

Valparaiso University
Records Management, Retention, and Destruction By Department
*If your department is not the creator of the record and not responsible for retaining the record,
then you should destroy when it is no longer relevant or useful.*

Note: This list should be updated each year and submitted to the Office of General Counsel.

Records Management Schedule - Office of the President				
Type of Record	Location	Retention Time	Related Authority	Notes
Administrative Records		Hardcopy/ Electronic Records		
Annual Reports	Originating Department/ Archives	Permanent/5 Year Transfer	BoardSource	
Board Meeting & Board Committee Minutes	Office of General Counsel/Archives	Permanent/10 Year Transfer	BoardSource	Archives
Board Committee Notes	Office of General Counsel	Committee notes will be supplanted by the approved committee minutes & upon supplantation committee notes must be destroyed.	University Practice	
Board Policies/Resolutions/Administrative Guidelines	Office of General Counsel/Archives	Permanent	BoardSource	
Bylaws	Office of General Counsel/Archives	Permanent	BoardSource	
Contracts & Leases	Originating Department	7 years after completion of terms	45 C.F.R. § Sec. 74.53 & IC 34-13-1-1	
Committee Records (Departmental, Event, Ad-hoc) <ul style="list-style-type: none"> • Agendas • Meeting Minutes • Reports • Working Papers • Related documentation and correspondence 	Secretaries/ Chairs of Committees /Archives	Permanent/5 Year Transfer	University Practice	<ul style="list-style-type: none"> • Registrar to copy minutes of Faculty Senate, University Council, and Standing Committees. • 1 copy to Archives • Upper administration should document the purpose & process of committees that report to them & transfer to Archives
Correspondence, General Administrative <ul style="list-style-type: none"> • Communications received or sent which contains significant information about the programs of a unit and/or routine matters. 	Originating Department/ Archives	Permanent/5 Year Transfer	University Practice	Provost, VPs, Deans, Directors, Dept. Chairs - Records of continuing value are to be transferred to Archives, office of origin to destroy all others.
Institutional Planning Records <ul style="list-style-type: none"> • Activity Reports • Information Materials • Planning Committee Records • Planning Reports/Surveys • Statements of Goals and Objectives • Working Papers • Related Documentation 	Office of the President/ Archives	Permanent/5 Year Transfer		
Legislative Relations Records <ul style="list-style-type: none"> • Copies of Pending or Approved Legislation 	Office of the President/	Permanent/5 Year Transfer		

• Working Papers & Related Documentation	Archives			
Volunteer Registration, Waiver, & Release Forms	Originating Department	3 years after separation		
Accreditation Records				
• Evaluation Reports from Accreditation Organizations • Final Reports sent to Accreditation Organizations • Self-evaluation Reports/Internal Studies • Statistical Data • Working Papers	Registrar's Office/Archives	Permanent	BoardSource & University Practice	Retain 2 copies of Internal Studies, marked as Record Copy. Send one to University Archives along with supporting papers and one retained in office of origin.
Accounting Records				
Requisitions with supporting documentation	Originating Department	7 years	45 C.F.R. § Sec. 74.53	
Successful Bids and Proposals	Originating Department	6 years after completion of terms	45 C.F.R. § Sec. 74.53	
Unsuccessful Offers (Bids and Proposals)	Originating Department	3 years	45 C.F.R. § Sec. 74.53	
Receipts (Income) & supporting documentation	Originating Department	3 years	BoardSource	
Credit Card/One Card Data - (DO NOT TRANSFER THIS DATA TO ADMINISTRATION & FINANCE VIA CAMPUS MAIL)	Office of Finance & Administration	5 years	Payment Card Industry's Data Security Standard (PCI DSS)	Originating department cannot keep sensitive data due to Red Flag Policy. PCI DSS requires PAN (Primary Account Number) to be <i>rendered unreadable</i> and stored under lock & key with the names of personnel who have access documented.
Employee Records (Departmental Level)				
Employee Working Files (Official Personnel File is held in HR or Provost's Office [Faculty])	Originating Department	6 years after separation	FACTA	Sensitive data - secure/locked storage
Official Employment & Termination Agreements	Human Resources	Permanent	FACTA	Sensitive data - secure/locked storage
Official Records Relating to Promotion, Demotion, or Discharge	Human Resources	6 years after separation	FACTA	Sensitive data - secure/locked storage
Confidentiality Agreements	Originating Department	6 years after separation		
Search Committee Records (Full-Time Positions) • Applications • Committee Meeting Minutes • Interview Materials • Letter of Offer/NonOffer • Letters of Recommendation • Resumes & Transcripts	Human Resources Department/ Archives	3 years from creation of record unless an action involved Note: Application of the successful candidate becomes part of the employee's personnel file.	FACTA UGESP - Title VII/ Executive Order 11246	Sensitive data - secure/locked storage Send organization meeting minutes, charge to committee, & record of process to Archives. Do not send candidate information.
FERPA (Family Educational Rights & Privacy Act) Records				
Student's Written Consent for Records Disclosure	Various departments as applicable	Permanent or until terminated by student	FERPA	
Policies & Procedures Records (University & Departmental)				
Handbooks Mission & Policy Statements	Originating Department/	Permanent. Previous policies		All handbook changes should be documented and sent to Archives.

Official Procedure Guidelines Organizational Charts Strategic Planning Documents	Archives	should be retained for 5 years post-revision unless a separate document memorializes the changes.		
Publications, Promotions and Alumni Records				
Photographs	Originating Department/Archives	Permanent/Transfer Yearly		
University Published Material • Books • Brochures • Catalogs • Directories • Magazines • Media Guides • Newsletters	Originating Department/Archives	Permanent/Transfer Yearly		

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Records Management Schedule - Library Services				
Type of Record	Location	Retention Time	Related Authority	Notes
Administrative Records		Hardcopy/ Electronic Records		
Annual Reports	Originating Department/ Archives	Permanent/5 Year Transfer	BoardSource	
Contracts & Leases	Originating Department	7 years after completion of terms	45 C.F.R. § Sec. 74.53 & IC 34-13-1-1	
Committee Records (Departmental, Event, Ad-hoc) • Agendas • Meeting Minutes • Reports • Working Papers • Related documentation and correspondence	Secretaries/ Chairs of Committees /Archives	Permanent/5 Year Transfer	University Practice	<ul style="list-style-type: none"> • Registrar to copy minutes of Faculty Senate, University Council, and Standing Committees. • 1 copy to Archives • Upper administration should document the purpose & process of committees that report to them & transfer to Archives
Correspondence, General Administrative • Communications received or sent which contains significant information about the programs of a unit and/or routine matters.	Originating Department/ Archives	Permanent/5 Year Transfer	University Practice	Provost, VPs, Deans, Directors, Dept. Chairs - Records of continuing value are to be transferred to Archives, office of origin to destroy all others.
Volunteer Registration, Waiver, & Release Forms	Originating Department	3 years after separation		
Sexual Offender Registry Checks (for University sponsored activities/events where participants are minors)	Office of Originating Department	3 years from date of activity or event	University Policy	
Accounting Records				
Requisitions with supporting documentation	Originating Department	7 years	45 C.F.R. § Sec. 74.53	
Successful Bids and Proposals	Originating Department	6 years after completion of terms	45 C.F.R. § Sec. 74.53	
Unsuccessful Offers (Bids and Proposals)	Originating Department	3 years	45 C.F.R. § Sec. 74.53	
Receipts (Income) & supporting documentation	Originating Department	3 years	BoardSource	
Credit Card/One Card Data - (DO NOT TRANSFER THIS DATA TO ADMINISTRATION & FINANCE VIA CAMPUS MAIL)	Office of Finance & Administration	5 years	Payment Card Industry's Data Security Standard (PCI DSS)	Originating department cannot keep sensitive data due to Red Flag Policy. PCI DSS requires PAN (Primary Account Number) to be <i>rendered unreadable</i> and stored under lock & key with the names of personnel who have access documented.
Employee Records (Departmental Level)				
Employee Working Files (Official Personnel File is held in HR or Provost's Office [Faculty])	Originating Department	6 years after separation	FACTA	Sensitive data - secure/locked storage
Official Employment & Termination Agreements	Human Resources	Permanent	FACTA	Sensitive data - secure/locked storage

Official Records Relating to Promotion, Demotion, or Discharge	Human Resources	6 years after separation	FACTA	Sensitive data - secure/locked storage
Confidentiality Agreements	Originating Department	6 years after separation		
Search Committee Records (Full-Time Positions) • Applications • Committee Meeting Minutes • Interview Materials • Letter of Offer/NonOffer • Letters of Recommendation • Resumes & Transcripts	Human Resources Department/ Archives	3 years from creation of record unless an action involved Note: Application of the successful candidate becomes part of the employee's personnel file.	FACTA UGESP - Title VII/ Executive Order 11246	Sensitive data - secure/locked storage Send organization meeting minutes, charge to committee, & record of process to Archives. Do not send candidate information.
FERPA (Family Educational Rights & Privacy Act) Records				
Student's Written Consent for Records Disclosure	Various departments as applicable	Permanent or until terminated by student	FERPA	
Library, Museum, and Collection Records				
Collection and Artifact Records • Acquisition Logs • Appraisal and Valuation Records • Background Records • Donor Agreements/Records • Inventory Lists • Loan Records • Ownership Records • Purchasing Records • Registration Records	Library Collection, or Museum Curator	Minimum of 3 years		
Inter-Library Loan Records	Library	3 years		
Policies & Procedures Records (University & Departmental)				
Handbooks Mission & Policy Statements Official Procedure Guidelines Organizational Charts Strategic Planning Documents	Originating Department/ Archives	Permanent. Previous policies should be retained for 5 years post-revision unless a separate document memorializes the changes.		
University Archived Documentation				
<u>Accreditation Records:</u> • Evaluation Reports from Accreditation Organizations • Final Reports sent to Accreditation Organizations • Self-evaluation Reports/Internal Studies • Statistical Data • Working Papers	Registrar's Office/Archives	Permanent	BoardSource & University Practice	Retain 2 copies of Internal Studies, marked as Record Copy. Send one to University Archives along with supporting papers and one retained in office of origin.
Annual Reports	Originating Department/ Archives	Permanent/5 Year Transfer	BoardSource	

Board Meeting & Board Committee Minutes	Office of the President & Office of General Counsel/Archives	Permanent/10 Year Transfer	BoardSource	Archives
Board Policies/Resolutions/Administrative Guidelines	Office of the President & Office of General Counsel/Archives	Permanent	BoardSource	
Bylaws	Office of the President & Office of General Counsel/Archives	Permanent	BoardSource	
Committee Records (Departmental, Event, Ad-hoc) • Agendas • Meeting Minutes • Reports • Working Papers • Related documentation and correspondence	Secretaries/ Chairs of Committees /Archives	Permanent/5 Year Transfer	University Practice	Registrar to copy minutes of Faculty Senate, University Council, and Standing Committees. 1 copy to Archives Minutes of ad hoc committees to be transferred to Archives which the committee was created.
Correspondence, General Administrative • Communications received or sent which contains significant information about the programs of a unit and/or routine matters.	Originating Department/Archives	Permanent/5 Year Transfer	University Practice	Provost, VPs, Deans, Directors, Dept. Chairs - Records of continuing value are to be transferred to Archives
Course Syllabi	Dean's Office/Archives	Permanent/Yearly Transfer	University Practice	Faculty to provide PDF of syllabus to Dean. Dean's office combines PDFs & transfers to archives.
Governing documents: Faculty Senate Constitution and Bylaws, Faculty Council Bylaws, Rules of the Faculty Senate	Current edition on system website; older edition in Provost's office and Archives	Permanent		
Handbooks (Faculty, Hourly, Salaried, & Student)	Current edition on system website; Originating Department/Archives	Permanent/Transfer Yearly		
ID Photos	One Card Office/Archives	Permanent/Yearly Transfer		
Institutional Planning Records • Activity Reports • Information Materials • Planning Committee Records • Planning Reports/Surveys • Statements of Goals and Objectives • Working Papers • Related Documentation	Office of the President/ Archives	Permanent/5 Year Transfer		
Lecture, Lecture Series, or Visiting Scholar Records • Committee Minutes/Notes • Financial Support Records • Lecture Recordings and Transcripts • Program Records and Announcements	Department or Program Sponsor/Archives	Until no longer needed for reference (transfer all but financial records to Archives)		
Legislative Relations Records • Copies of Pending or Approved Legislation • Working Papers & Related Documentation	Office of the President/ Archives	Permanent/5 Year Transfer		

Policies & Procedures Records (University & Departmental)				
Handbooks Mission & Policy Statements Official Procedure Guidelines Organizational Charts Strategic Planning Documents	Originating Department/ Archives	Permanent. Previous policies should be retained for 5 years post-revision unless a separate document memorializes the changes.		All handbook changes should be documented and sent to Archives.
Publications, Promotions and Alumni Records				
Photographs	Originating Department/Archives	Permanent/Transfer Yearly		
Search Committee Records (Full-Time Positions) • Applications • Committee Meeting Minutes • Interview Materials • Letter of Offer/NonOffer • Letters of Recommendation • Resumes & Transcripts	Human Resources Department/ Archives	3 years from creation of record unless an action involved Note: Application of the successful candidate becomes part of the employee's personnel file.	FACTA UGESP - Title VII/ Executive Order 11246	Sensitive data - secure/locked storage Send organization meeting minutes, charge to committee, & record of process to Archives. Do not send candidate information.
University Published Material • Books • Brochures • Catalogs • Directories • Magazines • Media Guides • Newsletters • The Torch & The Beacon	Originating Department/ Archives	Permanent/Transfer Yearly		
VU Union files (Union Board Minutes, program documentation, etc.)	Union Director/Archives	Permanent/5 Year Transfer	University Practice	

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*If your department is not the creator of the record and not responsible for retaining the record,
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Records Management Schedule - Information Technology				
Type of Record	Location	Retention Time	Related Authority	Notes
Administrative Records				
Annual Reports	Originating Department/ Archives	Permanent/5 Year Transfer	BoardSource	
Contracts & Leases	Originating Department	7 years after completion of terms	45 C.F.R. § Sec. 74.53 & IC 34-13-1-1	
Committee Records (Departmental, Event, Ad-hoc) • Agendas • Meeting Minutes • Reports • Working Papers • Related documentation and correspondence	Secretaries/ Chairs of Committees /Archives	Permanent/5 Year Transfer	University Practice	<ul style="list-style-type: none"> • Registrar to copy minutes of Faculty Senate, University Council, and Standing Committees. • 1 copy to Archives • Upper administration should document the purpose & process of committees that report to them & transfer to Archives
Correspondence, General Administrative • Communications received or sent which contains significant information about the programs of a unit and/or routine matters.	Originating Department/ Archives	Permanent/5 Year Transfer	University Practice	Provost, VPs, Deans, Directors, Dept. Chairs - Records of continuing value are to be transferred to Archives, office of origin to destroy all others.
Volunteer Registration, Waiver, & Release Forms	Originating Department	3 years after separation		
Sexual Offender Registry Checks (for University sponsored activities/events where participants are minors)	Office of Originating Department	3 years from date of activity or event	University Policy	
Accounting Records				
Requisitions with supporting documentation	Originating Department	7 years	45 C.F.R. § Sec. 74.53	
Successful Bids and Proposals	Originating Department	6 years after completion of terms	45 C.F.R. § Sec. 74.53	
Unsuccessful Offers (Bids and Proposals)	Originating Department	3 years	45 C.F.R. § Sec. 74.53	
Receipts (Income) & supporting documentation	Originating Department	3 years	BoardSource	
Credit Card/One Card Data - (DO NOT TRANSFER THIS DATA TO ADMINISTRATION & FINANCE VIA CAMPUS MAIL)	Office of Finance & Administration	5 years	Payment Card Industry's Data Security Standard (PCI DSS)	Originating department cannot keep sensitive data due to Red Flag Policy. PCI DSS requires PAN (Primary Account Number) to be <i>rendered unreadable</i> and stored under lock & key with the names of personnel who have access documented.
Employee Records (Departmental Level)				

Employee Working Files (Official Personnel File is held in HR or Provost's Office [Faculty])	Originating Department	6 years after separation	FACTA	Sensitive data - secure/locked storage
Official Employment & Termination Agreements	Human Resources	Permanent	FACTA	Sensitive data - secure/locked storage
Official Records Relating to Promotion, Demotion, or Discharge	Human Resources	6 years after separation	FACTA	Sensitive data - secure/locked storage
Confidentiality Agreements	Originating Department	6 years after separation		
Search Committee Records (Full-Time Positions) <ul style="list-style-type: none"> • Applications • Committee Meeting Minutes • Interview Materials • Letter of Offer/NonOffer • Letters of Recommendation • Resumes & Transcripts 	Human Resources Department/ Archives	3 years from creation of record unless an action involved Note: Application of the successful candidate becomes part of the employee's personnel file.	FACTA UGESP - Title VII/ Executive Order 11246	Sensitive data - secure/locked storage Send organization meeting minutes, charge to committee, & record of process to Archives. Do not send candidate information.
Electronic Data Back-up				
Servers	IT Department	Back-up every 24 hrs. (once a week complete back-up taken to different location)	AICPA (American Institute of Certified Public Accountants)	Data should be saved in a secure environment so that the data saved according to the established retention policy can always be retrieved, even if the software is no longer supported or sold.
E-mail	IT Department	Default-Deleted e-mails purged after 7 days. 90 - day encrypted retention	AICPA	Data should be saved in a secure environment so that the data saved according to the established retention policy can always be retrieved, even if the software is no longer supported or sold.
FERPA (Family Educational Rights & Privacy Act) Records				
Student's Written Consent for Records Disclosure	Various departments as applicable	Permanent or until terminated by student	FERPA	
Information Management Records				
Computer System Maintenance Records <ul style="list-style-type: none"> • Back-up Tape Inventories • Component Maintenance Records • Computer Equipment Inventories • Hardware Performance Reports • System Back-up Reports 	IT Department	Life of the System	AICPA	Data should be saved in a secure environment so that the data saved according to the established retention policy can always be retrieved, even if the software is no longer supported or sold.
Computer System Program Documentation Records <ul style="list-style-type: none"> • Commercial Software Manuals • Conversion Notes • Data Directories • Dataset Inventories • Dataset Logs • Operation Logs • Operator Instruction Manuals 	IT Department	6 months		

<ul style="list-style-type: none"> • Program Listings • Programming Logs • System Development Logs • System Overview Logs 				
<ul style="list-style-type: none"> • Computer System Security Records • Access Authorizations • Encryption Keys • System Access Logs 	IT Department	3 years		
<ul style="list-style-type: none"> • Software Management Records • Licenses • Site Licenses • Software Inventories • Software Purchase Records • Related Documentation 	IT Department	3 years from life of system		
<ul style="list-style-type: none"> • Telecommunication System Management Records • Equipment Records • Maintenance Records • System Planning Records 	IT Department	3 years from end of relevant system		
One Card Data				
<ul style="list-style-type: none"> * Crusader Cash * Door Access - Security * Meal Plan Records * Campus Identity * Bookstore (Credit Purchases) 	One Card Office	6 years after employee or student separation (stored electronically)		
ID Photos	One Card Office/Archives	Permanent/Yearly Transfer		
Policies & Procedures Records (University & Departmental)				
<ul style="list-style-type: none"> Handbooks Mission & Policy Statements Official Procedure Guidelines Organizational Charts Strategic Planning Documents 	Originating Department/ Archives	Permanent. Previous policies should be retained for 5 years post-revision unless a separate document memorializes the changes.		All handbook changes should be documented and sent to Archives.
Security Maintenance				
Reports on Security Breach	IT Department	6 years after case investigation.		

Special Rules for Computer Records (BKD Guidelines)

Record-retention periods are generally the same for machine-sensible records as their hard-copy counterparts. Machine-sensible records include magnetic tapes, punched cards and computer disks.

If you or your business has more than \$10 million in assets, then the IRS requires your machine-sensible records to be in a retrievable format.

Therefore, you must retain the following documentation for data files:

Record formats

System and program flowcharts

Label descriptions

Source program listings of programs used to create the files retained

Detailed charts of accounts

Evidence that periodic tests are performed on the retained records

Evidence that the retained records reconcile to the taxpayer's books and the tax return

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Records Management Schedule - Office of General Counsel				
Type of Record	Location	Retention Time	Related Authority	Notes
Administrative Records				
Board Meeting & Board Committee Minutes	Office of General Counsel/Archives	Permanent/10 Year Transfer	BoardSource	Archives
Board Committee Notes	Office of General Counsel	Committee notes will be supplanted by the approved committee minutes & upon supplantation committee notes must be destroyed.	University Practice	
Board Policies/Resolutions/Administrative Guidelines	Office of General Counsel/Archives	Permanent	BoardSource	
Bylaws	Office of General Counsel/Archives	Permanent	BoardSource	
Contracts & Leases	Originating Department	7 years after completion of terms	45 C.F.R. § Sec. 74.53 & IC 34-13-1-1	
Committee Records (Departmental, Event, Ad-hoc) <ul style="list-style-type: none"> • Agendas • Meeting Minutes • Reports • Working Papers • Related documentation and correspondence 	Secretaries/ Chairs of Committees /Archives	Permanent/5 Year Transfer	University Practice	<ul style="list-style-type: none"> • Registrar to copy minutes of Faculty Senate, University Council, and Standing Committees. • 1 copy to Archives • Upper administration should document the purpose & process of committees that report to them & transfer to Archives
Correspondence, General Administrative <ul style="list-style-type: none"> • Communications received or sent which contains significant information about the programs of a unit and/or routine matters. 	Originating Department/ Archives	Permanent/5 Year Transfer	University Practice	Provost, VPs, Deans, Directors, Dept. Chairs - Records of continuing value are to be transferred to Archives, office of origin to destroy all others.
Conflict of Interest Disclosures	Office of General Counsel	4 years	[IC 35-44-1-3(d)(6)(B)]	
Accounting Records				
Requisitions with supporting documentation	Office of General Counsel	7 years	BoardSource	
Receipts (Income) & supporting documentation	Office of General Counsel	3 years	BoardSource	
Credit Card/One Card Data - (DO NOT TRANSFER THIS DATA TO ADMINISTRATION & FINANCE VIA CAMPUS MAIL)	Office of Finance & Administration	5 years	Payment Card Industry's Data Security Standard (PCI DSS)	Originating department cannot keep sensitive data due to Red Flag Policy. PCI DSS requires PAN (Primary Account Number) to be <i>rendered unreadable</i> and stored under lock & key with the names of personnel who have access documented.

Employee Records (Departmental Level)				
Employee Working Files (Official Personnel File is held in HR or Provost's Office [Faculty])	Originating Department	6 years after separation	FACTA	Sensitive data - secure/locked storage
Official Employment & Termination Agreements	Human Resources	Permanent	FACTA	Sensitive data - secure/locked storage
Official Records Relating to Promotion, Demotion, or Discharge	Human Resources	6 years after separation	FACTA	Sensitive data - secure/locked storage
Confidentiality Agreements	Originating Department	6 years after separation		
Search Committee Records (Full-Time Positions) • Applications • Committee Meeting Minutes • Interview Materials • Letter of Offer/NonOffer • Letters of Recommendation • Resumes & Transcripts	Human Resources Department/ Archives	3 years from creation of record unless an action involved Note: Application of the successful candidate becomes part of the employee's personnel file.	FACTA UGESP - Title VII/ Executive Order 11246	Sensitive data - secure/locked storage Send organization meeting minutes, charge to committee, & record of process to Archives. Do not send candidate information.
FERPA (Family Educational Rights & Privacy Act) Records				
Student's Written Consent for Records Disclosure	Various departments as applicable	Permanent or until terminated by student	FERPA	
Legal Records & Filings				
Case files pertaining to legal actions brought against or on behalf of the University	Office of General Counsel	6 years after case is closed	BoardSource	
Trademark & Copyright Registrations	Office of General Counsel	Permanent	BoardSource	
Patent Filings:				
Correspondence with patent counsel	Originating Department	Patent term plus 6 years		The documents should be retained at least for the term of the patent (20 years from the patent application filing date in the U.S.) for purposes of defending the patent. Damages for only 6 years of infringement of a U.S. patent can be recovered. Patent and enforcement periods in other countries may vary.
Invention disclosure forms submitted to patent counsel, inventor notebooks and other documents showing earliest dates of invention, conception and reduction to practice; documents related to product development and testing of the invention before filing for a patent application; and documents related to disclosures of the invention to third parties before filing for a patent application.	Originating Department	Useful life of product plus 6 years or expiration of patent plus 6 years, whichever is later.		
Patent Applications	Originating Department	Patent term plus 6 years		
Correspondence with U.S. or foreign patent offices.	Originating Department	Patent term plus 6 years		

Copies of prior art patents and other publications describing related art.	Originating Department	Patent term plus 6 years		
Original patent documents.	Originating Department	Permanent		
Policies & Procedures Records (University & Departmental)				
Handbooks Mission & Policy Statements Official Procedure Guidelines Organizational Charts Strategic Planning Documents	Originating Department/ Archives	Permanent. Previous policies should be retained for 5 years post-revision unless a separate document memorializes the changes.		All handbook changes should be documented and sent to Archives.
• Strategic Planning Documents		years post-revision unless a separate document memorializes the changes.		
Record Management Records • Record Destruction Authorizations • Record Disposition Schedule	Office of General Counsel	Permanent or until superseded	BoardSource	
University's Policies and Procedures	General Counsel Website	Permanent or until superseded		

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Note: This list should be updated each year and submitted to the Office of General Counsel.

A & F Records are stored in the basement of the Health Center -

Records Management Schedule - Office of Finance & Administration				
Type of Record	Location/Office	Retention Time	Related Authority	Notes
Administrative Records		Hardcopy/Electronic Records		
Annual Reports	Originating Department/ Archives	Permanent/5 Year Transfer	BoardSource	
Articles of Incorporation	Office of the VP for Administration & Finance	Permanent	BoardSource	Recommended that copies of the documents be retained off-site.
Disclosure of Foreign Gifts/Contracts	Administration & Finance	7 years	NACUA & 20 U.S.C. §1011f(a) - (e)	
Fixed Asset & Depreciation Schedule Records	Controller/Administratio n & Finance	Permanent	BoardSource	Electronic File per VU Capitalization Policy from 2000-2001
IRS Application for Tax-Exempt Status (Form 1023)	Administration & Finance	Permanent	BoardSource	
IRS Determination Letter	Administration & Finance	Permanent	BoardSource	
State Sales Tax Exemption Letter	Administration & Finance	Permanent	BoardSource	
Contracts & Leases	Originating Department	7 years after completion of terms	45 C.F.R. § Sec. 74.53 & IC 34-13-1-1	
Committee Records (Departmental, Event, Ad-hoc) • Agendas • Meeting Minutes • Reports • Working Papers • Related documentation and correspondence	Secretaries/ Chairs of Committees /Archives	Permanent/5 Year Transfer	University Practice	<ul style="list-style-type: none"> • Registrar to copy minutes of Faculty Senate, University Council, and Standing Committees. • 1 copy to Archives • Upper administration should document the purpose & process of committees that report to them & transfer to Archives
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Accounting & Corporate Tax Records				
Annual Audits & Financial Statements	Office of Finance & Administration/Archives	Permanent/10 Year Transfer	BoardSource	Retain 2 copies permanently, marked as Record Copy. Retain one copy in the Finance Office and one copy to be sent to Archives
IRS Form 990 Information Returns	Office of Finance & Administration	Permanent	BoardSource	

General Ledgers	Office of Finance & Administration	7 Years	BoardSource	
Business Expense Records	Office of Finance & Administration	7 years	BoardSource	
IRS Forms 1099	Office of Finance & Administration	7 years	BoardSource	
Journal Entries	Office of Finance & Administration	7 years	BoardSource	
Invoices	Office of Finance & Administration	7 years	BoardSource	
Sales Records	Originating Dept.	5 years	BoardSource	
Petty Cash Vouchers	Office of Finance & Administration	3 years	BoardSource	
Cash Receipts	Originating Dept.	3 years	BoardSource	
Credit Card/One Card Data - (DO NOT TRANSFER THIS DATA TO ADMINISTRATION & FINANCE VIA CAMPUS MAIL)	Office of Finance & Administration	5 years	Payment Card Industry's Data Security Standard (PCI DSS)	Originating department cannot keep sensitive data due to Red Flag Policy. PCI DSS requires PAN (Primary Account Number) to be <i>rendered unreadable</i> and stored under lock & key with the names of personnel who have access documented.
Requisitions with supporting documentation	Originating Dept.	7 years	BoardSource	
Bank Records				
Check Registers	Office of Finance & Administration	7 years	BoardSource	
Bank Deposit Slips	Office of Finance & Administration	7 years	BoardSource	
Bank Statements & Reconciliation	Office of Finance & Administration	7 years	BoardSource	
Electronic Fund Transfer Documents	Office of Finance & Administration	7 years	BoardSource	
Employee Records (Departmental Level)				
Employee Working Files (Official Personnel File is held in HR or Provost's Office [Faculty])	Originating Department	6 years after separation	FACTA	Sensitive data - secure/locked storage
Official Employment & Termination Agreements	Human Resources	Permanent	FACTA	Sensitive data - secure/locked storage
Official Records Relating to Promotion, Demotion, or Discharge	Human Resources	6 years after separation	FACTA	Sensitive data - secure/locked storage
Confidentiality Agreements	Originating Department	6 years after separation		
Search Committee Records (Full-Time Positions) • Applications • Committee Meeting Minutes • Interview Materials • Letter of Offer/NonOffer • Letters of Recommendation • Resumes & Transcripts	Human Resources Department/ Archives	3 years from creation of record unless an action involved Note: Application of the successful candidate becomes part of the employee's personnel file.	FACTA UGESP - Title VII/ Executive Order 11246	Sensitive data - secure/locked storage Send organization meeting minutes, charge to committee, & record of process to Archives. Do not send candidate information.

FERPA (Family Educational Rights & Privacy Act) Records				
Student's Written Consent for Records Disclosure	Various departments as applicable	Permanent or until terminated by student	FERPA	
Grant Records				
Grant Proposal Letters	Grant Specialist-Office of Finance & Administration	Until no longer needed.		
Grant Applications & Contracts	Grant Specialist-Office of Finance & Administration	7 years after completion		
Grant Project Records - • Activity Reports • Conflict of Interest Disclosures • Research Data • Summary Reports • Working Papers • Related Documentation	Grant Specialist-Office of Administration & Finance	7 years after completion		
• Research Proposal and Final Report	Archives	Permanent/Transfer at intervals of 10 years.		
Grants & Contracts Accounting Records • Account Request Forms • Assignment of Refunds Documents • Balance Sheets • Billing Records • Budget Summary Statements • Equipment Purchase Orders • Financial Reports • Grant authorizations • Invoices • Project Summaries • Receipts • Subcontracts • Related Documentation	Grant Specialist-Office of Administration & Finance	7 years after completion		
Personnel Activity Report Forms	Grant Specialist-Office of Finance & Administration	6 Years	OMB Circular A21	
<u>FEDERAL CONTRACTS:</u>				
		The retention periods are calculated from the end of the contract's fiscal year in which an entry is made, changed, or allocated a cost to a government contract or subcontract.		

