

ARCHIVES & RECORDS MANAGEMENT MANUAL



2019 Edition

Andrews  University
University Archives & Records Center

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INTRODUCTION

Government, business, academic, and church entities maintain robust records management and archives programs to direct and facilitate proper management of official records through the full records life cycle, from creation through destruction or permanent preservation. Records management programs are vital to ensuring the entity follows all applicable laws, regulations, and good practices related to the management and use of records created in the course of its “business.” Records management informs employees regarding how to handle their records, how long they should be kept, who may access the record, and how the record is handled when it is no longer current or needed in the office. Archives serve a variety of administrative, financial, legal, social, and historical purposes. These records may provide guidance to administrators, faculty, staff, and students, as well as provide resources for research. Organizations maintain archives for the preservation of records documenting institutional policies, procedures, and activities.

The Andrews University Archives serves this function for this campus. The Archives program encompasses the full scope of records management work—guiding in the management of records in the office—as well as the archival or long-term storage of non-current records through to the records ultimate disposition—either permanent archival preservation or destruction.

The University Archives serve two distinct purposes:

- To assist all Andrews University personnel in organization and management of office records while they are current. This also includes the records non-current phase and their final disposition.
- Permanent preservation of historically significant records and other records the University is required to maintain for legal or fiscal purposes. In this phase specified records may be available to the public for research purposes. Also included are the personal and professional papers of selected University administrators, faculty, staff, students, and alumni.

This manual, prepared by the staff of the Archives, will help University offices maintain well-organized current (active) files, and provide guidance for transfer of appropriate non-current (inactive) University records to the Archives. Questions concerning these policies and procedures should be directed to the Andrews University Archives located at the Center for Adventist Research, James White Library, 4190 Administration Drive, Berrien Springs, Michigan, 49104-1440. Telephone: (269) 471-3373. Fax: (269) 471-2646, e-mail: archives@andrews.edu.

The term archives is used in this *Manual* to refer to any record that is not current and is placed in storage (see p. 6 for definitions of commonly used terms). The Archives hold records with various levels of permanence and accessibility. Some records will be retained permanently and, after a specified period of years, opened to the general public for research purposes. Other records, especially those of a sensitive nature, may remain closed permanently and be open only to the office of origin. Records with no further value to the University may be destroyed. These periods and accessibility are determined by Records Retention Schedules. See Appendix H. The University Archivist is available to assist in developing a customized Records Retention Schedule for each office, department, and school or revising the existing one if necessary.

Definitions & Basic Principles

Archives (archives)

In this Manual, the term Archives typically means the entity or office responsible for the management and preservation of University records, encompassing the whole scope of the function performed by this entity as enumerated in this Manual.

An area in the University Archives designated for storage of non-current records, manuscripts, papers, and memorabilia retained permanently for administrative, financial, legal, social, or historical reasons. The Archives, in this sense, is the publicly available side of the Andrews University Archives. All records in the Archives are open for public use. Permanently held records closed for public use stay in the Records Center. See also Records Center.

As a verb, the terms archive, archived, and archiving refer to the processes of managing or storing non-current (inactive) records.

Andrews University Archives (Archives)

The Andrews University Archives is the designated University office responsible for facilitating the University's management of its current as well as non-current records. The Archives promotes good practice in records management across the institution. The Archives guides in the selection and preserves University records with long-term value. Physical access to the Archives is via the Center for Adventist Research (CAR) located in the James White Library.

Center for Adventist Research (CAR)

The Center for Adventist Research is a special library collection focused on Seventh-day Adventist resources. Included in the Center is the Ellen G. White Estate Branch Office, the James White Library Rare Material Collection, the Adventist Digital Library, and the Andrews University Archives. The Center serves as the public outlet for the University Archives and the provider of access to many University publications. Most users of University Archives records will do so at CAR under access policies set by the Andrews University Archives Committee.

Disposition or Disposal

The final stage in a record's life cycle. The timing of disposal or disposition is specified in the governing Records Retention Schedule. Disposal may be done in the office, transfer to inactive storage with destruction at a specified later date, or by transfer to the University Archives for permanent preservation. See Records Life Cycle below.

Digital Records

Many records begin in digital format—created using a computer—rather than in paper form. The Archives has the capacity to receive and store digital records via its digital dropbox. Text documents are stored in PDF format. The Archives also retain final edited copies of audio-visual records of programs.

Family Educational Rights and Privacy Act (FERPA)

Federal law protecting the privacy of student educational records. FERPA regulations applies to all offices of the University. See Records Retention Schedules for Student Records, Appendix H.

Office of Origin

The office where a given record or record series was originally created or accumulated. The Office of Origin retains jurisdiction over records until they reach their final disposition phase where they are either destroyed/disposed of or become publicly available through the Archives.

Public or Publicly Available

Records available to individuals outside of the office of origin. This typically is after a record reaches its final disposition phase and becomes open for public access.

Records

See **University Records (pg. 8)**

Records Center

Where records in their non-current phase are kept in the University Archives. The University Archives, functionally, includes the Records Center where non-current records are kept, closed to the public, for a period of time specified by the Records Retention Schedule; and the Archives where records of permanent value to the University are available for public use. See also: Archives.

Records Coordinator

The records coordinator of a University office, department, committee, school, or organization maintains regular communication with office personnel and with the Archives to ensure that files are managed in harmony with established Record Retention Schedules. The records coordinator trains other office personnel and promotes the orderly transfer and/or disposal of non-current records. Records coordinators consult with the University Archivist when they have questions about their records.

Record Series

A group of related records or documents, such as minutes, syllabi, etc. that are normally used and filed as a group because they result from the same activity. A series is the basic unit for retention scheduling purposes.

Records Life Cycle

Current Records (Active Records)

Records needed on a regular basis to conduct the current business of an office. They are kept in or near the office of origin or place of need.

Non-Current Records (Inactive Records)

Records not needed on a regular basis and needed by the office once a year or less. They could be stored at a location further from the office of origin or need or be sent to the University Archives.

Disposition (final placement)

Records at the end of their non-current phase are either destroyed/discarded or transferred to the Archives for permanent preservation and possible public use.

Non-Current Closed Records

Records that are not open to the public, nor to any Andrews University employee, except to authorized personnel from the office of origin. Archives staff have access but only for management purposes. Applicable State and Federal laws, as well as University policies governing the Andrews University Archives determine closure of records. Closed records may be in the office of origin or in the Records Center.

Records Management

The management of University records from their creation, through their current (active) and non-current (inactive) phases to final disposition—the full Records Life Cycle.

Records Retention Schedule

A document or timetable that lists records created and maintained in an office or entity. Beside each series or record name it indicates how long these records are retained in the office of origin, in the Records Center, and what its final disposition will be.

Retrieval

When the office of origin needs access to a record previously transferred to the Records Center or Archives. The office will contact the University Archivist. Only those authorized by the office of origin may access records not in the publicly available Archives.

University Records

Any record, in any form or medium, created, owned, used, in the possession of, or retained by an Andrews University faculty, administrator, and staff in the performance of duties for which they received compensation. University records are University property.

ANDREWS UNIVERSITY ARCHIVES POLICY

The following is from the Andrews University Working Policy, available online at <https://bulletin.andrews.edu/content.php?catoid=9&navoid=1802>, [Section 1:736](#).

The Andrews University Working Policy

Documents, Records, & Archives

Legal Documents of the University

The legal documents of the University such as the charter, titles, deeds, and seal, rest in the custody of the president who may delegate responsibility for protection of these items to other officers of the University.

Archives and Records of the University

The Andrews University Archives (Archives), located at the Center for Adventist Research of the James White Library, manages all University records and protects the Archives of the University. The Andrews University Archives Committee establishes policies for management of records and the Archives in harmony with generally recognized standards.

