**

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

### **LEASE RECORDS**

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

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

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

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

Recommended retention:

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

B: Duplicates: Retain until administrative value is lost.

### **LISTING BOOKS – OFF CAMPUS HOUSING**

This series consists of daily listings of off-campus non-University housing available for students.  
Recommended retention: Retain until obsolete, superseded or administrative value is lost.

### **LITIGATION CASE FILES - CORE MATERIALS**

This series may consist of but is not limited to pleadings, correspondence, attorney notes and other materials created in the preparation of handling legal disputes.  
Recommended retention: 10 years after final disposition and expiration of appeal process.  
Prior to destruction, circulate list of cases to attorneys for review.

### **LOCKSMITH WORK ORDERS**

This series consist of requests to Central Security to duplicate keys or change locks on campus facilities.  
Recommended retention: 3 fiscal years.

### **MAJOR INFRACTION FILES**

This series consists of the working files and reports to and from the NCAA regarding major infractions of NCAA rules.  
Recommended retention: 10 years after settlement.

### **MATERIAL SAFETY DATA SHEETS**

Recommended retention: Retain until updated.

### **MEAL DEPOSIT CARDS**

This series records purchase of a meal plan by employees who wish to receive meals in the residence halls.  
Recommended retention: 3 fiscal years.

### **MEETING MINUTES**

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

### **MEETING NOTICES**

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

### **MEMORANDA**

This series consists of interoffice or interdepartmental communications which do not subsequently result in the formulation of policies.  
Recommended retention: Retain until obsolete, superseded or administrative value is lost.

### **MET COUNCIL RECORDS**

This series documents the Metropolitan Council, and may include invoices, correspondence and committee records.

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

### **METER READING CARDS**

This series consists of copier meter reading reporting cards mailed to OES by lessees which are used to generate monthly "per copy" bills.

Recommended retention: 3 fiscal years.

### **MINORITY VENDOR FILES**

This series consists of records documenting construction vendor's commitment to hire minorities and women, and includes the monthly reports from the vendors tracking hiring.

Recommended retention: 3 fiscal years, or as long as construction is in process.

### **NASTE FORMS**

This series documents the Non-Academic Short Term Employment (NASTE) forms, and are used for persons who work less than full time for less than 3 months.

Recommended retention: 3 fiscal years.

### **NAME CHANGE AUTHORIZATIONS - STUDENT**

Recommended retention: 5 years after graduation or date of last attendance.

### **NAME CHANGE RECORDS - EMPLOYEE**

Recommended retention: 1 fiscal year.

### **NCAA PROBATION REPORT**

This series consists of reports and correspondence sent to the University from the NCAA Infractions Committee.

Recommended retention: 6 years after settlement.

### **NECROPSY REPORTS**

This series includes the animal autopsy reports.

Recommended retention: 3 years after autopsy. (9 CFR Chapter 1, Subchapter A)

### **NEWSCLIPPINGS**

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

### **NIH ASSURANCE STATEMENTS**

This series consists of annual reports to NIH for the registration of the animal facility. Recommended retention: 5 years. (9 CFR Chapter 1, Subchapter A)

### **STUDENT OFFICIAL GRADUATION LISTS**

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

Recommended retention: Permanent. Send copy of list to University Archives.

**PACKING SLIPS**

This series consists of packing slips from items received. The EFS system contains the receiving information on items, including purchase order, receiving and invoice processing. Recommended retention: Departments and Units: Retain as needed for warranty purposes, otherwise destroy once administrative use is complete.

**PARKING APPLICATION**

This series consists of application for quarterly allocated parking spaces available to hall residents.

Recommended retention: 1 fiscal year.

**PARKING BILLING STATEMENTS**

This series consists of billing statements returned from customers for payment of parking fees. Recommended retention: 90 days after posting.

**PARKING CONTRACTS**

This series consists of contracts signed by employees or students.

Recommended retention: 1 year after contract cancelled.

**PARKING TICKETS**

This series consists of facility parking tickets.

Recommended retention: 60 days.

**PARKING TICKETS - BUDGET CHARGES**

This series consists of facility parking tickets used to charge back parking fees to university budgets.

Recommended retention: 1 fiscal year.

**PARKING TICKETS - EXCEPTION CHARGES**

Recommended retention: 1 fiscal year.

**PATIENT MEDICAL RECORDS**

Recommended retention: 7 years after last visit, or 7 years after age of majority, whichever is longest.

**PAYROLL DATABASE PURGE REPORT**

Recommended retention: Duplicates: 1 fiscal year.

**PAYROLL RECORDS**

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

Recommended retention:

A. Payroll: 8 calendar years.

B. Duplicates: Current plus one fiscal year.



### **PAYROLL RECORDS - STUDENT**

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

Recommended retention: Duplicates: 3 fiscal years after termination of employment. (29 CFR 519.7)

### **PAYROLL REPORTS**

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

Recommended retention:

A: Payroll copy: 3 fiscal years.

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

### **PERMISSION FORMS**

This series consists of playing practices and declaration forms, and includes summer camp forms.

Recommended retention: 6 calendar years.