Accounts Receivable Invoices, Adjustments to the accounts, invoice registers, carrier freight bills, shipping orders, and other documents which detail the material or services billed on the related invoices.	Grant Specialist-Office of Finance & Administration	4 Years	48 C.F.R § 4.705-1(a)
Material, work orders, and other documents which detail the material or services billed on their related invoices.	Grant Specialist-Office of Finance & Administration	4 Years	48 C.F.R § 4.705-1(b)
Cash advance recapitulations, prepared as posting entries to accounts receivable ledgers for amounts of expense vouchers prepared for employees' travel and related expenses.	Grant Specialist-Office of Finance & Administration	4 Years	48 C.F.R § 4.705-1(c)
Paid, canceled, and voided checks, other than those issued for the payment of salary and wages	Grant Specialist-Office of Finance & Administration	4 Years	48 C.F.R § 4.705-1(d)
Accounts payable records to support disbursements of funds for materials, equipment, supplies, and services, containing originals or copies of the following and related documents: remittance advices and statements, vendors' invoices, invoice audits and distribution slips, receiving and inspection reports or comparable certifications of receipt and inspection of material of services, and debit and credit memoranda	Grant Specialist-Office of Finance & Administration	4 Years	48 C.F.R § 4.705-1(e)
Payroll sheets, registers, or their equivalent, of salaries and wages paid to the individual employees for each payroll period; change slips; and tax withholding statements	Grant Specialist-Office of Finance & Administration	4 Years	48 C.F.R § 705-2(a)
Work orders for maintenance and other services	Grant Specialist-Office of Finance & Administration	4 Years	48 C.F.R § 4.705-3(b)
Equipment records, consisting of equipment usage and status reports and equipment repair orders	Grant Specialist-Office of Finance & Administration	4 Years	48 C.F.R § 4.705-3(c)
Expendable property records, reflecting accountability for the receipt and use of material in the performance of a contract	Grant Specialist-Office of Finance & Administration	4 Years	48 C.F.R § 4.705-3(d)
Receiving and inspection report cards, consisting of reports reflecting receipt and inspection of supplies, equipment, and materials	Grant Specialist-Office of Finance & Administration	4 Years	48 C.F.R § 4.705-3(e)
Purchase order files for supplies, equipment, material, or services used in the performance of a contract; supporting documentation and backup files including, but not limited to, invoices, and memoranda; e.g., memoranda of negotiations showing the principal elements of subcontract price negotiations (see. 48 C.F.R. 52.244-2)	Grant Specialist-Office of Finance & Administration	4 Years	48 C.F.R § 4.705-3(f)

Production records of quality control, reliability, and inspection	Grant Specialist-Office of Finance & Administration	4 Years	48 C.F.R § 4.705-3(g)	
Labor cost distribution cards or equivalent documents	Grant Specialist-Office of Finance & Administration	2 Years	48 C.F.R § 4.705-1(f)	
Petty cash records showing description of expenditures, to whom paid, name of person authorizing payment, and date, including copies of vouchers and other supporting documents	Grant Specialist-Office of Finance & Administration	2 Years	48 C.F.R § 4.705-1(g)	
Clock cards or other time and attendance cards	Grant Specialist-Office of Finance & Administration	2 Years	48 C.F.R § 4.705-2(b)	
Paid checks, receipts for wages paid in cash, or other evidence of payments for services rendered by employees	Grant Specialist-Office of Finance & Administration	2 Years	48 C.F.R § 4.705-2(c)	
Store requisitions for materials, supplies, equipment, and services	Grant Specialist-Office of Finance & Administration	2 Years	48 C.F.R § 4.705-3(a)	
Legal, Insurance, & Safety Records				
Accident/Incident Reports - report of potential liability	Office of Finance & Administration	5 years from date of accident or injury	BoardSource	
Appraisals	Office of Finance & Administration	Permanent	BoardSource	
Insurance Policies * Auto/Liability/Property Claim Records * Policies/Riders/Endorsement * Records of Payment	Office of Finance & Administration	Permanent	BoardSource	
Certificates of Insurance as related to contracts & facility use.	Originating Department or Office of Finance & Administration	6 years after completion of terms or until superseded		Certificates need to be reviewed by University's insurance provider in areas of significant potential liability, prior to the event.
Stock & Bond Records	Office of Finance & Administration	Permanent	BoardSource	
Leases	Office of Finance & Administration	7 years after expiration	BoardSource	
Automatic Radiation Reports	Office of Finance & Administration	Permanent		
Procurement Records				
Authorized Signing Limits	Office of Procurement	Until superseded or no longer needed for reference	University Practice	
Canceled Solicitation Files	Office of Procurement	3 years	45 C.F.R. § Sec 74.53	
Contract Controversies and Appeals Files	Office of Procurement	6 years or If any litigation, record maintained until all issues resolved and final action taken	45 C.F.R. § Sec. 74.53	

Purchase Order Files	Office of Procurement	7 years after completion of terms	45 C.F.R. § Sec. 74.53	
Leasing Contract Files	Office of Procurement	6 years after completion of terms	45 C.F.R. § Sec. 74.53	
Successful Bids and Proposals	Office of Procurement	6 years after completion of terms	45 C.F.R. § Sec. 74.53	
Purchase Requisitions	Originating Department	7 years	45 C.F.R. § Sec. 74.53	
Unsuccessful Offers (Bids and Proposals)	Office of Procurement	3 years	45 C.F.R. § Sec. 74.53	
Procurement Card Records	Office of Procurement/ Accounting Department	7 years	45 C.F.R. § Sec. 74.53	Procurement - Applications & Employee Cardholder Agreements Accounting - Monthly Account Statements
Policies & Procedures Records (University & Departmental)				
Handbooks Mission & Policy Statements Official Procedure Guidelines Organizational Charts Strategic Planning Documents	Originating Department/ Archives	Permanent. Previous policies should be retained for 5 years post-revision unless a separate document memorializes the changes.		All handbook changes should be documented and sent to Archives.
Real Property Records				
• Deeds • Easement Agreements • Leases • Property Descriptions • Purchase Agreements • Sale Agreements • Title Abstracts • Related Documentation	Office of Finance & Administration	Permanent	BoardSource	
Student Account Records				
Student Account Records	Student Account's Office	Permanent for all accounts with outstanding balances. 7 years for all other accounts.	FERPA & AACRO	Sensitive data - secure/locked storage

Valparaiso University
Records Management, Retention, and Destruction By Department
*If your department is not the creator of the record and not responsible for retaining the record,
then you should destroy when it is no longer relevant or useful.*

Note: This list should be updated each year and submitted to the Office of General Counsel.

Records Management Schedule - Office of Finance & Administration - Payroll				
Type of Record	Location	Retention Time	Related Authority	Notes
Administrative Records		Hardcopy/Electronic Records		
Annual Reports	Originating Department/ Archives	Permanent/5 Year Transfer	BoardSource	
Contracts & Leases	Originating Department	7 years after completion of terms	45 C.F.R. § Sec. 74.53 & IC 34-13-1-1	
Committee Records (Departmental, Event, Ad-hoc) <ul style="list-style-type: none"> • Agendas • Meeting Minutes • Reports • Working Papers • Related documentation and correspondence 	Secretaries/ Chairs of Committees /Archives	Permanent/5 Year Transfer	University Practice	<ul style="list-style-type: none"> • Registrar to copy minutes of Faculty Senate, University Council, and Standing Committees. • 1 copy to Archives • Upper administration should document the purpose & process of committees that report to them & transfer to Archives
Correspondence, General Administrative <ul style="list-style-type: none"> • Communications received or sent which contains significant information about the programs of a unit and/or routine matters. 	Originating Department/ Archives	Permanent/5 Year Transfer	University Practice	Provost, VPs, Deans, Directors, Dept. Chairs - Records of continuing value are to be transferred to Archives, office of origin to destroy all others.
Volunteer Registration, Waiver, & Release Forms	Originating Department	3 years after separation		
Accounting & Corporate Tax Records				
Requisitions with supporting documentation	Originating Department	7 years	45 C.F.R. § Sec. 74.53	
Successful Bids and Proposals	Originating Department	6 years after completion of terms	45 C.F.R. § Sec. 74.53	
Unsuccessful Offers (Bids and Proposals)	Originating Department	3 years	45 C.F.R. § Sec. 74.53	
Receipts (Income) & supporting documentation	Originating Department	3 years	BoardSource	

Credit Card/One Card Data - (DO NOT TRANSFER THIS DATA TO ADMINISTRATION & FINANCE VIA CAMPUS MAIL)	Office of Finance & Administration	5 years	Payment Card Industry's Data Security Standard (PCI DSS)	Originating department cannot keep sensitive data due to Red Flag Policy. PCI DSS requires PAN (Primary Account Number) to be <i>rendered unreadable</i> and stored under lock & key with the names of personnel who have access documented.
Benefits Records				
Annual Benefit Reports	Human Resources	Life of Plan		
Benefit Employer Contribution	Human Resources	Employee Tenure		
Benefit Plan Description/Master Contract	Human Resources	Permanent	BoardSource	
Benefit Plan Selection Data	Human Resources	Life of Plan		
Benefit Provider Report of Events	Human Resources	Life of Plan plus 3 years		
Benefit Records	Human Resources	6 years from date of separation.	ERISA	
Payroll & Employment Tax Records				
Payroll Registers	Payroll Dept.	Permanent	BoardSource	
State Unemployment Tax Records	Payroll Dept.	Permanent	BoardSource	University pays as needed - quarterly filing of gross wages
Earning Records	Payroll Dept.	7 years	FLSA & BoardSource	
Employee Tax Records	Payroll Dept.	7 Years	BoardSource	Information relating to income tax withholdings must be retained for 4 years according to the Federal Insurance Contribution Act (FICA) and Federal Unemployment Tax Act (FUTA). 26 C.F.R § 31.6001-1
Federal Tax Levies	Payroll Dept.	7 Years	BoardSource	
Pay Authorization Records	Payroll Dept.	Until updated, superseded, or no longer needed for reference.		
Paycheck Delivery Records	Payroll Dept.	Until updated, superseded, or no longer needed for reference.		
Payroll Adjustments – Off-cycle pay, overpayments, retroactive pay, refunds, one-time pay, leave adjustments	Payroll Dept.	6 years after termination or employment or cancellation of authorization		

Payroll Check Register	Payroll Dept.	Until updated, superseded, or no longer needed for reference.		
Direct Deposit Authorization	Payroll Dept.	3 years after change in authorization, cancellation, or employee separation.		
Tax Withholding Authorization Records W-4's	Payroll Dept.	7 Years	BoardSource	
Wage and Tax Statements	Payroll Dept.	7 Years	BoardSource	
Wage and Tax Statements – Returned undeliverable W-2's and 1042's	Payroll Dept.	7 Years	BoardSource	
Time Cards	Payroll Dept.	5 years	BoardSource	
Wage Attachments, Child Support, and Garnishment Records	Payroll Dept.	7 Years	BoardSource	
W-2 Statements	Payroll Dept.	5 years	BoardSource	

Valparaiso University
Records Management, Retention, and Destruction By Department
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Records Management Schedule - VP for Administration				
Type of Record	Location/Office	Retention Time	Related Authority	Notes
Administrative Records		Hardcopy/Electronic Records		
Annual Reports	Originating Department/ Archives	Permanent/5 Year Transfer	BoardSource	
Articles of Incorporation	Office of Finance & Administration	Permanent	BoardSource	Recommended that copies of the documents be retained off-site.
Disclosure of Foreign Gifts/Contracts	Office of Finance & Administration	7 years	NACUA & 20 U.S.C. §1011f(a) - (e)	
Fixed Asset & Depreciation Schedule Records	Controller/Office of Finance & Administration	Permanent	BoardSource	Electronic File per VU Capitalization Policy from 2000-2001
IRS Application for Tax-Exempt Status (Form 1023)	Office of Finance & Administration	Permanent	BoardSource	
IRS Determination Letter	Office of Finance & Administration	Permanent	BoardSource	
State Sales Tax Exemption Letter	Office of Finance & Administration	Permanent	BoardSource	
Contracts & Leases	Originating Department	7 years after completion of terms	45 C.F.R. § Sec. 74.53 & IC 34-13-1-1	
Committee Records (Departmental, Event, Ad-hoc) <ul style="list-style-type: none"> • Agendas • Meeting Minutes • Reports • Working Papers • Related documentation and correspondence 	Secretaries/ Chairs of Committees /Archives	Permanent/5 Year Transfer	University Practice	<ul style="list-style-type: none"> • Registrar to copy minutes of Faculty Senate, University Council, and Standing Committees. • 1 copy to Archives • Upper administration should document the purpose & process of committees that report to them & transfer to Archives
Correspondence, General Administrative <ul style="list-style-type: none"> • Communications received or sent which contains significant information about the programs of a unit and/or routine matters. 	Originating Department/ Archives	Permanent/5 Year Transfer	University Practice	Provost, VPs, Deans, Directors, Dept. Chairs - Records of continuing value are to be transferred to Archives, office of origin to destroy all others.
Accounting & Corporate Tax Records				

Annual Audits & Financial Statements	Office of Finance & Administration/ Archives	Permanent/10 Year Transfer	BoardSource	Retain 2 copies permanently, marked as Record Copy. Retain one copy in the Finance Office and one copy to be sent to Archives
IRS Form 990 Information Returns	Office of Finance & Administration	Permanent	BoardSource	
General Ledgers	Office of Finance & Administration	7 Years	BoardSource	
Business Expense Records	Office of Finance & Administration	7 years	BoardSource	
IRS Forms 1099	Office of Finance & Administration	7 years	BoardSource	
Journal Entries	Office of Finance & Administration	7 years	BoardSource	
Invoices	Office of Finance & Administration	7 years	BoardSource	
Sales Records	Originating Dept.	5 years	BoardSource	
Petty Cash Vouchers	Office of Finance & Administration	3 years	BoardSource	
Cash Receipts	Originating Dept.	3 years	BoardSource	
Credit Card/One Card Data - (DO NOT TRANSFER THIS DATA TO ADMINISTRATION & FINANCE VIA CAMPUS MAIL)	Office of Finance & Administration	5 years	Payment Card Industry's Data Security Standard (PCI DSS)	Originating department cannot keep sensitive data due to Red Flag Policy. PCI DSS requires PAN (Primary Account Number) to be <i>rendered unreadable</i> and stored under lock & key with the names of personnel who have access documented.
Requisitions with supporting documentation	Originating Dept.	7 years	BoardSource	
Employee Records (Departmental Level)				
Employee Working Files (Official Personnel File is held in HR or Provost's Office [Faculty])	Originating Department	6 years after separation	FACTA	Sensitive data - secure/locked storage
Official Employment & Termination Agreements	Human Resources	Permanent	FACTA	Sensitive data - secure/locked storage
Official Records Relating to Promotion, Demotion, or Discharge	Human Resources	6 years after separation	FACTA	Sensitive data - secure/locked storage
Confidentiality Agreements	Originating Department	6 years after separation		
Search Committee Records (Full-Time Positions) <ul style="list-style-type: none"> • Applications • Committee Meeting Minutes • Interview Materials • Letter of Offer/NonOffer • Letters of Recommendation • Resumes & Transcripts 	Human Resources Department/ Archives	3 years from creation of record unless an action involved Note: Application of the successful candidate becomes	FACTA UGESP - Title VII/ Executive Order 11246	Sensitive data - secure/locked storage Send organization meeting minutes, charge to committee, & record of process to Archives. Do not send candidate information.

		part of the employee's personnel file.		
FERPA (Family Educational Rights & Privacy Act) Records				
Student's Written Consent for Records Disclosure	Various departments as applicable	Permanent or until terminated by student	FERPA	
Legal, Insurance, & Safety Records				
Accident/Incident Reports - report of potential liability	Office of Finance & Administration	5 years from date of accident or injury	BoardSource	
Appraisals	Office of Finance & Administration	Permanent	BoardSource	
Insurance Policies * Auto/Liability/Property Claim Records * Policies/Riders/Endorsement * Records of Payment	Office of Finance & Administration	Permanent	BoardSource	
Certificates of Insurance as related to contracts & facility use.	Originating Department or Administration & Finance	6 years after completion of terms or until superseded		Certificates need to be reviewed by University's insurance provider in areas of significant potential liability, prior to the event.
Stock & Bond Records	Office of Finance & Administration	Permanent	BoardSource	
Leases	Office of Finance & Administration	7 years after expiration	BoardSource	
Automatic Radiation Reports	Office of Finance & Administration	Permanent		
Procurement Records				
Authorized Signing Limits	Office of Procurement	Until superseded or no longer needed for reference	University Practice	
Canceled Solicitation Files	Office of Procurement	3 years	45 C.F.R. § Sec 74.53	
Contract Controversies and Appeals Files	Office of Procurement	6 years or If any litigation, record maintained until all issues resolved and final action taken	45 C.F.R. § Sec. 74.53	
Purchase Order Files	Office of Procurement	7 years after completion of terms	45 C.F.R. § Sec. 74.53	
Leasing Contract Files	Office of Procurement	6 years after completion of terms	45 C.F.R. § Sec. 74.53	
Successful Bids and Proposals	Office of Procurement	6 years after completion of terms	45 C.F.R. § Sec. 74.53	

Purchase Requisitions	Originating Department	7 years	45 C.F.R. § Sec. 74.53	
Unsuccessful Offers (Bids and Proposals)	Office of Procurement	3 years	45 C.F.R. § Sec. 74.53	
Procurement Card Records	Office of Procurement/ Accounting Department	7 years	45 C.F.R. § Sec. 74.53	Procurement - Applications & Employee Cardholder Agreements Accounting - Monthly Account Statements
Policies & Procedures Records (University & Departmental)				
Handbooks Mission & Policy Statements Official Procedure Guidelines Organizational Charts Strategic Planning Documents	Originating Department/ Archives	Permanent. Previous policies should be retained for 5 years post-revision unless a separate document memorializes the changes.		All handbook changes should be documented and sent to Archives.
Real Property Records				
<ul style="list-style-type: none"> • Deeds • Easement Agreements • Leases • Property Descriptions • Purchase Agreements • Sale Agreements • Title Abstracts • Related Documentation 	Office of Finance & Administration	Permanent	BoardSource	

Valparaiso University
Records Management, Retention, and Destruction By Department
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Note: This list should be updated each year and submitted to the Office of General Counsel.

Records Management Schedule - VP for Administration - Facilities Management				
Type of Record	Location	Retention Time	Related Authority	Notes
Administrative Records		Hardcopy/Electronic Records		
Annual Reports	Originating Department/ Archives	Permanent/5 Year Transfer	BoardSource	
Construction Documents	Facilities Management	Permanent	BoardSource	
Fixed Asset Records	Office of Finance & Administration	Permanent	BoardSource	
Contracts & Leases	Originating Department	7 years after completion of terms	45 C.F.R. § Sec. 74.53 & IC 34-13-1-1	
Committee Records (Departmental, Event, Ad-hoc) • Agendas • Meeting Minutes • Reports • Working Papers • Related documentation and correspondence	Secretaries/ Chairs of Committees /Archives	Permanent/5 Year Transfer	University Practice	• Registrar to copy minutes of Faculty Senate, University Council, and Standing Committees. • 1 copy to Archives • Upper administration should document the purpose & process of committees that report to them & transfer to Archives
Correspondence, General Administrative • Communications received or sent which contains significant information about the programs of a unit and/or routine matters.	Originating Department/ Archives	Permanent/5 Year Transfer	University Practice	Provost, VPs, Deans, Directors, Dept. Chairs - Records of continuing value are to be transferred to Archives, office of origin to destroy all others.
Volunteer Registration, Waiver, & Release Forms	Originating Department	3 years after separation		
Key Issuance Records				
• Requests	Facilities Management	2 Years		
• Agreements	Facilities Management	Until key is returned		
Accounting Records				
Requisitions with supporting documentation	Originating Department	7 years	45 C.F.R. § Sec. 74.53	
Successful Bids and Proposals	Originating Department	6 years after completion of terms	45 C.F.R. § Sec. 74.53	
Unsuccessful Offers (Bids and Proposals)	Originating Department	3 years	45 C.F.R. § Sec. 74.53	
Receipts (Income) & supporting documentation	Originating Department	3 years	BoardSource	

Credit Card/One Card Data - (DO NOT TRANSFER THIS DATA TO ADMINISTRATION & FINANCE VIA CAMPUS MAIL)	Office of Administration & Finance	5 years	Payment Card Industry's Data Security Standard (PCI DSS)	Originating department cannot keep sensitive data due to Red Flag Policy. PCI DSS requires PAN (Primary Account Number) to be <i>rendered unreadable</i> and stored under lock & key with the names of personnel who have access documented.
Employee Records (Departmental Level)				
Employee Working Files (Official Personnel File is held in HR or Provost's Office [Faculty])	Originating Department	6 years after separation	FACTA	Sensitive data - secure/locked storage
Official Employment & Termination Agreements	Human Resources	Permanent	FACTA	Sensitive data - secure/locked storage
Official Records Relating to Promotion, Demotion, or Discharge	Human Resources	6 years after separation	FACTA	Sensitive data - secure/locked storage
Confidentiality Agreements	Originating Department	6 years after separation		
Search Committee Records (Full-Time Positions) • Applications • Committee Meeting Minutes • Interview Materials • Letter of Offer/NonOffer • Letters of Recommendation • Resumes & Transcripts	Human Resources Department/ Archives	3 years from creation of record unless an action involved Note: Application of the successful candidate becomes part of the employee's personnel file.	FACTA UGESP - Title VII/ Executive Order 11246	Sensitive data - secure/locked storage Send organization meeting minutes, charge to committee, & record of process to Archives. Do not send candidate information.
Equipment and Supplies Records				
Bid and Competitive Selection Records	Facilities Management	Until completion of project		
Equipment Inventory Records	Facilities Management	10 years		
Equipment Maintenance Records	Facilities Management	Life of the equipment		
Vehicle Records • Emission Records • Fuel Records • Insurance Records • Maintenance Records • Registration Records • Titles • Use Records	Facilities Management	Until 3 months past vehicle being owned by the University.		
Facilities and Property Records				
Building Space Inventory and Valuation Records	Facilities Management	10 years		
Building/Grounds Repair, Maintenance, Remodeling, and Construction Records	Facilities Management	Permanent		
Capital Construction Project Records	Facilities Management	Permanent	BoardSource	
Land Inventory Records	Facilities Management	Permanent		
Legal & Insurance Records				

Certificates of Insurance as related to contracts & facility use.	Originating Department or Office of Finance & Administration	6 years after completion of terms or until superseded		Certificates need to be reviewed by University's insurance provider in areas of significant potential liability, prior to the event.
Facility Use Documents	Originating Department	3 years		
Policies & Procedures Records (University & Departmental)				
Handbooks Mission & Policy Statements Official Procedure Guidelines Organizational Charts Strategic Planning Documents	Originating Department/ Archives	Permanent. Previous policies should be retained for 5 years post-revision unless a separate document memorializes the changes.		All handbook changes should be documented and sent to Archives.
Safety Management				
Accident/Incident Reports - student/employee/visitors (STUDENT AFFAIRS MUST BE NOTIFIED OF ACCIDENTS INVOLVING STUDENTS WITHIN 24 HOURS.)	Human Resources/ Office of Safety Manager	5 years from date of accident or injury	BoardSource	* Please follow directions on back of report. Report is forwarded to appropriate department via Human Resources.
Asbestos Records & OSHA Documents	Office of Safety Manager	30 years after termination	OSHA & EPA	
Background Check Records - Driving and/or Criminal	Office of Safety Manager	3 years after student/employee separation		
Carcinogenic Compounds Inventory/Use Records	Office of Safety Manager	10 years		
Chemical and Hazardous Waste Disposal Records	Office of Safety Manager	5 years		
Chemical Hazardous Material Survey Records	Office of Safety Manager	30 years after student/employee separation	OSHA	
Chemical Incident Reports	Office of Safety Manager	3 years		
Emergency Response Plans and Procedures	Office of Safety Manager	Until superseded		
Material Safety Data Sheets Records	Office of Safety Manager	3 years	OSHA	
Radiation Licensing Records	Office of Finance & Administration	3 years after license is terminated		
Radiation Material Handling and Disposition Records	Office of Finance & Administration	3 years after license is terminated		
Radiation Monitoring and Exposure Records	Office of Finance & Administration	3 years after license is terminated		
Safety Inspection Records	Office of Safety Manager	paper records not needed – keep electronic database that shows inspection history; remain in system indefinitely.		- Annual Insurance Audit & Safety Observation Cards submitted by Facilities Maintenance employees once per month.

Safety Training Records	Office of Safety Manager	paper records not needed – keep electronic database that shows the latest (refresher training) + initial training date; remain in system until employee leaves University.		- Annual Insurance Audit & Safety Observation Cards submitted by Facilities Maintenance employees once per month.
Vehicle Accident Records	Office of Finance & Administration & VUPD	3 months past vehicle being owned by the University		D.O.T. - Best Practices of Industry Standard

Valparaiso University
Records Management, Retention, and Destruction By Department
*If your department is not the creator of the record and not responsible for retaining the record,
then you should destroy when it is no longer relevant or useful.*

Note: This list should be updated each year and submitted to the Office of General Counsel.

Records Management Schedule - Vice President for Administration - Human Resources				
Type of Record	Location	Retention Time	Related Authority	Notes
Administrative Records				
Annual Reports	Originating Department/ Archives	Permanent/5 Year Transfer	BoardSource	
Contracts & Leases	Originating Department	7 years after completion of terms	45 C.F.R. § Sec. 74.53 & IC 34-13-1-1	
Committee Records (Departmental, Event, Ad-hoc) • Agendas • Meeting Minutes • Reports • Working Papers • Related documentation and correspondence	Secretaries/ Chairs of Committees /Archives	Permanent/5 Year Transfer	University Practice	<ul style="list-style-type: none"> • Registrar to copy minutes of Faculty Senate, University Council, and Standing Committees. • 1 copy to Archives • Upper administration should document the purpose & process of committees that report to them & transfer to Archives
Correspondence, General Administrative • Communications received or sent which contains significant information about the programs of a unit and/or routine matters.	Originating Department/ Archives	Permanent/5 Year Transfer	University Practice	Provost, VPs, Deans, Directors, Dept. Chairs - Records of continuing value are to be transferred to Archives, office of origin to destroy all others.
Volunteer Registration, Waiver, & Release Forms	Originating Department	3 years after separation		
Accounting & Corporate Tax Records				
Requisitions with supporting documentation	Originating Department	7 years	45 C.F.R. § Sec. 74.53	
Successful Bids and Proposals	Originating Department	6 years after completion of terms	45 C.F.R. § Sec. 74.53	
Unsuccessful Offers (Bids and Proposals)	Originating Department	3 years	45 C.F.R. § Sec. 74.53	
Receipts (Income) & supporting documentation	Originating Department	3 years	BoardSource	
Credit Card/One Card Data - (DO NOT TRANSFER THIS DATA TO ADMINISTRATION & FINANCE VIA CAMPUS MAIL)	Office of Finance & Administration	5 years	Payment Card Industry's Data Security Standard (PCI DSS)	Originating department cannot keep sensitive data due to Red Flag Policy. PCI DSS requires PAN (Primary Account Number) to be <u>rendered unreadable</u> and stored under lock & key with the names of personnel who have access documented.
Benefits Records				
Annual Benefit Reports	Human Resources	Life of Plan		
Benefit Employer Contribution	Human Resources	Employee Tenure		
Benefit Plan Description/Master Contract	Human Resources	Permanent	BoardSource	
Benefit Plan Selection Data	Human Resources	Life of Plan		
Benefit Provider Report of Events	Human Resources	Life of Plan plus 3 years		
Benefit Records	Human Resources	6 years from date of separation.	ERISA	
Payroll & Employment Tax Records				
Payroll Registers	Payroll Dept.	Permanent	BoardSource	

State Unemployment Tax Records	Payroll Dept.	Permanent	BoardSource	University pays as needed - quarterly filing of gross wages
Earning Records	Payroll Dept.	7 years	FLSA & BoardSource	
Employee Tax Records	Payroll Dept.	7 Years	BoardSource	Information relating to income tax withholdings must be retained for 4 years according to the Federal Insurance Contribution Act (FICA) and Federal Unemployment Tax Act (FUTA). 26 C.F.R § 31.6001-1
Federal Tax Levies	Payroll Dept.	7 Years	BoardSource	
Pay Authorization Records	Payroll Dept.	Until updated, superseded, or no longer needed for reference.		
Paycheck Delivery Records	Payroll Dept.	Until updated, superseded, or no longer needed for reference.		
Payroll Adjustments – Off-cycle pay, overpayments, retroactive pay, refunds, one-time pay, leave adjustments	Payroll Dept.	6 years after termination or employment or cancellation of authorization		
Payroll Check Register	Payroll Dept.	Until updated, superseded, or no longer needed for reference.		
Direct Deposit Authorization	Payroll Dept.	3 years after change in authorization, cancellation, or employee separation.		
Tax Withholding Authorization Records W-4's	Payroll Dept.	7 Years	BoardSource	
Wage and Tax Statements	Payroll Dept.	7 Years	BoardSource	
Wage and Tax Statements – Returned undeliverable W-2's and 1042's	Payroll Dept.	7 Years	BoardSource	
Time Cards	Payroll Dept.	5 years	BoardSource	
Wage Attachments, Child Support, and Garnishment Records	Payroll Dept.	7 Years	BoardSource	
W-2 Statements	Payroll Dept.	5 years	BoardSource	
Personnel Records				
Employee Working Files (Official Personnel File is held in HR or Provost's Office [Faculty])	Originating Department	6 years after separation	FACTA	Sensitive data - secure/locked storage
Background Check Reports				
• Criminal and/or Credit Checks	Human Resources	Hired Applicant - Official Employee File (6 years after separation) Not Hired Applicant - 3 years after decision not to hire.	University Policy	Sensitive data - secure/locked storage
• Sex Offender Registry Checks	Originating Department		University Policy	Sensitive data - secure/locked storage
Classified Employee Personnel Records	Human Resources	10 years after employee's separation from the University.	All: Title VII, ADA, 29 C.F.R. 1602.49	Sensitive data - secure/locked storage
Confidentiality Agreements	Originating Department	6 years after separation.		
Official Employment & Termination Agreements (including student employees)	Human Resources	Permanent	FACTA & BoardSource	Sensitive data - secure/locked storage
Employment Tests and Selection Criteria – Impact or Adverse Impact Records	Human Resources	3 years	29 C.F.R. § 1607.15 (A)(2)(a)	Sensitive data - secure/locked storage
Employment Verification Records • INS Form I-9	Human Resources	7 years after date of hire, or one year after	8 C.F.R. § 274a.2 IRCA - Immigration Reform and	Form I-9s. Do not put Form I-9s into your employees' personnel files. (Form I-9 is a form

<ul style="list-style-type: none"> Residence Records Visa Records 		termination, whichever is later	Control Act of 1986 & USCIS	from U.S. Citizenship and Immigration Services (USCIS), formerly the INS. You must complete an I-9 for all employees, verifying that you have checked to be sure that the employees are legally authorized to work in the United States.) Form I-9s should be put into one notebook for USCIS.
Faculty and Exempt Employee Personnel Records	Human Resources/ Office of the Provost	10 years after employee's separation from the University.	All: Title VII, ADA, 29 C.F.R. 1602.49	
Individual Employee Security Profile: Initial set up and changes to the security profile of an employee	Human Resources or other repository as designated by Human Resources	Duration of the authorized profile plus two years after the user's profile is changed or expires.		
Time, and Attendance Records Leave,	Human Resources or other repository as designated by Human Resources	5 years from creation of the record		
Workers Compensation Records	Human Resources/ Office of Safety Manager	5 Years	BoardSource	
<u>Medical Records (Personnel):</u> <u>These records are not personnel records and must be kept separate from personnel records.</u> <ul style="list-style-type: none"> Documentation of work related injuries or illness Family Medical Leave Act documentation First-aid incident reports Hazard exposure records Medical Examination Records Records of health or disability limitations Release consent forms Return to Work Forms Short and Long-Term Disability Documentation <ul style="list-style-type: none"> * Requests for Americans with Disabilities Act (ADA) accommodations and related documents. * Workers' compensation history, claims and related documents. * Results of drug/alcohol tests and related documents. 	Human Resources or other repository as designated by Human Resources	Hazard exposure records: 35 yrs. after employee separation. All other medical records: 6 years after employee's separation from the University.	29 C.F.R. § 1910.1020 29 C.F.R. § 1904.33 IC 22-3-7-9(f) FMLA OSHA	Sensitive data - secure/locked storage OSHA requires that information pertaining to job-related illness and injury be kept on file for 5 years. In cases of exposure to toxic substances or blood-borne pathogens, medical exam results must be retained for 30-years after the employee's separation. (35 years recommended by State of Indiana)
<u>Personnel Files - Permanent Employment</u> <ul style="list-style-type: none"> * job description for the position * job application and/or resume * background check report * offer letter * employment references * IRS Form W-4 (the Employee's Withholding Allowance Certificate) * receipt or signed acknowledgment of employee handbook * performance evaluations * forms relating to employee benefits * forms providing next of kin and emergency contacts * complaints from customers and/or coworkers * awards or citations for excellent performance 	Human Resources	6 years from the date of separation	Executive Order 11246 ADA ADEA Title VII	Sensitive data - secure/locked storage

<ul style="list-style-type: none"> * records of attendance or completion of training programs * warnings and/or other disciplinary actions * notes on attendance or tardiness * any contract, written agreement, receipt, or acknowledgment between the employee and the employer (such as an employment contract, or an agreement relating to a company-provided car, etc.), and documents relating to an employee's separation from the company (such as reasons why they left or were terminated, unemployment documents, insurance continuation forms, and so on). 				
Retirement & Pension Plan Documents	Human Resources	Permanent	ERISA & BoardSource	The Employee Retirement Income Security Act (ERISA) mandates that employee benefit plan information, including summary plan descriptions (SPDs) and annual reports, be kept on file for 6 years.
Salary Schedules	Human Resources	5 years	Equal Pay Act & BoardSource	
<u>Search Committee Records (Full-Time Positions)</u> <ul style="list-style-type: none"> • Applications • Committee Meeting Minutes • Interview Materials • Letter of Offer/NonOffer • Letters of Recommendation • Resumes • Transcripts 	Human Resources Department/ Archives	3 years from creation of record unless an action involved Note: Application of the successful candidate becomes part of the employee's personnel file.	FACTA UGESP - Title VII/ Executive Order 11246	Sensitive data - secure/locked storage Send organization meeting minutes, charge to committee, & record of process to Archives. Do not send candidate information.
Pre-Employment Records				
<ul style="list-style-type: none"> • Advertisements related to job openings • Job applications • Job orders submitted to any agency • Reference checks – keep documentation on all applicants • Results of physical examinations used in connection with personnel actions • Resumes (solicited or unsolicited) • Selection process for recall • Test papers that disclose the results • Users of employment tests and selection procedures-- <p>- Records, such as credit reports, employment tests and selection procedures on persons</p> <p>- Validity documentation of tests used in selection.</p>	Human Resources	3 years	Title VII of the Civil Rights Act of 1964 ADA ADEA FLSA Rehabilitation Act BoardSource	
Policies & Procedures Records (University & Departmental)				
Handbooks (Hourly & Salaried Staff) Mission & Policy Statements Official Procedure Guidelines Organizational Charts Strategic Planning Documents	Originating Department/ Archives	Permanent. Previous policies should be retained for 5 years post-revision unless a separate document memorializes the changes.		All handbook changes should be documented and sent to Archives.