University Records

University records are defined as all official administrative records, regardless of their form or format, whether published or unpublished, paper, audio visual or digital, that are created, owned, used, in the possession of or retained by the executive officers and staff of central administrative offices, deans and staff of the respective colleges, schools, departments, administrative offices, centers, institutes, museums, the library and any other University entity. Faculty teaching materials and class records are not considered University records.

All University records belong to Andrews University and are managed according to established Andrews University policies.

Retention and disposition of records generated by University entities follow the procedures outlined in the Andrews University Archives Management Manual. The above mentioned University administrators, faculty and staff in cooperation with the Andrews University Archives are responsible to ensure that these records are properly managed and transferred to the Archives for retention in accordance with the established Records Retention Schedules (see Appendix H and website).

Access to Records

All University records are closed to users outside the office of origin unless specifically opened by the originating office. Closure decisions and closure durations are subject to compliance with University policy and applicable laws.

Archives & Records Management Policy Summary

Each administrative office at the University generates unique records, owned by the University, in the course of conducting daily business. The intent of this policy and its associated procedures is to ensure that all University offices, with guidance from the University Archives, take responsibility for the proper management of University records to ensure compliance with legal and financial requirements, satisfy local administrative needs, and identify and preserve permanently significant records.

The University Archives, under authority from Andrews University Working Policy 1:736, is responsible for establishing records management procedures and records retention schedules so University records are handled in an appropriate manner throughout their life cycle. Collaboration among the Office of Origin, the General Counsel's office, and the University Archives will ensure active records are available for University use, archival records are retained for research purposes in the University Archives, and that inactive records are disposed of in accordance with established procedures and schedules.

The Records Center, a component part of the University Archives, holds University records no longer required in the office of origin but not yet ready to be disposed of or transferred to the Archives for permanent preservation.

The Andrews University Archives, located in the James White Library within the Center for Adventist Research, documents the history, growth, and development of the University. The University Archives contains the official records of the University as well as related personal collections acquired from students, alumni, and other donors.

The personal collections of the Andrews University Archives will be made available in accordance with the rules and regulations of the Center for Adventist Research.

Collection Focus

The Andrews University Archives collects official institutional records. A University record is any information, regardless of physical form or characteristics, which serves to document the organization, functions, policies, or other activities of the University. Any record produced or received by any University school, department, agency, or employee in the transaction of University business becomes an official record. The personal papers and other documents of affiliated individuals, such as professors, staff, and students, are not actively collected by the University Archives and are generally transferred to the Center for Adventist Research.

Collecting Areas

The University Archives collection development policy includes anything produced by or for the University. See the Records Retention Schedules for more details, but the following give a sense of the scope of the collection.

- University publications, general and special, including catalogs and bulletins, newsletters, press releases, and promotional material
- Records of the administrative offices, academic departments, and governing bodies of the University including minutes, correspondence, memoranda, and reports
- Architectural and landscaping plans, blueprints and artists' renderings, maps, master and strategic plans, and other campus planning documents
- Records of student organizations and activities, including minutes, correspondence, publications, ephemera, memorabilia, including posters and brochures
- Audio and visual material, including photographs and photo albums, negatives, motion pictures, audiotape
- Material from alumni and their organizations, including organizational records, publications and ephemera, when such materials are judged to reflect significant events and aspects of the University's history

Access to Collections

University Archives access policy allows the office of origin exclusive access to their records stored in the Records Center portion of the Archives. If anyone else wishes to see any of these records, permission must be given by an administrator in the office of origin. Depending on the applicable records retention schedule, records may remain in the Records Center a short time or permanently.

University Archives collections are open to the public unless one of the following restrictions applies:

- Institutional Records may be closed for periods specified in the Records Retention Schedule, from 5 years to permanently closed, as designated by the office of origin in consultation with the University Archivist.
- Student Academic Records are restricted during the lifetime of the student subject to the provisions of the Federal Family Education and Privacy Rights Acts (FERPA) of 1974.

- Faculty and Professional Staff Files are closed until 100 years after the person's year of birth or five years after the person's year of death, whichever is longer.
- Records related to faculty or staff personnel matters such as those pertaining to appointment, employment, performance evaluation, payroll/salary information, disciplinary action, and similar personnel matters are permanently restricted.
- Records created donated by individuals or organizations outside of the University (including alumni) may be restricted at the discretion of the donor in consultation with the University Archivist for an approved limited period to protect personal information or privacy. The restriction will be recorded in the finding aid.

Once a record is transferred to the Archives portion of the University Archives, it may be accessible by the public. In accordance with the standard professional policy on access adopted jointly by the [Society of American Archivists and the American Library Association](#), the Andrews University Archives is committed to making research materials available to users on equal terms of access. Before staff provide access to collections within the University Archives, users must sign a "Researcher Registration and Use" form.

Research use of the University Archives is by appointment only. Make an appointment by contacting the University Archivist at archives@andrews.edu.

Current photo identification—AU ID card or driver's license—must be presented in order to use the Archives.

Researchers must complete a signed Researcher Registration form. Access the form at <https://www.andrews.edu/services/archives/forms/registration-form.html>.

Using the Collections

University records, that are in the Archives, meaning they are open to the public, may be used by any researcher who meets the criteria of a credible researcher. Records may be used only in the Center for Adventist Research Reading Room or in the work area adjacent to the University Archives office. Please refer to the Center for Adventist Research Patron Policies, available at the Center's web page at <http://www.centerforadventistresearch.org/> for more information on conducting research at the Center and the University Archives.

Reproduction, Citation, and Copyright

The University Archives is willing to make necessary and limited number of copies, either paper or scans, of records, housed in the Records Center, required for University business use. If extensive copying or scanning is necessary, the records may be recalled temporarily to the office of origin to allow them to make the necessary copies. Copies made by or for the office of origin are not bound by normal copyright rules since the records originated there and they have the authority to do what they wish with their own records as if they were still in their office.

Records in the Archives may be copied or scanned according the Center for Adventist Research Patron Policies. All copies of University archival records, made in or by the University Archives and/or Center for Adventist Research, by or for researchers is done under the fair use provisions of the U.S. Copyright Act (Title 17, U.S. Code). Please refer to the Center for Adventist Research Photocopy and Scanning Policy.

The University Archives reserves the right to refuse duplication of materials if it may damage the originals.

Researchers may use their own cameras to photograph items, as long as it does not damage the record and does not violate the U. S. copyright laws.

Preservation

The University Archives strives to physically preserve as far as possible the records that come to it for storage in the Records Center and for permanent retention and research use in the Archives. The Archivist follows best practices for the archives and records management industry. Selected physical records may be reformatted to digital for preservation or space purposes and then the original may be discarded. Preservation of digital records follow best practices for this type of record.

APPLICATION & IMPACT

Documents recording the development and implementation of University policy and the fulfillment of its mission are essential to the performance of the University and for providing an accurate reflection of the activities and accomplishments of the institution. Thus, all University administrators, offices, committees, and organizations have a responsibility, in cooperation with the Andrews University Archives, to maintain records properly. If you receive a paycheck from Andrews University, you are included in the provisions of the Andrews University Archives program. If you work on the campus of Andrews University but receive a paycheck from another Seventh-day Adventist church entity your records may be included in the Archives program depending on the arrangement made with your controlling entity.