### **PERMITS - RADIOACTIVE MATERIALS**

This series consists of permits issued to users of radioactive materials, and includes permit applications, status changes, and close out file inventory forms. Permits are updated every 3 months, and renewed every 4 years.

Recommended retention: Retain until Commissioner terminates license.

### **PERMITS – RADIOISOTOPES**

This series consists of permits issued to users of radioisotopes, and includes permit application and the application for human use of sources of ionizing radiation, when applicable.

Recommended retention: Retain until Commissioner terminates license.

### **PESTICIDE/INSECTICIDE APPLICATION LICENSE**

This series consists of the State of Minnesota license which allows the holder to handle and apply pesticides and insecticides. Master record is held by individual licensee.

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

### **PETITION FORMS**

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

Recommended retention:

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

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

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

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

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

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

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

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

Recommended retention: Retain until reconciled to budget.

## **POST OPERATIVE CARE DAILY EXAMINATIONS**

This series documents the daily exams given to the animals, and documents what done and a description of how the animal was feeling and moving around.

Recommended retention: 3 years. 9CFR, Chapter 1, Subchapter A

## **POST OPERATIVE CARE DATA SHEET**

This series documents the care that an animal with invasive surgery received in post-op, and includes date, animal identification, description of what was done, drugs used, when anesthetics given and any post-operative requests.

Recommended retention: 3 years. 9CFR, Chapter 1, Subchapter A

## **PROMOTION AND TENURE RECORDS**

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

Recommended retention:

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

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

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

## **PUBLICATIONS AND PHOTOGRAPHS**

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

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

## **PUBLICATION SALES RECORDS**

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

Recommended retention: 4 calendar years.

## **PURCHASING CARD RECORDS**

SEE FINANCIAL RECORDS OR SPONSORED ACCOUNT RECORDS.

**PURCHASING RECORDS – SPONSORED ACCOUNT RECORDS**  
SEE SPONSORED ACCOUNT RECORDS

**PURCHASING RECORDS – NON-SPONSORED ACCOUNTS**

This retention encompasses all purchasing records and may include but is not limited to copies of RFP's, contracts, bids, contracts for professional services, price comparisons and requisitions.

Recommended retention:

A: Over \$50,000: Master record maintained at Purchasing Services: 6 years after close of contract provided no litigation is pending

B: Over \$50,000: Duplicates: Maintained at Department or Unit: Retain until administrative value is lost.

C: Under \$50,000: Master record maintained at Department or Unit: 6 years after close of contract provided no litigation is pending.

**RADIOACTIVE MATERIALS INCIDENT REPORTS**

This series consists of reports filed with the radioactive protection division on unusual incidents, such as spills, contamination/injury or loss of control of materials, and includes a brief description of the incident, and actions taken.

Recommended retention: Retain until Commissioner terminates license.

**RADIOACTIVE MATERIALS ORDER FORM**

This series consists of the order form sent by departments to the Radiation Protection Division.

Recommended retention: 3 years after disposal or transfer of materials.

**RADIOACTIVE MATERIALS QUARTERLY REPORTS**

This series consists of but is not limited to inventory stock and waste reports, surveys of materials, and close-out surveys, and includes personnel changes, restricted isotope areas, contamination survey of areas, smear test and exposure rate. These reports are filed quarterly.

Recommended retention: 3 years after report filed with Commissioner.

**RADIOACTIVE MATERIALS TRAINING RECORDS**

This series documents training given to employees on radioactive materials, and includes tests.

Recommended retention: 3 years after employee terminates.

**RADIOACTIVE WASTE COLLECTION REQUESTS**

This series consists of the requests for pick-up of waste, along with the waste manifests.

Recommended retention: 3 years after disposal or transfer of materials.

**RADIOACTIVE WASTE SEALED SOURCE RECORDS**

This series documents the sealed storage containers, and includes leak tests.

Recommended retention: 3 years.

**RAR VETERINARY TECHNICIANS CONFERENCE RECORDS**

This series documents weekly conferences of the veterinary technicians, and includes submissions for surgery, labs and new cases.

Recommended retention: 3 years.

### **READING FILES**

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

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

### **REAL ESTATE FILES**

This series consists of abstracts, memos, correspondence, surveys and deeds documenting all property owned by the University of Minnesota.

Recommended retention: 7 years after sale or disposal of property provided no litigation is pending. Prior to destruction, offer to University Archives.

### **REAL ESTATE PURCHASE FILES**

This series consists of all the property purchased by the University and may include but is not limited to building management files, purchase agreements, and correspondence.

Recommended retention: 7 years after purchase provided no litigation is pending.

### **RECREATION CENTER HEALTH INFORMATION SHEETS**

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

Recommended retention:

A: No injury or accident reported: 1 year after event completed provided no accident or emergency has taken place and provided not litigation is pending.

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

### **RECREATION CENTER MEMBERSHIP REGISTRATION FORMS**

This series consists of membership forms submitted to Recreational Sports for use of facilities.

Recommended retention: 5 years after last visit.

### **RECREATION CENTER PERSONAL FITNESS REGISTRATION FORMS**

This series consists of forms filled out by members using personal fitness trainers and may include but is not limited to fitness goals, medical history, and registration information.