Safety & Security Records				
Accident/Incident Reports - student/employee/visitors (STUDENT AFFAIRS MUST BE NOTIFIED OF ACCIDENTS INVOLVING STUDENTS WITHIN 24 HOURS.)	Human Resources/ Office of Safety Manager	5 years from date of accident or injury	BoardSource	* Please follow directions on back of report. Report is forwarded to appropriate department via Human Resources.
Background Check Reports				
Employment - Criminal and/or Credit Checks	Human Resources	If Hired, report placed in official personnel file & retained until 6 years after separation. If not hired, retained 3 years from date of decision not to hire.	University Policy	Sensitive data - secure/locked storage
Sexual Offender Registry Checks (for University sponsored activities/events where participants are minors)	Office of Originating Department	3 years from date of activity or event	University Policy	

Valparaiso University
Records Management, Retention, and Destruction By Department
*If your department is not the creator of the record and not responsible for retaining the record,
then you should destroy when it is no longer relevant or useful.*

Note: This list should be updated each year and submitted to the Office of General Counsel.

Records Management Schedule - Vice President for Administration - Safety Management				
Type of Record	Location	Retention Time	Related Authority	Notes
Administrative Records				
Annual Reports	Originating Department/ Archives	Permanent/5 Year Transfer	BoardSource	
Contracts & Leases	Originating Department	7 years after completion of terms	45 C.F.R. § Sec. 74.53 & IC 34-13-1-1	
Committee Records (Departmental, Event, Ad-hoc) • Agendas • Meeting Minutes • Reports • Working Papers • Related documentation and correspondence	Secretaries/ Chairs of Committees /Archives	Permanent/5 Year Transfer	University Practice	<ul style="list-style-type: none"> • Registrar to copy minutes of Faculty Senate, University Council, and Standing Committees. • 1 copy to Archives • Upper administration should document the purpose & process of committees that report to them & transfer to Archives
Correspondence, General Administrative • Communications received or sent which contains significant information about the programs of a unit and/or routine matters.	Originating Department/ Archives	Permanent/5 Year Transfer	University Practice	Provost, VPs, Deans, Directors, Dept. Chairs - Records of continuing value are to be transferred to Archives, office of origin to destroy all others.
Volunteer Registration, Waiver, & Release Forms	Originating Department	3 years after separation		
Accounting Records				
Requisitions with supporting documentation	Originating Department	7 years	45 C.F.R. § Sec. 74.53	
Successful Bids and Proposals	Originating Department	6 years after completion of terms	45 C.F.R. § Sec. 74.53	
Unsuccessful Offers (Bids and Proposals)	Originating Department	3 years	45 C.F.R. § Sec. 74.53	
Receipts (Income) & supporting documentation	Originating Department	3 years	BoardSource	
Credit Card/One Card Data - (DO NOT TRANSFER THIS DATA TO ADMINISTRATION & FINANCE VIA CAMPUS MAIL)	Office of Finance & Administration	5 years	Payment Card Industry's Data Security Standard (PCI DSS)	Originating department cannot keep sensitive data due to Red Flag Policy. PCI DSS requires PAN (Primary Account Number) to be <i>rendered unreadable</i> and stored under lock & key with the names of personnel who have access documented.
Employee Records (Departmental Level)				
Employee Working Files (Official Personnel File is held in HR or Provost's Office [Faculty])	Originating Department	6 years after separation	FACTA	Sensitive data - secure/locked storage
Employee Medical Files	Human Resources	30 years after termination	FACTA	Sensitive data - secure/locked storage

Official Employment & Termination Agreements (including student employees)	Human Resources	Permanent	FACTA & BoardSource	Sensitive data - secure/locked storage
Official Records Relating to Promotion, Demotion, or Discharge	Human Resources	6 years after separation	FACTA	Sensitive data - secure/locked storage
Confidentiality Agreements	Originating Department	6 years after separation		
Search Committee Records • Applications • Committee Meeting Minutes • Interview Materials • Letter of Offer/NonOffer • Letters of Recommendation • Resumes • Transcripts	Human Resources Department/ Archives	3 years from creation of record unless an action involved Note: Application of the successful candidate becomes part of the employee's personnel file.	FACTA UGESP - Title VII/ Executive Order 11246	Sensitive data - secure/locked storage Send organization meeting minutes, charge to committee, & record of process to Archives. Do not send candidate information.
Grant Records				
Grant Applications & Contracts	Originating Department	7 years after Completion	BoardSource	
Policies & Procedures Records (University & Departmental)				
Handbooks Mission & Policy Statements Official Procedure Guidelines Organizational Charts Strategic Planning Documents	Originating Department/ Archives	Permanent. Previous policies should be retained for 5 years post-revision unless a separate document memorializes the changes.		All handbook changes should be documented and sent to Archives.
Safety & Security Records				
Asbestos Records	Office of Safety Manager	30 years	OSHA & EPA	
Accident/Incident Reports - student/employee/visitors (STUDENT AFFAIRS MUST BE NOTIFIED OF ACCIDENTS INVOLVING STUDENTS WITHIN 24 HOURS.)	Human Resources/ Office of Safety Manager	5 years from date of accident or injury	BoardSource	* Please follow directions on back of report. Report is forwarded to appropriate department via Human Resources.
Background Checks				
• Employment - Criminal and/or Credit Checks	Human Resources	If Hired, report placed in official personnel file & retained until 6 years after separation. If not hired, retained 3 years from date of decision not to hire.	University Policy	Sensitive data - secure/locked storage
• Driving and/or Criminal	Office of Safety Manager	3 years after student/employee separation		

• Sexual Offender Registry Checks (for University sponsored activities/events where participants are minors)	Office of Originating Department	3 years from date of activity or event	University Policy	
Blood-borne Pathogen Exposure-Medical Exams	Office of Safety Manager	30 years after student/employee separation	OSHA	
Carcinogenic Compounds Inventory/Use Records	Office of Safety Manager	10 years		
Chemical and Hazardous Waste Disposal Records	Office of Safety Manager	5 years		
Chemical Hazardous Material Survey Records	Office of Safety Manager	30 years after student/employee separation	OSHA	
Chemical Incident Reports	Office of Safety Manager	3 years		
Emergency Response Plans and Procedures	Office of Safety Manager	Until superseded		
Material Safety Data Sheets Records	Office of Safety Manager	3 years		
Radiation Licensing Records	Office of Finance & Administration	3 years after license is terminated		
Radiation Material Handling and Disposition Records	Office of Safety Manager	3 years after license is terminated		
Radiation Monitoring and Exposure Records	Office of Safety Manager	3 years after license is terminated		
Safety Inspection Records	Office of Safety Manager	paper records not needed – keep electronic database that shows inspection history; remain in system indefinitely.		- Annual Insurance Audit & Safety Observation Cards submitted by Facilities Maintenance employees once per month.
Safety Training Records	Office of Safety Manager	paper records not needed – keep electronic database that shows the latest (refresher training) + initial training date; remain in system until employee leaves University.	ADA, ADEA, Title VII, OSHA	
Vehicle Accident Records	Office of Safety Manager	3 months past vehicle being owned by the University		D.O.T. - Best Practices of Industry Standard

Valparaiso University
Records Management, Retention, and Destruction By Department
*If your department is not the creator of the record and not responsible for retaining the record,
then you should destroy when it is no longer relevant or useful.*

Note: This list should be updated each year and submitted to the Office of General Counsel.

Records Management Schedule - Vice President for Administration - VUPD				
Type of Record	Location	Retention Time	Related Authority	Notes
Administrative Records		Hardcopy/Electronic Records		
Annual Reports	Originating Department/ Archives	Permanent/5 Year Transfer	BoardSource	
Contracts & Leases	Originating Department	7 years after completion of terms	45 C.F.R. § Sec. 74.53 & IC 34-13-1-1	
Committee Records (Departmental, Event, Ad-hoc) • Agendas • Meeting Minutes • Reports • Working Papers • Related documentation and correspondence	Secretaries/ Chairs of Committees /Archives	Permanent/5 Year Transfer	University Practice	<ul style="list-style-type: none"> • Registrar to copy minutes of Faculty Senate, University Council, and Standing Committees. • 1 copy to Archives • Upper administration should document the purpose & process of committees that report to them & transfer to Archives
Correspondence, General Administrative • Communications received or sent which contains significant information about the programs of a unit and/or routine matters.	Originating Department/ Archives	Permanent/5 Year Transfer	University Practice	Provost, VPs, Deans, Directors, Dept. Chairs - Records of continuing value are to be transferred to Archives, office of origin to destroy all others.
Volunteer Registration, Waiver, & Release Forms	Originating Department	3 years after separation		
Accounting Records				
Requisitions with supporting documentation	Originating Department	7 years	45 C.F.R. § Sec. 74.53	
Successful Bids and Proposals	Originating Department	6 years after completion of terms	45 C.F.R. § Sec. 74.53	
Unsuccessful Offers (Bids and Proposals)	Originating Department	3 years	45 C.F.R. § Sec. 74.53	
Receipts (Income) & supporting documentation	Originating Department	3 years	BoardSource	
Credit Card/One Card Data - (DO NOT TRANSFER THIS DATA TO ADMINISTRATION & FINANCE VIA CAMPUS MAIL)	Office of Finance & Administration	5 years	Payment Card Industry's Data Security Standard (PCI DSS)	Originating department cannot keep sensitive data due to Red Flag Policy. PCI DSS requires PAN (Primary Account Number) to be <i>rendered unreadable</i> and stored under lock & key with the names of personnel who have access documented.
Employee Records				
Employee Working Files (Official Personnel File is held in HR or Provost's Office [Faculty])	Originating Department	6 years after separation	FACTA	Sensitive data - secure/locked storage
Official Employment & Termination Agreements	Human Resources	Permanent	FACTA	Sensitive data - secure/locked storage
Official Records Relating to Promotion, Demotion, or Discharge	Human Resources	6 years after separation	FACTA	Sensitive data - secure/locked storage

Confidentiality Agreements	Originating Department	6 years after separation		
Search Committee Records (Full-Time Positions) • Applications • Committee Meeting Minutes • Interview Materials • Letter of Offer/NonOffer • Letters of Recommendation • Resumes & Transcripts	Human Resources Department/ Archives	3 years from creation of record unless an action involved Note: Application of the successful candidate becomes part of the employee's personnel file.	FACTA UGESP - Title VII/ Executive Order 11246	Sensitive data - secure/locked storage Send organization meeting minutes, charge to committee, & record of process to Archives. Do not send candidate information.
Grant Records				
Grant Applications & Contracts	Originating Department	7 years after completion	BoardSource	
Campus Police Records				
ADA Transport Logs	Campus Police	5 years plus current		
Evidence Destruction Documents	Campus Police	Permanent		
Express Mail Logs	Campus Police	1 year plus current		
Lost and Found Reports	Campus Police	1 year plus current		
VU Transportation Service Logs	Campus Police	1 year plus current		
Vehicle Lock Outs/Jump Start/ Tire Change Wavers	Campus Police	3 years plus current		
Payment Plans	Campus Police	5 years plus current		
Radio/911 Logs	Campus Police	Permanent - stored on server		
Weapon Logs	Campus Police	5 years plus current		
Property Receipts	Campus Police	5 years plus current		
Records & Reports - VU Police Data Base	Campus Police	Permanent - stored on server		
IDACS Operator Certification	Campus Police	Throughout Employment		
Record Check Authorization	Campus Police	5 years plus current		
Police Vehicle Maintenance Record	Campus Police	Life of Commission		
Police Vehicle Inspections	Campus Police	Two Months		
Clery Survey	Campus Police	Permanent	Department of Education	
Clery Daily Log	Campus Police	Permanent	Department of Education	
Case Files				
Felony and Major Cases (Arson, Aggravated Assault, Homicides, Kidnapping, Deaths, Missing Persons, Robbery, Forgery, theft of Public Funds, Traffic Fatalities)	Campus Police	Permanent	Recommendation of Prosecutor	Sensitive data - secure/locked storage - Law Enforcement Personnel only
Sex Offenders	Campus Police	Permanent	Recommendation of Prosecutor	Sensitive data - secure/locked storage - Law Enforcement Personnel only
Misdemeanor Cases (major)	Campus Police	Permanent	Recommendation of Prosecutor	Sensitive data - secure/locked storage - Law Enforcement Personnel only
Unsolved Criminal Cases (All)	Campus Police	Permanent	Recommendation of Prosecutor	Sensitive data - secure/locked storage - Law Enforcement Personnel only
Incident Reports (Medical/EMS/Fire)	Campus Police	Permanent		
Misdemeanor Cases (petty & traffic offenses)	Campus Police	10 years plus current		Sensitive data - secure/locked storage - Law Enforcement Personnel only
Incident Report (Fire Alarms/Vehicle Crash/Ect.)	Campus Police	10 years plus current		

General Information Reports	Campus Police	10 years plus current		
Court/Legal Documents				
Violations & Uniform Traffic Tickets	Campus Police	10 years plus current		
Warrants	Campus Police	Document expiration date plus 3 years		
Appeal/Citation Records	Campus Police	Document expiration date plus 3 years		
Permit Records	Campus Police	Document expiration date plus 3 years		
Criminal History & Evidence Records				
IDACS III	Campus Police	3 years plus current	IDACS (Indiana Data & Communication System)	Sensitive data - secure/locked storage - Law Enforcement Personnel only
IDACS- 10-27/10-28/10-29	Campus Police	6 months	IDACS (Indiana Data & Communication System)	Sensitive data - secure/locked storage - Law Enforcement Personnel only
IDACS (misc. & etc.)	Campus Police	6 months	IDACS (Indiana Data & Communication System)	Sensitive data - secure/locked storage - Law Enforcement Personnel only
Evidence- Physical evidence collected at crime scenes or during police investigations.	Campus Police	Permanent (Until Court Release)		Chain of Custody Documentation Maintained
Latent Prints, DNA, and Documents- from crime scenes or police investigation.	Campus Police	Permanent (Until Court Release)		Chain of Custody Documentation Maintained
Evidence Records – Chain of custody bags or reports, logs, and other documentation of transfer, and release of materials taken into evidence.	Campus Police	Permanent (Until Court Release)		Chain of Custody Documentation Maintained
Photos and Photos Arrays - of suspects & persons charged with crimes.	Campus Police	Permanent (Until Court Release)		Chain of Custody Documentation Maintained
Photographs, Videos, and Sketches - of crime scenes or police investigations.	Campus Police	Permanent (Until Court Release)		Chain of Custody Documentation Maintained
Dispatch – audio, phone, and radio recordings.	Campus Police	Permanent (Until Court Release) - stored on server		
Digital/Video Recordings - related to criminal investigations.	Campus Police	Permanent (Until Court Release)		Chain of Custody Documentation Maintained
Digital/Video/Audio Recordings - concerning all other police contacts.	Campus Police	30 days		Chain of Custody Documentation Maintained
Parking Records				
Parking and Traffic Appeals	Campus Police	5 years plus current	University Practice	
Campus Citations	Campus Police	5 years plus current	University Practice	
Vehicle Registration Documents	Campus Police	5 years plus current	University Practice	
Police Training				
Field Training Manuals - Officers and Dispatchers	Campus Police	40 Years	Department Practice	
Officer - Yearly w/mandated training sheets	Campus Police	40 Years	Department Practice	
Standard Operating Procedures	Campus Police	7 years after revision		
Policies & Procedures Records (University & Departmental)				
Handbooks Mission & Policy Statements Official Procedure Guidelines Organizational Charts	Originating Department/ Archives	Permanent. Previous policies should be retained for 5		All handbook changes should be documented and sent to Archives.

Strategic Planning Documents		years post-revision unless a separate document memorializes the changes.		
Safety Management				
Accident/Incident Reports - student/employee/visitors (STUDENT AFFAIRS MUST BE NOTIFIED OF ACCIDENTS INVOLVING STUDENTS WITHIN 24 HOURS.)	Human Resources/ Office of Safety Manager	5 years from date of accident or injury	BoardSource	* Please follow directions on back of report. Report is forwarded to appropriate department via Human Resources.
Background Checks				
• Employment - Criminal and/or Credit Checks	Human Resources	If Hired, report placed in official personnel file & retained until 6 years after separation. If not hired, retained 3 years from date of decision not to hire.	University Policy	Sensitive data - secure/locked storage
• Driving and/or Criminal	Office of Safety Manager	3 years after student/employee separation		
• Sexual Offender Registry Checks (for University sponsored activities/events where participants are minors)	Office of Originating Department	3 years from date of activity or event	University Policy	

Valparaiso University
Records Management, Retention, and Destruction By Department
*If your department is not the creator of the record and not responsible for retaining the record,
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Note: This list should be updated each year and submitted to the Office of General Counsel.

Records Management Schedule - VP for Enrollment (Undergraduate Admissions including International & Transfer Students)				
Type of Record	Location	Retention Time	Related Authority	Notes
Administrative Records		Hardcopy/Electronic Records		
Annual Reports	Originating Department/ Archives	Permanent/5 Year Transfer	BoardSource	
Contracts & Leases	Originating Department	7 years after completion of terms	45 C.F.R. § Sec. 74.53 & IC 34-13-1-1	
Committee Records (Departmental, Event, Ad-hoc) • Agendas • Meeting Minutes • Reports • Working Papers • Related documentation and correspondence	Secretaries/ Chairs of Committees /Archives	Permanent/5 Year Transfer	University Practice	<ul style="list-style-type: none"> • Registrar to copy minutes of Faculty Senate, University Council, and Standing Committees. • 1 copy to Archives • Upper administration should document the purpose & process of committees that report to them & transfer to Archives
Correspondence, General Administrative • Communications received or sent which contains significant information about the programs of a unit and/or routine matters.	Originating Department/ Archives	Permanent/5 Year Transfer	University Practice	Provost, VPs, Deans, Directors, Dept. Chairs - Records of continuing value are to be transferred to Archives, office of origin to destroy all others.
Volunteer Registration, Waiver, & Release Forms	Originating Department	3 years after separation		
Sexual Offender Registry Checks (for University sponsored activities/events where participants are minors)	Office of Originating Department	3 years from date of activity or event	University Policy	
Accounting & Corporate Tax Records				
Requisitions with supporting documentation	Originating Department	7 years	45 C.F.R. § Sec. 74.53	
Successful Bids and Proposals	Originating Department	6 years after completion of terms	45 C.F.R. § Sec. 74.53	
Unsuccessful Offers (Bids and Proposals)	Originating Department	3 years	45 C.F.R. § Sec. 74.53	
Receipts (Income) & supporting documentation	Originating Department	3 years	BoardSource	
Credit Card/One Card Data - (DO NOT TRANSFER THIS DATA TO ADMINISTRATION & FINANCE VIA CAMPUS MAIL)	Office of Finance & Administration	5 years	Payment Card Industry's Data Security Standard (PCI DSS)	Originating department cannot keep sensitive data due to Red Flag Policy. PCI DSS requires PAN (Primary Account Number) to be <i>rendered unreadable</i> and stored under lock & key with the names of personnel who have access documented.
Employee Records (Departmental Level)				
Employee Working Files (Official Personnel File is held in HR or Provost's Office [Faculty])	Originating Department	6 years after separation	FACTA	Sensitive data - secure/locked storage
Official Employment & Termination Agreements	Human Resources	Permanent	FACTA & BoardSource	Sensitive data - secure/locked storage

Official Records Relating to Promotion, Demotion, or Discharge	Human Resources	6 years after separation	FACTA	Sensitive data - secure/locked storage
Confidentiality Agreements	Originating Department	6 years after separation		
Work Study Program Administrative Records - Students • Award Letters • Job Descriptions • Payment Records • Related Correspondence	Financial Aid	3 years after the award year for which aid was awarded	34 C.F.R. § 668.24 (e)	
Search Committee Records (Full-Time Positions) • Applications • Committee Meeting Minutes • Interview Materials • Letter of Offer/NonOffer • Letters of Recommendation • Resumes • Transcripts	Human Resources Department/ Archives	3 years from creation of record unless an action involved Note: Application of the successful candidate becomes part of the employee's personnel file.	FACTA UGESP - Title VII/ Executive Order 11246	Sensitive data - secure/locked storage Send organization meeting minutes, charge to committee, & record of process to Archives. Do not send candidate information.
FERPA (Family Educational Rights & Privacy Act) Records				
Student's Written Consent for Records Disclosure	Various departments as applicable	Permanent or until terminated by student	FERPA	FERPA rights begin with date of enrollment
Admissions Records - Applicants Who Do Not Enroll				
Acceptance Letter	Admissions	1 year after application term	AACRAO	
Advanced Placement Results	Admissions	2 years after application term	AACRAO	
Applications	Admissions	2 years after application term	AACRAO	
Correspondence (ALL)	Admissions	2 years after application term	AACRAO	
Entrance Exam Results/Scores	Admissions	2 years after application term	AACRAO	
Letters of Recommendation	Admissions	2 years after application term	AACRAO	
Military Records	Admissions	2 years after application term	AACRAO	
Requests to Update Application	Admissions	2 years after application term	AACRAO	
Recruitment Records	Admissions	2 years after application term	AACRAO	
Transcripts (high school and college)	Admissions	5 years after application term	AACRAO & Departmental Policy	
International Student Records	Admissions	2 years after application term	AACRAO	
Admissions Records - Applicants Who Do Enroll				
SHORTLY AFTER ENROLLMENT, STUDENT'S RECORDS ARE SENT TO STUDENT AFFAIRS.				
Acceptance Letter	Student Affairs	5 years after graduation or date of last attendance	AACRAO	

Advanced Placement Results	Student Affairs	5 years after graduation or date of last attendance	AACRAO	
Applications	Student Affairs	5 years after graduation or date of last attendance	AACRAO	
Correspondence (ALL)	Student Affairs	5 years after graduation or date of last attendance	AACRAO	
Entrance Exam Results/Scores	Student Affairs	5 years after graduation or date of last attendance	AACRAO	
Letters of Recommendation	Student Affairs	Destroy when admitted	AACRAO	
Military Records	Student Affairs	5 years after graduation or date of last attendance	AACRAO	
Placement Test Results/Scores	Student Affairs	5 years after graduation or date of last attendance	AACRAO	
Readmission Records	Student Affairs	5 years after graduation or date of last attendance	AACRAO	
Recruitment Records	Student Affairs	Destroy when admitted	AACRAO	
Student Waivers for rights of access records	Datatel, Office or Origin	Until terminated or superseded	AACRAO	
Transcripts (high school and college)	Student Affairs	Permanent	AACRAO	
International Student Records	Student Affairs	5 years after graduation or date of last attendance	AACRAO	
International Students				
International Admissions Records- F1 need I-20 J DS2019	Office of International Studies	Recommendation to keep at least one year following notification to USCIS of reasons for departure (F-1 & M-1 visas). For J-1, must keep for at least three years after they graduate.	8 C.F.R § 214.3(g);22 C.F.R. § 62.10(h)	
Study Abroad Student & Staff Records	Office of International Studies/Registrar/HR	5 years after graduation or date of last attendance		
International College Student & Staff Records	Office of International Studies	5 years after graduation or date of last attendance		
International Admissions/Student Records	Admissions; after enrollment, Student Affairs; after graduation, Registrar	5 years after last date of attendance (Hold Transcripts Permanently)		
International Scholars Records	Office of International Studies	5 years		
Labor certification/applications	Human Resources	5 years from date application/certification is filed	20 C.F.R. § 656.10(f)	
Labor Condition Applications	Office of International Studies	One year after application expires	20 C.F.R. § 655.760	
Policies & Procedures Records (University & Departmental)				
Handbooks Mission & Policy Statements Official Procedure Guidelines	Originating Department/ Archives	Permanent. Previous policies should be		All handbook changes should be documented and sent to Archives.

Organizational Charts Strategic Planning Documents		retained for 5 years post-revision unless a separate document memorializes the changes.		
Publications, Promotions and Alumni Records				
Photographs	Originating Department/Archives	Permanent/Transfer Yearly		
University Published Material • Books • Brochures • Catalogs • Directories • Magazines • Media Guides • Newsletters • The Torch & The Beacon	Originating Department/ Archives	Permanent/Transfer Yearly		

Valparaiso University
Records Management, Retention, and Destruction By Department
*If your department is not the creator of the record and not responsible for retaining the record,
then you should destroy when it is no longer relevant or useful.*

Note: This list should be updated each year and submitted to the Office of General Counsel.