The Archives Program Applies To:

- Central Administration, including the Board and the Offices of the President, Provost, and Vice-Presidents, including the Associate and Assistant Vice-Presidents
- Colleges, schools, and divisions, including the Deans and Associate and Assistant Deans
- Departments, institutes, administrative offices, auxiliaries, libraries, museums, and centers, including the chairs, directors, curators, faculty, and staff
- Committees, at all levels of the institution, standing or ad hoc types. Committees are established to accomplish a specific task or set of tasks within the University system. Some committees, such as a department faculty, oversee a specific campus office or department. Others address campus-wide issues and tasks. All documents generated by committees are crucial to the understanding of the academic and administrative mission of the University and its various entities. These documents are important reference documents for future administrative activities.
- Student organizations, University-wide or departmental: academic, governance, honors, or social. Chairs and sponsors or all student organizations are responsible for records created and their proper maintenance through the records life cycle.
- Institutes, Study Centers, Centers, and other entities located on the Andrews University campus whose controlling entity is elsewhere may participate in the Andrews University Archives program with the authorization of their controlling entity. These entities may have their own archival program these offices may need to cooperate with.

Responsibility of the Office or Entity Generating Records

Each office should designate a faculty or senior staff member to act as records coordinator. For committees, the chair or secretary should act as a records coordinator.

1. The records coordinator should maintain regular communication with office personnel and with the Archives to ensure that files are managed in harmony with established Record Retention Schedules, and in such a way as to promote the orderly transfer and/or disposal of non-current records. Records coordinators should consult with the University Archivist if they have questions about the value of specific records for the Archives.
2. Records coordinators should initiate and coordinate the regular transfer of records to the Archives. Appendix B contains instructions for maintaining, boxing, and transferring records to the Archives. Forms for records transfer are available on the University Archives website, <http://www.andrews.edu/services/archives/>.
3. All activities of special purpose committees should be documented and those records be transferred to the Archives at the completion of the committees' task by the chair or secretary.
4. In recognition of the sensitive content of some records (e.g., search committees, personnel and disciplinary records), the University Archivist should be consulted with any questions about the value of specific records for the University Archives and any special handling that is needed.

RECORD CATEGORIES: KEEP OR TOSS?

What to Keep (See also Appendix C)

Records to transfer to the University Archives include, but are not limited to:

1. Administrative activities
 - A. Administrative files, correspondence, and topical files of offices, organizations, administrators, and leaders at all levels.
 - B. Audio-visual materials, including digital media, recordings and photographs
 - C. Personnel-related records, including search and promotion files
 - D. Records documenting departmental and office reviews and reports
 - E. Self-studies, reports, and site visit reports for professional and institutional accreditation processes
 - F. Development files, fund-raising, alumni contacts
2. Committees, boards, and councils
 - A. Agendas and minutes, with attachments
 - B. Committee records, (e.g. curriculum and special events)
 - C. Mission statement, terms of reference, and/or charge to the committee
 - D. Substantive correspondence
 - E. Reports by the committee
 - F. News releases and public statements
3. Student Records: Includes student records developed or maintained by Admissions, Academic Records, Student Financial Services, Student Life, and all other University offices. May include evaluations of undergraduate and graduate students relating to issues of professional competence and development, including masters and doctoral examinations. Records Retention Schedules for all student records (Appendix H) comply with legal requirements, including FERPA regulations.
4. Events
 - A. Digital media, recordings, and photographs of administrative officers, faculty, staff, students, and guests, of special occasions and events.
 - B. Activity schedules from organizations and offices
 - C. Charts/names of officers and participants in scheduled events
5. Publications, public statements, news releases, newsletters, and information pieces, including the following, should be sent to the Center for Adventist Research (CAR) for public access.
 - A. Publications of the Andrews University Press
 - B. Student publications, weekly or annually, such as *Student Movement*, *Cardinal*, *Cast*
 - C. Official publications, including *Focus*, the *Bulletin*, *Student Handbook*, annual Class Schedule Bulletin, promotional literature for public relations, fund-raising, or recruitment purposes
 - D. Professional journals published by the various schools and components of the University
 - E. Occasional papers and publications initiated by institutes, offices or individuals, such as *Shabbat Shalom*, Siegfried Horn Festschrift

What Not to Keep (See also Appendix D)

Records that normally are not transferred to the Archives, but may be discarded when their administrative (current) use is completed include:

1. Correspondence and administrative files documenting routine activities such as room scheduling, travel plans, etc.
2. Duplicate items
3. Routine financial records not generated by the office (See Appendix H and page 13 for specific information)
4. Documents distributed widely to University offices but not generated by the office
5. Non-University printed material received by the office and retained temporarily as a reference file

RECORD SERIES REQUIRING SPECIAL CONSIDERATION

Some records require special handling and/or special processing. The following list represents some, but not all, records that may need special consideration. Please refer to the general information (pages 6-8) for basic concepts.

Digital Records

University records include those in digital format. They may be stored on various media, including the campus network. They may be printed out and filed as paper records. Although digital format records are in a different format than paper records and may require different handling, they are still University records and require the same careful management. It is important to address administrative, financial, legal, and historical concerns during their creation, maintenance, transfer, and disposition. Please refer to the general information (pages 6-8) for the basic concepts.

Responsibility of the Offices Generating Digital Format Records when archiving

1. Digital records of any type must be documented clearly, with titles and folders that clearly demonstrate their origin, structure, and purpose. Early consultation with the Archives in these matters is highly recommended to ensure the ability to retain historically valuable information.
2. Only digital mail (e-mail) of an executive or non-routine nature should be retained. Routine and junk digital mail, such as systems notifications, mass mailings, and delivery and read receipts should be deleted.
3. As far as possible, digital records should be in PDF (Adobe) format when transferred to the Archives. This keeps them from easy alteration, and PDF is a standard format for archival purposes.
4. Digital records transferred to the archives in physical media (e.g., discs or flash drives) should be labelled with name of the office of origin, series name, date, and information about the software used to create them.
5. Deposit digital records in the Archives dropbox on the shared drive (University network) Individual files may be copied to the dropbox; folders need to be zipped before transfer. The dropbox does not accept unzipped folders.
6. The dropbox is a secure location. The individual depositing the files is the only one, other than Archives staff, who can access documents in the dropbox. The Archivist will receive an automated notice that files are in the dropbox and remove them to the Digital Archive.
7. The University Archives, in cooperation with ITS, maintains the Digital Archive in a totally secure manner. Access is limited to only the Archivist and CAR administration.

Faculty Papers

Statement

The personal papers of Andrews University faculty help document the intellectual, administrative, cultural, and social environment of the institution. Faculty personal papers, separate from records associated with University business, contain information on teaching, research, and professional activities; thus, they should be preserved for future researchers. The Center for Adventist Research (CAR) manages personal and professional papers of University officers, faculty, and other individuals with University relationships. Public access to such papers will be subject to the donor's wishes and the policies of the Center for Adventist Research (CAR).

Responsibility of the Faculty Members Donating Their Records

In general, the Center for Adventist Research will accept faculty papers when the faculty member has made a significant contribution to scholarship and professional activities with precedence given to theological, cultural, educational, health-related, and historical contributions.

Faculty are encouraged to contact the Archivist, the Director, or Associate Director of the Center for Adventist Research (CAR) to discuss the possible preservation of their personal papers. Arrangements for the maintenance, proper transfer, and retention of their records can be made at that time. Faculty members need to keep in mind to separate their University work from their personal work, which is the focus of this section. University work belongs to the University and is covered by provisions elsewhere in this *Manual*.