Recommended retention: 5 years after last visit

### **REQUESTS FOR ANIMAL PURCHASES**

Recommended retention: 3 fiscal years. 9CFR, Chapter 1, Subchapter A

### **RESOURCE SUBJECT FILES**

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

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

### **RETURNED DIPLOMAS**

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

Recommended retention: 10 years..

### **ROOM CONDITION REPORTS**

This series consists of reports documenting physical condition of residence hall room at move-in and move-out time. The reports are used to determine whether charges for damage to room are justified.

Recommended retention: 1 fiscal year provided no litigation is pending.

### **ROOM REGISTRATION CARD**

This series consists of registration/sign-in card for conference users of residence hall facilities.

Recommended retention: 1 fiscal year.

### **SAFETY TRAINING RECORDS**

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

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

### **SALARY SCHEDULES**

Recommended retention: Retain until updated.

### **SEARCH COMMITTEE RECORDS**

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

Recommended retention:

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

B: Duplicates: 1 year after search completed.

### **SECURITY CAMERA MONITOR DAILY SHIFT REPORTS**

This series consists of reports by facility that detail who worked, hours, what the monitors did, and everything that happens.

Recommended retention: 3 fiscal years.

### **SECURITY MONITOR MONTHLY INCIDENT SUMMARIES**

This series consists of monthly summaries of the shift reports, and includes people in facility, doors secured and where and when incidents occurred.

Recommended retention: 3 fiscal years.

### **SELF REPORTS**

This series consists of self-reports of violations sent to the NCAA.

Recommended retention:

A: Database: 10 calendar years provided no litigation is pending.

B: Hard Copy: 10 calendar years provided no litigation is pending.

### **SENIORITY ROSTERS**

This series documents the seniority of each person within the bargaining units.

Recommended retention: 3 years after termination of employment.

### **SERVICE AGREEMENTS**

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

Recommended retention: 5 fiscal years.

### **SERVICE CALL LOG BOOK**

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

Recommended retention: Retain for life of equipment.

### **SEXUAL HARASSMENT BOARD RECORDS**

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

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

### **SHIFT REPORTS**

This series consists of reports done by each shift working at the parking facilities, and includes facility, date, lane attendant, start and end time, beginning and end ticket number, and cash register tape.

Recommended retention: 3 fiscal years.

### **SOIL TESTING RECORDS**

This series documents the performance of soil tests conducted by the Soil Testing Labs for departments, agencies and individuals both within and outside the University and includes, but is not limited to, range of tests conducted, billing and payment information and test results and reports.

Recommended retention: 3 fiscal years.

### **SPONSORED PROJECT RECORDS - FINANCIAL**

This series documents grants received by departments and units through Sponsored Projects and may include copies of proposals, budget sheets, appropriations documents, authorizations and other finance and accounting and purchasing documents. Master record maintained at Sponsored Projects Administration or Disbursement Services.

Recommended retention:

A: Sponsored Projects Administration: 6 years after close of grant provided no litigation is pending and all audits have been completed.

B: Disbursement Services: 10 fiscal years.

C: Departments and Units:

1. Federal Grants: Maintain original materials for 3 years after close of grant. Duplicate information, such as that held at SPA and Disbursements may be destroyed upon close of grant.
2. State Grants: Maintain original materials for 6 years after close of grant. Duplicate information, such as that held at SPA and Disbursements may be destroyed upon close of grant.
3. Private Grants: Maintain original materials for 6 years after close of grant. Duplicate information, such as that held at SPA and Disbursements may be destroyed upon close of grant.

### **SPORT FILE**

This series contains correspondence and memos to and from coaches, and is filed by sport.  
Recommended retention: 6 calendar years.

### **STATISTICAL AND SUMMARY RECORDS**

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

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

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

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

Recommended retention:

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

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

### **STUDENT ATHLETE FILES**

This series consists of files maintained on each student athlete as it relates to NCAA compliance.

Recommended retention: 6 years after student leaves the athletic program.

### **STUDENT BIWEEKLY PAYROLL DOCUMENT**

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

Recommended retention:

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

B: Duplicates: Current fiscal year.

### **STUDENT CORRESPONDENCE**

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

Recommended retention:

A: HARD COPY: 5 years after graduation or date of last attendance.

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

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.

Recommended retention: 1 year after date submitted.

### **TRANSIT SERVICES DRIVER TRIP SHEETS**

This series consists of driver sheets from transit services that documents how many passengers used the buses, and includes driver name, terminal route, route start and end, bus number, date, times and mileage, scheduled vs. actual times, cash received, transfers, and trip totals. This information is held by Medicine Lake Lines, and information from the sheets is collected into a computer generated report.

Recommended retention: 1 fiscal year.

### **TRANSIT SERVICES MAPS**

This series documents the transit way designs, and includes drawings, campus maps, system maps and building plans.

Recommended retention: Retain until superseded. Prior to destruction, offer to University Archives.

### **TRANSIT SERVICES MONTHLY REPORTS**

This series documents statistics generated from the trip sheets.

Recommended retention: 3 fiscal years.

### **TRANSIT SERVICES ROUTE CHANGES**

This series documents route changes for the bus routes.

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

### **TRANSITORY MESSAGES**

This series consists of transitory or routine messages that do not make policy or contain significant information, and may be between employees or external organizations or individuals.