Records Management Schedule - Vice President for Enrollment - Athletics				
Type of Record	Location	Retention Time	Related Authority	Notes
Administrative Records				
Annual Reports	Originating Department/ Archives	Permanent/5 Year Transfer	BoardSource	
Contracts & Leases	Originating Department	7 years after completion of terms	45 C.F.R. § Sec. 74.53 & IC 34-13-1-1	
Committee Records (Departmental, Event, Ad-hoc) • Agendas • Meeting Minutes • Reports • Working Papers • Related documentation and correspondence	Secretaries/ Chairs of Committees /Archives	Permanent/5 Year Transfer	University Practice	<ul style="list-style-type: none"> • Registrar to copy minutes of Faculty Senate, University Council, and Standing Committees. • 1 copy to Archives • Upper administration should document the purpose & process of committees that report to them & transfer to Archives
Correspondence, General Administrative • Communications received or sent which contains significant information about the programs of a unit and/or routine matters.	Originating Department/ Archives	Permanent/5 Year Transfer	University Practice	Provost, VPs, Deans, Directors, Dept. Chairs - Records of continuing value are to be transferred to Archives, office of origin to destroy all others.
Volunteer Registration, Waiver, & Release Forms	Originating Department	3 years after separation		
Sexual Offender Registry Checks (for University sponsored activities/events where participants are minors)	Office of Originating Department	3 years from date of activity or event	University Policy	
Accounting Records				
Requisitions with supporting documentation	Originating Department	7 years	45 C.F.R. § Sec. 74.53	
Successful Bids and Proposals	Originating Department	6 years after completion of terms	45 C.F.R. § Sec. 74.53	
Unsuccessful Offers (Bids and Proposals)	Originating Department	3 years	45 C.F.R. § Sec. 74.53	
Receipts (Income) & supporting documentation	Originating Department	3 years	BoardSource	
Ticket Sales/Cash Receipt Records	Originating Department	5 years	BoardSource	
Credit Card/One Card Data - (DO NOT TRANSFER THIS DATA TO ADMINISTRATION & FINANCE VIA CAMPUS MAIL)	Office of Finance & Administration	5 years	Payment Card Industry's Data Security Standard (PCI DSS)	Originating department cannot keep sensitive data due to Red Flag Policy. PCI DSS requires PAN (Primary Account Number) to be <i>rendered unreadable</i> and stored under lock & key with the names of personnel who have access documented.
Athletics Records				

Eligibility Checklists Records	Athletic's Compliance Office	6 years	Big XII Recommendation	
Game Arrangement Records	Program Office	Until no longer needed		
Game Official's Evaluation Forms	Program Office	2 years		
Game Statistics/Participation Records	Office of Sports Media Relations	Permanent - Maintained Online		
Individual Student-Athletes Records	Athletic's Compliance Office	6 years	Big XII Recommendation	
Media Guides	Office of Sports Media Relations	Permanent - Maintained Online		
News Releases	Office of Sports Media Relations/Archives	Permanent/Transfer Yearly	University Practice	
Photographs (Student-Athletes, Coaches, Staff)	Athletic's Compliance Office	Permanent - Maintained Online		
Play Books	Football Office	Until no longer needed		
Practice Log Records (CARA)	Compliance Office	6 years	Big XII Recommendation	
Press Clippings	Office of Sports Media Relations/Archives	Permanent/Transfer Yearly	University Practice	
Recruiting Records	Athletic's Compliance Office	6 years	NCAA	
Student Athlete Academic Recognition or Intervention Records (FERPA Release, student data, progress reports, mid-terms, achievements, etc.)	Athletic's Compliance Office	6 years from the date of last contact	NCAA	
Student Athlete Medical Records	Sports Medicine Department	7 years from the date of last contact with the individual	IC 16-39-7-1(b)(1993) IC16-39-7-2 (b) and (d) (1993) 410 IAC 15-1.5-9 (e)	Records include past history, physical exams, injury records, and treatment and rehabilitation records. These may also include all dictation notes from doctors for evalus, special tests and operative reports.
Ticket Records	Ticket Office	5 years		
Level II/Secondary Violations/Waiver Records/Investigation Notes	Compliance Office	Permanent	Big XII Recommendation	
Major Infractions Case/Investigation Notes/NCAA Report	Compliance Office	Permanent	Big XII Recommendation	
Participation Forms	Compliance Office	6 years	Big XII Recommendation	
National Letter of Intent/Financial Aid Agreement Forms	Compliance Office	6 years	Big XII Recommendation	
Transfer Information	Compliance Office	6 years	Big XII Recommendation	
Official Visits	Compliance Office	6 years	Big XII Recommendation	
Sport Camps Documentation	Compliance Office	6 years	Big XII Recommendation	
Rosters	Compliance Office	6 years	Big XII Recommendation	
Squad Lists	Compliance Office	Permanent	Big XII Recommendation & Dept. Practice	
Title IX & Demographics	Athletic's Business Office	6 years	Big XII Recommendation	
Sports Sponsorship files	Athletic's Business Office	6 years	Big XII Recommendation	
SAF (Special Assistance Fund)	Compliance Office	6 years	Big XII Recommendation	

SAOF (Student-Athlete Opportunity Fund)	Compliance Office	6 years	Big XII Recommendation	
Training Table Records	Compliance Office	6 years - maintained on NCAA Web site	Big XII Recommendation	
Coaches Certification Exam Results	Compliance Office	6 years	Big XII Recommendation	
Employee Records (Departmental Level)				
Employee Working Files (Official Personnel File is held in HR or Provost's Office [Faculty])	Originating Department	6 years after separation	FACTA	Sensitive data - secure/locked storage
Official Employment & Termination Agreements	Human Resources	Permanent	FACTA	Sensitive data - secure/locked storage
Official Records Relating to Promotion, Demotion, or Discharge	Human Resources	6 years after separation	FACTA	Sensitive data - secure/locked storage
Confidentiality Agreements	Originating Department	6 years after separation		
Search Committee Records (Full-Time Positions) • Applications • Committee Meeting Minutes • Interview Materials • Letter of Offer/NonOffer • Letters of Recommendation • Resumes & Transcripts	Human Resources Department/ Archives	3 years from creation of record unless an action involved Note: Application of the successful candidate becomes part of the employee's personnel file.	FACTA UGESP - Title VII/ Executive Order 11246	Sensitive data - secure/locked storage Send organization meeting minutes, charge to committee, & record of process to Archives. Do not send candidate information.
FERPA (Family Educational Rights & Privacy Act) Records				
Student's Written Consent for Records Disclosure	Various departments as applicable	Permanent or until terminated by student	FERPA	
Legal & Insurance Records				
Certificates of Insurance as related to contracts & facility use.	Originating Department or Office of Finance & Administration	6 years after completion of terms or until superseded		Certificates need to be reviewed by University's insurance provider in areas of significant potential liability, prior to the event.
Facility Use Documents	Originating Department	3 years		
NCAA Records				
Audit & Supporting Documents		Permanent	BoardSource	
Policies & Procedures Records (University & Departmental)				
Handbooks Mission & Policy Statements Official Procedure Guidelines Organizational Charts Strategic Planning Documents	Originating Department/ Archives	Permanent. Previous policies should be retained for 5 years post-revision unless a separate document memorializes the changes.		All handbook changes should be documented and sent to Archives.
Publications, Promotions and Alumni Records				
Photographs	Originating Department/Archives	Permanent/Transfer Yearly		
University Published Material • Books • Brochures	Originating Department/ Archives	Permanent/Transfer Yearly		

- Catalogs
- Directories
- Magazines
- Media Guides
- Newsletters
- The Torch & The Beacon

Valparaiso University
Records Management, Retention, and Destruction By Department
*If your department is not the creator of the record and not responsible for retaining the record,
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Records Management Schedule - Vice President for Enrollment - Integrated Marketing & Communications				
Type of Record	Location	Retention Time	Related Authority	Notes
Administrative Records				
Annual Reports	Originating Department/ Archives	Permanent/5 Year Transfer	BoardSource	
Contracts & Leases	Originating Department	7 years after completion of terms	45 C.F.R. § Sec. 74.53 & IC 34-13-1-1	
Committee Records (Departmental, Event, Ad-hoc) • Agendas • Meeting Minutes • Reports • Working Papers • Related documentation and correspondence	Secretaries/ Chairs of Committees /Archives	Permanent/5 Year Transfer	University Practice	<ul style="list-style-type: none"> • Registrar to copy minutes of Faculty Senate, University Council, and Standing Committees. • 1 copy to Archives • Upper administration should document the purpose & process of committees that report to them & transfer to Archives
Correspondence, General Administrative • Communications received or sent which contains significant information about the programs of a unit and/or routine matters.	Originating Department/ Archives	Permanent/5 Year Transfer	University Practice	Provost, VPs, Deans, Directors, Dept. Chairs - Records of continuing value are to be transferred to Archives, office of origin to destroy all others.
Volunteer Registration, Waiver, & Release Forms	Originating Department	3 years after separation		
Sexual Offender Registry Checks (for University sponsored activities/events where participants are minors)	Office of Originating Department	3 years from date of activity or event	University Policy	
Accounting Records				
Requisitions with supporting documentation	Originating Department	7 years	45 C.F.R. § Sec. 74.53	
Successful Bids and Proposals	Originating Department	6 years after completion of terms	45 C.F.R. § Sec. 74.53	
Unsuccessful Offers (Bids and Proposals)	Originating Department	3 years	45 C.F.R. § Sec. 74.53	
Receipts (Income) & supporting documentation	Originating Department	3 years	BoardSource	
Credit Card/One Card Data - (DO NOT TRANSFER THIS DATA TO ADMINISTRATION & FINANCE VIA CAMPUS MAIL)	Office of Finance & Administration	5 years	Payment Card Industry's Data Security Standard (PCI DSS)	Originating department cannot keep sensitive data due to Red Flag Policy. PCI DSS requires PAN (Primary Account Number) to be <i>rendered unreadable</i> and stored under lock & key with the names of personnel who have access documented.
Communications				
Press Releases & Public Filings	IMC/Archives	Permanent/Transfer Yearly		
Employee Records (Departmental Level)				

Employee Working Files (Official Personnel File is held in HR or Provost's Office [Faculty])	Originating Department	6 years after separation	FACTA	Sensitive data - secure/locked storage
Official Employment & Termination Agreements	Human Resources	Permanent	FACTA & BoardSource	Sensitive data - secure/locked storage
Official Records Relating to Promotion, Demotion, or Discharge	Human Resources	6 years after separation	FACTA	Sensitive data - secure/locked storage
Confidentiality Agreements	Originating Department	6 years after separation		
Search Committee Records (Full-Time Positions) • Applications • Committee Meeting Minutes • Interview Materials • Letter of Offer/NonOffer • Letters of Recommendation • Resumes & Transcripts	Human Resources Department/ Archives	3 years from creation of record unless an action involved Note: Application of the successful candidate becomes part of the employee's personnel file.	FACTA UGESP - Title VII/ Executive Order 11246	Sensitive data - secure/locked storage Send organization meeting minutes, charge to committee, & record of process to Archives. Do not send candidate information.
Legal Records				
Certificates of Insurance as related to contracts & facility use.	Originating Department or Office of Finance & Administration	6 years after completion of terms or until superseded		Certificates need to be reviewed by University's insurance provider in areas of significant potential liability, prior to the event.
Marketing				
Final Copies of Marketing Documents	IMC/Archives	3 years/5 Year Transfer	University Practice	
Public Relations Files	IMC/Archives	Permanent/5 Year Transfer	University Practice	
Policies & Procedures Records (University & Departmental)				
Handbooks Mission & Policy Statements Official Procedure Guidelines Organizational Charts Strategic Planning Documents	Originating Department/ Archives	Permanent. Previous policies should be retained for 5 years post-revision unless a separate document memorializes the changes.		All handbook changes should be documented and sent to Archives.
Publications, Promotions and Alumni Records				
Photographs	Originating Department/ Archives	Permanent/Transfer Yearly		
University Published Material • Books • Brochures • Catalogs • Directories • Magazines • Media Guides • Newsletters • The Torch & The Beacon	Originating Department/ Archives	Permanent/Transfer Yearly		

Valparaiso University
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Records Management Schedule - Vice President for Enrollment - Office of Financial Aid				
Type of Record	Location	Retention Time	Related Authority	Notes
Administrative Records				
Annual Reports (Financial Aid Report)	Originating Department/ Archives	Permanent/5 Year Transfer	BoardSource & University Practice	
Contracts & Leases	Originating Department	7 years after completion of terms	45 C.F.R. § Sec. 74.53 & IC 34-13-1-1	
Committee Records (Departmental, Event, Ad-hoc) • Agendas • Meeting Minutes • Reports • Working Papers • Related documentation and correspondence	Secretaries/ Chairs of Committees /Archive	Permanent/5 Year Transfer	University Practice	<ul style="list-style-type: none"> • Registrar to copy minutes of Faculty Senate, University Council, and Standing Committees. • 1 copy to Archives • Upper administration should document the purpose & process of committees that report to them & transfer to Archives
Correspondence, General Administrative • Communications received or sent which contains significant information about the programs of a unit and/or routine matters.	Originating Department/ Archives	Permanent/5 Year Transfer	University Practice	Provost, VPs, Deans, Directors, Dept. Chairs - Records of continuing value are to be transferred to Archives, office of origin to destroy all others.
Volunteer Registration, Waiver, & Release Forms	Originating Department	3 years after separation		
Sexual Offender Registry Checks (for University sponsored activities/events where participants are minors)	Office of Originating Department	3 years from date of activity or event	University Policy	
Accounting Records				
Requisitions with supporting documentation	Originating Department	7 years	45 C.F.R. § Sec. 74.53	
Successful Bids and Proposals	Originating Department	6 years after completion of terms	45 C.F.R. § Sec. 74.53	
Unsuccessful Offers (Bids and Proposals)	Originating Department	3 years	45 C.F.R. § Sec. 74.53	
Receipts (Income) & supporting documentation	Originating Department	3 years	BoardSource	
Credit Card/One Card Data - (DO NOT TRANSFER THIS DATA TO ADMINISTRATION & FINANCE VIA CAMPUS MAIL)	Office of Finance & Administration	5 years	Payment Card Industry's Data Security Standard (PCI DSS)	Originating department cannot keep sensitive data due to Red Flag Policy. PCI DSS requires PAN (Primary Account Number) to be <i>rendered unreadable</i> and stored under lock & key with the names of personnel who have access documented.
Admissions Records				
Registered/Enrolled Students	Student Affairs	5 years	AACRO	

Students Denied Admission	Admissions	3 years	AACRO	
Employee Records (Departmental Level)				
Employee Working Files (Official Personnel File is held in HR or Provost's Office [Faculty])	Originating Department	6 years after separation	FACTA	Sensitive data - secure/locked storage
Official Employment & Termination Agreements	Human Resources	Permanent	FACTA & BoardSource	Sensitive data - secure/locked storage
Official Records Relating to Promotion, Demotion, or Discharge	Human Resources	6 years after separation	FACTA	Sensitive data - secure/locked storage
Confidentiality Agreements	Originating Department	6 years after separation		
Search Committee Records (Full-Time Positions) • Applications • Committee Meeting Minutes • Interview Materials • Letter of Offer/NonOffer • Letters of Recommendation • Resumes & Transcripts	Human Resources Department/ Archives	3 years from creation of record unless an action involved Note: Application of the successful candidate becomes part of the employee's personnel file.	FACTA UGESP - Title VII/ Executive Order 11246	Sensitive data - secure/locked storage Send organization meeting minutes, charge to committee, & record of process to Archives. Do not send candidate information.
FERPA (Family Educational Rights & Privacy Act) Records				
Student's Written Consent for Records Disclosure	Various departments as applicable	Permanent or until terminated by student	FERPA	FERPA rights begin with date of enrollment
Financial Aid Records				
Borrowers Loan Records * Institutional Loans * Repayment Schedules * Statements of Rights & Responsibilities * Records of Actions Taken * Related Coorespondence	Financial Aid Office	3 years after loan repayment or assignment to the U.S. Dept. of Education	34 C.F.R. § 668.24	
Federal Title IV, Program Records, Institutional Records * Accreditation Reviews & Reports * Any other record pertaining to factors of financial responsibility and standards of administrative capability * Audits and Program Reviews * Education Program Eligibility * Institutional Program Participation * Recertification	Financial Aid Office	(a) Agreement: 6 years after expiration (b) 3 years after the end of the award year in which the report was submitted. Records pertaining to audit & program reviews must be retained until resolution of the matter is closed	34 C.F.R. § 668.24	
Federal Family Education Loan & Direct Program Records * Applications * Disbursement Records * Promissory Notes * Student Status Confirmation Reports	Financial Aid Office	3 years after the end of the award year in which the student borrower last attended the University	34 C.F.R. § 668.24	

Financial Aid Annual Reports	Financial Aid Office	3 years after the end of the award year	34 C.F.R. § 674.8(c)	
Fiscal Records and Reports	Financial Aid Office	3 years after the end of the award year for which the report was submitted.	34 C.F.R. § 674.8(c)	
* Accreditation & Licensing Agency Reports				
* Annual Federal Fiscal Operations & Applications for Funds Report				
* Cash disbursements				
* ED Payment Management System				
Cash Requests & Reports				
* Federal Pell Grant Statements of Account				
* General Ledgers				
* Refunds and Repayments				
* State Grant & Scholarship Award Rosters & Reports				
* Title IV Program Reconciliation Reports				
* Title VI Program Transaction Records				
Pell Grant Reports				
Perkins Loan Program Records	Financial Aid, Bursar's, or Finance Office	3 years after the end of the award year for which the award was awarded	34 C.F.R. § 668.24	
Scholarship Files	Financial Aid Office/Archive	Permanent/transfer records of completed programs to archives		
Student Financial Aid Records	Financial Aid Office	10 years after the end of the award year in which the student last attended the institution	34 C.F.R. § 668.24	
* Affidavit of Lawful Presence				
* Applications				
* Award Letters				
* Eligibility Records				
* Payment Records				
* Repayment Agreements				
Work Student Program Administrative Records	Financial Aid Office or relevant Academic or Administrative Office	3 years after the award year for which aid was awarded	34 C.F.R. § 668.24 (e)	
* Award Letters				
* Job Descriptions				
* Payment Records				
* Related Correspondence				
Policies & Procedures Records (University & Departmental)				
Handbooks Mission & Policy Statements Official Procedure Guidelines Organizational Charts Strategic Planning Documents	Originating Department/ Archives	Permanent. Previous policies should be retained for 5 years post-revision unless a separate document memorializes the changes.		All handbook changes should be documented and sent to Archives.

Valparaiso University
Records Management, Retention, and Destruction By Department
*If your department is not the creator of the record and not responsible for retaining the record,
then you should destroy when it is no longer relevant or useful.*

Note: This list should be updated each year and submitted to the Office of General Counsel.

Records Management Schedule - Vice President for Enrollment - Office of the Registrar				
Type of Record	Location	Retention Time	Related Authority	Notes
Administrative Records		Hardcopy/Electronic Records		
Annual Reports	Originating Department/ Archives	Permanent/5 Year Transfer	BoardSource	
Contracts & Leases	Originating Department	7 years after completion of terms	45 C.F.R. § Sec. 74.53 & IC 34-13-1-1	
Committee Records (Departmental, Event, • Agendas • Meeting Minutes • Reports • Working Papers • Related documentation and correspondence	Secretaries/Chairs of Committees /Archives	Permanent/5 Year Transfer	University Practice	<ul style="list-style-type: none"> • Registrar to copy minutes of Faculty Senate, University Council, and Standing Committees. • 1 copy to Archives • Upper administration should document the purpose & process of committees that report to them & transfer to Archives
Correspondence, General Administrative • Communications received or sent which contains significant information about the programs of a unit and/or routine matters.	Originating Department/ Archives	Permanent/5 Year Transfer	University Practice	Provost, VPs, Deans, Directors, Dept. Chairs - Records of continuing value are to be transferred to Archives, office of origin to destroy all others.
Volunteer Registration, Waiver, & Release Forms	Originating Department	3 years after separation		
Accounting & Corporate Tax Records				
Requisitions with supporting documentation	Originating Department	7 years	45 C.F.R. § Sec. 74.53	
Successful Bids and Proposals	Originating Department	6 years after completion of terms	45 C.F.R. § Sec. 74.53	
Unsuccessful Offers (Bids and Proposals)	Originating Department	3 years	45 C.F.R. § Sec. 74.53	
Receipts (Income) & supporting documentation	Originating Department	3 years	BoardSource	

Credit Card/One Card Data - (DO NOT TRANSFER THIS DATA TO ADMINISTRATION & FINANCE VIA CAMPUS MAIL)	Office of Finance & Administration	5 years	Payment Card Industry's Data Security Standard (PCI DSS)	Originating department cannot keep sensitive data due to Red Flag Policy. PCI DSS requires PAN (Primary Account Number) to be <i>rendered unreadable</i> and stored under lock & key with the names of personnel who have access documented.
Accreditation Records				
Evaluation Reports from Accreditation Organizations	President's Office	Permanent	BoardSource	
Final Reports sent to Accreditation Organizations		Permanent	BoardSource	
Self-evaluation Reports		Permanent	BoardSource	
Statistical Data		Permanent	BoardSource	
Working Papers		Permanent	BoardSource	
Accreditation Records	Director of Institutional Research & Advancement	10 years		This record series consists of Accreditation records, visiting Accreditation team reports, related correspondence, board reviews, updates and status documentation.
Affirmative Action Information				
Records to complete EEO-1 or IPEDS Staff Survey	Director of Institutional Research & Advancement	Permanent	29 C.F.R. § 1602.48 & Title VII	
Affirmative Action Plans and Progress Reports	Director of Institutional Research & Advancement	2 years	29 C.F.R § 1602.14	
Employment Data Analysis Records	Director of Institutional Research & Advancement	2 years	29 C.F.R § 1602.14	
Equal Employment Opportunity Reports	Director of Institutional Research & Advancement	2 years	29 C.F.R. § 1602.48	
Certification Data/Records (Official Copy)				
Enrollment Statistical Report	Registrar/Archives	Permanent/Transfer Yearly		
Enrollment Verification	Registrar's Office	1 year after verification	AACRAO	

Veterans Administration	Registrar's Office	3 years after graduation or date of last attendance	AACRAO	
Curriculum and Instruction Records				
Academic Program Administrative Records	Registrar's Office, Institutional Research, Student Database	1 year after semester ends		
* Add/Drop Reports		Permanent		
* Course Enrollment Summaries		Permanent		
* Graduation Summaries		Permanent		
* Registration Reports		Permanent		
* Summer Term Reports				
Course Catalog & Schedule of Courses	Registrar's Office/Archives	Permanent/Transfer Yearly	University Practice	
Course Records	Registrar's Office	Until no longer needed for reference		
* Class Roster				
* Course Proposals				
* Degree Requirements	Registrar's Office	Indefinitely		
New Degree Records	Registrar's Office	Indefinitely		
Employee Records (Departmental Level)				
Employee Working Files (Official Personnel File is held in HR or Provost's Office [Faculty])	Originating Department	6 years after separation	FACTA	Sensitive data - secure/locked storage
Official Employment & Termination Agreements	Human Resources	Permanent	FACTA & BoardSource	Sensitive data - secure/locked storage
Official Records Relating to Promotion, Demotion, or Discharge	Human Resources	6 years after separation	FACTA	Sensitive data - secure/locked storage
Confidentiality Agreements	Originating Department	6 years after separation		
Search Committee Records (Full-Time • Applications • Committee Meeting Minutes • Interview Materials • Letter of Offer/NonOffer • Letters of Recommendation • Resumes & Transcripts	Human Resources Department/ Archives	3 years from creation of record unless an action involved Note: Application of the successful candidate becomes part of the employee's personnel file.	FACTA UGESP - Title VII/ Executive Order 11246	Sensitive data - secure/locked storage Send organization meeting minutes, charge to committee, & record of process to Archives. Do not send candidate information.
Faculty Senate Records (including Academic Freedom & Tenure Hearing Committee and Faculty Grievance Committee)				
Agendas & Minutes -Faculty Senate and their committees	Registrar's Office/Archives	Permanent/5 Year Transfer	University Practice	
Award records	As designated			

<ul style="list-style-type: none"> • Winners' names and information • Nomination packets 	by the Provost	Permanent 5 years		
Election/ Ballot Records <ul style="list-style-type: none"> • Ballots • Results 	As designated by the Provost	Ballots- 5 years Results - Permanent	University Practice	
Faculty Handbook	Current edition - website; older editions - Provost's office/Archives	Permanent/Yearly Transfer	University Practice	
Governing documents: Faculty Senate Bylaws & Instrument for the Internal Governance	Current edition - website; older editions - Registrar's office/Archives	Permanent/5 Year Transfer	University Practice	
Membership lists	Registrar's Office/Archives	Permanent/5 Year Transfer	University Practice	
Policies and Procedures	Registrar's Office/Archives	Permanent/5 Year Transfer	University Practice	
Academic Freedom & Tenure Hearing Committee and Grievance Committee Records				
<ul style="list-style-type: none"> • Grievance case files • Litigation case files • Other confidential files • Public files (meeting minutes, reports, etc.) 	Provost's Office	10 years from the date the case is closed		
Reports	Registrar's Office/Archives	Permanent/5 Year Transfer	University Practice	
Resolutions, Motions, & Enactments	Registrar's Office/University Archivess	Permanent/5 Year Transfer	University Practice	
Studies	Registrar's Office/Archives	Permanent/5 Year Transfer	University Practice	
Surveys	Registrar's Office/Archives	Permanent/5 Year Transfer	University Practice	
Working Papers - misc.	Registrar's Office/Archives	Until no longer needed	University Practice	
Chair's & other officer's records	Registrar's Office/Archives	Until no longer needed	University Practice	
Correspondence	Registrar's Office/Archives	Until no longer needed	University Practice	

Notes	Registrar's Office/Archives	Until no longer needed	University Practice	
FERPA (Family Educational Rights & Privacy Act) Records				FERPA rights begin with date of enrollment
Request for Formal Hearing	Registrar's Office	Permanent	FERPA	
Request and Disclosure of personally identifiable information	Registrar's Office	Permanent	FERPA	
Student Request for Non-disclosure of Directory Information	Registrar's Office/Database	Permanent or Until Terminated by Student	FERPA	
Student Statement on Content of Records - Re: Hearing Panel Decision	Registrar's Office	Permanent	FERPA	
Student's Written Consent for Records Disclosure	Various departments as applicable	Permanent or until terminated by student	FERPA	
Waivers of Rights to Access	Datatel/Registrar's Office /various departments as applicable	Permanent or until terminated by student	FERPA	
Written Decisions of Hearing Panels	Registrar's Office	Permanent	FERPA	
Policies & Procedures Records (University & Departmental)				
Handbooks Mission & Policy Statements Official Procedure Guidelines Organizational Charts Strategic Planning Documents	Originating Department/ Archives*	Permanent. Previous policies should be retained for 5 years post-revision unless a separate document memorializes the changes.		All handbook changes should be documented and sent to Archives.
Registration and Attendance/Academic Progress Records (Currently Enrolled Student Records are maintained in Student Affairs Office - Registrar's Office Post Graduation)				
Academic Action Authorization (dismissal)	Registrar's Office	5 years after graduation or date of last attendance	AACRAO	
Academic Record	Registrar's Office	Permanent	AACRAO	
Advanced Placement and Other Placement T	Registrar's Office	5 years after graduation or date of last attendance	AACRAO	
Application for Graduation	Registrar's Office	5 year after graduation or date of last attendance	AACRAO	
Application for Admission or Readmission	Registrar's Office	1 year after date submitted	AACRAO	
Audit Authorization	Registrar's Office	1 year after date submitted	AACRAO	
Change of Course (Drop/Add)	Registrar's Office	1 year after date submitted	AACRAO	
Change of Grade	Registrar's Office	Permanent	AACRAO	
Class Roster (Original Grades)	Registrar's Office/Archives	Permanent/Transfer Yearly	AACRAO & University Practice	

Class Schedules (Students)	Database	1 year after graduation or date of last attendance	AACRAO	
Correspondence (ALL)	Registrar's Office	5 years after graduation or date of last attendance	AACRAO	
Credit by Exam Report/Scores	Registrar's Office	5 years after graduation or date of last attendance	AACRAO	
Credit/No Credit Approval (Audit, Pass/Fail)	Registrar's Office	1 year after date submitted	AACRAO	
Curriculum Change Authorization	Registrar's Office	5 years after graduation or date of last attendance	AACRAO	
Degree Audit Record	Registrar's Office	5 years after graduation or date of last attendance	AACRAO	
Disciplinary Action Record	Dean of Students	5 years after graduation or date of last attendance	AACRAO	
FERPA Record	Registrar's Office	As long as relevant student records are retained.	FERPA	
Foreign/International Student Records (INS Record)	Office of International Studies	5 years after graduation or date of last attendance	AACRAO	
Grade Distribution Report	Registrar's Office/Archives	Permanent/Transfer Yearly	University Practice	
Graduation List	Registrar's Office	Permanent	AACRAO	
Graduation Authorization	Registrar's Office	5 years after graduation or date of last attendance	AACRAO	
Hold or Encumbrance Authorization (ALL)	Registrar's Office	Department released	AACRAO	
Military Record	Registrar's Office/Financial Aid Office	5 years after graduation or date of last attendance	AACRAO	
Name Change Authorization	Registrar's Office	5 years after graduation or date of last attendance	AACRAO	
Pass/Fail Record	Registrar's Office	1 year after date submitted	AACRAO	
Personal Data Information Record	Registrar's Office	1 year after graduation or date of last attendance	AACRAO	
Registration Record	Registrar's Office	1 year after date submitted	AACRAO	
Transcript Request (student's)	Registrar's Office	1 year after date submitted	AACRAO	
Transfer Credit Evaluation	Registrar's Office	5 years after graduation or date of last attendance	AACRAO	
Tuition Appeals	Registrar's Office	10 years from date of appeal		
Withdrawal Authorization	Registrar's Office	2 years after graduation or date of last attendance	AACRAO	

Working Documents	Registrar's Office	5 years after graduation or date of last attendance	AACRAO	
Publications, Promotions and Alumni Records				
Photographs	Originating Department/Archives	Permanent/Transfer Yearly		
University Published Material • Books • Brochures • Catalogs • Directories • Magazines • Media Guides • Newsletters • The Torch & The Beacon	Originating Department/Archives*	Permanent/Transfer Yearly		
University Council Records				
Agendas & Minutes- {University Council and their committees}	Registrar's Office/Archives	Permanent/5 Year Transfer	University Practice	
Governing documents: University Council Bylaws, Instrument for the Internal Governance	Current edition - website; older editions - Provost's office/Archives	Permanent/5 Year Transfer	University Practice	
Membership lists	Registrar's Office/Archives	Permanent/5 Year Transfer	University Practice	
Policies and Procedures	Registrar's Office/University Archives	Permanent/5 Year Transfer	University Practice	
Reports	Registrar's Office/Archives	Permanent/5 Year Transfer	University Practice	
Resolutions, Motions, & Enactments	Registrar's Office/Archives	Permanent/5 Year Transfer	University Practice	
Studies	Registrar's Office/Archives	Permanent/5 Year Transfer	University Practice	
Surveys	Registrar's Office/Archives	Permanent/5 Year Transfer	University Practice	
Working Papers - misc.	Registrar's Office/Archives	Until no longer needed	University Practice	
Chair's & other officer's records	Registrar's Office/Archives	Until no longer needed	University Practice	

Correspondence	Registrar's Office/Archives	Until no longer needed	University Practice	
Notes	Registrar's Office	Until no longer needed	University Practice	

Valparaiso University
Records Management, Retention, and Destruction By Department
*If your department is not the creator of the record and not responsible for retaining the record,
then you should destroy when it is no longer relevant or useful.*

Note: This list should be updated each year and submitted to the Office of General Counsel.

Records Management Schedule - Vice President for Student Affairs				
Type of Record	Location	Retention Time	Related Authority	Notes
Administrative Records				
Annual Reports	Originating Department/ Archives	Permanent/5 Year Transfer	BoardSource	
Contracts & Leases	Originating Department	7 years after completion of terms	45 C.F.R. § Sec. 74.53 & IC 34-13-1-1	
Committee Records (Departmental, Event, Ad-hoc) • Agendas • Meeting Minutes • Reports • Working Papers • Related documentation and correspondence	Secretaries/ Chairs of Committees /Archives	Permanent/5 Year Transfer	University Practice	<ul style="list-style-type: none"> • Registrar to copy minutes of Faculty Senate, University Council, and Standing Committees. • 1 copy to Archives • Upper administration should document the purpose & process of committees that report to them & transfer to Archives
Correspondence, General Administrative • Communications received or sent which contains significant information about the programs of a unit and/or routine matters.	Originating Department/ Archives	Permanent/5 Year Transfer	University Practice	Provost, VPs, Deans, Directors, Dept. Chairs - Records of continuing value are to be transferred to Archives, office of origin to destroy all others.
Volunteer Registration, Waiver, & Release Forms	Originating Department	3 years after separation		
Sexual Offender Registry Checks (for University sponsored activities/events where participants are minors)	Office of Originating Department	3 years from date of activity or event	University Policy	
Accounting Records				
Requisitions with supporting documentation	Originating Department	7 years	45 C.F.R. § Sec. 74.53	
Successful Bids and Proposals	Originating Department	6 years after completion of terms	45 C.F.R. § Sec. 74.53	
Unsuccessful Offers (Bids and Proposals)	Originating Department	3 years	45 C.F.R. § Sec. 74.53	
Receipts (Income) & supporting documentation	Originating Department	3 years	BoardSource	
Credit Card/One Card Data - (DO NOT TRANSFER THIS DATA TO ADMINISTRATION & FINANCE VIA CAMPUS MAIL)	Office of Finance & Administration	5 years	Payment Card Industry's Data Security Standard (PCI DSS)	Originating department cannot keep sensitive data due to Red Flag Policy. PCI DSS requires PAN (Primary Account Number) to be <i>rendered unreadable</i> and stored under lock & key with the names of personnel who have access documented.
Employee Records (Departmental Level)				
Employee Working Files (Official Personnel File is held in HR or Provost's Office [Faculty])	Originating Department	6 years after separation	FACTA	Sensitive data - secure/locked storage
Official Employment & Termination Agreements	Human Resources	Permanent	FACTA & BoardSource	Sensitive data - secure/locked storage

Official Records Relating to Promotion, Demotion, or Discharge	Human Resources	6 years after separation	FACTA	Sensitive data - secure/locked storage
Confidentiality Agreements	Originating Department	6 years after separation		
Search Committee Records (Full-Time Positions) • Applications • Committee Meeting Minutes • Interview Materials • Letter of Offer/NonOffer • Letters of Recommendation • Resumes & Transcripts	Human Resources Department/ Archives	3 years from creation of record unless an action involved Note: Application of the successful candidate becomes part of the employee's personnel file.	FACTA UGESP - Title VII/ Executive Order 11246	Sensitive data - secure/locked storage Send organization meeting minutes, charge to committee, & record of process to Archives. Do not send candidate information.
FERPA (Family Educational Rights & Privacy Act) Records				
Student's Written Consent for Records Disclosure	Various departments as applicable	Permanent or until terminated by student	FERPA	
Campus Directory				
Campus Directory	Office of Student Affairs/Archives	Permanent/Transfer Yearly		
Campus Judicial Board				
Case Files	Office of Student Affairs	Permanent		Secure/locked storage with limited access.
Career Center				
Internship Program Records	Career Center	7 years after students no longer utilize service		
Employer Files	Career Center	7 years after students no longer utilize service		
Honor Council Records				
Administrative Records - minutes, organization, procedures, and constitutional development.	Office of Student Affairs/Honor Council Office/Archives	Permanent/Transfer to Archives every 5 years or when document is superseded.	University Practice	
Honor Code Violation Hearings	Office of Student Affairs/Honor Council Office/Archives	7 years after last case activity/Summary to Archives	University Practice	Only the Honor Code Hearing Summary will be transferred to permanent storage in Archives.
Legal, Insurance, & Safety Records				
Insurance Policies	Office of Finance & Administration	Permanent	BoardSource	
Policies & Procedures Records (University & Departmental)				
Handbooks Mission & Policy Statements Official Procedure Guidelines Organizational Charts Strategic Planning Documents	Originating Department/ Archives	Permanent. Previous policies should be retained for 5 years post-revision unless a separate document memorializes the changes.		All handbook changes should be documented and sent to Archives.