Personal records that may be preserved in the Center for Adventist Research include, but are not limited to:

1. Biographical material, including diaries, biographical and autobiographical sketches, memoirs, chronologies, genealogies, resumes, vitae, newspaper clippings, photo albums, scrapbooks, memorabilia, news releases, awards, certificates, and public statements.
2. Professional and personal correspondence of a substantive nature, including e-mail. Professional correspondence includes that relating to career activities such as correspondence with publishers, professional organizations, colleagues, and students. Personal correspondence with friends and relatives may also be preserved. NOTE: correspondence generated in the course of conducting University business belongs to the University and should be archived with office correspondence according to the appropriate Record Retention Schedule. For example, records of departmental or University-wide activities that the individual coordinated, sponsored, or participated are records of University business and should be archived with similar records.
3. Classroom material, including lecture notes and curriculum materials. NOTE: Syllabi are University records and are preserved with college/school/department records.
4. Topical and/or subject files related to the individual's academic work.
5. Legal documents.
6. Research related records, files, and notes including notebooks and journals, research designs, outlines, raw data, analyses, and reports of findings.
7. Published and unpublished reviews, articles, monographs, speeches, sermons, and books; this may include drafts and manuscripts of monographs and books.
8. Papers relating to the social, civic, political, or business relationships of the individual.
9. Audio-visual materials such as films, videos, audio tapes, digital media, photographic images (paper or digital) relating to professional and personal presentations may also have value.

Financial Records

Care must be taken to ensure preservation of good financial records. Permanent financial records are those required for legal and/or tax reasons. Financial records kept permanently include capital asset records, the general ledger, subject files, tax records, the minutes of the Financial Management Committee, and audit records.

The management of financial records must conform to the Records Retention Schedule for such records. Many financial records are temporary and should be retained in the office of origin only as long as legally required for audit or tax purposes. Most financial records from academic or service departments, institutes, centers, student organizations, and auxiliary enterprises should only be retained in the office for their useful life.

Grant Records

Records of grants from internal and external funding sources are important as a record of the intellectual life of the University. In addition, they have legal, administrative, and financial value. Records related to grants should be maintained by the office administering the grant, such as the Office of Research and Creative Scholarship and the various colleges, schools and departments. Retention in the office of origin should be only as long as necessary to satisfy legal, administrative, or financial requirements. Thereafter, grant files should be transferred to the Archives by the office administering the grants. These records should include but are not limited to:

1. The proposal
2. The contract documents
3. Substantive correspondence, such as with the funding agency
4. Financial records (consult the Records Retention Schedule for financial documents)
5. The final report

Patient/Client Records

Patient/client records are defined as those created by a University office in its interaction with persons who receive medical, psychological, educational, or social counseling and treatment and with persons seeking educational or vocational counseling. These records are protected by an individual's right of privacy, which is defined by federal and state law, and by common law. The Health Insurance Portability and Accountability Act (HIPAA) mandates that special care be taken to preserve privacy of health-related records.

It is the responsibility of offices generating patient/client records to create, maintain, provide, or limit access to, and to dispose of patient/client records in accordance with applicable law, University regulations, and the established Record Retention Schedule. Typically, these records are created, maintained, and disposed of within the office of origin and are never transferred to the Archives.

Personnel Records

Personnel records of all Andrews University employees kept by the Office of Human Resources, the President's Office, the Provost's Office, and those maintained at the various offices, colleges, schools, divisions, institutes, centers, departments, and other University offices are University records and subject to the Record Retention Schedules governing retention and transfer of records.

The management, availability, and disclosure of the contents of personnel records is governed by regulations established by the University and by applicable laws that are reflected in the Record Retention Schedules. The offices that hire personnel have the responsibility to create, maintain, and dispose of personnel records appropriately.

Search Committee Records

Search Committee Records contribute to historical and evidential documentation of the work of the University. They are also important reference documents for future administrative activities. The records of such committees, documenting the deliberations and correspondence, may contain very candid expressions of scholarly and professional judgments. The inclusion of these judgments make the records highly sensitive. Therefore, treat such records as closed records.

Additional records unique to such committees may include

1. lists of candidates considered in the evaluation process including candidates' credentials
2. statements of evaluation which document the selection process
3. short list of candidates as recommended to the hiring authority including candidates' credentials

Student Records

According to the Federal Family Education Rights and Privacy Act (FERPA or the Buckley Amendment), all records that directly relate to a student and are maintained by the University or by any office acting for the University, with certain limited exceptions, are defined as educational records.

The Registrar's office maintains the official student educational record (including transcript). In addition, many other University offices, such as Student Life and academic offices, create and hold documents or copies of documents which are considered part of the student educational record under the definition of the FERPA.

The law gives current and former students the right to inspect, review, and challenge the content of their own educational records, and prohibits the release of personally identifiable records without consent from the student, except under limited circumstances. When permission is granted and information is released to a third party, the third party may not further disseminate the information without permission.

In addition, student records are generated by non-academic offices, such as Student Financial Services, Enrollment Services, and Student Life. Record Retention Schedules are in place for most such entities. If questions arise, please consult the University Archivist.

It is the responsibility of the offices generating student educational records to maintain and grant or limit access to student records in accordance with FERPA and University regulations. Disposition is according to the established Records Retention Schedules of the University.

RESPONSIBILITIES OF THE ANDREWS UNIVERSITY ARCHIVES

1. To oversee the records management program of Andrews University, including the establishment and maintenance of structure, policies, and guidelines to promote an efficient and effective archives program across campus.
2. To work with each office to assist and properly care for the management of records through the current and non-current record phases. This includes provide training, guidance, and supplies to foster the archives program across campus.
3. To aid in the orderly transfer of records from each entity/office of the University to the Archives when records reach the non-current phase in the records life cycle.
4. Provide a secure storage environment for paper, digital, and any other format of records.
5. Provide professional management of the Archives, including preparation of appropriate finding aids and disposition information.
6. To provide reference and retrieval service to the office of origin for their records stored in the Archives.
7. Provide confidentiality for University records housed in the Archives. This is via adherence to the established Records Retention Schedules, and by requiring permission from an authorized representative from the office of origin before giving access to records that are not publicly available.
8. Provide proper final disposition of all University records according to the applicable Records Retention Schedule(s).
9. Permanent preservation of records that according to the applicable Records Retention Schedule are to be retained permanently.
10. To provide access to the public to publicly available University records.

Confidentiality of Records

The Archives preserves confidentiality in multiple ways:

1. Records are stored in archival quality, acid-free boxes, labeled only with a number. A finding aid identifies the contents of each box. The finding aid is available only to Archives staff and CAR administration.
2. Records identified by the Records Retention Schedule as sensitive in nature (e.g., search and personnel-related review committees, student records, or personnel disciplinary records) are maintained indefinitely as closed records, not to be opened to public access, with access only with the permission of an authorized officer or staff from the office of origin.

Research Use of Records in the Archives

The Records Retention Schedule specifies the disposition of each record series. Most are destroyed or otherwise disposed of when their retention period expires. Certain other records may be opened for public research. Typically, most permanent records are open by 30 years after the date of creation, if not sooner. Public research is generally done in the Center for Adventist Research Reading Room following the policies and practices in place for the Center. The Archivist, in consultation with the office of origin, the Andrews University Archives Executive Committee, and the Andrews University Archives Committee, may vary the period of restriction or extend it indefinitely.

Restriction Policy

After a record is open, based on its Records Retention Schedule, the public may use it. Archives personnel will not review open records for information to restrict. However, if, in the course of their work, they come across records with the following type of information, they may place a restriction on that single record, series, or group, depending on the situation. The following types of information may be restricted.

1. Negative comments by University personnel that may adversely affect the University's public image or the fulfillment of its educational purposes.
2. Gross moral failure of a University employee or Seventh-day Adventist Church employee that is not already public information.
3. Gross financial mismanagement of a University employee or Seventh-day Adventist Church employee that is not already public information.