Recommended retention: Retain until administrative value is lost.

### **UNCLAIMED PROPERTY**

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

Recommended retention: 10 years after report filed

### **UNION DUES PAYMENTS**

This series documents payment of union dues.

Recommended retention: 5 fiscal years.

### **UNION HEALTH AND WELFARE PAYMENTS**

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

Recommended retention: 5 fiscal years. (29 USC 436)

### **UNIVERSITY PAYROLL RECORDS**

This series may include but is not limited to copies of payroll records, such as W-2's,

Earning Records, Deduction Registers, payroll sheets, and departmental abstracts. Master record maintained at Payroll.

Recommended retention:

A: Payroll: 8 calendar years.

B: Duplicates: Current plus one fiscal year.

### **USDA INSPECTION REPORTS**

This series consists of inspection reports and correspondence relating to the licensing of the animal facility. The facility is re-certified every year.

Recommended retention: 5 years after certification. 9CFR, Chapter 1, Subchapter A

### **VENDOR FILES**

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

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

### **VEHICLE RECORDS**

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

Recommended retention: \_

A: Leased vehicles: 5 fiscal years.

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

### **VENDOR INVOICE (PV)**

SEE FINANCIAL RECORDS OR SPONSORED PROJECT RECORDS

### **VETERANS RECORDS**

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

Recommended retention: 3 years from date of last certification.

### **VETERINARY CLINIC BILLING RECORDS**

This series consists of billing records for veterinary technician services and medications.

Recommended retention: 3 fiscal years.

### **VIDEO LICENSING/ROYALTY AGREEMENT FILES**

This series consists of licensing agreements with and royalty payments from outside firms.

Recommended retention: 3 years after expiration of agreement

### **VIDEO SURVEILLANCE RECORDS**

This series consists of video surveillance records from cameras around and in campus facilities.

Recommended retention: 30 days provided all incident reviews are closed.

### **VOLUNTEER APPLICATION FORM**

This series consists of the application forms for each volunteer in the extension and 4-H program. Information includes contact information, demographic information, self-reference check list, reference forms, authorizations, and volunteer signature. Background checks are done when a new volunteer is accepted, and then periodically on that person, not yearly. Background check information is included in the file with the volunteer application. Recommended retention: 6 years after volunteer leaves the program provided no litigation is pending.

#### **VOLUNTEER ENROLLMENT FORM**

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

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

#### **WITHDRAWAL AUTHORIZATIONS**

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

Recommended retention: 1 year after date submitted.

**WELL DRILLING LICENSES** This series includes license applications and licenses for drilling of wells to collect water samples.

Recommended retention: 3 fiscal years (M.S. 103I.601; M.S. 103I.205; M.S. 116C.724).

#### **WORKSHOP RECORDS**

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

Recommended retention: 3 fiscal years.



UNIVERSITY OF MINNESOTA

## BOARD OF REGENTS POLICY

### Student Conduct Code

**Adopted:** July 10, 1970

**Amended:** December 13, 1974; March 11, 1994; June 13, 2003; December 8, 2006

**Supersedes:** (see end of policy)

## STUDENT CONDUCT CODE

### SECTION I. SCOPE.

This policy applies to all students and student organizations at the University of Minnesota (University).

### SECTION II. JURISDICTION.

The Student Conduct Code (Code) shall apply to student conduct that occurs on University premises or at University-sponsored activities. At the discretion of the president or delegate, the Code also shall apply to off-campus student conduct when the conduct, as alleged, adversely affects a substantial University interest and either:

- (a) constitutes a criminal offense as defined by state or federal law, regardless of the existence or outcome of any criminal proceeding; or
- (b) indicates that the student may present a danger or threat to the health or safety of the student or others.

### SECTION III. GUIDING PRINCIPLES.

- (a) The University seeks an environment that promotes academic achievement and integrity, that is protective of free inquiry, and that serves the educational mission of the University.
- (b) The University seeks a community that is free from violence, threats, and intimidation; that is respectful of the rights, opportunities, and welfare of students, faculty, staff, and guests of the University; and that does not threaten the physical or mental health or safety of members of the University community.
- (c) The University is dedicated to responsible stewardship of its resources and to protecting its property and resources from theft, damage, destruction, or misuse.

(d) The University supports and is guided by state and federal law while also setting its own standards of conduct for its academic community.

(e) The University is dedicated to the rational and orderly resolution of conflict.

#### **SECTION IV. THE RESPONSIBILITIES OF DUAL MEMBERSHIP.**

Students are both members of the University community and citizens of the state. As citizens, students are responsible to the community of which they are a part, and, as students, they are responsible to the academic community of the University. By enforcing its Code, the University neither substitutes for nor interferes with other civil or criminal legal processes. When a student is charged in both jurisdictions, the University will decide on the basis of its interests, the interests of affected students, and the interests of the community whether to proceed with its disciplinary process or to defer action. Determinations made or sanctions imposed under the Code will not be subject to change because criminal charges arising out of the same facts were dismissed, reduced, or resolved in favor of the criminal law defendant.