Publications, Promotions and Alumni Records				
Photographs	Originating Department/Archives	Permanent/Transfer Yearly		
University Published Material • Books • Brochures • Catalogs • Directories • Magazines • Media Guides • Newsletters • The Torch & The Beacon	Originating Department/Archives	Permanent/Transfer Yearly		
Safety Management				
Accident/Incident Reports - student/employee/visitors (STUDENT AFFAIRS MUST BE NOTIFIED OF ACCIDENTS INVOLVING STUDENTS WITHIN 24 HOURS.)	Human Resources/ Office of Safety Manager	5 years from date of accident or injury	BoardSource	* Please follow directions on back of report. Report is forwarded to appropriate department via Human Resources.
Student Records				
Admissions Records - Applicants Who Do Enroll				
SHORTLY AFTER ENROLLMENT, STUDENT'S RECORDS ARE SENT TO STUDENT AFFAIRS FROM ADMISSIONS				
Acceptance Letter	Student Affairs	5 years after graduation or date of last attendance	AACRAO	
Advanced Placement Results	Student Affairs	5 years after graduation or date of last attendance	AACRAO	
Applications	Student Affairs	5 years after graduation or date of last attendance	AACRAO	
Correspondence (ALL)	Student Affairs	5 years after graduation or date of last attendance	AACRAO	
Entrance Exam Results/Scores	Student Affairs	5 years after graduation or date of last attendance	AACRAO	
Letters of Recommendation	Student Affairs	Destroy when admitted	AACRAO	
Military Records	Student Affairs	5 years after graduation or date of last attendance	AACRAO	
Placement Test Results/Scores	Student Affairs	5 years after graduation or date of last attendance	AACRAO	
Readmission Records	Student Affairs	5 years after graduation or date of last attendance	AACRAO	
Recruitment Records	Student Affairs	Destroy when admitted	AACRAO	
Waivers of Rights to Access	Datatel/Registrar's Office /various departments as applicable	Permanent or until terminated by student	AACRAO	
Transcripts (high school and college)	Student Affairs	Permanent	AACRAO	
International Student Records	Student Affairs	5 years after graduation or date of last attendance	AACRAO	
Student Records Continued				

Conduct Records	Dean of Students/Judicial Affairs	No specific requirement for retention; Judicial Affairs keeps all records for 7 years pursuant to Clery Act reporting requirement, keeps records for expelled students permanently.		Department Practice
Employment Records	Relevant academic or administrative department	10 years after separation from employment (except for Work-Study, which is 3 years after the relevant annual Fiscal Operations Report is filed)	34 C.F.R. 675.19(b)(2)(i)-(iii)	
Housing Records (Application, Change Requests, & Room Condition Reports)	Residential Life Office	5 years after student's last contact with office		
Student Guide to University Life (Student Handbook)	Student Affairs Office	Permanent		
Students with Disabilities Records				
Services provided for students with disabilities	Registrar's Office	5 years after student's last contact with office		
Student Senate Records				
Agendas & Minutes - Student Senate and their committees	Senate Office/Archives	Permanent/3 Year Transfer (reviewed)	University Practice	
Award records	Student Affairs Office	Permanent	University Practice	
• Winners' names and information		5 years		
• Nomination packets				
Election/ Ballot Records	Senate Office/Archives	Ballots- 5 years Results - Permanent/3 Year Transfer	University Practice	
• Ballots				
• Results				
Student Handbook	Current edition - website; older editions - Student Affairs Office/Archives	Permanent/3 Year Transfer (reviewed)	University Practice	
Governing documents: Student Senate Bylaws & Instrument for the Internal Governance	Current edition - website; older editions - Student Affairs & Senate Office/Archives	Permanent/3 Year Transfer (reviewed)	University Practice	
Membership lists	Senate Office/Archives	Permanent/3 Year Transfer (reviewed)		
Policies and Procedures	Senate Office/Archives	Permanent/3 Year Transfer (reviewed)		
Reports	Senate Office/Archives	Permanent/3 Year Transfer (reviewed)		
Surveys	Senate Office/Archives	Permanent/3 Year Transfer (reviewed)		
Working Papers - misc.	Senate Office/Archives	Until no longer needed		
Chair's & other officer's records	Senate Office/Archives	Until no longer needed		

Correspondence	Senate Office/Archives	Until no longer needed		
Notes	Senate Office/Archives	Until no longer needed		

Valparaiso University
Records Management, Retention, and Destruction By Department
*If your department is not the creator of the record and not responsible for retaining the record,
then you should destroy when it is no longer relevant or useful.*

Note: This list should be updated each year and submitted to the Office of General Counsel.

Records Management Schedule - Vice President for Student Affairs - Career Center				
Type of Record	Location	Retention Time	Related Authority	Notes
Administrative Records		Hardcopy/Electronic Records		
Annual Reports	Originating Department/ Archives	Permanent/5 Year Transfer	BoardSource	
Contracts & Leases	Originating Department	7 years after completion of terms	45 C.F.R. § Sec. 74.53 & IC 34-13-1-1	
Committee Records (Departmental, Event, Ad-hoc) • Agendas • Meeting Minutes • Reports • Working Papers • Related documentation and correspondence	Secretaries/ Chairs of Committees /Archives	Permanent/5 Year Transfer	University Practice	<ul style="list-style-type: none"> • Registrar to copy minutes of Faculty Senate, University Council, and Standing Committees. • 1 copy to Archives • Upper administration should document the purpose & process of committees that report to them & transfer to Archives
Correspondence, General Administrative • Communications received or sent which contains significant information about the programs of a unit and/or routine matters.	Originating Department/ Archives	Permanent/5 Year Transfer	University Practice	Provost, VPs, Deans, Directors, Dept. Chairs - Records of continuing value are to be transferred to Archives, office of origin to destroy all others.
Volunteer Registration, Waiver, & Release Forms	Originating Department	3 years after separation		
Accounting Records				
Requisitions with supporting documentation	Originating Department	7 years	45 C.F.R. § Sec. 74.53	
Successful Bids and Proposals	Originating Department	6 years after completion of terms	45 C.F.R. § Sec. 74.53	
Unsuccessful Offers (Bids and Proposals)	Originating Department	3 years	45 C.F.R. § Sec. 74.53	
Receipts (Income) & supporting documentation	Originating Department	3 years	BoardSource	
Credit Card/One Card Data - (DO NOT TRANSFER THIS DATA TO ADMINISTRATION & FINANCE VIA CAMPUS MAIL)	Office of Finance & Administration	5 years	Payment Card Industry's Data Security Standard (PCI DSS)	Originating department cannot keep sensitive data due to Red Flag Policy. PCI DSS requires PAN (Primary Account Number) to be <u>rendered unreadable</u> and stored under lock & key with the names of personnel who have access documented.
Career Center				
Internship Program Records	Career Center	7 years after students no longer utilize service		
Employer Files	Career Center	7 years after students no longer utilize service		
Employee Records (Departmental Level)				
Employee Working Files (Official Personnel File is held in HR or Provost's Office [Faculty])	Originating Department	6 years after separation	FACTA	Sensitive data - secure/locked storage
Official Employment & Termination Agreements	Human Resources	Permanent	FACTA & BoardSource	Sensitive data - secure/locked storage

Official Records Relating to Promotion, Demotion, or Discharge	Human Resources	6 years after separation	FACTA	Sensitive data - secure/locked storage
Confidentiality Agreements	Originating Department	6 years after separation		
Search Committee Records (Full-Time Positions) <ul style="list-style-type: none"> • Applications • Committee Meeting Minutes • Interview Materials • Letter of Offer/NonOffer • Letters of Recommendation • Resumes & Transcripts 	Human Resources Department	3 years from creation of record unless an action involved Note: Application of the successful candidate becomes part of the employee's personnel file.	FACTA UGESP - Title VII/ Executive Order 11246	Sensitive data - secure/locked storage
FERPA (Family Educational Rights & Privacy Act) Records				
Student's Written Consent for Records Disclosure	Various departments as applicable	Permanent or until terminated by student	FERPA	
Policies & Procedures Records (University & Departmental)				
Handbooks Mission & Policy Statements Official Procedure Guidelines Organizational Charts Strategic Planning Documents	Originating Department/ Archives	Permanent. Previous policies should be retained for 5 years post-revision unless a separate document memorializes the changes.		All handbook changes should be documented and sent to Archives.

Valparaiso University
Records Management, Retention, and Destruction By Department
*If your department is not the creator of the record and not responsible for retaining the record,
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Note: This list should be updated each year and submitted to the Office of General Counsel.

Records Management Schedule - Vice President for Student Affairs - Dining Services				
Type of Record	Location	Retention Time	Retention Time	Notes
Administrative Records		Hardcopy/Electronic Records		
Annual Reports	Originating Department/ Archives	Permanent/5 Year Transfer	BoardSource	
Contracts & Leases	Originating Department	7 years after completion of terms	45 C.F.R. § Sec. 74.53 & IC 34-13-1-1	
Committee Records (Departmental, Event, Ad-hoc) • Agendas • Meeting Minutes • Reports • Working Papers • Related documentation and correspondence	Secretaries/ Chairs of Committees /Archives	Permanent/5 Year Transfer	University Practice	• Registrar to copy minutes of Faculty Senate, University Council, and Standing Committees. • 1 copy to Archives • Upper administration should document the purpose & process of committees that report to them & transfer to Archives
Correspondence, General Administrative • Communications received or sent which contains significant information about the programs of a unit and/or routine matters.	Originating Department/ Archives	Permanent/5 Year Transfer	University Practice	Provost, VPs, Deans, Directors, Dept. Chairs - Records of continuing value are to be transferred to Archives, office of origin to destroy all others.
Volunteer Registration, Waiver, & Release Forms	Originating Department	3 years after separation		
Sexual Offender Registry Checks (for University sponsored activities/events where participants are minors)	Office of Originating Department	3 years from date of activity or event	University Policy	
Accounting Records				
Requisitions with supporting documentation	Originating Department	7 years	45 C.F.R. § Sec. 74.53	
Successful Bids and Proposals	Originating Department	6 years after completion of terms	45 C.F.R. § Sec. 74.53	
Unsuccessful Offers (Bids and Proposals)	Originating Department	3 years	45 C.F.R. § Sec. 74.53	
Receipts (Income) & supporting documentation	Originating Department	3 years	BoardSource	
Catering Invoices	Originating Department	7 years	BoardSource	
Catering Sales Records	Originating Department	5 years	BoardSource	
Credit Card/One Card Data - (DO NOT TRANSFER THIS DATA TO ADMINISTRATION & FINANCE VIA CAMPUS MAIL)	Office of Finance & Administration	5 years	Payment Card Industry's Data Security Standard (PCI DSS)	Originating department cannot keep sensitive data due to Red Flag Policy. PCI DSS requires PAN (Primary Account Number) to be <i>rendered unreadable</i> and stored under lock & key with the names of personnel who have access documented.
Meal Plan Records	Dining Office/Blackboard	3 years	BoardSource	
Employee Records (Departmental Level)				
Employee Working Files (Official Personnel File is held in HR or Provost's Office [Faculty])	Originating Department	6 years after separation	FACTA	Sensitive data - secure/locked storage
Official Employment & Termination Agreements	Human Resources	Permanent	FACTA & BoardSource	Sensitive data - secure/locked storage
Official Records Relating to Promotion, Demotion, or Discharge	Human Resources	6 years after separation	FACTA	Sensitive data - secure/locked storage

Confidentiality Agreements	Originating Department	6 years after separation		
Search Committee Records (Full-Time Positions) <ul style="list-style-type: none"> • Applications • Committee Meeting Minutes • Interview Materials • Letter of Offer/NonOffer • Letters of Recommendation • Resumes & Transcripts 	Human Resources Department	3 years from creation of record unless an action involved Note: Application of the successful candidate becomes part of the employee's personnel file.	FACTA UGESP - Title VII/ Executive Order 11246	Sensitive data - secure/locked storage
Policies & Procedures Records (University & Departmental)				
Handbooks Mission & Policy Statements Official Procedure Guidelines Organizational Charts Strategic Planning Documents	Originating Department/ Archives	Permanent. Previous policies should be retained for 5 years post-revision unless a separate document memorializes the changes.		All handbook changes should be documented and sent to Archives.

Valparaiso University
Records Management, Retention, and Destruction By Department
*If your department is not the creator of the record and not responsible for retaining the record,
then you should destroy when it is no longer relevant or useful.*

Note: This list should be updated each year and submitted to the Office of General Counsel.

Records Management Schedule - Vice President for Student Affairs - Greek Life, Residential Life, and FOCUS				
Type of Record	Location	Retention Time	Related Authority	Notes
Administrative Records		Hardcopy/Electronic Records		
Annual Reports	Originating Department/ Archives	Permanent/5 Year Transfer	BoardSource	
Contracts & Leases	Originating Department	7 years after completion of terms	45 C.F.R. § Sec. 74.53 & IC 34-13-1-1	
Committee Records (Departmental, Event, Ad-hoc) • Agendas • Meeting Minutes • Reports • Working Papers • Related documentation and correspondence	Secretaries/ Chairs of Committees /Archives	Permanent/5 Year Transfer	University Practice	<ul style="list-style-type: none"> • Registrar to copy minutes of Faculty Senate, University Council, and Standing Committees. • 1 copy to Archives • Upper administration should document the purpose & process of committees that report to them & transfer to Archives
Correspondence, General Administrative • Communications received or sent which contains significant information about the programs of a unit and/or routine matters.	Originating Department/ Archives	Permanent/5 Year Transfer	University Practice	Provost, VPs, Deans, Directors, Dept. Chairs - Records of continuing value are to be transferred to Archives, office of origin to destroy all others.
Volunteer Registration, Waiver, & Release Forms	Originating Department	3 years after separation		
Sexual Offender Registry Checks (for University sponsored activities/events where participants are minors)	Office of Originating Department	3 years from date of activity or event	University Policy	
Accounting Records				
Requisitions with supporting documentation	Originating Department	7 years	45 C.F.R. § Sec. 74.53	
Successful Bids and Proposals	Originating Department	6 years after completion of terms	45 C.F.R. § Sec. 74.53	
Unsuccessful Offers (Bids and Proposals)	Originating Department	3 years	45 C.F.R. § Sec. 74.53	
Receipts (Income) & supporting documentation	Originating Department	3 years	BoardSource	
Credit Card/One Card Data - (DO NOT TRANSFER THIS DATA TO ADMINISTRATION & FINANCE VIA CAMPUS MAIL)	Office of Administration & Finance	5 years	Payment Card Industry's Data Security Standard (PCI DSS)	Originating department cannot keep sensitive data due to Red Flag Policy. PCI DSS requires PAN (Primary Account Number) to be <u>rendered unreadable</u> and stored under lock & key with the names of personnel who have access documented.
Employee Records (Departmental Level)				
Employee Working Files (Official Personnel File is held in HR or Provost's Office [Faculty])	Originating Department	6 years after separation	FACTA	Sensitive data - secure/locked storage

Official Employment & Termination Agreements	Human Resources	Permanent	FACTA & BoardSource	Sensitive data - secure/locked storage
Official Records Relating to Promotion, Demotion, or Discharge	Human Resources	6 years after separation	FACTA	Sensitive data - secure/locked storage
Confidentiality Agreements	Originating Department	6 years after separation		
Search Committee Records (Full-Time Positions) • Applications • Committee Meeting Minutes • Interview Materials • Letter of Offer/NonOffer • Letters of Recommendation • Resumes & Transcripts	Human Resources Department/ Archives	3 years from creation of record unless an action involved Note: Application of the successful candidate becomes part of the employee's personnel file.	FACTA UGESP - Title VII/ Executive Order 11246	Sensitive data - secure/locked storage Send organization meeting minutes, charge to committee, & record of process to Archives. Do not send candidate information.
FERPA (Family Educational Rights & Privacy Act) Records				
Student's Written Consent for Records Disclosure	Various departments as applicable	Permanent or until terminated by student	FERPA	
Fraternalities/Sororities Records				
Chapter Files (Bylaws, Budgets, Membership Rosters, etc.)	Office of Greek Life and Resident Life	Permanent/3 Year Transfer (reviewed)	University Practice	
Certificate of Insurance	Office of Greek Life and Resident Life	6 years after completion of terms or until superseded		Certificates need to be reviewed by University's insurance provider in areas of significant potential liability, prior to the event.
Legal & Insurance Records				
Insurance Policies	Administration & Finance	Permanent		
Certificates of Insurance as related to contracts & facility use.	Originating Department or Administration & Finance	6 years after completion of terms or until superseded		Certificates need to be reviewed by University's insurance provider in areas of significant potential liability, prior to the event.
Facility Use Documents	Originating Department	3 years		
Policies & Procedures Records (University & Departmental)				
Handbooks Mission & Policy Statements Official Procedure Guidelines Organizational Charts Strategic Planning Documents	Originating Department/ Archives	Permanent. Previous policies should be retained for 5 years post-revision unless a separate document memorializes the changes.		All handbook changes should be documented and sent to Archives.
Publications, Promotions and Alumni Records				
Photographs	Originating Department/Archives	Permanent/Transfer Yearly		
University Published Material • Books	Originating Department/	Permanent/Transfer Yearly		

<ul style="list-style-type: none"> • Brochures • Catalogs • Directories • Magazines • Media Guides • Newsletters • The Torch & The Beacon 	Archives			
Student Records				
Admissions Records - Applicants Who Do Enroll				
SHORTLY AFTER ENROLLMENT, STUDENT'S RECORDS ARE SENT TO STUDENT AFFAIRS FROM ADMISSIONS				
Acceptance Letter	Student Affairs	5 years after graduation or date of last attendance	AACRAO	
Advanced Placement Results	Student Affairs	5 years after graduation or date of last attendance	AACRAO	
Applications	Student Affairs	5 years after graduation or date of last attendance	AACRAO	
Correspondence (ALL)	Student Affairs	5 years after graduation or date of last attendance	AACRAO	
Entrance Exam Results/Scores	Student Affairs	5 years after graduation or date of last attendance	AACRAO	
Letters of Recommendation	Student Affairs	Destroy when admitted	AACRAO	
Military Records	Student Affairs	5 years after graduation or date of last attendance	AACRAO	
Placement Test Results/Scores	Student Affairs	5 years after graduation or date of last attendance	AACRAO	
Readmission Records	Student Affairs	5 years after graduation or date of last attendance	AACRAO	
Recruitment Records	Student Affairs	Destroy when admitted	AACRAO	
Waivers of Rights to Access	Datatel/Registrar's Office /various departments as applicable	Permanent or until terminated by student	AACRAO	
Transcripts (high school and college)	Student Affairs	Permanent	AACRAO	
International Student Records	Student Affairs	5 years after graduation or date of last attendance	AACRAO	
Student Records Continued				

Conduct Records	Dean of Students/Judicial Affairs	No specific requirement for retention; Judicial Affairs keeps all records for 7 years pursuant to Clery Act reporting requirement, keeps records for expelled student permanently.		Department Practice
Employment Records	Relevant academic or administrative department	10 years after separation from employment (except for Work-Study, which is 3 years after the relevant annual Fiscal Operations Report is filed)	34 C.F.R. 675.19(b)(2)(i)-(iii)	
Housing Records (Application, Change Requests, & Room Condition Reports)	Office of Residential Life	5 years after student's last contact with office		
Student Guide to University Life (Student Handbook)	Student Affairs Office	Permanent		
Students with Disabilities Records				
Services provided for students with disabilities	Disability Support Services	5 years after student's last contact with office		
Student Senate Records				
Agendas & Minutes - Student Senate and their committees	Senate Office/Archives	Permanent/3 Year Transfer (reviewed)	University Practice	
Award records	Student Affairs Office	Permanent		
• Winners' names and information		5 years		
• Nomination packets				
Election/ Ballot Records	Senate Office/Archives	Ballots- 5 years Results - Permanent/3 Year Transfer	University Practice	
• Ballots				
• Results				
Student Handbook	Current edition - website; older editions - Student Affairs Office/Archives	Permanent/3 Year Transfer (reviewed)	University Practice	
Governing documents: Student Senate Bylaws & Instrument for the Internal Governance	Current edition - website; older editions - Student Affairs & Senate Office/Archives	Permanent/3 Year Transfer (reviewed)	University Practice	
Membership lists	Senate Office/Archives	Permanent/3 Year Transfer (reviewed)		
Policies and Procedures	Senate Office/Archives	Permanent/3 Year Transfer (reviewed)		
Reports	Senate Office/Archives	Permanent/3 Year Transfer (reviewed)		

Surveys	Senate Office/Archives	Permanent/3 Year Transfer (reviewed)		
Working Papers - misc.	Senate Office/Archives	Until no longer needed		
Chair's & other officer's records	Senate Office/Archives	Until no longer needed		
Correspondence	Senate Office/Archives	Until no longer needed		
Notes	Senate Office/Archives	Until no longer needed		

Valparaiso University
Records Management, Retention, and Destruction By Department
*If your department is not the creator of the record and not responsible for retaining the record,
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Note: This list should be updated each year and submitted to the Office of General Counsel.

Records Management Schedule - Vice President for Student Affairs - Student Health Center & Counseling Services				
Type of Record	Location	Retention Time	Related Authority	Notes
Administrative Records		Hardcopy/Electronic Records		
Annual Reports	Originating Department/ Archives	Permanent/5 Year Transfer	BoardSource	
Contracts & Leases	Originating Department	7 years after completion of terms	45 C.F.R. § Sec. 74.53 & IC 34-13-1-1	
Committee Records (Departmental, Event, Ad-hoc) • Agendas • Meeting Minutes • Reports • Working Papers • Related documentation and correspondence	Secretaries/ Chairs of Committees /Archives	Permanent/5 Year Transfer	University Practice	• Registrar to copy minutes of Faculty Senate, University Council, and Standing Committees. • 1 copy to Archives • Upper administration should document the purpose & process of committees that report to them & transfer to Archives
Correspondence, General Administrative • Communications received or sent which contains significant information about the programs of a unit and/or routine matters.	Originating Department/ Archives	Permanent/5 Year Transfer	University Practice	Provost, VPs, Deans, Directors, Dept. Chairs - Records of continuing value are to be transferred to Archives, office of origin to destroy all others.
Volunteer Registration, Waiver, & Release Forms	Originating Department	3 years after separation		
Sexual Offender Registry Checks (for University sponsored activities/events where participants are minors)	Office of Originating Department	3 years from date of activity or event	University Policy	
Accounting Records				
Requisitions with supporting documentation	Originating Department	7 years	45 C.F.R. § Sec. 74.53	
Successful Bids and Proposals	Originating Department	6 years after completion of terms	45 C.F.R. § Sec. 74.53	
Unsuccessful Offers (Bids and Proposals)	Originating Department	3 years	45 C.F.R. § Sec. 74.53	
Receipts (Income) & supporting documentation	Originating Department	3 years	BoardSource	
Credit Card/One Card Data - (DO NOT TRANSFER THIS DATA TO ADMINISTRATION & FINANCE VIA CAMPUS MAIL)	Office of Finance & Administration	5 years	Payment Card Industry's Data Security Standard (PCI DSS)	Originating department cannot keep sensitive data due to Red Flag Policy. PCI DSS requires PAN (Primary Account Number) to be <i>rendered unreadable</i> and stored under lock & key with the names of personnel who have access documented.
Employee Records (Departmental Level)				
Employee Working Files (Official Personnel File is held in HR or Provost's Office [Faculty])	Originating Department	6 years after separation	FACTA	Sensitive data - secure/locked storage
Official Employment & Termination Agreements	Human Resources	Permanent	FACTA & BoardSource	Sensitive data - secure/locked storage
Official Records Relating to Promotion, Demotion, or Discharge	Human Resources	6 years after separation	FACTA	Sensitive data - secure/locked storage
Confidentiality Agreements	Originating Department	6 years after separation		
Search Committee Records (Full-Time Positions) • Applications	Human Resources	3 years from creation of record	FACTA UGESP - Title VII/	Sensitive data - secure/locked storage

<ul style="list-style-type: none"> • Committee Meeting Minutes • Interview Materials • Letter of Offer/NonOffer • Letters of Recommendation • Resumes & Transcripts 	Department/ Archives	unless an action involved Note: Application of the successful candidate becomes part of the employee's personnel file.	Executive Order 11246	Send organization meeting minutes, charge to committee, & record of process to Archives. Do not send candidate information.
Employee Immunization Records (Facilities Management, Health Center, etc.)	Health Center/Human Resources	Records need to be transferred to Human Resources & maintained in employee's medical files once immunizations are complete until 35 years after separation.	OSHA, HIPAA	OSHA requires that information pertaining to job- related illness and injury be kept on file for 5 years. In cases of exposure to toxic substances or blood-borne pathogens, medical exam results must be retained for 30-years after the employee's separation. (35 years recommended by State of Indiana.)
FERPA (Family Educational Rights & Privacy Act) Records				FERPA rights begin with date of enrollment
Request for Formal Hearing	Registrar's Office	Permanent	FERPA	
Request and Disclosure of personally identifiable information	Registrar's Office	Permanent	FERPA	
Student Request for Non-disclosure of Directory Information	Registrar's Office/Database	Permanent or Until Terminated by Student	FERPA	
Student Statement on Content of Records - Re: Hearing Panel Decision	Registrar's Office	Permanent	FERPA	
Student's Written Consent for Records Disclosure	Various departments as applicable	Permanent or until terminated by student	FERPA	
Waivers of Rights to Access	Datatel/Registrar's Office /various departments as applicable	Permanent or until terminated by student	FERPA	
Written Decisions of Hearing Panels	Registrar's Office	Permanent	FERPA	
Grant Records				
Grant Applications & Contracts	Grant Specialist- Office of Finance & Administration	7 years after completion	BoardSource	
Health Services Records				
Immunization Records	Health Center or Human Resources	Students – 5 years after student graduation or withdrawal. Employees – record is transferred to HR for retention in employee's Medical File)	AACRAO	
Patient Encounter Logs	Health Center	2 years		
Pharmacy Prescription Dispensation Records	Health Center	2 years		
Practitioner Rotation Schedules	Health Center	2 years		
Health Insurance Records	Health Center	Until individual's separation from the University		

Medical Records (Enrolled students who utilized Health Center Services)	Health Center	7 years from the date of last contact with the individual	IC 16-39-7-1(b)(1993) IC16-39-7-2 (b) and (d) (1993) 410 IAC 15-1.5-9 (e)	
Medical Records (Enrolled Students who <u>never</u> utilized Health Center)	Health Center	5 years after student graduation or withdrawal	AACRAO	
Shadow Charts	Originating Department	Until no longer needed		
Counseling Services Records				
Mental Health Records	Counseling Services	7 years after separation	Indiana Law IC 16-39-2	
Policies & Procedures Records (University & Departmental)				
Handbooks Mission & Policy Statements Official Procedure Guidelines Organizational Charts Strategic Planning Documents	Originating Department/ Archives	Permanent. Previous policies should be retained for 5 years post-revision unless a separate document memorializes the changes.		All handbook changes should be documented and sent to Archives.
Safety Management				
AED Safety Check - Entire Campus	Health Center		Indiana Dept. of Health	
Eye Wash Stations				
Oxygen Tanks				
Emergency Cart				

Student Medical Treatment Records are exempt under HIPAA and FERPA Regulations until the record is shared with anyone (including the student). Once the record is requested for sharing it comes under FERPA and a release must be obtained from the student.

Valparaiso University
Records Management, Retention, and Destruction By Department
*If your department is not the creator of the record and not responsible for retaining the record,
then you should destroy when it is no longer relevant or useful.*

Note: This list should be updated each year and submitted to the Office of General Counsel.