The restrictions will be applied with as light a hand as possible in an effort to foster research while also protecting the University and its employees. Moral failure and financial mismanagement need to be clearly delineated in the record, not merely suggested.

THE ANDREWS UNIVERSITY ARCHIVES

Governance

Andrews University Archives Committee

Membership [Fall 2019]

<u>Position</u>	<u>Reason to be on the Committee</u>	<u>Current Individual</u>
Provost, (Chair)	Administrative oversight	Christon Arthur
CAR, Director	Oversight officer (Executive Secretary)	Merlin Burt
CAR, Associate Director	Participant in processes	Jim Ford
Chief Information Officer	Digital records and Institutional Research	Lorena Bidwell
Controller	Financial Records	TBD
Dean of Libraries	Facility and oversight	Paulette Johnson
Faculty Representatives	Faculty concerns	Brian Strayer
		Meredith Jones Gray
General Counsel	Legal Concerns	Gwendolyn Braswell
UC Representative	Emerging History/Public Relations	TBD
Registrar	Academic Records	Aimee Vitangcol-Regoso
Plant Administration, Director	Facilities Records	Paul Elder
Campus and Student Life	Student Records, non-academic	TBD
University Archivist	Archivist (Recording Secretary)	Gina Lacson

A quorum shall consist of 50% of the membership, plus 1 (8 members)

Scope/Jurisdiction

Reporting lines: Reports to the Provost and the Center for Adventist Research Board.

Goals:

- Provide guidance to Executive Committee and overall functions of the Andrews University Archives
- Approve changes in governing policies and oversee operating policies
- Provide guidance on strategic management of the Andrews University Archives

Additional Notes:

Meetings: once each year

Minutes: Distributed by digital copy to committee; digital copy maintained on CAR shared drive and in digital archive; hard copy distributed at subsequent meeting.

Andrews University Archives Executive Committee

Membership [Fall 2019]

Position

Director, Center for Adventist Research, (Chair)
 University Archivist, (Secretary)
 Associate Director, Center for Adventist Research
 Dean of Libraries
 Faculty member

Current Individual

Merlin Burt
 Gina Lacson
 Jim Ford
 Paulette Johnson
 Meredith Jones Gray

Scope/Jurisdiction:

Reporting lines: Reports to Andrews University Archives Committee, chaired by the Provost

Goals:

- Oversight and governance of operating policies and procedures
- Manage the Archives processes
- Make decisions as needed between meetings of the Andrews University Archives Committee

Additional Notes:

Meetings: At least once a semester as needed.

Minutes: Distributed by digital copy to Executive Committee and Provost; digital copy maintained on CAR shared drive and in digital archive; hard copy distributed upon request. Available to the Andrews University Archives Committee upon request.

History

For many years, the various offices and entities of first Emmanuel Missionary College and then Andrews University did their own archiving. There was no systematic or intentional mechanism to protect or preserve created records. The Records Office, Financial Records, and other took care of their own records. Some records ended up in what is now the Center for Adventist Research in the Library.

In the mid-1990s, with the urging of the General Conference of Seventh-day Adventists Archivist, Andrews University administration began thinking about the need for a campus-wide archival program. Vice President for Academic Administration, now the Provost position, Patricia Mutch, brought in Modern Languages Department former German professor, Wolfgang Kunze to organize the University Archives program. Dr. Kunze, working in consultation with Jim Ford, formerly the Records Manager at the General Conference Archives and then the Curator of the Adventist Heritage Center, visited a number of university archives and organized much of the archival program we have today. In the early years of the 21st century, Dr. Kunze retired. In 2010, Alice Williams, former professor of nutrition and the University Assessment and Accreditation Officer, became the University Archivist. When Dr. Williams retired in 2017, Gina Lacson replaced her.

Physical Facilities & Holdings

The Archives is managed according to standards commonly employed in the archives and records management fields. The storage area of the Archives along with the Archivists office and work area occupy approximately 1,000 ft². This space is a part of the Center for Adventist Research on the lower level of the James White Library. The Archives has a capacity of nearly 1,800 cubic feet of records. The records are in standard, non-descript records center boxes stored in a compact shelving system.

The Archives holds correspondence and topical files for several EMC and AU presidents and the records of academic vice presidents, provosts, deans, library directors, and others. Other records include enrollment, financial and statistical reports, public news releases, the *Working Policy*, committee records, and accreditation reports. CAR holds a complete set of the following publications: *Bulletin*, *Student Movement*, *Cardinal*, and *Cast*. Also included are thousands of photographs from Battle Creek College days to more recent years.

The Archives Relationship to the Center for Adventist Research

The University Archives is physically located within the Center for Adventist Research. The staff members of each entity cooperate regularly and have similar missions. The Archives operating budget is a part of the Center's budget, and technical and routine daily support come from the Center and its personnel.

The Center for Adventist Research (CAR) promotes an understanding and appreciation of the heritage and mission of the Seventh-day Adventist Church. Formed in 2003, CAR integrated the Ellen G. White Estate Branch Office and the Adventist Heritage Center (AHC). Previously, the AHC held University archival materials and other Seventh-day Adventist Church historical materials. With this merger, CAR holds the most extensive collection of Adventist-related materials in the world. Thus, it is able to facilitate the education of future church leaders and develop academic links with other Adventist heritage and research centers around the world.

University Archives utilizes Center facilities and personnel to manage research use of open University records. Research takes place in the Center's Reading Room using the Center's research use policies and practices. The Archivist will provide records to the Center personnel who will, in most instances, supervise the use of those records.

The Center also holds the Archives collection of University publications such as the *Bulletin*, commencement programs, and a range of student publications such as the *Student Movement* and the *Cardinal*.

APPENDICES

APPENDIX A: Andrews University Record Groups

0 - 99	0	University Constituency
	5	Board of Trustees
	15	University-Wide Committees
	16	Faculty Senate
	20	Miscellaneous University Records
100 - 199		President
	110	Assistant to the President
	115	President's Cabinet
	120	Strategic Planning Committee
	125	AU Senate
	130	Ombudspersons
	135	General Counsel (since 2000)
	140	Institute for Diversity & Multiculturalism
	150	Human Resources
	175	ITS—Information Technology Services (Chief Information Officer)
200 - 299		Financial Administration (VP)
300 - 399		Student Life & Student Organizations (VP)
400 - 425		Enrollment Management (VP)
428		University Communication (VP)
430 - 459		University Advancement (VP)
500 - 599	Open	
600 - 850		Academic Administration (VPAA prior to Fall 2006); Provost (as of Fall 2006)
	602	School of Graduate Studies and Research
	604	Undergraduate Council
	612	Dean, Graduate Studies
	625	General Education
	630	Honors Program
	645	James White Library
	660	Registrar (Student Records)
	675	Andrews Academy
	680	Ruth Murdoch Elementary
	700 - 950	Schools and their Departments
	700	Off-Campus Programs
	705	EMC and Undergraduate Colleges before 1974
	710	College of Arts & Sciences
	760	College of Technology (disbanded 6/30/12)
	780	School of Architecture, Art, and Design
	800	School of Business Administration
	820	School of Education
	850	Seventh-day Adventist Theological Seminary
	900	School of Distance Education
	950	School of Health Professions
960 - 999	Open	

A more extensive outline of record groups is available through the University Archivist. The numbering system includes each department and many other entities within the University.

APPENDIX B: The Packing & Transfer of Physical Records

Storage of records in the Archives is done within acid-free storage container boxes, on steel shelving, and in a temperature and humidity-controlled area in the University Archives section of the Center for Adventist Research. For anonymity, boxes are labeled only with a number. The record of box contents is accessible only to Archives staff. To protect your records and to allow the archives to reuse boxes, please **do not write on the boxes**. Enclose a copy of the records information and transfer form inside the box.