#### **SECTION V. DISCIPLINARY OFFENSES.**

Any student or student organization found to have committed or to have attempted to commit the following misconduct is subject to appropriate disciplinary action under this policy:

**Subd. 1. Scholastic Dishonesty.** Scholastic dishonesty means plagiarizing; cheating on assignments or examinations; engaging in unauthorized collaboration on academic work; taking, acquiring, or using test materials without faculty permission; submitting false or incomplete records of academic achievement; acting alone or in cooperation with another to falsify records or to obtain dishonestly grades, honors, awards, or professional endorsement; altering, forging, or misusing a University academic record; or fabricating or falsifying data, research procedures, or data analysis.

**Subd. 2. Disruptive Classroom Conduct.** Disruptive classroom conduct means engaging in behavior that substantially or repeatedly interrupts either the instructor's ability to teach or student learning. The classroom extends to any setting where a student is engaged in work toward academic credit or satisfaction of program-based requirements or related activities.

**Subd. 3. Falsification.** Falsification means willfully providing University offices or officials with false, misleading, or incomplete information; forging or altering without proper authorization official University records or documents or conspiring with or inducing others to forge or alter without proper authorization University records or documents; misusing, altering, forging, falsifying, or transferring to another person University-issued identification; or intentionally making a false report of a bomb, fire, natural disaster, or other emergency to a University official or an emergency service agency.

**Subd. 4. Refusal to Identify and Comply.** Refusal to identify and comply means willfully refusing to or falsely identifying one's self or willfully failing to comply with a proper order or summons when requested by an authorized University official.

**Subd. 5. Attempts to Injure or Defraud.** Attempts to injure or defraud means making,

forging, printing, reproducing, copying, or altering any record, document, writing, or identification used or maintained by the University when done with intent to injure, defraud, or misinform.

**Subd. 6. Threatening, Harassing, or Assaultive Conduct.** Threatening, harassing, or assaultive conduct means engaging in conduct that endangers or threatens to endanger the health, safety, or welfare of another person, including, but not limited to, threatening, harassing, or assaultive behavior.

**Subd. 7. Disorderly Conduct.** Disorderly conduct means engaging in conduct that incites or threatens to incite an assault or breach of the peace; breaching the peace; obstructing or disrupting teaching, research, administrative, or public service functions; or obstructing or disrupting disciplinary procedures or authorized University activities.

**Subd. 8. Illegal or Unauthorized Possession or Use of Weapons.** Illegal or unauthorized possession or use of weapons means possessing or using weapons or articles or substances usable as weapons, including, but not limited to, firearms, incendiary devices, explosives, and dangerous biological or chemical agents, except in those instances when authorized by law and, where applicable, by proper University authority.

**Subd. 9. Illegal or Unauthorized Possession or Use of Drugs or Alcohol.** Illegal or unauthorized possession or use of drugs or alcohol means possessing or using drugs or alcohol illegally or, where applicable, without proper University authorization.

**Subd. 10. Unauthorized Use of University Facilities and Services.** Unauthorized use of University facilities and services means wrongfully using University properties or facilities; misusing, altering, or damaging fire-fighting equipment, safety devices, or other emergency equipment or interfering with the performance of those specifically charged to carry out emergency services; or acting to obtain fraudulently-through deceit, unauthorized procedures, bad checks, or misrepresentation-goods, quarters, services, or funds from University departments or student organizations or individuals acting in their behalf.

**Subd. 11. Theft, Property Damage, and Vandalism.** Theft, property damage, and vandalism include theft or embezzlement of, damage to, destruction of, unauthorized possession of, or wrongful sale or gift of property.

**Subd. 12. Unauthorized Access.** Unauthorized access means accessing without authorization University property, facilities, services, or information systems, or obtaining or providing to another person the means of such unauthorized access, including, but not limited to, using or providing without authorization keys, access cards, or access codes.

**Subd. 13. Disruptive Behavior.** Disruptive behavior means willfully disrupting University events; participating in a campus demonstration that disrupts the normal operations of the University and infringes on the rights of other individuals; leading or inciting others to disrupt scheduled or normal activities of the University; engaging in intentional obstruction that interferes with freedom of movement, either pedestrian or vehicular, on campus; using sound amplification equipment on campus without authorization; or making or causing noise,

regardless of the means, that disturbs authorized University activities or functions.

**Subd. 14. Hazing.** Hazing means any act taken on University property or in connection with any University-related group or activity that endangers the mental or physical health or safety of an individual (including, without limitation, an act intended to cause personal degradation or humiliation), or that destroys or removes public or private property, for the purpose of initiation in, admission to, affiliation with, or as a condition for continued membership in a group or organization.

**Subd. 15. Rioting.** Rioting means engaging in, or inciting others to engage in, harmful or destructive behavior in the context of an assembly of persons disturbing the peace on campus, in areas proximate to campus, or in any location when the riot occurs in connection with, or in response to, a University-sponsored event. Rioting includes, but is not limited to, such conduct as using or threatening violence to others, damaging or destroying property, impeding or impairing fire or other emergency services, or refusing the direction of an authorized person.

**Subd. 16. Violation of University Rules.** Violation of University rules means engaging in conduct that violates University, collegiate, or departmental regulations that have been posted or publicized, including provisions contained in University contracts with students.