Records Management Schedule - Vice President for Student Affairs - Harre Union				
Type of Record	Location	Retention Time	Related Authority	Notes
Administrative Records		Hardcopy/Electronic Records		
Annual Reports	Originating Department/ Archives	Permanent/5 Year Transfer	BoardSource	
Contracts & Leases	Originating Department	7 years after completion of terms	45 C.F.R. § Sec. 74.53 & IC 34-13-1-1	
Committee Records (Departmental, Event, Ad-hoc) • Agendas • Meeting Minutes • Reports • Working Papers • Related documentation and correspondence	Secretaries/ Chairs of Committees /Archives	Permanent/5 Year Transfer	University Practice	• Registrar to copy minutes of Faculty Senate, University Council, and Standing Committees. • 1 copy to Archives • Upper administration should document the purpose & process of committees that report to them & transfer to Archives
Correspondence, General Administrative • Communications received or sent which contains significant information about the programs of a unit and/or routine matters.	Originating Department/ Archives	Permanent/5 Year Transfer	University Practice	Provost, VPs, Deans, Directors, Dept. Chairs - Records of continuing value are to be transferred to Archives, office of origin to destroy all others.
VU Union files (Union Board Minutes, program documentation, etc.)	Union Director/Archives	Permanent/5 Year Transfer	University Practice	
Volunteer Registration, Waiver, & Release Forms	Originating Department	3 years after separation		
Sexual Offender Registry Checks (for University sponsored activities/events where participants are minors)	Office of Originating Department	3 years from date of activity or event	University Policy	
Accounting Records				
Requisitions with supporting documentation	Originating Department	7 years	45 C.F.R. § Sec. 74.53	
Successful Bids and Proposals	Originating Department	6 years after completion of terms	45 C.F.R. § Sec. 74.53	
Unsuccessful Offers (Bids and Proposals)	Originating Department	3 years	45 C.F.R. § Sec. 74.53	
Receipts (Income) & supporting documentation	Originating Department	3 years	BoardSource	
Temporary Time-Cards	Originating Department	2 years	BoardSource	
Credit Card/One Card Data - (DO NOT TRANSFER THIS DATA TO ADMINISTRATION & FINANCE VIA CAMPUS MAIL)	Office of Finance & Administration	5 years	Payment Card Industry's Data Security Standard (PCI DSS)	Originating department cannot keep sensitive data due to Red Flag Policy. PCI DSS requires PAN (Primary Account Number) to be <i>rendered unreadable</i> and stored under lock & key with the names of personnel who have access documented.
Employee Records (Departmental Level)				
Employee Working Files (Official Personnel File is held in HR or Provost's Office [Faculty])	Originating Department	6 years after separation	FACTA	Sensitive data - secure/locked storage
Official Employment & Termination Agreements	Human Resources	Permanent	FACTA & BoardSource	Sensitive data - secure/locked storage
Official Records Relating to Promotion, Demotion, or Discharge	Human Resources	6 years after separation	FACTA	Sensitive data - secure/locked storage
Confidentiality Agreements	Originating Department	6 years after separation		

Search Committee Records (Full-Time Positions) <ul style="list-style-type: none"> • Applications • Committee Meeting Minutes • Interview Materials • Letter of Offer/NonOffer • Letters of Recommendation • Resumes & Transcripts 	Human Resources Department/ Archives	3 years from creation of record unless an action involved Note: Application of the successful candidate becomes part of the employee's personnel file.	FACTA UGESP - Title VII/ Executive Order 11246	Sensitive data - secure/locked storage Send organization meeting minutes, charge to committee, & record of process to Archives. Do not send candidate information.
Legal & Insurance Records				
Certificates of Insurance as related to contracts & facility use.	Originating Department or Administration & Finance	6 years after completion of terms or until superseded		Certificates need to be reviewed by University's insurance provider in areas of significant potential liability, prior to the event.
Facility Use Documents	Originating Department	3 years		
Policies & Procedures Records (University & Departmental)				
Handbooks Mission & Policy Statements Official Procedure Guidelines Organizational Charts Strategic Planning Documents	Originating Department/ Archives	Permanent. Previous policies should be retained for 5 years post-revision unless a separate document memorializes the changes.		All handbook changes should be documented and sent to Archives.
Publications, Promotions and Alumni Records				
Photographs	Originating Department/Archives	Permanent/Transfer Yearly		
University Published Material <ul style="list-style-type: none"> • Books • Brochures • Catalogs • Directories • Magazines • Media Guides • Newsletters • The Torch & The Beacon 	Originating Department/ Archives	Permanent/Transfer Yearly		

Valparaiso University
Records Management, Retention, and Destruction By Department
*If your department is not the creator of the record and not responsible for retaining the record,
then you should destroy when it is no longer relevant or useful.*

Note: This list should be updated each year and submitted to the Office of General Counsel.

Records Management Schedule - Offices of the Provost				
Type of Record	Location	Retention Time	Related Authority	Notes
Administrative Records				
Annual Reports	Originating Department/ Archives	Permanent/5 Year Transfer	BoardSource	
Contracts & Leases	Originating Department	7 years after completion of terms	45 C.F.R. § Sec. 74.53 & IC 34-13-1-1	
Committee Records (Departmental, Event, Ad-hoc) • Agendas • Meeting Minutes • Reports • Working Papers • Related documentation and correspondence	Secretaries/ Chairs of Committees /Archives	Permanent/5 Year Transfer	University Practice	<ul style="list-style-type: none"> • Registrar to copy minutes of Faculty Senate, University Council, and Standing Committees. • 1 copy to Archives • Upper administration should document the purpose & process of committees that report to them & transfer to Archives
Correspondence, General Administrative • Communications received or sent which contains significant information about the programs of a unit and/or routine matters.	Originating Department/ Archives	Permanent/5 Year Transfer	University Practice	Provost, VPs, Deans, Directors, Dept. Chairs - Records of continuing value are to be transferred to Archives, office of origin to destroy all others.
Volunteer Registration, Waiver, & Release Forms	Originating Department	3 years after separation		
Sexual Offender Registry Checks (for University sponsored activities/events where participants are minors)	Office of Originating Department	3 years from date of activity or event	University Policy	
Accounting Records				
Requisitions with supporting documentation	Originating Department	7 years	45 C.F.R. § Sec. 74.53	
Successful Bids and Proposals	Originating Department	6 years after completion of terms	45 C.F.R. § Sec. 74.53	
Unsuccessful Offers (Bids and Proposals)	Originating Department	3 years	45 C.F.R. § Sec. 74.53	
Receipts (Income) & supporting documentation	Originating Department	3 years	BoardSource	
Credit Card/One Card Data - (DO NOT TRANSFER THIS DATA TO ADMINISTRATION & FINANCE VIA CAMPUS MAIL)	Office of Finance & Administration	5 years	Payment Card Industry's Data Security Standard (PCI DSS)	Originating department cannot keep sensitive data due to Red Flag Policy. PCI DSS requires PAN (Primary Account Number) to be <i>rendered unreadable</i> and stored under lock & key with the names of personnel who have access documented.
Accreditation Records				
• Evaluation Reports from Accreditation Organizations • Final Reports sent to Accreditation Organizations • Self-evaluation Reports/Internal Studies	Registrar's Office/Archives	Permanent	BoardSource & University Practice	Retain 2 copies of Internal Studies, marked as Record Copy. Send one to University Archives along with supporting papers and one retained

<ul style="list-style-type: none"> • Statistical Data • Working Papers 				in the office of origin.
Curriculum and Instruction Records				
Program Development & Review Records	Provost's Office	5 years after implementation	Strategic Plan	
Employee Records (Departmental Level)				
Employee Working Files (Official Personnel File is held in HR or Provost's Office [Faculty])	Originating Department	6 years after separation	FACTA	Sensitive data - secure/locked storage
Background Check Reports (Employment)	Human Resources/Office of Safety Manager	3 Years - All results are maintained, whether hired or not.		Pre-employment checks - If hired, the report will be maintained in the Personnel File.
Official Employment & Termination Agreements	Human Resources	Permanent	FACTA & BoardSource	Sensitive data - secure/locked storage
Official Records Relating to Promotion, Demotion, or Discharge	Human Resources	6 years after separation	FACTA	Sensitive data - secure/locked storage
Confidentiality Agreements	Originating Department	6 years after separation		
Search Committee Records (Full-Time Positions) <ul style="list-style-type: none"> • Applications • Committee Meeting Minutes • Interview Materials • Letter of Offer/NonOffer • Letters of Recommendation • Resumes & Transcripts 	Human Resources Department/Archives	3 years from creation of record unless an action involved Note: Application of the successful candidate becomes part of the employee's personnel file.	FACTA UGESP - Title VII/ Executive Order 11246	Sensitive data - secure/locked storage Send organization meeting minutes, charge to committee, & record of process to Archives. Do not send candidate information.
Faculty Records				
Faculty Membership Report	Provost's Office/Archives	Permanent/5 Year Transfer	University Practice	
Faculty Personnel File	Provost's Office/Archives	6 years after separation	Executive Order 11246, ADA, ADEA, Title VII, FACTA	No records or correspondence related to appointment, promotion, tenure, retirement, or personal incidents will be transferred to the Archives
Proposal & Final Report of Institutional & Faculty Research	Originating Department/Archives	Permanent/10 Year Transfer	University Practice	
Faculty Service Report (contract hours, teaching load)	Provost's Office/Archives	Permanent/5 Year Transfer	University Practice	
Faculty Senate Records (including Academic Freedom & Tenure Hearing Committee and Faculty Grievance Committee)				
Agendas & Minutes -Faculty Senate and their committees	Registrar's Office/Archives	Permanent/5 Year Transfer	University Practice	
Award records <ul style="list-style-type: none"> • Winners' names and information • Nomination packets 	As designated by the Provost	Permanent 5 years		
Election/ Ballot Records <ul style="list-style-type: none"> • Ballots • Results 	As designated by the Provost	Ballots- 5 years Results - Permanent	University Practice	
Faculty Handbook	Current edition - website; older editions - Provost's office/Archives	Permanent/Yearly Transfer	University Practice	

Governing documents: Faculty Senate Bylaws & Instrument for the Internal Governance	Current edition - website; older editions - Registrar's office/Archives	Permanent/5 Year Transfer	University Practice	
Membership lists	Registrar's Office/Archives	Permanent/5 Year Transfer	University Practice	
Policies and Procedures	Registrar's Office/Archives	Permanent/5 Year Transfer	University Practice	
Academic Freedom & Tenure Hearing Committee and Grievance Committee Records <ul style="list-style-type: none"> • Grievance case files • Litigation case files • Other confidential files • Public files (meeting minutes, reports, etc.) 	Provost's Office	10 years from the date the case is closed		
Reports	Registrar's Office/Archives	Permanent/5 Year Transfer	University Practice	
Resolutions, Motions, & Enactments	Registrar's Office/University Archives	Permanent/5 Year Transfer	University Practice	
Studies	Registrar's Office/Archives	Permanent/5 Year Transfer	University Practice	
Surveys	Registrar's Office/Archives	Permanent/5 Year Transfer	University Practice	
Working Papers - misc.	Registrar's Office/Archives	Until no longer needed	University Practice	
Chair's & other officer's records	Registrar's Office/Archives	Until no longer needed	University Practice	
Correspondence	Registrar's Office/Archives	Until no longer needed	University Practice	
Notes	Registrar's Office/Archives	Until no longer needed	University Practice	
FERPA (Family Educational Rights & Privacy Act) Records				
Student's Written Consent for Records Disclosure	Various departments as applicable	Permanent or until terminated by student	FERPA	
Waivers of Rights to Access	Datatel/Registrar's Office /various departments as applicable	Permanent or until terminated by student	FERPA	
Grant & Donor Records				
Grant Proposal Letters	Provost's Office/Grant Specialist-Office of Finance & Administration	7 years after Completion		
Grant Applications & Contracts	Provost's Office/Grant Specialist-Office of Finance & Administration	7 years after Completion	BoardSource	
Grant Project Records - <ul style="list-style-type: none"> * Activity Reports * Conflict of Interest Disclosures * Research Data 	Provost's Office/Grant Specialist-Office of Finance	7 years after Completion		

* Summary Reports * Working Papers * Related Documentation	& Administration			
• Research Proposal and Final Report	Archives	Permanent/Transfer at intervals of 10 years.		
Grants & Contracts Accounting Records * Account Request Forms * Assignment of Refunds Documents * Balance Sheets * Billing Records * Budget Summary Statements * Equipment Purchase Orders * Financial Reports * Grant authorizations * Invoices * Project Summaries * Receipts * Subcontracts * Related Documentation	Provost's Office/ Grant Specialist- Office of Finance & Administration	7 years after Completion	BoardSource	
Personnel Activity Report Forms	Provost's Office/Grant Specialist-Office of Finance & Administration	6 Years	OMB Circular A21	
FEDERAL CONTRACTS:		The retention periods are calculated from the end of the contract's fiscal year in which an entry is made, changed, or allocating a cost to a government contract or subcontract.		
Accounts Receivable Invoices, Adjustments to the accounts, invoice registers, carrier freight bills, shipping orders, and other documents which detail the material or services billed on the related invoices.	Grant Specialist-Office of Finance & Administration	4 Years	48 C.F.R § 4.705-1(a)	
Material, work orders, and other documents which detail the material or services billed on their related invoices.	Grant Specialist-Office of Finance & Administration	4 Years	48 C.F.R § 4.705-1(b)	
Cash advance recapitulations, prepared as posting entries to accounts receivable ledgers for amounts of expense vouchers prepared for employees' travel and related expenses.	Grant Specialist-Office of Finance & Administration	4 Years	48 C.F.R § 4.705-©	
Paid, canceled, and voided checks, other than those issued for the payment of salary and wages	Grant Specialist-Office of Finance & Administration	4 Years	48 C.F.R § 4.705-1(d)	

Accounts payable records to support disbursements of funds for materials, equipment, supplies, and services, containing originals or copies of the following and related documents: remittance advices and statements, vendors' invoices, invoice audits and distribution slips, receiving and inspection reports or comparable certifications of receipt and inspection of material of services, and debit and credit memoranda	Grant Specialist-Office of Finance & Administration	4 Years	48 C.F.R § 4.705-1(e)	
Payroll sheets, registers, or their equivalent, of salaries and wages paid to the individual employees for each payroll period; change slips; and tax withholding statements	Grant Specialist-Office of Finance & Administration	4 Years	48 C.F.R § 705-2(a)	
Work orders for maintenance and other services	Grant Specialist-Office of Finance & Administration	4 Years	48 C.F.R § 4.705-3(b)	
Equipment records, consisting of equipment usage and status reports and equipment repair orders	Grant Specialist-Office of Finance & Administration	4 Years	48 C.F.R § 4.705-3(c)	
Expendable property records, reflecting accountability for the receipt and use of material in the performance of a contract	Grant Specialist-Office of Finance & Administration	4 Years	48 C.F.R § 4.705-3(d)	
Receiving and inspection report cards, consisting of reports reflecting receipt and inspection of supplies, equipment, and materials	Grant Specialist-Office of Finance & Administration	4 Years	48 C.F.R § 4.705-3(e)	
Purchase order files for supplies, equipment, material, or services used in the performance of a contract; supporting documentation and backup files including, but not limited to, invoices, and memoranda; e.g., memoranda of negotiations showing the principal elements of subcontract price negotiations (see. 48 C.F.R. 52.244-2)	Grant Specialist-Office of Finance & Administration	4 Years	48 C.F.R § 4.705-3(f)	
Production records of quality control, reliability, and inspection	Grant Specialist-Office of Finance & Administration	4 Years	48 C.F.R § 4.705-3(g)	
Labor cost distribution cards or equivalent documents	Grant Specialist-Office of Finance & Administration	2 Years	48 C.F.R § 4.705-1(f)	
Petty cash records showing description of expenditures, to whom paid, name of person authorizing payment, and date, including copies of vouchers and other supporting documents	Grant Specialist-Office of Finance & Administration	2 Years	48 C.F.R § 4.705-1(g)	
Clock cards or other time and attendance cards	Grant Specialist-Office of Finance & Administration	2 Years	48 C.F.R § 4.705-2(b)	
Paid checks, receipts for wages paid in cash, or other evidence of payments for services rendered by employees	Grant Specialist-Office of Finance & Administration	2 Years	48 C.F.R § 4.705-2(c)	
Store requisitions for materials, supplies, equipment, and services	Grant Specialist-Office of Finance & Administration	2 Years	48 C.F.R § 4.705-3(a)	
Honor Council				

Constitution of the Honor System	Office of the Provost	Permanent		
Hearing minutes, case files, determination	Office of the Provost	5 years after graduation or date of last attendance	AACRAO	
Immigration/International Records				
Study Abroad Student and Staff Records	Office of International Programs	5 years		
International College Student and Staff Records		5 years		
International Admissions Records		5 years		
International Student Records		5 years		
International Scholars Records		5 years		
Labor certifications/applications			5 years from date of application/certification is filed	20 C.F.R. § 656.10(f)
Labor Condition Applications		One year after application expires	20 C.F.R. § 655.760	
Policies & Procedures Records (University & Departmental)				
Handbooks Mission & Policy Statements Official Procedure Guidelines Organizational Charts Strategic Planning Documents	Originating Department/ Archives	Permanent. Previous policies should be retained for 5 years post-revision unless a separate document memorializes the changes.		All handbook changes should be documented and sent to Archives.
University Council Records				
Agendas & Minutes- {University Council and their committees}	Registrar's Office/Archives	Permanent/5 Year Transfer	University Practice	
Governing documents: University Council Bylaws, Instrument for the Internal Governance	Current edition - website; older editions - Provost's office/Archives	Permanent/5 Year Transfer	University Practice	
Membership lists	Registrar's Office/Archives	Permanent/5 Year Transfer	University Practice	
Policies and Procedures	Registrar's Office/University Archives	Permanent/5 Year Transfer	University Practice	
Reports	Registrar's Office/Archives	Permanent/5 Year Transfer	University Practice	
Resolutions, Motions, & Enactments	Registrar's Office/Archives	Permanent/5 Year Transfer	University Practice	
Studies	Registrar's Office/Archives	Permanent/5 Year Transfer	University Practice	
Surveys	Registrar's Office/Archives	Permanent/5 Year Transfer	University Practice	
Working Papers - misc.	Registrar's Office/Archives	Until no longer needed	University Practice	
Chair's & other officer's records	Registrar's Office/Archives	Until no longer needed	University Practice	
Correspondence	Registrar's Office/Archives	Until no longer needed	University Practice	
Notes	Registrar's Office	Until no longer needed	University Practice	

Valparaiso University
Records Management, Retention, and Destruction By Department
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then you should destroy when it is no longer relevant or useful.*

Note: This list should be updated each year and submitted to the Office of General Counsel.

Records Management Schedule - Offices of the Dean				
Type of Record	Location	Retention Time	Related Authority	Notes
Administrative Records		Hardcopy/Electronic Records		
Annual Reports	Originating Department/ Archives	Permanent/5 Year Transfer	BoardSource	
Contracts & Leases	Originating Department	7 years after completion of terms	45 C.F.R. § Sec. 74.53 & IC 34-13-1-1	
Committee Records (Departmental, Event, Ad-hoc) • Agendas • Meeting Minutes • Reports • Working Papers • Related documentation and correspondence	Secretaries/ Chairs of Committees /Archives	Permanent/5 Year Transfer	University Practice	• Registrar to copy minutes of Faculty Senate, University Council, and Standing Committees. • 1 copy to Archives • Upper administration should document the purpose & process of committees that report to them & transfer to Archives
Correspondence, General Administrative • Communications received or sent which contains significant information about the programs of a unit and/or routine matters.	Originating Department/ Archives	Permanent/5 Year Transfer	University Practice	Provost, VPs, Deans, Directors, Dept. Chairs - Records of continuing value are to be transferred to Archives, office of origin to destroy all others.
Lecture, Lecture Series, or Visiting Scholar Records • Committee Minutes/Notes • Financial Support Records • Lecture Recordings and Transcripts • Program Records and Announcements	Department or Program Sponsor/Archives	Until no longer needed for reference (transfer all but financial records to Archives)		
Volunteer Registration, Waiver, & Release Forms	Originating Department	3 years after separation		
Sexual Offender Registry Checks (for University sponsored activities/events where participants are minors)	Office of Originating Department	3 years from date of activity or event	University Policy	
Accreditation Records				
• Evaluation Reports from Accreditation Organizations • Final Reports sent to Accreditation Organizations • Self-evaluation Reports/Internal Studies • Statistical Data • Working Papers	Registrar's Office/Archives	Permanent	BoardSource & University Practice	Retain 2 copies of Internal Studies, marked as Record Copy. Send one to University Archives along with supporting papers and one retained in the office of origin.
Accounting Records				
Requisitions with supporting documentation	Originating Department	7 years	45 C.F.R. § Sec. 74.53	
Successful Bids and Proposals	Originating Department	6 years after completion of terms	45 C.F.R. § Sec. 74.53	
Unsuccessful Offers (Bids and Proposals)	Originating Department	3 years	45 C.F.R. § Sec. 74.53	
Receipts (Income) & supporting documentation	Originating Department	3 years	BoardSource	

Credit Card/One Card Data - (DO NOT TRANSFER THIS DATA TO ADMINISTRATION & FINANCE VIA CAMPUS MAIL)	Office of Finance & Administration	5 years	Payment Card Industry's Data Security Standard (PCI DSS)	Originating department cannot keep sensitive data due to Red Flag Policy. PCI DSS requires PAN (Primary Account Number) to be <i>rendered unreadable</i> and stored under lock & key with the names of personnel who have access documented.
Course Work Records				
Course Syllabi	Dean's Office/Archives	Permanent/Yearly Transfer	University Practice	Faculty to provide PDF of syllabus to Dean. Dean's office combines PDFs & transfers to archives.
Examinations, Tests, Term Papers, & Homework Records	Various academic depts. & faculty offices	1 year after end of term	AACRAO	
Grade Book	Various academic depts. & faculty offices	5 years after graduation or date of last attendance	AACRAO	
Thesis & Dissertation Records	Various academic depts. & faculty offices	Permanent	AACRAO	
Faculty Course Questionnaires	Faculty Senate	3 years from end of employment		
Employee Records (Departmental Level)				
Employee Working Files (Official Personnel File is held in HR or Provost's Office [Faculty])	Originating Department	6 years after separation	FACTA	Sensitive data - secure/locked storage
Faculty Annual Activity Report	Dean's Office/Archives	Permanent/transfer upon separation from university	University Practice	
Faculty Personnel File	Provost's Office/Archives	6 years after separation	Executive Order 11246, ADA, ADEA, Title VII, FACTA	No records or correspondence related to appointment, promotion, tenure, retirement, or personal incidents will be transferred to the Archives. Should any records received by the Archives be judged to fall into this category they will be returned to the Provost's office or destroyed.
Official Employment & Termination Agreements	Human Resources	Permanent	FACTA & BoardSource	Sensitive data - secure/locked storage
Official Records Relating to Promotion, Demotion, or Discharge	Human Resources	6 years after separation	FACTA	Sensitive data - secure/locked storage
Confidentiality Agreements	Originating Department	6 years after separation		
Search Committee Records (Full-Time Positions) • Applications • Committee Meeting Minutes • Interview Materials • Letter of Offer/NonOffer • Letters of Recommendation • Resumes & Transcripts	Human Resources Department/ Archives	3 years from creation of record unless an action involved Note: Application of the successful candidate becomes part of the employee's personnel file.	FACTA UGESP - Title VII/ Executive Order 11246	Sensitive data - secure/locked storage Send organization meeting minutes, charge to committee, & record of process to Archives. Do not send candidate information.
Faculty Research				
Proposal & Final Report of Institutional & Faculty Research	Originating Department/Archives	Permanent/10 Year Transfer	University Practice	

Faculty Senate Records (including Academic Freedom & Tenure Hearing Committee and Faculty Grievance Committee)				
Agendas & Minutes -Faculty Senate and their committees	Registrar's Office/Archives	Permanent/5 Year Transfer	University Practice	
Award records	As designated by the Provost	Permanent		
• Winners' names and information		5 years		
• Nomination packets				
Election/ Ballot Records	As designated by the Provost	Ballots- 5 years Results - Permanent	University Practice	
• Ballots				
• Results				
Faculty Handbook	Current edition - website; older editions - Provost's office/Archives	Permanent/Yearly Transfer	University Practice	
Governing documents: Faculty Senate Bylaws & Instrument for the Internal Governance	Current edition - website; older editions - Registrar's office/Archives	Permanent/5 Year Transfer	University Practice	
Membership lists	Registrar's Office/Archives	Permanent/5 Year Transfer	University Practice	
Policies and Procedures	Registrar's Office/Archives	Permanent/5 Year Transfer	University Practice	
Academic Freedom & Tenure Hearing Committee and Grievance Committee Records				
• Grievance case files	Provost's Office	10 years from the date the case is closed		
• Litigation case files				
• Other confidential files				
• Public files (meeting minutes, reports, etc.)				
Reports	Registrar's Office/Archives	Permanent/5 Year Transfer	University Practice	
Resolutions, Motions, & Enactments	Registrar's Office/University Archives	Permanent/5 Year Transfer	University Practice	
Studies	Registrar's Office/Archives	Permanent/5 Year Transfer	University Practice	
Surveys	Registrar's Office/Archives	Permanent/5 Year Transfer	University Practice	
Working Papers - misc.	Registrar's Office/Archives	Until no longer needed	University Practice	
Chair's & other officer's records	Registrar's Office/Archives	Until no longer needed	University Practice	
Correspondence	Registrar's Office/Archives	Until no longer needed	University Practice	
Notes	Registrar's Office/Archives	Until no longer needed	University Practice	
Grant and Research Records				
Clinical Research Records	Originating Department	2 years post marketing approval or IND withdrawal		
• Protocols				
• Patient Records				
• Regulatory Records				
• Associated Contracts				
• Accounting Records				

Grant Project Records - * Activity Reports * Conflict of Interest Disclosures * Research Data * Summary Reports * Working Papers * Related Documentation	Grant Specialist- Office of Finance & Administration	6 years after expiration of grant funding period or termination of contract and until no longer needed for reference		
• Research Proposal and Final Report	Archives	Permanent/Transfer at intervals of 10 years.		
Grants & Contracts Accounting Records * Account Request Forms * Assignment of Refunds Documents * Balance Sheets * Billing Records * Budget Summary Statements * Equipment Purchase Orders * Financial Reports * Grant authorizations * Invoices * Project Summaries * Receipts * Subcontracts * Related Documentation	Grant Specialist- Office of Finance & Administration	7 years after Completion	BoardSource	
Human Subjects Records • Approval Applications/Forms • Assurance/Certification/Declaration Forms • Consent Forms • Grant Proposals • Protection of Human Subjects Forms • Protocols • Related Documentation	IRB - Institutional Review Board	3 Years after completion of the activity.	21 C.F.R § 56.115	
Institutional Animal Care and Use Records • Approval Applications/Forms • Grant Proposals • Protocols	IACUC	3 Years after completion of the activity.	9 C.F.R § 2.35(f)	
Laboratory Notebooks/Reports	Originating Department	3 Years after completion of the activity.		
Personnel Activity Report Forms	Grant Specialist-Office of Finance & Administration	6 Years	OMB Circular A21	
Invention Disclosure Forms • Licensing Agreements • Original Patents • Patent Applications • Technology Transfer Records • Related Documentation	Originating Department	Permanent for original patents, formal invention assignment forms, license agreements, patent legal transactions, and invention disclosure forms; 6 years for all other records.		

FEDERAL CONTRACTS:	Originating Department	The retention periods are calculated from the end of the contract's fiscal year in which an entry is made, changed, or allocating a cost to a government contract or subcontract.		
Accounts Receivable Invoices, Adjustments to the accounts, invoice registers, carrier freight bills, shipping orders, and other documents which detail the material or services billed on the related invoices.	Grant Specialist-Office of Finance & Administration	4 Years	48 C.F.R § 4.705-1(a)	
Material, work orders, and other documents which detail the material or services billed on their related invoices.	Grant Specialist-Office of Finance & Administration	4 Years	48 C.F.R § 4.705-1(b)	
Cash advance recapitulations, prepared as posting entries to accounts receivable ledgers for amounts of expense vouchers prepared for employees' travel and related expenses.	Grant Specialist-Office of Finance & Administration	4 Years	48 C.F.R § 4.705-1(c)	
Paid, canceled, and voided checks, other than those issued for the payment of salary and wages	Grant Specialist-Office of Finance & Administration	4 Years	48 C.F.R § 4.705-1(d)	
Accounts payable records to support disbursements of funds for materials, equipment, supplies, and services, containing originals or copies of the following and related documents: remittance advices and statements, vendors' invoices, invoice audits and distribution slips, receiving and inspection reports or comparable certifications of receipt and inspection of material of services, and debit and credit memoranda	Grant Specialist-Office of Finance & Administration	4 Years	48 C.F.R § 4.705-1(e)	
Payroll sheets, registers, or their equivalent, of salaries and wages paid to the individual employees for each payroll period; change slips; and tax withholding statements	Grant Specialist-Office of Finance & Administration	4 Years	48 C.F.R § 705-2(a)	
Work orders for maintenance and other services	Grant Specialist-Office of Finance & Administration	4 Years	48 C.F.R § 4.705-3(b)	
Equipment records, consisting of equipment usage and status reports and equipment repair orders	Grant Specialist-Office of Finance & Administration	4 Years	48 C.F.R § 4.705-3(c)	
Expendable property records, reflecting accountability for the receipt and use of material in the performance of a contract	Grant Specialist-Office of Finance & Administration	4 Years	48 C.F.R § 4.705-3(d)	
Receiving and inspection report cards, consisting of reports reflecting receipt and inspection of supplies, equipment, and materials	Grant Specialist-Office of Finance & Administration	4 Years	48 C.F.R § 4.705-3(e)	

Purchase order files for supplies, equipment, material, or services used in the performance of a contract; supporting documentation and backup files including, but not limited to, invoices, and memoranda; e.g., memoranda of negotiations showing the principal elements of subcontract price negotiations (see. 48 C.F.R. 52.244-2)	Grant Specialist-Office of Finance & Administration	4 Years	48 C.F.R § 4.705-3(f)	
Production records of quality control, reliability, and inspection	Grant Specialist-Office of Finance & Administration	4 Years	48 C.F.R § 4.705-3(g)	
Labor cost distribution cards or equivalent documents	Grant Specialist-Office of Finance & Administration	2 Years	48 C.F.R § 4.705-1(f)	
Petty cash records showing description of expenditures, to whom paid, name of person authorizing payment, and date, including copies of vouchers and other supporting documents	Grant Specialist-Office of Finance & Administration	2 Years	48 C.F.R § 4.705-1(g)	
Clock cards or other time and attendance cards	Grant Specialist-Office of Finance & Administration	2 Years	48 C.F.R § 4.705-2(b)	
Paid checks, receipts for wages paid in cash, or other evidence of payments for services rendered by employees	Grant Specialist-Office of Finance & Administration	2 Years	48 C.F.R § 4.705-2(c)	
Store requisitions for materials, supplies, equipment, and services	Grant Specialist-Office of Finance & Administration	2 Years	48 C.F.R § 4.705-3(a)	
FERPA (Family Educational Rights & Privacy Act) Records				FERPA rights begin with date of enrollment
Request for Formal Hearing	Registrar's Office	Permanent	FERPA	
Request and Disclosure of personally identifiable information	Registrar's Office	Permanent	FERPA	
Student Request for Non-disclosure of Directory Information	Registrar's Office/Database	Permanent or Until Terminated by Student	FERPA	
Student Statement on Content of Records - Re: Hearing Panel Decision	Registrar's Office	Permanent	FERPA	
Student's Written Consent for Records Disclosure	Various departments as applicable	Permanent or until terminated by student	FERPA	
Waivers of Rights to Access	Datatel/Registrar's Office /various departments as applicable	Permanent or until terminated by student	FERPA	
Written Decisions of Hearing Panels	Registrar's Office	Permanent	FERPA	
Patent Filings				
Correspondence with patent counsel	Originating Department	Patent term plus 6 years		The documents should be retained at least for the term of the patent (20 years from the patent application filing date in the U.S.) for purposes of defending the patent. Damages for only 6 years of infringement of a U.S. patent can be recovered. Patent and enforcement periods in other countries may vary.