Preparation of Records for Transfer

1. Records sent to the Archives must be placed in clearly marked [manila file folders](#). All loose papers should be placed into a labeled file folder. Use a ball-point pen or pencil to label the folders with the same information as in the file. Adhesive labels fall off in a few years and should not be used.
2. Do not send hanging folders or ring binders. They damage the boxes and take up additional space. Most offices can save money by recycling hanging folders and ring binders. Materials from ring binders should be transferred into [pressboard report binders](#).
3. Paper clips should be removed; staples are less likely to rust over time. Rubber bands should not be used; they deteriorate rapidly. Offices can save money by recycling such materials.
4. Sort records to remove those which should not be sent to the Archives. For guidance, consult the applicable records retention schedule, as well as the pages for what to retain and what to discard.
5. As far as possible, send complete sets of records such as a complete year or full alphabet. This makes it easier to store records from a common source together, which facilitates faster retrieval. Sets of only one or two individual file folders may end up stored in a box distant from other materials from the same office, making retrieval more complicated.

Packing the Record Boxes

1. Use [acid-free boxes](#), available from the Archives. The boxes are 10"x12"x15" allowing storage of letter-size or legal-size documents, depending on how the box is loaded.
2. Place folders in the box in the same order in which they are arranged in the active files, with tabs all facing the same direction, in complete alphabetical or chronological order, to allow easier and faster retrieval.
3. If you have more than one type (series) of records in a box, separate them clearly.
4. Pack boxes snugly, but do not overstuff the boxes. Do not place additional files on top of or alongside the packed files. Make sure the lid fits firmly and securely.
5. Prepare a Records Information and Transfer form for each box. Use the comments and other boxes on the form for any items which need special notice and/or an expanded description of their contents, e.g., Faculty Files, provide dates and alphabet range; Special Reports, list titles of the reports. The transfer form may indicate how many boxes are included (e.g., Box 1 of 6).
6. As you prepare the form, consider how you might ask for the records if you should need to retrieve them and provide enough detail to facilitate retrieval.
7. Make an extra copy of the transfer form(s) for your records. Place the transfer form on top of the contents inside the box.
8. Do not write on or stick anything to the boxes. This will help preserve anonymity as the boxes are transported and stored.

Final Steps

1. Arrange for delivery. You may want to deliver the records to the Archives yourself, or arrange for [Custodial Services](#) to deliver them (for a fee).
2. Call the University Archivist at 471-3373 if you need help, have questions, need boxes, or to arrange for delivery.

APPENDIX C: Records to be Retained & Transferred to the Archives

The following types of records generated in many University offices or entities should be maintained and kept for office needs and ultimately transferred to the University Archives.

Published Materials usually produced by your office. Send two copies to the University Archives when published or at the end of each year.

- Books
- Brochures/leaflets
- Bulletins
- Manuals
- Periodicals
- Promotional items
- Workshop materials

Unpublished Materials produced or created by your office. This is often the main body of records created and kept in your office. Follow the applicable records retention schedule. When the time comes, transfer the complete sets to the University Archives.

- Case or reference files
- Committee and faculty meetings: Agendas, minute, and attachments
- Correspondence
- Histories
- Itinerary and conference reports and other kinds of reports
- Manuals, procedures, policies
- Planning records
- Reports and records of the work of the office
- Student records and files
- Study papers
- Subject or topical files
- Syllabi and related course materials

Audio-Visual Materials produced by your office.

- Photographs, slides, and digital images
- Sound or video recordings
- Laser disks
- CDs, DVDs
- Other formats

Data Processing Records

- CDs and DVDs
- Other digital media

This list is not meant to be all inclusive, but gives an idea of the types of records that the University would like to see properly managed by the University Archives program. Check the general records retention schedule or contact the University Archivist with any questions.

APPENDIX D: Weeding Records

All duplicate copies can be eliminated from your files. Only one good copy needs to be managed longer-term. The following items **usually** have no enduring value and can be discarded once their useful life for your office has passed:

Campus Information

- Announcements, **unless** your office is the office of origin. In this case, you need to keep it.
- Copies of widely circulated documents, including e-mail, agendas, lists, minutes, manuals, reports, and memoranda, **unless** your office is the office of origin. In this case, you need to keep it.
- Directives and instructions received from **other** offices or entities
- Forms from **other** offices or entities, **unless** your office is the office of origin. In this case, you need to keep it.
- Invitations, notices, routine acknowledgments, circulars, notifications, requests, reminders

Correspondence

- Appointments: Letters and memos setting up appointments
- Cover letters and memos accompanying documents

Course Materials

- Class materials: Textbooks, workbooks, handouts, etc. Do keep one set of syllabi, course outlines, and course handouts.
- Orders for textbooks, teaching material, office supplies, etc.

Financial Records, routine and interim over a year old (see Records Retention Schedules)

- Budget draft papers. Keep the final copy for its useful life.
- Checks, canceled
- Delivery slips
- Equipment/property inventories and related forms two years after discarding item
- Invoices after payment
- Purchase orders
- Receipts
- Requisitions
- Statements
- Telephone records
- Worksheets
- Meeting Information, e.g., committees, faculty, other groups
- Ballots. Be sure to keep copy of ballot if printed and a record of the final vote, unless the vote is recorded elsewhere.
- Handouts **unless** from the office of origin

Off-Campus Information

- Off-campus periodicals and publications, e.g., catalogs, newsletters, bulletins, reports, manuals, magazines, books, etc. **NOTE:** Unless there is a clear connection between them and your office.
- Sales literature, received

Office Management

- Drafts: Once the final paper, report, program, budget, publication, etc. has been issued or published. **Note exceptions:** Those drafts which could add significant insight into the creators' thought processes as he/she worked on the material, such as speeches or addresses. For major planning documents, save committee minutes, preliminary discussion documents, background reports, and drafts which contain substantive differences from the final version. Be sure to keep the final publication or document and send a copy to the University Archives, along with the rest of your records.
- Job applications, except as designated in record retention schedules
- Memoranda asking for comments, once the comments have been received

- Multiple copies of a single original document; keep only one copy for the Archives, preferably the original
- Proofs for publication, until after publication; see also Drafts. Keep the final publication.
- Releases
- Reservations and confirmations for meetings, travel, etc.
- Routine acknowledgments, circulars, notifications, requests, reminders
- Travel requests, arrangements, tickets, reimbursements
- Work orders for Plant Service and outside vendors

APPENDIX E: Administrative Assistant Guidelines

Each department, office, center, or service should have an administrative assistant who works closely with the University Archives, serving as a liaison between the office and the University Archivist. Responsibilities include:

1. Once a calendar, academic, or fiscal year, check to see that documents have been transferred to the Archives, as per the records retention schedule:
 - a. correspondence
 - b. minutes
 - c. items of enduring value produced during the year
2. Transfer electronic records via the secure Archives dropbox, email, or Google document access.
3. Maintain a file of duplicate **Records Inventory and Transfer Form** for reference when departmental records need to be retrieved from the Archives
4. Keep the head of the office aware of interaction between the office and the University Archives program
5. Educate other staff members regarding University Archives procedures and policies, including electronic and standard filing methods.
6. Periodically furnish the University Archives with a current description of the functions of each office in the group. Administrative assistants should work with the University Archives to:
 - a. Maintain a current list of record series used in the department
 - b. Keep the retention schedule up to date with changes in record series or changes in applicable laws or regulations
 - c. Inform University Archives when a new record series is created
 - d. Identify vital records and ensure their safety
7. Assist in the smooth transfer of records between staff moving in and out of the office
8. Arrange or assist with retrievals from the University Archives
9. Work with the University Archivist in solving problems relating to the filing, discarding, and preservation of records
10. Provide authorization for others to use records in the University Archives or coordinate the request for access with the head of the office
11. Provide authorization for the destruction of those records of the office, stored in the University Archives, that do not need to be kept permanently