**Subd. 17. Violation of Federal or State Laws.** Violation of federal or state laws means engaging in conduct that violates a federal or state law, including, but not limited to, laws governing alcoholic beverages, drugs, gambling, sex offenses, indecent conduct, or arson.

**Subd. 18. Persistent Violations.** Persistent violations means engaging in repeated conduct or action in violation of this Code.

## SECTION VI. SANCTIONS.

The following sanctions may be imposed upon students or student organizations found to have violated the Code:

**Subd. 1. Warning.** A warning means the issuance of an oral or written warning or reprimand.

**Subd. 2. Probation.** Probation means special status with conditions imposed for a defined period of time and includes the probability of more severe disciplinary sanctions if the student is found to violate any institutional regulation during the probationary period.

**Subd. 3. Required Compliance.** Required compliance means satisfying University requirements, work assignments, community service, or other discretionary assignments.

**Subd. 4. Confiscation.** Confiscation means confiscation of goods used or possessed in violation of University regulations or confiscation of falsified identification or identification wrongly used.



**Subd. 5. Restitution.** Restitution means making compensation for loss, injury, or damage.

**Subd. 6. Restriction of Privileges.** Restriction of privileges means the denial or restriction of specified privileges, including, but not limited to, access to an official transcript for a defined period of time.

**Subd. 7. University Housing Suspension.** University housing suspension means separation of the student from University Housing for a defined period of time.

**Subd. 8. University Housing Expulsion.** University housing expulsion means permanent separation of the student from University housing.

**Subd. 9. Suspension.** Suspension means separation of the student from the University for a defined period of time, after which the student is eligible to return to the University. Suspension may include conditions for readmission.

**Subd. 10. Expulsion.** Expulsion means the permanent separation of the student from the University.

**Subd. 11. Withholding of Diploma or Degree.** Withholding of diploma or degree means the withholding of diploma or degree otherwise earned for a defined period of time or until the completion of assigned sanctions.

**Subd. 12. Revocation of Admission or Degree.** Revocation of admission or degree means revoking a student's admission to the University or revoking a degree already awarded by the University.

## **SECTION. VII. INTERIM SUSPENSION.**

The president or delegate may impose an immediate suspension on a student or student organization pending a hearing before the appropriate disciplinary committee (1) to ensure the safety and well-being of members of the University community or to preserve University property, (2) to ensure the student's own physical or emotional safety and well-being, or (3) if the student or student organization poses an ongoing threat of disrupting or interfering with the operations of the University. During the interim suspension, the student or student organization may be denied access to all University activities or privileges for which the student or student organization might otherwise be eligible, including access to University housing or property. The student or student organization has a right to a prompt hearing before the president or delegate on the questions of identification and whether the interim suspension should remain in effect until the full hearing is completed.

## **SECTION VIII. HEARING AND APPEALS OF STUDENT DISCIPLINE.**

Any student or student organization charged with violation of the Code shall have the opportunity to receive a fair hearing and access to a campus-wide appeal. To safeguard the rights of students and student organizations, the president or delegate shall ensure that each campus has an appeals procedure to govern alleged violations of this policy. The appeals procedure shall provide both substantive and

procedural fairness for the student or student organization alleged to have violated the Code and shall provide for resolution of cases within a reasonable period of time.

The appeals procedure must describe:

- (a) grounds for an appeal;
- (b) procedures for filing an appeal; and
- (c) the nature of an appellate review.

#### **SECTION IX. DELEGATION OF AUTHORITY.**

The president or delegate shall implement this policy, including publishing and distributing the Code and the procedures governing the student disciplinary process at the University.

**SUPERSEDES: EXISTING DISCIPLINARY APPEALS POLICIES IN CONTRADICTION AND SPECIFICALLY REPEALS THE APPEALS POLICIES DATED FEBRUARY 9, 1979.**



## ADMINISTRATIVE POLICY

# Teaching and Learning: Student Responsibilities (Twin Cities, Crookston, Morris, Rochester)

**Policy Contents**

- [Policy Statement](#)
- [Reason for Policy](#)
- Procedures
- Forms/Instructions
- [Additional Contacts](#)
- [Definitions](#)
- Responsibilities
- Appendices
- FAQ
- [Related Information](#)
- [History](#)

**Effective Date:** April 2009**Last Update:** July 2010**Responsible University Officer:**

- Senior Vice President for Academic Affairs and Provost

**Policy Owner:**

- Vice Provost and Dean of Undergraduate Education
- Vice Provost and Dean of Graduate Education

**Policy Contact:**

- [Jerry Rinehart](#)
- [Suzanne Bardouche](#)
- [Belinda Cheung](#)

**CONSULTED WITH:** Faculty Senate

Printed on: January 4, 2013. Please go to <http://policy.umn.edu> for the most current version of the Policy or related document.