Invention disclosure forms submitted to patent counsel, inventor notebooks and other documents showing earliest dates of invention, conception and reduction to practice; documents related to product development and testing of the invention before filing for a patent application; and documents related to disclosures of the invention to third parties before filing for a patent application.	Originating Department	Useful life of product plus 6 years or expiration of patent plus 6 years, whichever is later.		
Patent Applications	Originating Department	Patent term plus 6 years		
Correspondence with U.S. or foreign patent offices.	Originating Department	Patent term plus 6 years		
Copies of prior art patents and other publications describing related art.	Originating Department	Patent term plus 6 years		
Original patent documents.	Originating Department	Permanent		
Policies & Procedures Records (University & Departmental)				
Handbooks Mission & Policy Statements Official Procedure Guidelines Organizational Charts Strategic Planning Documents	Originating Department/ Archives	Permanent. Previous policies should be retained for 5 years post-revision unless a separate document memorializes the changes.		All handbook changes should be documented and sent to Archives.
Publications, Promotions and Alumni Records				
Photographs	Originating Department/ Archives	Permanent/Transfer Yearly		
University Published Material • Books • Brochures • Catalogs • Directories • Magazines • Media Guides • Newsletters • The Torch & The Beacon	Originating Department/ Archives	Permanent/Transfer Yearly		
Research Records				
Research and Teaching Drug Inventory Records	Originating Department	2 years	21 C.F.R § 1304.04(a)	
Student Records				
Advising Notes	Various faculty/staff as applicable	5 years after graduation or date of last attendance	AACRAO	
Background Check Reports	Originating Department	5 years after graduation or date of last attendance		Students who require Background Checks for their course of study.
Disability services provided for students	Disability Support Services	5 years after student's last contact with office		
Release of All Claims (student must sign for University related trips)	Originating Department	3 years after separation from the university	University Policy	

Student's Written Consent for Records Disclosure	Various departments as applicable	Permanent or until terminated by student	FERPA	
Teacher Certification	College of Education	1 year after verification	AACRAO	
University Council Records				
Agendas & Minutes- {University Council and their committees}	Registrar's Office/Archives	Permanent/5 Year Transfer	University Practice	
Governing documents: University Council Bylaws, Instrument for the Internal Governance	Current edition - website; older editions - Provost's office/Archives	Permanent/5 Year Transfer	University Practice	
Membership lists	Registrar's Office/Archives	Permanent/5 Year Transfer	University Practice	
Policies and Procedures	Registrar's Office/University Archives	Permanent/5 Year Transfer	University Practice	
Reports	Registrar's Office/Archives	Permanent/5 Year Transfer	University Practice	
Resolutions, Motions, & Enactments	Registrar's Office/Archives	Permanent/5 Year Transfer	University Practice	
Studies	Registrar's Office/Archives	Permanent/5 Year Transfer	University Practice	
Surveys	Registrar's Office/Archives	Permanent/5 Year Transfer	University Practice	
Working Papers - misc.	Registrar's Office/Archives	Until no longer needed	University Practice	
Chair's & other officer's records	Registrar's Office/Archives	Until no longer needed	University Practice	
Correspondence	Registrar's Office/Archives	Until no longer needed	University Practice	
Notes	Registrar's Office	Until no longer needed	University Practice	

Valparaiso University
Records Management, Retention, and Destruction By Department
*If your department is not the creator of the record and not responsible for retaining the record,
then you should destroy when it is no longer relevant or useful.*

Note: This list should be updated each year and submitted to the Office of General Counsel.

Records Management Schedule - Provost - Graduate School & Continuing Education				
Type of Record	Location	Retention Time	Related Authority	Notes
Administrative Records		Hardcopy/Electronic Records		
Annual Reports	Originating Department/ Archives	Permanent/5 Year Transfer	BoardSource	
Contracts & Leases	Originating Department	7 years after completion of terms	45 C.F.R. § Sec. 74.53 & IC 34- 13-1-1	
Committee Records (Departmental, Event, Ad-hoc) • Agendas • Meeting Minutes • Reports • Working Papers • Related documentation and correspondence	Secretaries/ Chairs of Committees /Archives	Permanent/5 Year Transfer	University Practice	• Registrar to copy minutes of Faculty Senate, University Council, and Standing Committees. • 1 copy to Archives • Upper administration should document the purpose & process of committees that report to them & transfer to Archives
Correspondence, General Administrative • Communications received or sent which contains significant information about the programs of a unit and/or routine matters.	Originating Department/ Archives	Permanent/5 Year Transfer	University Practice	Provost, VPs, Deans, Directors, Dept. Chairs - Records of continuing value are to be transferred to Archives, office of origin to destroy all others.
Lecture and Lecture Series Records • Committee Minutes/Notes • Financial Support Records • Lecture Recordings and Transcripts • Program Records and Announcements	Department or Program Sponsor/Archives	Until no longer needed for reference (transfer all financial records to archives*)		
Volunteer Registration, Waiver, & Release Forms	Originating Department	3 years after separation		
Sexual Offender Registry Checks (for University sponsored activities/events where participants are minors)	Office of Originating Department	3 years from date of activity or event	University Policy	
Accreditation Records				
• Evaluation Reports from Accreditation Organizations • Final Reports sent to Accreditation Organizations • Self-evaluation Reports/Internal Studies • Statistical Data • Working Papers	Registrar's Office/Archives	Permanent	BoardSource & University Practice	Retain 2 copies of Internal Studies, marked as Record Copy. Send one to University Archives along with supporting papers and one retained in the office of origin.
Accounting Records				
Requisitions with supporting documentation	Originating Department	7 years	45 C.F.R. § Sec. 74.53	
Successful Bids and Proposals	Originating Department	6 years after completion of terms	45 C.F.R. § Sec. 74.53	
Unsuccessful Offers (Bids and Proposals)	Originating Department	3 years	45 C.F.R. § Sec. 74.53	
Receipts (Income) & supporting documentation	Originating Department	3 years	BoardSource	

Credit Card/One Card Data - (DO NOT TRANSFER THIS DATA TO ADMINISTRATION & FINANCE VIA CAMPUS MAIL)	Office of Finance & Administration	5 years	Payment Card Industry's Data Security Standard (PCI DSS)	Originating department cannot keep sensitive data due to Red Flag Policy. PCI DSS requires PAN (Primary Account Number) to be <i>rendered unreadable</i> and stored under lock & key with the names of personnel who have access documented.
Course Work Records				
Course Syllabi	Dean's Office/Archives	Permanent/Yearly Transfer	University Practice	Faculty to provide PDF of syllabus to Dean. Dean's office combines PDFs & transfers to archives.
Examinations, Test, Term Papers, & Homework Records	Various academic depts. & faculty offices	1 year after end of term	AACRAO	
Grade Book	Various academic depts. & faculty offices	5 years after graduation or date of last attendance	AACRAO	
Thesis & Dissertation Records	Various academic depts. & faculty offices	Permanent	AACRAO	
Faculty Course Questionnaires	Faculty Senate	3 years from end of employment		
Employee Records (Departmental Level)				
Employee Working Files (Official Personnel File is held in HR or Provost's Office [Faculty])	Originating Department	6 years after separation	FACTA	Sensitive data - secure/locked storage
Faculty Annual Activity Report	Dean's Office/Archives*	Permanent/transfer upon separation from university	University Practice	
Faculty Personnel File	Provost's Office/Archives	6 years after separation	Executive Order 11246, ADA, ADEA, Title VII, FACTA	No records or correspondence related to appointment, promotion, tenure, retirement, or personal incidents will be transferred to the Archives. Should any records received by the Archives be judged to fall into this category they will be returned to the Provost's office or destroyed.
Official Employment & Termination Agreements	Human Resources	Permanent	FACTA & BoardSource	Sensitive data - secure/locked storage
Official Records Relating to Promotion, Demotion, or Discharge	Human Resources	6 years after separation	FACTA	Sensitive data - secure/locked storage
Confidentiality Agreements	Originating Department	6 years after separation		
Search Committee Records (Full-Time Positions) • Applications • Committee Meeting Minutes • Interview Materials • Letter of Offer/NonOffer • Letters of Recommendation • Resumes & Transcripts	Human Resources Department/ Archives	3 years from creation of record unless an action involved Note: Application of the successful candidate becomes part of the employee's personnel file.	FACTA UGESP - Title VII/ Executive Order 11246	Sensitive data - secure/locked storage Send organization meeting minutes, charge to committee, & record of process to Archives. Do not send candidate information.
Faculty Research				
Proposal & Final Report of Institutional & Faculty Research	Originating Department/Archives	Permanent/10 Year Transfer	University Practice	
Faculty Senate Records (including Academic Freedom & Tenure Hearing Committee and Faculty Grievance Committee)				
Agendas & Minutes -Faculty Senate and their committees	Registrar's Office/Archives	Permanent/5 Year Transfer	University Practice	

Award records • Winners' names and information • Nomination packets	As designated by the Provost	Permanent 5 years		
Election/ Ballot Records • Ballots • Results	As designated by the Provost	Ballots- 5 years Results - Permanent	University Practice	
Faculty Handbook	Current edition - website; older editions - Provost's office/Archives	Permanent/Yearly Transfer	University Practice	
Governing documents: Faculty Senate Bylaws & Instrument for the Internal Governance	Current edition - website; older editions - Registrar's office/Archives	Permanent/5 Year Transfer	University Practice	
Membership lists	Registrar's Office/Archives	Permanent/5 Year Transfer	University Practice	
Policies and Procedures	Registrar's Office/Archives	Permanent/5 Year Transfer	University Practice	
Academic Freedom & Tenure Hearing Committee and Grievance Committee Records • Grievance case files • Litigation case files • Other confidential files • Public files (meeting minutes, reports, etc.)	Provost's Office	10 years from the date the case is closed		
Reports	Registrar's Office/Archives	Permanent/5 Year Transfer	University Practice	
Resolutions, Motions, & Enactments	Registrar's Office/University Archives	Permanent/5 Year Transfer	University Practice	
Studies	Registrar's Office/Archives	Permanent/5 Year Transfer	University Practice	
Surveys	Registrar's Office/Archives	Permanent/5 Year Transfer	University Practice	
Working Papers - misc.	Registrar's Office/Archives	Until no longer needed	University Practice	
Chair's & other officer's records	Registrar's Office/Archives	Until no longer needed	University Practice	
Correspondence	Registrar's Office/Archives	Until no longer needed	University Practice	
Notes	Registrar's Office/Archives	Until no longer needed	University Practice	
Grant and Research Records				
Clinical Research Records • Protocols • Patient Records • Regulatory Records • Associated Contracts • Accounting Records	Originating Department	2 years post marketing approval or IND withdrawal		
Grant Project Records - * Activity Reports * Conflict of Interest Disclosures * Research Data	Grant Specialist- Office of Administration	6 years after expiration of grant funding period or termination of contract and until no		

<ul style="list-style-type: none"> * Summary Reports * Working Papers * Related Documentation • Research Proposal and Final Report 	& Finance	longer needed for reference		
	Archives	Permanent/Transfer at intervals of 10 years.		
Grants & Contracts Accounting Records <ul style="list-style-type: none"> * Account Request Forms * Assignment of Refunds Documents * Balance Sheets * Billing Records * Budget Summary Statements * Equipment Purchase Orders * Financial Reports * Grant authorizations * Invoices * Project Summaries * Receipts * Subcontracts * Related Documentation 	Grant Specialist- Office of Administration & Finance	7 years after Completion	BoardSource	
Human Subjects Records <ul style="list-style-type: none"> • Approval Applications/Forms • Assurance/Certification/Declaration Forms • Consent Forms • Grant Proposals • Protection of Human Subjects Forms • Protocols • Related Documentation 	IRB - Institutional Review Board	3 Years after completion of the activity.	21 C.F.R § 56.115	
Institutional Animal Care and Use Records <ul style="list-style-type: none"> • Approval Applications/Forms • Grant Proposals • Protocols 	IACUC	3 Years after completion of the activity.	9 C.F.R § 2.35(f)	
Laboratory Notebooks/Reports	Originating Department	3 Years after completion of the activity.		
Personnel Activity Report Forms	Grant Specialist-Office of Finance & Administration	6 Years	OMB Circular A21	
Invention Disclosure Forms <ul style="list-style-type: none"> • Licensing Agreements • Original Patents • Patent Applications • Technology Transfer Records • Related Documentation 	Originating Department	Permanent for original patents, formal invention assignment forms, license agreements, patent legal transactions, and invention disclosure forms; 6 years for all other records.		

FEDERAL CONTRACTS:	Originating Department	The retention periods are calculated from the end of the contract's fiscal year in which an entry is made, changed, or allocating a cost to a government contract or subcontract.		
Accounts Receivable Invoices, Adjustments to the accounts, invoice registers, carrier freight bills, shipping orders, and other documents which detail the material or services billed on the related invoices.	Grant Specialist-Office of Finance & Administration	4 Years	48 C.F.R § 4.705-1(a)	
Material, work orders, and other documents which detail the material or services billed on their related invoices.	Grant Specialist-Office of Finance & Administration	4 Years	48 C.F.R § 4.705-1(b)	
Cash advance recapitulations, prepared as posting entries to accounts receivable ledgers for amounts of expense vouchers prepared for employees' travel and related expenses.	Grant Specialist-Office of Finance & Administration	4 Years	48 C.F.R § 4.705-1(c)	
Paid, canceled, and voided checks, other than those issued for the payment of salary and wages	Grant Specialist-Office of Finance & Administration	4 Years	48 C.F.R § 4.705-1(d)	
Accounts payable records to support disbursements of funds for materials, equipment, supplies, and services, containing originals or copies of the following and related documents: remittance advices and statements, vendors' invoices, invoice audits and distribution slips, receiving and inspection reports or comparable certifications of receipt and inspection of material of services, and debit and credit memoranda	Grant Specialist-Office of Finance & Administration	4 Years	48 C.F.R § 4.705-1(e)	
Payroll sheets, registers, or their equivalent, of salaries and wages paid to the individual employees for each payroll period; change slips; and tax withholding statements	Grant Specialist-Office of Finance & Administration	4 Years	48 C.F.R § 705-2(a)	
Work orders for maintenance and other services	Grant Specialist-Office of Finance & Administration	4 Years	48 C.F.R § 4.705-3(b)	
Equipment records, consisting of equipment usage and status reports and equipment repair orders	Grant Specialist-Office of Finance & Administration	4 Years	48 C.F.R § 4.705-3(c)	
Expendable property records, reflecting accountability for the receipt and use of material in the performance of a contract	Grant Specialist-Office of Finance & Administration	4 Years	48 C.F.R § 4.705-3(d)	
Receiving and inspection report cards, consisting of reports reflecting receipt and inspection of supplies, equipment, and materials	Grant Specialist-Office of Finance & Administration	4 Years	48 C.F.R § 4.705-3(e)	

Purchase order files for supplies, equipment, material, or services used in the performance of a contract; supporting documentation and backup files including, but not limited to, invoices, and memoranda; e.g., memoranda of negotiations showing the principal elements of subcontract price negotiations (see.48 C.F.R. 52.244-2)	Grant Specialist-Office of Finance & Administration	4 Years	48 C.F.R § 4.705-3(f)	
Production records of quality control, reliability, and inspection	Grant Specialist-Office of Finance & Administration	4 Years	48 C.F.R § 4.705-3(g)	
Labor cost distribution cards or equivalent documents	Grant Specialist-Office of Finance & Administration	2 Years	48 C.F.R § 4.705-1(f)	
Petty cash records showing description of expenditures, to whom paid, name of person authorizing payment, and date, including copies of vouchers and other supporting documents	Grant Specialist-Office of Finance & Administration	2 Years	48 C.F.R § 4.705-1(g)	
Clock cards or other time and attendance cards	Grant Specialist-Office of Finance & Administration	2 Years	48 C.F.R § 4.705-2(b)	
Paid checks, receipts for wages paid in cash, or other evidence of payments for services rendered by employees	Grant Specialist-Office of Finance & Administration	2 Years	48 C.F.R § 4.705-2(c)	
Store requisitions for materials, supplies, equipment, and services	Grant Specialist-Office of Finance & Administration	2 Years	48 C.F.R § 4.705-3(a)	
FERPA (Family Educational Rights & Privacy Act) Records				FERPA rights begin with date of enrollment
Request for Formal Hearing	Registrar's Office	Permanent	FERPA	
Request and Disclosure of personally identifiable information	Registrar's Office	Permanent	FERPA	
Student Request for Non-disclosure of Directory Information	Registrar's Office/Database	Permanent or Until Terminated by Student	FERPA	
Student Statement on Content of Records - Re: Hearing Panel Decision	Registrar's Office	Permanent	FERPA	
Student's Written Consent for Records Disclosure	Various departments as applicable	Permanent or until terminated by student	FERPA	
Waivers of Rights to Access	Registrar's Office /various departments as applicable	Permanent or until terminated by student	FERPA	
Written Decisions of Hearing Panels	Registrar's Office	Permanent	FERPA	
Patent Filings				
Correspondence with patent counsel	Originating Department	Patent term plus 6 years		The documents should be retained at least for the term of the patent (20 years from the patent application filing date in the U.S.) for purposes of defending the patent. Damages for only 6 years of infringement of a U.S. patent can be recovered. Patent and enforcement periods in other countries may vary.

Invention disclosure forms submitted to patent counsel, inventor notebooks and other documents showing earliest dates of invention, conception and reduction to practice; documents related to product development and testing of the invention before filing for a patent application; and documents related to disclosures of the invention to third parties before filing for a patent application.	Originating Department	Useful life of product plus 6 years or expiration of patent plus 6 years, whichever is later.		
Patent Applications	Originating Department	Patent term plus 6 years		
Correspondence with U.S. or foreign patent offices.	Originating Department	Patent term plus 6 years		
Copies of prior art patents and other publications describing related art.	Originating Department	Patent term plus 6 years		
Original patent documents.	Originating Department	Permanent		
Policies & Procedures Records (University & Departmental)				
Handbooks Mission & Policy Statements Official Procedure Guidelines Organizational Charts Strategic Planning Documents	Originating Department/ Archives	Permanent. Previous policies should be retained for 5 years post-revision unless a separate document memorializes the changes.		All handbook changes should be documented and sent to Archives.
Publications, Promotions and Alumni Records				
Photographs	Originating Department/ Archives*	Permanent/Transfer Yearly		
University Published Material • Books • Brochures • Catalogs • Directories • Magazines • Media Guides • Newsletters • The Torch & The Beacon	Originating Department/ Archives	Permanent/Transfer Yearly		
Research Records				
Research and Teaching Drug Inventory Records	Originating Department	2 years	21 C.F.R § 1304.04(a)	
Student Records				
Advising Notes	Various faculty/staff as applicable	5 years after graduation or date of last attendance	AACRAO	
Background Check Reports	Originating Department	5 years after graduation or date of last attendance		Students who require Background Checks for their course of study.
Disability services provided for students	Disability Support Services	5 years after student's last contact with office		
Graduate Student Files	Graduate Office/Archives	Permanent/20 Year Transfer	University Practice	Archives will screen before allowing access.

Release of All Claims (student must sign for University related trips)	Originating Department	3 years after separation from the university	University Policy	
Student's Written Consent for Records Disclosure	Various departments as applicable	Permanent or until terminated by student	FERPA	
Waivers of Rights to Access	Datatel/Registrar's Office /various departments as applicable	Permanent or until terminated by student	FERPA	
Teacher Certification	College of Education	1 year after verification	AACRAO	
University Council Records				
Agendas & Minutes- (University Council and their committees)	Registrar's Office/Archives	Permanent/5 Year Transfer	University Practice	
Governing documents: University Council Bylaws, Instrument for the Internal Governance	Current edition - website; older editions - Provost's office/Archives	Permanent/5 Year Transfer	University Practice	
Membership lists	Registrar's Office/Archives*	Permanent/5 Year Transfer	University Practice	
Policies and Procedures	Registrar's Office/University Archives	Permanent/5 Year Transfer	University Practice	
Reports	Registrar's Office/Archives	Permanent/5 Year Transfer	University Practice	
Resolutions, Motions, & Enactments	Registrar's Office/Archives	Permanent/5 Year Transfer	University Practice	
Studies	Registrar's Office/Archives	Permanent/5 Year Transfer	University Practice	
Surveys	Registrar's Office/Archives	Permanent/5 Year Transfer	University Practice	
Working Papers - misc.	Registrar's Office/Archives	Until no longer needed	University Practice	
Chair's & other officer's records	Registrar's Office/Archives	Until no longer needed	University Practice	
Correspondence	Registrar's Office/Archives	Until no longer needed	University Practice	
Notes	Registrar's Office	Until no longer needed	University Practice	

Valparaiso University

Records Management, Retention, and Destruction By Department

*If your department is not the creator of the record and not responsible for retaining the record,
then you should destroy when it is no longer relevant or useful.*

Note: This list should be updated each year and submitted to the Office of General Counsel.

Records Management Schedule - Provost - International Studies				
Type of Record	Location	Retention Time	Related Authority	Notes
Administrative Records		Hardcopy/Electronic Records		
Annual Reports	Originating Department/ Archives	Permanent/5 Year Transfer	BoardSource	
Contracts & Leases	Originating Department	7 years after completion of terms	45 C.F.R. § Sec. 74.53 & IC 34-13-1-1	
Committee Records (Departmental, Event, Ad-hoc) • Agendas • Meeting Minutes • Reports • Working Papers • Related documentation and correspondence	Secretaries/ Chairs of Committees /Archives	Permanent/5 Year Transfer	University Practice	<ul style="list-style-type: none"> • Registrar to copy minutes of Faculty Senate, University Council, and Standing Committees. • 1 copy to Archives • Upper administration should document the purpose & process of committees that report to them & transfer to Archives
Correspondence, General Administrative • Communications received or sent which contains significant information about the programs of a unit and/or routine matters.	Originating Department/ Archives	Permanent/5 Year Transfer	University Practice	Provost, VPs, Deans, Directors, Dept. Chairs - Records of continuing value are to be transferred to Archives, office of origin to destroy all others.
Volunteer Registration, Waiver, & Release Forms	Originating Department	3 years after separation		
Sexual Offender Registry Checks (for University sponsored activities/events where participants are minors)	Office of Originating Department	3 years from date of activity or event	University Policy	
Accounting Records				
Requisitions with supporting documentation	Originating Department	7 years	45 C.F.R. § Sec. 74.53	
Successful Bids and Proposals	Originating Department	6 years after completion of terms	45 C.F.R. § Sec. 74.53	
Unsuccessful Offers (Bids and Proposals)	Originating Department	3 years	45 C.F.R. § Sec. 74.53	
Receipts (Income) & supporting documentation	Originating Department	3 years	BoardSource	
Credit Card/One Card Data - (DO NOT TRANSFER THIS DATA TO ADMINISTRATION & FINANCE VIA CAMPUS MAIL)	Office of Finance & Administration	5 years	Payment Card Industry's Data Security Standard (PCI DSS)	Originating department cannot keep sensitive data due to Red Flag Policy. PCI DSS requires PAN (Primary Account Number) to be <i>rendered unreadable</i> and stored under lock & key with the names of personnel who have access documented.
Employee Records (Departmental Level)				
Employee Working Files (Official Personnel File is held in HR or Provost's Office [Faculty])	Originating Department	6 years after separation	FACTA	Sensitive data - secure/locked storage
Official Employment & Termination Agreements	Human Resources	Permanent	FACTA & BoardSource	Sensitive data - secure/locked storage
Official Records Relating to Promotion, Demotion, or Discharge	Human Resources	6 years after separation	FACTA	Sensitive data - secure/locked storage
Confidentiality Agreements	Originating Department	6 years after separation		
Search Committee Records (Full-Time Positions)		3 years from	FACTA	Sensitive data - secure/locked storage

<ul style="list-style-type: none"> • Applications • Committee Meeting Minutes • Interview Materials • Letter of Offer/NonOffer • Letters of Recommendation • Resumes & Transcripts 	Human Resources Department/ Archives	creation of record unless an action involved Note: Application of the successful candidate becomes part of the employee's personnel file.	UGESP - Title VII/ Executive Order 11246	Send organization meeting minutes, charge to committee, & record of process to Archives. Do not send candidate information.
FERPA (Family Educational Rights & Privacy Act) Records				
Student's Written Consent for Records Disclosure	Various departments as applicable	Permanent or until terminated by student	FERPA	
International Students				
International Student's Records-F1 need I-20 J DS2019	International Programs Office	Recommendation to keep at least one year following notification to USCIS of reasons for departure (F-1 visas). For J-1, must keep for at least three years after they graduate.	8 C.F.R § 214.3(g);22 C.F.R. § 62.10(h)	
International Faculty/Staff Records copies of passports & visas	International Programs Office & Provost's Office/Human Resources	6 years after separation from university.		
International Admissions/Student Records	Admissions; after enrollment, Student Affairs; after graduation, Registrar	5 years after last date of attendance (Hold Transcripts Permanently)		
Program Participant Rosters	International Programs Office	Permanent		
International Student Alumni Database	International Programs Office	Permanent		
International (Visiting)Scholars Records				
Labor certification/applications (Immigration Papers - H1B)	International Programs Office	5 years from date application/certification is filed	20 C.F.R. § 656.10(f)	
Labor Condition Applications (Permanent Residency Papers)	International Programs Office	One year after application expires	20 C.F.R. § 655.760	
Study Abroad - Program records on location				
Government Filings	Office of respective program.	Permanent		
UKBA Documents (Cambridge)	Cambridge Office	Permanent		
Employment Matters	Office of respective program	10 years		
Facility Contracts	Office of respective program.	7 years		
Financial Reports (tax records, bank statements, account numbers, original receipts, professor contracts, etc.)	Office of respective program.	7 years		

Student Records (passport numbers & expiry dates, ID numbers, GPA/Transcripts, personal contact info, etc.)	Office of respective program. (Original documentation retained on Valpo campus.)	1 year after they have completed the program.		Limited access required due to sensitive data.
Study Abroad Student & Staff Records (held on main campus)				
Study Abroad Student and Staff Records	International	5 years after		
• copies of passports & visas	Programs	graduation or date of		
• health insurance records	Office	last attendance.		
• emergency contact information				
Policies & Procedures Records (University & Departmental)				
Handbooks Mission & Policy Statements Official Procedure Guidelines Organizational Charts Strategic Planning Documents	Originating Department/ Archives	Permanent. Previous policies should be retained for 5 years post-revision unless a separate document memorializes the changes.		All handbook changes should be documented and sent to Archives.

Valparaiso University
Records Management, Retention, and Destruction By Department
*If your department is not the creator of the record and not responsible for retaining the record,
then you should destroy when it is no longer relevant or useful.*

Note: This list should be updated each year and submitted to the Office of General Counsel.

Records Management Schedule - Provost - Study Abroad Programs				
Type of Record	Location	Retention Time	Related Authority	Notes
Administrative Records				
		Hardcopy/Electronic Records		
Annual Reports	Originating Department/ Archives	Permanent/5 Year Transfer	BoardSource	
Contracts & Leases	Originating Department	7 years after completion of terms	45 C.F.R. § Sec. 74.53 & IC 34-13-1-1	
Committee Records (Departmental, Event, Ad-hoc) • Agendas • Meeting Minutes • Reports • Working Papers • Related documentation and correspondence	Secretaries/ Chairs of Committees /Archives	Permanent/5 Year Transfer	University Practice	• Registrar to copy minutes of Faculty Senate, University Council, and Standing Committees. • 1 copy to Archives • Upper administration should document the purpose & process of committees that report to them & transfer to Archives
Correspondence, General Administrative • Communications received or sent which contains significant information about the programs of a unit and/or routine matters.	Originating Department/ Archives	Permanent/5 Year Transfer	University Practice	Provost, VPs, Deans, Directors, Dept. Chairs - Records of continuing value are to be transferred to Archives, office of origin to destroy all others.
Volunteer Registration, Waiver, & Release Forms	Originating Department	3 years after separation		
Sexual Offender Registry Checks (for University sponsored activities/events where participants are minors)	Office of Originating Department	3 years from date of activity or event	University Policy	
Accounting & Corporate Tax Records				
Annual Audits & Financial Statements	Office of Finance & Administration/Archives	Permanent/10 Year Transfer	BoardSource	Retain 2 copies permanently, marked as Record Copy. Retain one copy in the Finance Office and one copy to be sent to Archives
General Ledgers	Office of Finance & Administration	7 Years	BoardSource	
Business Expense Records	Office of Finance & Administration	7 years	BoardSource	
Journal Entries	Office of Finance & Administration	7 years	BoardSource	
Invoices	Office of Finance & Administration	7 years	BoardSource	
Sales Records	Originating Dept.	5 years	BoardSource	
Petty Cash Vouchers	Office of Finance & Administration	3 years	BoardSource	
Cash Receipts	Originating Dept.	3 years	BoardSource	
Successful Bids and Proposals	Originating Department	6 years after completion of terms	45 C.F.R. § Sec. 74.53	
Unsuccessful Offers (Bids and Proposals)	Originating Department	3 years	45 C.F.R. § Sec. 74.53	

Credit Card/One Card Data - (DO NOT TRANSFER THIS DATA TO ADMINISTRATION & FINANCE VIA CAMPUS MAIL)	Office of Finance & Administration	5 years	Payment Card Industry's Data Security Standard (PCI DSS)	Originating department cannot keep sensitive data due to Red Flag Policy. PCI DSS requires PAN (Primary Account Number) to be <u>rendered unreadable</u> and stored under lock & key with the names of personnel who have access documented.
Requisitions	Originating Dept.	7 years	45 C.F.R. § Sec. 74.53	
Course Work Records				
Course Syllabi	Dean's Office/Archives	Permanent/Yearly Transfer	University Practice	Faculty to provide PDF of syllabus to Dean. Dean's office combines PDFs & transfers to archives.
Examinations, Test, Term Papers, & Homework Records	Various academic depts. & faculty offices	1 year after end of term	AACRAO	
Grade Book	Various academic depts. & faculty offices	5 years after graduation or date of last attendance	AACRAO	
Thesis & Dissertation Records	Various academic depts. & faculty offices	Permanent	AACRAO	
Faculty Course Questionnaires	Faculty Senate	3 years from end of employment		
Employee Records (Departmental Level)				
Employee Working Files (Official Personnel File is held in HR or Provost's Office [Faculty])	Originating Department	6 years after separation	FACTA	Sensitive data - secure/locked storage
Official Employment & Termination Agreements	Human Resources	Permanent	FACTA & BoardSource	Sensitive data - secure/locked storage
Official Records Relating to Promotion, Demotion, or Discharge	Human Resources	6 years after separation	FACTA	Sensitive data - secure/locked storage
Confidentiality Agreements	Originating Department	6 years after separation		
Search Committee Records (Full-Time Positions) • Applications • Committee Meeting Minutes • Interview Materials • Letter of Offer/NonOffer • Letters of Recommendation • Resumes & Transcripts	Human Resources Department/ Archives	3 years from creation of record unless an action involved Note: Application of the successful candidate becomes part of the employee's personnel file.	FACTA UGESP - Title VII/ Executive Order 11246	Sensitive data - secure/locked storage Send organization meeting minutes, charge to committee, & record of process to Archives. Do not send candidate information.
FERPA (Family Educational Rights & Privacy Act) Records				
Student's Written Consent for Records Disclosure	Various departments as applicable	Permanent or until terminated by student	FERPA	
International Students				
International Student's Records-F1 need I-20 J DS2019	International Programs Office	Recommendation to keep at least one year following notification to USCIS of reasons for departure (F-1 visas). For J-1, must keep for at least three years after they graduate.	8 C.F.R § 214.3(g);22 C.F.R. § 62.10(h)	
International Faculty/Staff Records copies of passports & visas	• International Programs Office & Provost's Office/Human Resources	6 years after separation from university.		