APPENDIX F: Records Management Guidelines

Records Filing Systems

1. File distinct series or types of records separately. For example: File correspondence in one drawer, directory, or alphabetized section, minutes in another, financial records in a third, and reference or subject files in a fourth
2. Each of these series will have a different "life cycle" or retention period in your office. Having distinct series will make it easier to pull out those series ready to be sent to the Archives or destroyed.
3. At the beginning of each year, start new files for correspondence, minutes, and other annual records, transferring the past year's files to another drawer and removing the oldest year's files to be transferred to the Archives.
4. File organizational correspondence by organization, **not** by the correspondent's name. File personal letters by the correspondent's name. (e.g., John Jones of the GC Education Department would be filed under GC Education, and Sally Smith of Grand Fork, North Dakota, would be filed under Smith.
5. Different types of correspondence—institutional, departmental, non-workers—can be filed in one large alphabet, with tab positions indicating the type of correspondence, or clearly subdivided with separate alphabetical sections within the correspondence file.
6. If an item is temporary, mark it for later destruction upon receipt. This can be done by using some type of stamping device or other type of flag. Do not put yourself in the position of having to separate "permanent" records from "ephemeral" or temporary records at some future time, when you or someone else will have to restudy the whole file. Separate or mark each record **at the time it is produced or received**, while it is still fresh in your mind.
7. Certain records, such as correspondence or minutes, can be transferred to the Archives after only a few years. Subject or reference files should not be transferred until the topic is no longer current and the folder is not needed for reference. File record series with annual cut-off dates separately from those with indefinite cut-offs. This will minimize or eliminate sorting and revamping files at the time some records are transferred to the Archives.
8. Hanging folders are an efficient and appropriate way to file records in your office. However, when sending files to the Archives their contents **must be transferred to manila folders** (accordion folders or file pockets are acceptable for large files) that are clearly labeled with a ballpoint pen or pencil (other markers may run or bleed). Adhesive labels are not permanent, will come off in a few years, and should not be used for records kept more than a few years. Do NOT send records to the Archives in hanging folders. Recycle them in your office.
9. Files can be set up using the hanging folders. However, a manila folder into each hanging file labeled the same as the hanging file is an easy way to organize files. When it is time to transfer the contents, pull out the manila folder, place it in the transfer box, and replace it with a new, labeled manila folder.

Organizing and Transferring Digital Records

The Archives accepts electronic format records (records in machine-readable form) as well as paper records.

1. For the best results in retrieving electronic records file them in directories in the same way you would file your paper records. Be sure directories are clearly named for the eventuality that someone else may need to access the records. Be sure to use file names and directories that identify the records clearly and accurately. For example, a record named for a month and year has no meaning unless it is in a directory clearly labeled that the contents are committee, correspondence, or subject files.
2. For electronic records, copy your yearly correspondence onto a storage device such as a flash drive to send to the Archives. Please send your records to the Archives in **ONLY** one form. Do not send both paper and electronic records. We will keep only one set of records, preferably a paper version.
3. Since electronic records such as correspondence are copied to a storage device the original file remains on your hard drive. You can send the storage device containing the archived copy of your correspondence to the Archives whenever you are sending paper records. When it is no longer necessary to frequently refer to the older correspondence it may be deleted from your hard drive. **Do not** delete older correspondence without first establishing that a backup or archived copy exists.

4. The Archives must have certain information in order to be able to retrieve your electronic files. We must know the office of origin, the format of the file and the date the file(s) was created. Much of this information can be contained in an index attached to the Records Information and Transfer Form.

Suggestions for Groups of Offices, Faculty, and Staff

Offices can utilize filing space more efficiently by eliminating duplicate filing of some kinds of general records. Those groups of offices where it would be effective are encouraged to set up a central resource file to relieve individual offices of the need to maintain separate files which may duplicate each other.

The frequency with which records are used determines the need for their proximity to the user. Records which are used daily should be in a drawer of the workstation or desk, while those that are needed weekly or monthly can be kept in filing cabinets in a central file area. Records that are referred to only two to six times a year, particularly those of a resource nature, can be most efficiently maintained in the office central resource file. When records reach the stage where they are not needed for reference more than once a year, they should be transferred to the Archives.

The following is a suggested list of types of general records that could be included in an office central resource file:

1. Minutes of committees when more than one staff member is a member of the committee
2. Newsletters and other publications from organizations of common interest
3. Miscellaneous reports of finances, statistics, or other types
4. Publications of the office
5. Resource material that could be useful to more than one staff member
6. Bulletins, publications, and other routine materials from other Andrews University offices
7. Catalogs produced by or related to the office
8. Staff itinerary and conference reports
9. Computer users' manuals
10. Other items unique to the office

Instead of having these types of records coming to every office in the group money, space, and filing time could be saved if each group received one copy for its central resource file and another copy to be circulated. The circulating copy could be stamped with the office name to remind users that it is not their personal copy. Then this circulating copy would be destroyed after it has made the rounds of the office group.

APPENDIX G: Producing, Filing, & Transferring Committee Documents

Producing Minutes:

Meeting minutes serve as the official records of the actions that occurred at a meeting. Often, notes are taken during the meeting by a designated member who proofreads and prepares the final meeting minutes after the meeting. Members want to make minutes as complete as possible to serve as a historical record which is stored in the University Archives for future generations.

When creating meeting minutes, please keep these things in mind:

1. Place the minutes in a usable form. Because minutes typically are taken down by hand, this process involves turning these notes into a digital or typed format, such as Microsoft Word. Convert and save a copy of the document in a PDF format to preserve it and prevent it from being altered.
2. Always follow the same format. When you are unavailable, provide a sample copy if your replacement will have to prepare minutes for you.
3. Use some type of consecutive numbering within the document. The purpose is to help verify the completeness of a set of minutes. This can be done in any or all of the following ways:
 - Consecutive page numbers, starting over with page one each year or continuing indefinitely, including the year, for example 2010-01, 2010-02, etc.
 - Consecutive actions, including the year (88-01, 88-02, etc.) and perhaps the committee initials (CAR 88-01).
 - Consecutively numbered meetings (Fifty-first Meeting of the University Archives Committee), although this will not indicate any missing pages
4. Be consistent in using the official name for the committee. Although you may be aware that these are all the same committee, someone else may not be sure. In the above example, the committee records might be difficult to retrieve because of the differences in names.
 - Do write: Education Textbook Planning Committee
 - Do not write: Textbook Planning Committee, Off-Campus Textbook Planning Committee, Instructional Materials Planning Committee, Committee on Educational Textbooks
5. Ad hoc committee minutes should show to which standing committee, department, or administrative group they report.