**POLICY STATEMENT**

RETURN TO TOP

1. **Satisfying prerequisites.** Students should not register for courses in which they lack the prerequisites unless they have permission from the instructor.
2. **Responsibility for class work.** Students are responsible for knowing all information contained in the syllabus. Students are responsible for meeting all course requirements, observing all deadlines, examination times, and other course procedures.
3. **Attending class.**
  - a. Students are expected to attend all meetings of their courses. They may not be penalized for absence from class, however, to participate in religious observances, for approved University activities, and for other reasons in accordance with the policy on Makeup Work for Legitimate Absences. Students should notify instructors as soon as possible about such absences.
  - b. Students must attend the first class meeting of every course in which they are registered unless (1) they obtain approval from the instructor before the first meeting or (2) they provide notice to the instructor they must miss class because of a recognized religious holiday (see the policy on Mandatory Attendance at First Class Session and Consequences for Absence). Otherwise, they may lose their places in class to other students. (See Administrative Policy: [Mandatory Attendance at First Class Session and Consequences for Absence: Twin Cities, Crookston, Morris, Rochester](#)).
  - c. Students are responsible for being on time and prepared for all class sessions.
4. **Maintaining academic integrity.** Students are expected to do their own assigned work. If it is determined that a student has cheated, he or she may be given an "F" or an "N" for the course, and may face additional sanctions from the University. (See Board of Regents Policy: [Student Conduct Code](#), Section III, Subd 1, Scholastic Dishonesty, and Administrative Policy: [Grading and Transcripts: Twin Cities, Crookston, Morris, Rochester](#)).
5. **Seeking help and accommodation.**
  - a. Students are responsible for seeking academic help in a timely fashion.
  - b. Students who need special accommodations are responsible for working first with the relevant University offices and then with the instructor at the beginning of the course.
6. **Respecting intellectual property.** Students must abide by the provisions of the policy Appropriate Use of Class Notes and Course Materials.

7. **Keeping classroom in good order.** Students may be responsible for helping straighten up a classroom at the end of a class period, if requested to do so by the instructor. Keeping a classroom in good order includes taking away or disposing of everything one came in with, such as pop cans/bottles, food containers/wrappers, newspapers, etc. Students must also not deface or damage classrooms or classroom furniture or equipment.
8. **Guests may not be brought to class without permission from the instructor.**

### Exclusions

This policy is not applicable to the Duluth campus.

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## REASON FOR POLICY

[RETURN TO TOP](#)

This policy clarifies and outlines student responsibilities and expectations for enrollment and participation in a course. Faculty and students need a common understanding of their responsibilities for the learning process.

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## PROCEDURES

[RETURN TO TOP](#)

There are no procedures related to this policy.

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## FORMS/INSTRUCTIONS

[RETURN TO TOP](#)

There are no forms related to this policy.

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## ADDITIONAL CONTACTS

[RETURN TO TOP](#)

Subject	Contact	Phone	Fax/Email
Primary Contact(s)	<a href="#">Jerry Rinehart</a> <a href="#">Suzanne Bardouche</a> <a href="#">Belinda Cheung</a>	612-626-9159 612-625-6977	<a href="mailto:g-rine@umn.edu">g-rine@umn.edu</a> <a href="mailto:bardouch@umn.edu">bardouch@umn.edu</a> <a href="mailto:cheun002@umn.edu">cheun002@umn.edu</a>
Crookston Campus Procedures	<a href="#">Ken Myers</a>	218-281-8200	<a href="mailto:km Myers@crk.umn.edu">km Myers@crk.umn.edu</a>
Morris Campus Procedures	<a href="#">Bart Finzel</a>	320-589-6015	<a href="mailto:finzelbd@morris.umn.edu">finzelbd@morris.umn.edu</a>
Rochester Campus Procedures	<a href="#">Claudia Neuhauser</a>	507-258-8066	<a href="mailto:neuha001@umn.edu">neuha001@umn.edu</a>

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## DEFINITIONS

[RETURN TO TOP](#)

### Prerequisite

A course that is a necessary requirement before subsequent advanced courses.

### Scholastic Dishonesty

Scholastic dishonesty means plagiarizing; cheating on assignments or examinations; engaging in unauthorized collaboration on academic work; taking, acquiring, or using test materials without faculty permission; submitting false or incomplete records of academic achievement; acting alone or in cooperation with another to falsify records or to obtain dishonestly grades, honors, awards, or professional endorsement; altering, forging, or misusing a University academic record; or fabricating or falsifying data, research procedures, or data analysis.

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## RESPONSIBILITIES

[RETURN TO TOP](#)

Responsibilities are specified in the Policy Statement.

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## APPENDICES

[RETURN TO TOP](#)

There are no appendices related to this policy.

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## FREQUENTLY ASKED QUESTIONS

[RETURN TO TOP](#)

There is no FAQ for this policy.

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## RELATED INFORMATION

[RETURN TO TOP](#)

- Board of Regents Policy: [Student Conduct Code](#)
- Administrative Policy: [Grading and Transcripts: Twin Cities, Crookston, Morris, Rochester](#)
- Administrative Policy: [Mandatory Attendance at First Class Session and Consequences for Absence: Twin Cities, Crookston, Morris, Rochester](#)
- Administrative Policy: [Teaching and Learning: Instructor and Department Responsibilities \(Twin Cities, Crookston, Morris, Rochester\)](#)

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## HISTORY

[RETURN TO TOP](#)

**Amended:**

December 2009 - Policy now applies to Crookston.

**Amended:**

April 2009 - Clarified policy and put in standard format. Added contact information.