International Admissions/Student Records	Admissions; after enrollment, Student Affairs; after graduation, Registrar	5 years after last date of attendance (Hold Transcripts Permanently)		
Program Participant Rosters	International Programs Office	Permanent		
International Student Alumni Database	International Programs Office	Permanent		
International (Visiting) Scholars Records				
Labor certification/applications (Immigration Papers - H1B)	International Programs Office	5 years from date application/certification is filed	20 C.F.R. § 656.10(f)	
Labor Condition Applications (Permanent Residency Papers)	International Programs Office	One year after application expires	20 C.F.R. § 655.760	
Study Abroad - Program records on location				
Government Filings	Office of respective program.	Permanent		
UKBA Documents (Cambridge)	Cambridge Office	Permanent		
Employment Matters	Office of respective program	10 years		
Facility Contracts	Office of respective program.	7 years		
Financial Reports (tax records, bank statements, account numbers, original receipts, professor contracts, etc.)	Office of respective program.	7 years		
Student Records (passport numbers & expiry dates, ID numbers, GPA/Transcripts, personal contact info, etc.)	Office of respective program. (Original documentation retained on Valpo campus.)	1 year after they have completed the program.		Limited access required due to sensitive data.
Study Abroad Student & Staff Records (held on main campus)				
Study Abroad Student and Staff Records	International	5 years after		
• copies of passports & visas	Programs	graduation or date of		
• health insurance records	Office	last attendance.		
• emergency contact information				
Policies & Procedures Records (University & Departmental)				
Handbooks Mission & Policy Statements Official Procedure Guidelines Organizational Charts Strategic Planning Documents	Originating Department/ Archives	Permanent. Previous policies should be retained for 5 years post-revision unless a separate document memorializes the changes.		All handbook changes should be documented and sent to Archives.

Valparaiso University
Records Management, Retention, and Destruction By Department
*If your department is not the creator of the record and not responsible for retaining the record,
then you should destroy when it is no longer relevant or useful.*

Note: This list should be updated each year and submitted to the Office of General Counsel.

Records Management Schedule - Provost - Center for the Arts				
Type of Record	Location	Retention Time	Related Authority	Notes
Administrative Records				
Annual Reports	Originating Department/ Archives	Hardcopy/ Electronic Records Permanent/5 Year Transfer	BoardSource	
Contracts & Leases	Originating Department	7 years after completion of terms	45 C.F.R. § Sec. 74.53 & IC 34-13-1-1	
Committee Records (Departmental, Event, Ad-hoc) • Agendas • Meeting Minutes • Reports • Working Papers • Related documentation and correspondence	Secretaries/ Chairs of Committees /Archives	Permanent/5 Year Transfer	University Practice	• Registrar to copy minutes of Faculty Senate, University Council, and Standing Committees. • 1 copy to Archives • Upper administration should document the purpose & process of committees that report to them & transfer to Archives
Correspondence, General Administrative • Communications received or sent which contains significant information about the programs of a unit and/or routine matters.	Originating Department/ Archives	Permanent/5 Year Transfer	University Practice	Provost, VPs, Deans, Directors, Dept. Chairs - Records of continuing value are to be transferred to Archives, office of origin to destroy all others.
Volunteer Registration, Waiver, & Release Forms	Originating Department	3 years after separation		
Sexual Offender Registry Checks (for University sponsored activities/events where participants are minors)	Office of Originating Department	3 years from date of activity or event	University Policy	
Accounting Records				
Requisitions with supporting documentation	Originating Department	7 years	45 C.F.R. § Sec. 74.53	
Successful Bids and Proposals	Originating Department	6 years after completion of terms	45 C.F.R. § Sec. 74.53	
Unsuccessful Offers (Bids and Proposals)	Originating Department	3 years	45 C.F.R. § Sec. 74.53	
Receipts (Income) & supporting documentation	Originating Department	3 years	BoardSource	
Credit Card/One Card Data - (DO NOT TRANSFER THIS DATA TO ADMINISTRATION & FINANCE VIA CAMPUS MAIL)	Office of Finance & Administration	5 years	Payment Card Industry's Data Security Standard (PCI DSS)	Originating department cannot keep sensitive data due to Red Flag Policy. PCI DSS requires PAN (Primary Account Number) to be <i>rendered unreadable</i> and stored under lock & key with the names of personnel who have access documented.
Employee Records (Departmental Level)				
Employee Working Files (Official Personnel File is held in HR or Provost's Office [Faculty])	Originating Department	6 years after separation	FACTA	Sensitive data - secure/locked storage

Official Employment & Termination Agreements	Human Resources	Permanent	FACTA & BoardSource	Sensitive data - secure/locked storage
Official Records Relating to Promotion, Demotion, or Discharge	Human Resources	6 years after separation	FACTA	Sensitive data - secure/locked storage
Confidentiality Agreements	Originating Department	6 years after separation		
Search Committee Records (Full-Time Positions) • Applications • Committee Meeting Minutes • Interview Materials • Letter of Offer/NonOffer • Letters of Recommendation • Resumes & Transcripts	Human Resources Department	3 years from creation of record unless an action involved Note: Application of the successful candidate becomes part of the employee's personnel file.	FACTA UGESP - Title VII/ Executive Order 11246	Sensitive data - secure/locked storage
Insurance Records				
Certificates of Insurance as related to contracts & facility use.	Originating Department or Office of Finance & Administration	6 years after completion of terms or until superseded		Certificates need to be reviewed by University's insurance provider in areas of significant potential liability, prior to the event.
Library, Museum, and Collection Records				
Collection and Artifact Records • Acquisition Logs • Appraisal and Valuation Records • Background Records • Donor Agreements/Records • Inventory Lists • Loan Records • Ownership Records • Purchasing Records • Registration Records	Library Collection, or Museum Curator	Minimum of 3 years		
Performing Arts				
Concert Recordings	Originating Department/ Archives	Permanent/5 Year Transfer		
Policies & Procedures Records (University & Departmental)				
Handbooks Mission & Policy Statements Official Procedure Guidelines Organizational Charts Strategic Planning Documents	Originating Department/ Archives	Permanent. Previous policies should be retained for 5 years post-revision unless a separate document memorializes the changes.		All handbook changes should be documented and sent to Archives.
Publications, Promotions and Alumni Records				

Photographs	Originating Department/Archives	Permanent/Transfer Yearly		
University Published Material <ul style="list-style-type: none"> • Books • Brochures • Catalogs • Directories • Magazines • Media Guides • Newsletters • The Torch & The Beacon 	Originating Department/ Archives	Permanent/Transfer Yearly		

Valparaiso University
Records Management, Retention, and Destruction By Department
*If your department is not the creator of the record and not responsible for retaining the record,
then you should destroy when it is no longer relevant or useful.*

Note: This list should be updated each year and submitted to the Office of General Counsel.

Records Management Schedule - Provost - School of Law				
Type of Record	Location	Retention Time	Related Authority	Notes
Administrative Records		Hardcopy/Electronic Records		
Annual Reports	Originating Department/ Archives	Permanent/5 Year Transfer	BoardSource	
Contracts & Leases	Originating Department	7 years after completion of terms	45 C.F.R. § Sec. 74.53 & IC 34-13-1-1	
Committee Records (Departmental, Event, Ad-hoc) • Agendas • Meeting Minutes • Reports • Working Papers • Related documentation and correspondence	Secretaries/ Chairs of Committees /Archives	Permanent/5 Year Transfer	University Practice	• Registrar to copy minutes of Faculty Senate, University Council, and Standing Committees. • 1 copy to Archives • Upper administration should document the purpose & process of committees that report to them & transfer to Archives
Correspondence, General Administrative Communications received or sent which contains significant information about the programs of a unit and/or routine matters.	Originating Department/ Archives	Permanent/5 Year Transfer	University Practice	Provost, VPs, Deans, Directors, Dept. Chairs - Records of continuing value are to be transferred to Archives, office of origin to destroy all others.
Lecture and Lecture Series Records • Committee Minutes/Notes • Financial Support Records • Lecture Recordings and Transcripts • Program Records and Announcements	Department or Program Sponsor/Archives	Until no longer needed for reference (transfer all but financial records to archives*)		
Volunteer Registration, Waiver, & Release Forms	Originating Department	3 years after separation		
Sexual Offender Registry Checks (for University sponsored activities/events where participants are minors)	Office of Originating Department	3 years from date of activity or event	University Policy	
Accounting Records				
Requisitions with supporting documentation	Originating Department	7 years	45 C.F.R. § Sec. 74.53	
Successful Bids and Proposals	Originating Department	6 years after completion of terms	45 C.F.R. § Sec. 74.53	
Unsuccessful Offers (Bids and Proposals)	Originating Department	3 years	45 C.F.R. § Sec. 74.53	
Receipts (Income) & supporting documentation	Originating Department	3 years	BoardSource	
Credit Card/One Card Data - (DO NOT TRANSFER THIS DATA TO ADMINISTRATION & FINANCE VIA CAMPUS MAIL)	Office of Finance & Administration	5 years	Payment Card Industry's Data Security Standard (PCI DSS)	Originating department cannot keep sensitive data due to Red Flag Policy. PCI DSS requires PAN (Primary Account Number) to be <i>rendered unreadable</i> and stored under lock & key with the names of personnel who have access documented.
Accreditation Records				

<ul style="list-style-type: none"> • Evaluation Reports from Accreditation Organizations • Final Reports sent to Accreditation Organizations • Self-evaluation Reports/Internal Studies • Statistical Data • Working Papers 	Registrar's Office/Archives	Permanent	BoardSource & University Practice	Retain 2 copies of Internal Studies, marked as Record Copy. Send one to University Archives along with supporting papers and one retained in the office of origin.
Admissions Records - Applicants Who Do Not Enroll				
Acceptance Letter	School of Law - Admissions	1 year after application term	AACRAO	
Advanced Placement Results	School of Law - Admissions	2 years after application term	AACRAO	
Applications	School of Law - Admissions	2 years after application term	AACRAO	
Correspondence (ALL)	School of Law - Admissions	2 years after application term	AACRAO	
Entrance Exam Results/Scores	School of Law - Admissions	2 years after application term	AACRAO	
Letters of Recommendation	School of Law - Admissions	2 years after application term	AACRAO	
Military Records	School of Law - Admissions	2 years after application term	AACRAO	
Requests to Update Application	School of Law - Admissions	2 years after application term	AACRAO	
Recruitment Records	School of Law - Admissions	2 years after application term	AACRAO	
Transcripts (high school and college)	School of Law - Admissions	5 years after application term	AACRAO & Departmental Policy	
International Student Records	School of Law - Admissions	2 years after application term	AACRAO	
Admissions Records - Applicants Who Do Enroll				
Acceptance Letter	School of Law - Admissions	5 years after graduation or date of last attendance	AACRAO	
Advanced Placement Results	School of Law - Admissions	5 years after graduation or date of last attendance	AACRAO	
Applications	School of Law - Admissions	5 years after graduation or date of last attendance	AACRAO	
Correspondence (ALL)	School of Law - Admissions	5 years after graduation or date of last attendance	AACRAO	
Entrance Exam Results/Scores	School of Law - Admissions	5 years after graduation or date of last attendance	AACRAO	
Letters of Recommendation	School of Law - Admissions	Destroy when admitted	AACRAO	
Military Records	School of Law - Admissions	5 years after graduation or date of last attendance	AACRAO	
Placement Test Results/Scores	School of Law - Admissions	5 years after graduation or date of last attendance	AACRAO	
Readmission Records	School of Law - Admissions	5 years after graduation or date of last attendance	AACRAO	
Recruitment Records	School of Law - Admissions	Destroy when admitted	AACRAO	

Waivers of Rights to Access	Datatel/Registrar's Office /various departments as applicable	Permanent or until terminated by student	FERPA	
Transcripts (high school and college)	School of Law - Admissions	Permanent	AACRAO	
International Student Records	School of Law - Admissions	5 years after graduation or date of last attendance	AACRAO	
Certification Data/Records (Official Copy)				
Enrollment Verification	School of Law - Registrar's Office	1 year after verification	AACRAO	
Social Security Verification	School of Law - Registrar's Office	1 year after verification	AACRAO	
Teacher Certification	School of Law - Registrar's Office	1 year after verification	AACRAO	
Veterans Administration	School of Law - Registrar's Office	3 years after graduation or date of last attendance	AACRAO	
Course Work Records				
Examinations, Tests, Term Papers, & Homework Records	Various academic depts. & faculty offices	1 year after end of term	AACRAO	
Grade Book	Various academic depts. & faculty offices	5 years after graduation or date of last attendance	AACRAO	
Student Exams/Papers	Various academic depts. & faculty offices	1 year after end of term	AACRAO	
Thesis & Dissertation Records	Various academic depts. & faculty offices	Permanent		
Faculty Course Questionnaires	Faculty Senate	3 years from end of employment		
Curriculum and Instruction Records				
Academic Program Administrative Records	School of Law - Registrar's Office, Institutional Research, Student Database			
* Add/Drop Reports		1 year after semester		
* Course Enrollment Summaries		Permanent		
* Graduation Summaries		Permanent		
* Registration Reports		Permanent		
* Summer Term Reports	Permanent			
Course Catalog & Schedule of Courses	Registrar's Office	3 years		
Course Records	School of Law - Registrar's Office	Until no longer needed for reference		
* Class Roster				
* Course Proposals				
* Degree Requirements	School of Law - Registrar's Office	Indefinitely		
* Syllabi	Originating Department	Until no longer needed for reference		
New Degree Records	School of Law - Registrar's Office	Indefinitely		
Employee Records (Departmental Level)				

Employee Working Files (Official Personnel File is held in HR or Provost's Office [Faculty])	Originating Department	6 years after separation	FACTA	Sensitive data - secure/locked storage
Official Employment & Termination Agreements	Human Resources	Permanent	FACTA	Sensitive data - secure/locked storage
Official Records Relating to Promotion, Demotion, or Discharge	Human Resources	6 years after separation	FACTA	Sensitive data - secure/locked storage
Confidentiality Agreements	Originating Department	6 years after separation		
Search Committee Records (Full-Time Positions) • Applications • Committee Meeting Minutes • Interview Materials • Letter of Offer/NonOffer • Letters of Recommendation • Resumes & Transcripts	Human Resources Department/ Archives	3 years from creation of record unless an action involved Note: Application of the successful candidate becomes part of the employee's personnel file.	FACTA UGESP - Title VII/ Executive Order 11246	Sensitive data - secure/locked storage Send organization meeting minutes, charge to committee, & record of process to Archives. Do not send candidate information.
Faculty Senate Records (including Academic Freedom & Tenure Hearing Committee and Grievance Committee)				
Agendas & Minutes -Faculty Senate and their committees	Registrar's Office/University Archives	Permanent/5 Year Transfer	University Practice	
Award records • Winners' names and information • Nomination packets	Office of the Provost	Permanent 5 years	University Practice	
Election/ Ballot Records • Ballots • Results	Registrar's Office/University Archives	Ballots- 5 years Results - Permanent	University Practice	
Faculty Handbook	Current edition - website; older editions Provost's office/University Archives	Permanent/Yearly Transfer	University Practice	
Governing documents: Faculty Senate Bylaws & Instrument for the Internal Governance	Current edition - website; older editions Provost's office/University Archives	Permanent/5 Year Transfer	University Practice	
Membership lists	Registrar's Office/University Archives	Permanent/5 Year Transfer	University Practice	
Policies and Procedures	General Counsel Website	Permanent/5 Year Transfer	University Practice	
Academic Freedom & Tenure Hearing Committee and Grievance Committee Records • Grievance case files • Litigation case files • Other confidential files • Public files (meeting minutes, reports, etc.)	Provost's Office	5 years from the date the case is closed	University Practice	
Reports	Registrar's Office/University Archives	Permanent/5 Year Transfer	University Practice	

Resolutions, Motions, & Enactments	Registrar's Office/University Archives	Permanent/5 Year Transfer	University Practice	
Studies	Registrar's Office/University Archives	Permanent/5 Year Transfer	University Practice	
Surveys	Registrar's Office/University Archives	Permanent/5 Year Transfer	University Practice	
Working Papers - misc.	Registrar's Office/University Archives	Until no longer needed	University Practice	
Chair's & other officer's records	Registrar's Office/University Archives	Until no longer needed	University Practice	
Correspondence	Registrar's Office/University Archives	Until no longer needed	University Practice	
Notes	Registrar's Office/University Archives	Until no longer needed	University Practice	
Request for Formal Hearing	Registrar's Office	Permanent	FERPA	
FERPA (Family Educational Rights & Privacy Act) Records				FERPA rights begin with date of enrollment
Request for Formal Hearing	Registrar's Office	Permanent	FERPA	
Request and Disclosure of personally identifiable information	Registrar's Office	Permanent	FERPA	
Student Request for Non-disclosure of Directory Information	Registrar's Office/Database	Permanent or Until Terminated by Student	FERPA	
Student Statement on Content of Records - Hearing Panel Decision Re:	Registrar's Office	Permanent	FERPA	
Student's Written Consent for Records Disclosure	Various departments as applicable	Permanent or until terminated by student	FERPA	
Waivers of Rights to Access	Registrar's Office /various departments as applicable	Permanent or until terminated by student	FERPA	
Written Decisions of Hearing Panels	Registrar's Office	Permanent	FERPA	
Financial Aid Records				
Borrowers Loan Records * Institutional Loans * Repayment Schedules * Statements of Rights & Responsibilities * Records of Actions Taken * Related Coorespondence	Financial Aid Office	3 years after loan repayment or assignment to the U.S. Dept. of Education	34 C.F.R. § 668.24	
Federal Title IV, Program Records, Institutional Records * Accreditation Reviews & Reports * Any other record pertaining to factors of financial responsibility and standards of administrative capability * Audits and Program Reviews * Education Program Eligibility * Institutional Program Participation * Recertification	Financial Aid Office	(a) Agreement: 6 years after expiration (b) 3 years after the end of the award year in which the report was submitted Records pertaining to audit & program reviews	34 C.F.R. § 668.24	

		must be retained until resolution of the matter is closed		
Federal Family Education Loan & Direct Program Records * Applications * Disbursement Records * Promissory Notes * Student Status Confirmation Reports	Financial Aid Office	3 years after the end of the award year in which the student borrower last attended the University	34 C.F.R. § 668.24	
Financial Aid Annual Reports	Financial Aid Office	3 years after the end of the award year	34 C.F.R. § 674.8(c)	
Fiscal Records and Reports * Accreditation & Licensing Agency Reports * Annual Federal Fiscal Operations & Applications for Funds Report * Cash disbursements * ED Payment Management System Cash Requests & Reports * Federal Pell Grant Statements of Account * General Ledgers * Refunds and Repayments * State Grant & Scholarship Award Rosters & Reports * Title IV Program Reconciliation Reports * Title VI Program Transaction Records	Financial Aid Office	3 years after the end of the award year for which the report was submitted.	34 C.F.R. § 674.8(c)	
Pell Grant Reports	Financial Aid Office	3 years after the end of the award year for which the award was submitted		
Perkins Loan Program Records	Financial Aid, Bursar's, or Finance Office	3 years after the end of the award year for which the award was awarded	34 C.F.R. § 668.24	
Student Financial Aid Records * Affidavit of Lawful Presence * Applications * Award Letters * Eligibility Records * Payment Records * Repayment Agreements	Financial Aid Office	10 years after the end of the award year in which the student last attended the institution	34 C.F.R. § 668.24	
Work Student Program Administrative Records * Award Letters * Job Descriptions * Payment Records * Related Correspondence	Financial Aid Office or relevant Academic or Administrative Office	3 years after the award year for which aid was awarded	34 C.F.R. § 668.24 (e)	
Grant Records				
Grant Applications & Contracts	Originating Department	7 years after Completion	BoardSource	
International Students				

International Student's Records-F1 need I-20 J DS2019	International Programs Office	Recommendation to keep at least one year following notification to USCIS of reasons for departure (F-1 & M-1 visas). For J-1, must keep for at least three years after they graduate.	8 C.F.R § 214.3(g);22 C.F.R. § 62.10(h)	
Study Abroad Student & Staff Records	International Programs Office	5 years		
International College Student & Staff Records	International Programs Office	5 years		
International Admissions Records	Office of Admissions	5 years (Hold Transcripts Permanently)		
International Scholars Records	Registrar	5 years		
Labor certification/applications	International Programs Office	5 years from date of application/certification is filed	20 C.F.R. § 656.10(f)	
Labor Condition Applications	International Programs Office	One year after application expires	20 C.F.R. § 655.760	
Legal & Insurance Records				
Certificates of Insurance as related to contracts & facility use.	Originating Department or Administration & Finance	6 years after completion of terms or until superseded		Certificates need to be reviewed by University's insurance provider in areas of significant potential liability, prior to the event.
Library, Museum, and Collection Records				
Collection and Artifact Records • Acquisition Logs • Appraisal and Valuation Records • Background Records • Donor Agreements/Records • Inventory Lists • Loan Records • Ownership Records • Purchasing Records • Registration Records	Library Collection, or Museum Curator	Minimum of 3 years		
Inter-Library Loan Records	Library	3 years		
Publications, Promotions and Alumni Records				
Photographs	Univeristy Archives	Permanent/Transfer Yearly		
University Published Material • Books • Brochures • Catalogs • Directories • Magazines • Media Guides • Newsletters	University Archives	Permanent/Transfer Yearly		
Policies & Procedures Records (University & Departmental)				
Handbooks	Originating	Permanent.		All handbook changes should be documented

Mission & Policy Statements Official Procedure Guidelines Organizational Charts Strategic Planning Documents	Department/ Archives*	Previous policies should be retained for 5 years post-revision unless a separate document memorializes the changes.		and sent to Archives.
Registration and Attendance/Academic Progress Records				
Academic Action Authorization (dismissal)	School of Law - Registrar's Office	5 years after graduation or date of last attendance	AACRAO	
Academic Record	School of Law - Registrar's Office	Permanent	AACRAO	
Advanced Placement and Other Placement Tests	School of Law - Registrar's Office	5 years after graduation or date of last attendance	AACRAO	
Advising Notes	School of Law - Registrar's Office	5 years after graduation or date of last attendance	AACRAO	
Application for Graduation	School of Law - Registrar's Office	1 year after graduation or date of last attendance	AACRAO	
Application for Admission or Readmission	School of Law - Registrar's Office	1 year after date submitted	AACRAO	
Audit Authorization	School of Law - Registrar's Office	1 year after date submitted	AACRAO	
Change of Course (Drop/Add)	School of Law - Registrar's Office	1 year after date submitted	AACRAO	
Change of Grade	School of Law - Registrar's Office	Permanent	AACRAO	
Class Roster (Original Grades)	School of Law - Registrar's Office	Permanent	AACRAO	
Class Schedules (Students)	School of Law - Registrar's Office	1 year after graduation or date of last attendance	AACRAO	
Correspondence (ALL)	School of Law - Registrar's Office	5 years after graduation or date of last attendance	AACRAO	
Credit by Exam Report/Scores	School of Law - Registrar's Office	5 years after graduation or date of last attendance	AACRAO	
Credit/No Credit Approval (Audit, Pass/Fail)	School of Law - Registrar's Office	1 year after date submitted	AACRAO	
Curriculum Change Authorization	School of Law - Registrar's Office	5 years after graduation or date of last attendance	AACRAO	
Degree Audit Record	School of Law - Registrar's Office	5 years after graduation or date of last attendance	AACRAO	
Disciplinary Action Record	School of Law - Registrar's Office	5 years after graduation or date of last attendance	AACRAO	
FERPA Record	School of Law - Registrar's Office	As long as relevant student records are retained.	FERPA	
Foreign/International Student Records (INS Record)	School of Law - Registrar's Office	5 years after graduation or date of last attendance	AACRAO	
Grade Report (Registrar's copies)	School of Law - Registrar's Office	1 year after date submitted	AACRAO	
Graduation List	School of Law - Registrar's Office	Permanent	AACRAO	

Graduation Authorization	School of Law - Registrar's Office	5 years after graduation or date of last attendance	AACRAO	
Hold or Encumbrance Authorization (ALL)	School of Law - Registrar's Office	Unit released	AACRAO	
Military Record	School of Law - Registrar's Office	5 years after graduation or date of last attendance	AACRAO	
Name Change Authorization	School of Law - Registrar's Office	5 years after graduation or date of last attendance	AACRAO	
Pass/Fail Record	School of Law - Registrar's Office	1 year after date submitted	AACRAO	
Personal Data Information Record	School of Law - Registrar's Office	1 year after graduation or date of last attendance	AACRAO	
Registration Record	School of Law - Registrar's Office	1 year after date submitted	AACRAO	
Transcript Request (student's)	Registrar's Office	1 year after date submitted	AACRAO	
Transfer Credit Evaluation	School of Law - Registrar's Office	5 years after graduation or date of last attendance	AACRAO	
Tuition Appeals	School of Law - Registrar's Office	10 years from date of appeal		
Withdrawal Authorization	School of Law - Registrar's Office	2 years after graduation or date of last attendance	AACRAO	
Working Documents	School of Law - Registrar's Office	5 years after graduation or date of last attendance	AACRAO	
Student Records				
Admission Records	Admissions & Registrar	Accepted Students - 5 years after graduation or last date of attendance. Rejected Students - 1 year		
Background Check Reports	Originating Department	5 years after graduation or date of last attendance		Students who require Background Checks for their course of study.
Commencement Records	School of Law - Registrar's Office	Permanent		
Enrollment Reports	Institutional Research	5 years		
Examinations, Test, Term Papers, & Homework Records	Various academic depts. & faculty offices	1 month after end of term	AACRAO	
Grade Sheets	School of Law - Registrar's Office	Permanent		
Grade Reports	School of Law - Registrar's Office	5 years after graduation or date of last attendance	AACRAO	
Grievance Records - Academic	School of Law - Registrar's Office	5 years from date of last attendance		
Students with Disabilities Records				
Disability services provided for students	Disability Support Services	5 years after student's last contact with office		
Publications, Promotions and Alumni Records				
Photographs	Originating Department/Archives*	Permanent/Transfer Yearly		
University Published Material • Books	Originating Department/	Permanent/Transfer Yearly		

- Brochures
- Catalogs
- Directories
- Magazines
- Media Guides
- Newsletters
- The Torch & The Beacon

Archives*

Valparaiso University
Records Management, Retention, and Destruction By Department
*If your department is not the creator of the record and not responsible for retaining the record,
then you should destroy when it is no longer relevant or useful.*

Note: This list should be updated each year and submitted to the Office of General Counsel.

Records Management Schedule - Vice President for Advancement - Office of Advancement				
Type of Record	Location	Retention Time	Related Authority	Notes
Administrative Records		Hardcopy/Electronic Records		
Annual Reports	Originating Department/ Archives*	Permanent/5 Year Transfer	BoardSource	
Contracts & Leases	Originating Department	7 years after completion of terms	45 C.F.R. § Sec. 74.53 & IC 34-13-1-1	
Board of Director's Compensation Committee	General Counsel	5 Years	Board Policy	
Committee Records (Departmental, Event, Ad-hoc) • Agendas • Meeting Minutes • Reports • Working Papers • Related documentation and correspondence	Secretaries/ Chairs of Committees /Archives*	Permanent/5 Year Transfer	University Practice	<ul style="list-style-type: none"> • Registrar to copy minutes of Faculty Senate, University Council, and Standing Committees. • 1 copy to Archives • Upper administration should document the purpose & process of committees that report to them & transfer to Archives
Correspondence, General Administrative • Communications received or sent which contains significant information about the programs of a unit and/or routine matters.	Originating Department/ Archives	Permanent/5 Year Transfer	University Practice	Provost, VPs, Deans, Directors, Dept. Chairs - Records of continuing value are to be transferred to Archives, office of origin to destroy all others.
Volunteer Registration, Waiver, & Release Forms	Originating Department	3 years after separation		
Sexual Offender Registry Checks (for University sponsored activities/events where participants are minors)	Office of Originating Department	3 years from date of activity or event	University Policy	
Accounting Records				
Requisitions with supporting documentation	Originating Department	7 years	45 C.F.R. § Sec. 74.53	
Successful Bids and Proposals	Originating Department	6 years after completion of terms	45 C.F.R. § Sec. 74.53	
Unsuccessful Offers (Bids and Proposals)	Originating Department	3 years	45 C.F.R. § Sec. 74.53	
Receipts (Income) & supporting documentation	Originating Department	3 years	BoardSource	
Credit Card/One Card Data - (DO NOT TRANSFER THIS DATA TO ADMINISTRATION & FINANCE VIA CAMPUS MAIL)	Office of Finance & Administration	5 years	Payment Card Industry's Data Security Standard (PCI DSS) and PL 108-159	Originating department cannot keep sensitive data due to Red Flag Policy. PCI DSS requires PAN (Primary Account Number) to be <i>rendered unreadable</i> and stored under lock & key with the names of personnel who have access documented.
Alumni Records				
Alumni Association Minutes	Office of Institutional Advancement/ Archives*	Permanent/5 Year Transfer		

Student Demographic Information (Electronic student data including student characteristics, date of birth, former names, address information, photo ID and ethnic information, etc.)	Office of Institutional Advancement/ Archives*	Permanent/20 Year Transfer		
Employee Records (Departmental Level)				
Employee Working Files (Official Personnel File is held in HR or Provost's Office [Faculty])	Originating Department	6 years after separation	FACTA	Sensitive data - secure/locked storage
Official Employment & Termination Agreements	Human Resources	Permanent	FACTA & BoardSource	Sensitive data - secure/locked storage
Official Records Relating to Promotion, Demotion, or Discharge	Human Resources	6 years after separation	FACTA	Sensitive data - secure/locked storage
Confidentiality Agreements	Originating Department	6 years after separation		
Search Committee Records (Full-Time Positions) • Applications • Committee Meeting Minutes • Interview Materials • Letter of Offer/NonOffer • Letters of Recommendation • Resumes & Transcripts	Human Resources Department/ Archives	3 years from creation of record unless an action involved Note: Application of the successful candidate becomes part of the employee's personnel file.	FACTA UGESP - Title VII/ Executive Order 11246	Sensitive data - secure/locked storage Send organization meeting minutes, charge to committee, & record of process to Archives. Do not send candidate information.
Gift Records				
Gifts Records • Agreements • Copies of Bequest Instruments • Financial Statements and Reports • Fund Disbursement Records	Office of Vice President Of Institutional Advancement	Permanent	BoardSource	
Fundraising Records • Donor Records • Event Planning Records • Fundraising Request Records • Public Relation Records	Office of Vice President Of Institutional Advancement	7 Years	BoardSource	
Alumni Database	Alumni Relations	Permanent		
Alumni Records • Event Planning Records • Mailing Lists • Membership Lists • Related Correspondence	Office of Alumni Relations	5 Years or until superseded		
Legal & Insurance Records				
Certificates of Insurance as related to contracts & facility use.	Originating Department or Administration & Finance	6 years after completion of terms or until superseded		Certificates need to be reviewed by University's insurance provider in areas of significant potential liability, prior to the event.
Policies & Procedures Records (University & Departmental)				
Handbooks Mission & Policy Statements Official Procedure Guidelines Organizational Charts	Originating Department/ Archives*	Permanent. Previous policies should be retained for 5		All handbook changes should be documented and sent to Archives.

Strategic Planning Documents		years post-revision unless a separate document memorializes the changes.		
Publications, Promotions and Alumni Records				
<i>Photographs</i>	<i>Originating Department/Archives*</i>	<i>Permanent/Transfer Yearly</i>		
University Published Material <ul style="list-style-type: none"> • Books • Brochures • Catalogs • Directories • Magazines • Media Guides • Newsletters • The Torch & The Beacon 	<i>Originating Department/Archives*</i>	<i>Permanent/Transfer Yearly</i>		