**Effective:**

April 2009

**Supersedes:**

*Classroom Expectations Guidelines*



## ADMINISTRATIVE POLICY

# Mandatory Attendance at First Class Session and Consequences for Absence: Twin Cities, Crookston, Morris, Rochester

**Policy Contents**

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- [Reason for Policy](#)
- Procedures
- Forms/Instructions
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- [History](#)

**Effective Date:** April 2009**Last Update:** December 2009**Responsible University Officer:**

- Senior Vice President for Academic Affairs and Provost

**Policy Owner:**

- Vice Provost and Dean of Undergraduate Education
- Vice Provost and Dean of Graduate Education

**Policy Contact:**

- [Suzanne Bardouche](#)
- [Belinda Cheung](#)

**CONSULTED WITH:** Faculty Senate

Printed on: January 8, 2013. Please go to <http://policy.umn.edu> for the most current version of the Policy or related document.

**POLICY STATEMENT**

RETURN TO TOP

1. Students must attend the first class meeting of every part of a course in which they are registered (including, for example, labs and discussion sections), unless they obtain prior approval from the instructor (or department, if appropriate) for an intended absence before the first class meeting; without such prior approval, a student may lose his or her place in the class to another student. The registration materials should alert students to the fact that they must attend the first session of a course, whether that session is a lab, discussion section, lecture, or some other class meeting.
2. If a student wishes to remain in a course from which he or she has been absent the first day without prior approval, the student should contact the instructor as soon as possible. In this circumstance, instructors have the right to deny admission to the class if other students have been admitted and the course is full. However, instructors should consider extenuating circumstances (e.g., weather) that may have prevented a student from attending the first class session.
3. Absence from the first class session that falls during a recognized religious holiday (e.g., Rosh Hashanah) does not require instructor approval, but the instructor must be notified in advance of the absence and the reason; in this instance, the place for the student will be retained. (See Administrative Policy: [Makeup Work for Legitimate Absences: Twin Cities, Crookston, Morris, Rochester](#)).
4. Students must officially cancel any course for which they have enrolled and subsequently been denied enrollment. Instructors will fail any such student who does not officially cancel a course.

**Exclusions**

This policy is not applicable to the Duluth campus.

**REASON FOR POLICY**

RETURN TO TOP

Students are required to attend the first class session to receive important information about the course from the instructor. In addition, because students can enroll and disenroll for courses on line, the list of registered students fluctuates. A student's presence at the first class session is required to clearly indicate the number of students who are committed to taking the course. Instructors can then determine whether any students who were not able to register for a course because all seats were taken may take the place of students who registered but did not attend the first class session.

## PROCEDURES

[RETURN TO TOP](#)

There are no procedures related to this policy.

## FORMS/INSTRUCTIONS

[RETURN TO TOP](#)

There are no forms related to this policy.

## ADDITIONAL CONTACTS

[RETURN TO TOP](#)

Subject	Contact	Phone	Fax/Email
Primary Contact(s)	<a href="#">Suzanne Bardouche</a> <a href="#">Belinda Cheung</a>	612-626-9159 612-625-6977	<a href="mailto:bardouch@umn.edu">bardouch@umn.edu</a> <a href="mailto:cheun002@umn.edu">cheun002@umn.edu</a>
Crookston Campus	<a href="#">Ken Myers</a>	218-281-8200	<a href="mailto:km Myers@crk.umn.edu">km Myers@crk.umn.edu</a>
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Rochester Campus	<a href="#">Claudia Neuhauser</a>	507-258-8066	<a href="mailto:neuha001@umn.edu">neuha001@umn.edu</a>

## DEFINITIONS

[RETURN TO TOP](#)

### Officially cancel

Students must cancel (drop) a class if they have been denied enrollment in that course. Students are responsible for dropping a course to officially remove it from their record and may do so online in the course registration system.

## RESPONSIBILITIES

[RETURN TO TOP](#)

### Students

Attend courses for which they have registered, or seek prior approval from the instructor if they are unable to attend.

Use the course registration system to drop a course they have registered for but will not be attending.

## APPENDICES

[RETURN TO TOP](#)

There are no appendices related to this policy.

## FREQUENTLY ASKED QUESTIONS

[RETURN TO TOP](#)

1. **What is the necessary process for instructors to disenroll students from a course?**

Instructors can contact their college's student services department or One Stop Student Services to request students be disenrolled for not attending the first class session.

2. **How does this policy apply to on-line courses?**

The policy extends to on-line courses as well as traditional in-person courses. Students must attend the first class meeting or obtain permission from the faculty member to be absent. If a student does not attend (e.g., log into the course in Moodle) the course instructor may request that the student be removed from the class.

3. **Is it mandatory that a student be removed from a class if he/she misses the first class session?**

Faculty members are not required to request that the student be removed from the class, but it is their prerogative to make such a request.

## RELATED INFORMATION

[RETURN TO TOP](#)

- Administrative Policy: [Makeup Work for Legitimate Absences: Twin Cities, Crookston, Morris, Rochester](#)

## HISTORY

[RETURN TO TOP](#)

**Amended:**

December 2009 - Policy now applies to Crookston.

**Effective:**

April 2009