Filing Minutes:

1. File all minutes and attachments in a separate file, preferably in a private file accessible only to you and a select few, as necessary. ITS is able to create a private file for you to use.
2. Organize the files by school year, for example, labeling the file **2017-2018**.
3. Within these yearly files, folders can be created either monthly or with each meeting. A good way to organize the files is by placing the date first and then the name of the meeting. For example, **2018-04-09 Math Minutes**.
4. Include all meeting materials such as minutes, agenda, attachments, and related correspondence. These can be born digital or scanned documents.
5. Do not file minutes of related committees in the same folder.
6. Minutes of different boards and committees should be kept separate from each other and numbered separately. Andrews University, for example, produces the following separate series of minutes:
 - Andrews University Board of Trustees
 - Academic Affairs Subcommittee of Andrews University Board of Trustees
 - Audit Committee of Andrews University Board of Trustees
 - Andrews University Executive Committee
 - Andrews University President's Committee

Transferring Minutes:

1. **If you produce minutes for a committee**, please be sure to send a copy of the minutes to University Archives. This can be done monthly, per semester, or yearly and can be sent via Archives dropbox, email, or shared if you have a Google drive. The University Archivist should be alerted if minutes are available online for download as well.
2. To submit documents via the Archives dropbox, you must be logged into the campus network. In general, if you are logged into a campus office computer, you will be logged into the network. After opening the link obtained from the Archivist, you will be able to drag copies of individual documents or zipped files into the Archives dropbox. The system will send an email, alerting the Archivist that there are documents in the dropbox. You can delete or edit materials from your office up until the Archivist removes them, and no one has access to your files except you and the Archivist. Please contact the [University Archivist](#) with questions or problems.
3. If you have paper minutes to transfer to the University Archives, please be sure to fill out a transfer form to place with the records. The official set of minutes, containing original signatures, corrections and backup materials, should be transferred to the Archives when you no longer need them for frequent reference, usually after five or six years.

APPENDIX H: Records Retention Schedule



GENERAL RECORDS RETENTION SCHEDULE (RRS) updated 07/19/19

This records retention schedule will apply to the Andrews University campus and all of its affiliated institutions. Records disposition may not take place if there is an open records request, or if there is pending litigation or audit involving these records.

CONFIDENTIALITY: All records series that are transferred to the Andrews University Archives are treated as confidential with the exception of official Andrews University publications and those items that are designated as open records by the individual and/or office of origin.

For records not listed below, please contact the University Archivist at 471-3373 or archives@andrews.edu for specialized record series lists. For more information, visit our website at www.andrews.edu/services/archives.

Records Series	Retention Period in Office of Origin from Date of Last Activity	Retention Period in Records Center	Final Disposition	Comments
Academic Program Records, Graduate: Including, but not limited to: <ul style="list-style-type: none"> • Advancement to Candidacy • Comprehensive Examination Results • Course change/course update request • Degree Audit Records • Dissertation/Thesis/Project completion form • Graduate Petition forms • Graduation Application • Graduation Recommendation forms • Marching without Completion • Master's Program Course Update • Transfer Credit Petition 	5	0	Destroy	After graduation or non-attendance
Academic Program Records, Undergraduate: Including, but not limited to: <ul style="list-style-type: none"> • Agreement Form, page 1 • Credit by Examination • Degree Audit Records • Graduation Application • Graduation Application Procedures • Graduation Application Revision forms • Graduation Cancellation • Marching without Completion • Participation in Graduation Ceremonies • Senior Class Schedule, page 2 • Transfer Credit Request • Transfer Student Request • Undergraduate Petition forms 	5	0	Destroy	After graduation or non-attendance. Complete student file is kept in UG records until the student graduates.
Accident & Injury Report Records	6	0	Destroy	
Accounts Payable & Receivable Documentation: Records related to payment of financial obligations	6	0	Destroy	
Accreditation Records: University, college, or department files documenting accreditation review by accrediting agencies	Useful Life	10	Archives	Two copies of final report, all files, and support materials generated in the accreditation process. One copy kept permanently.
ACT Records	5	0	Archives	Senior testing data, freshman reports

Records Series	Retention Period in Office of Origin from Date of Last Activity	Retention Period in Records Center	Final Disposition	Comments
Admission Records , including, but not limited to: <ul style="list-style-type: none"> Admission applications & file of enrolled students Application for Change of Degree Program CLEP & Dantes courses accepted Transcripts (AP, high school, transfer national & transfer international) Student Exit Procedure forms 	5	0	Destroy	After graduation or non-attendance
Advertising, including Bulletins, Posters & Notes: Information materials acquired for the purpose of informing university personnel of events & activities	Useful Life	0	Archives	Office of Origin: Send one copy of each piece with Subject/Topical/Reference Files Other Offices: Retain for period of reference only
Affirmative Action Program Records: Documentation of affirmative action plans & programs; includes also support documentation & correspondence	6	Permanent	RC	Maintain only final plans, reports & substantive correspondence for the Archives
Alumni Directories	5	0	Archives	One copy to the Archives
Alumni Organization Records	5	0	Archives	
Animal Subject Protection Records	5	Permanent	RC	
Annual Reports, Department or Program: See Reports, Annual, Department or Program				
Articles of Incorporation, Bylaws	Useful Life	Permanent	RC	
Audit Records: Reports on internal & external audits of various institutional functions, including fiscal, performance, academic, & compliance audits.	6	Permanent	RC	Auditor's management letters
Work Papers, Audit: All supporting documents	6	14	Destroy	
Awards, Honors, Fellowships, & Scholarships Records: Records of the process of selecting institutional faculty, staff, students, & alumni to receive awards, scholarships, & merit-based fellowships, including list of award recipients	5	0	Archives	Included in Subject Files
Ballots, Committee Actions	■	0	Destroy	Destroy after vote has been recorded
Ballots, Election to Committees	■	0	Destroy	Destroy after vote has been recorded
Bank Statements & Reconciliations	6	0	Destroy	
Budget Materials: Worksheets, memos, notes, invoices, work orders, expense reports, & adjusted budget printouts	1	0	Destroy	Destroy at the end of the fiscal year involved
Building Records: See also Construction	Useful Life +5	0	Destroy	
Buildings & Facilities Data Records: A composite record of background information on buildings & facilities; records include building surveys & audits, physical description of buildings, construction project reports, equipment inventories, & other related data	Useful Life	0	Archives	Mostly Plant Administration
Campaign / Development Records	Useful Life	Permanent	RC	
Campus Master Plan Records	Useful Life	0	Archives	
Campus Ministries Records: Primarily topical files (week of prayer, vespers, & other spiritual programs), as well as files on student missionaries, chapel reports, etc.	Useful Life	0	Archives	Of special importance to the Archives are the records about student missionary activities, e.g. annual list of attendees, their correspondence, reports, etc.
Capital Asset Records	Useful Life +5	Permanent	RC	
Cash, Check & Credit Card Transactions: Records of payments, including forms & receipts	1	0	Destroy	Retain for current fiscal year only

Records Series	Retention Period in Office of Origin from Date of Last Activity	Retention Period in Records Center	Final Disposition	Comments
Certification/Verification Records: Including, but not limited to: <ul style="list-style-type: none"> • Canadian Tax forms • Degree Verification • Enrollment Verification • Transcript Requests • Diploma Request forms 	1	0	Destroy	After date submitted
Change of Grade Forms: Update documents	Permanent	0	■	
Charter	Useful Life	Permanent	RC	
Check Register	6	0	Destroy	
Check Sheets: Degree Audit Records	5	0	Destroy	After graduation or date of last attendance
Checks, General: Cancelled	6	0	Destroy	
Checks, Payroll: Cancelled	4	0	Destroy	
Class Lists, Original Grade Sheets	Permanent	0	■	Retained in Records Office
Class Lists, Teacher Copies	2	0	Destroy	
Class Schedule, Online	10	0	Permanent & Archives	Copies downloaded by Archivist
Closing Reports: See Reports, Opening/Closing				
Commencement Program	Permanent	0	Archives	President's Office sends two to Archives when produced
Committee, Board of Trustees	5	30 years from origination	Archives	Committee Chair: Retain one official copy for the Archives Other members: Retain a copy during the length of their committee tenure, then destroy
Committee, Compensation	Useful Life +5	Permanent	RC	
Committee, Corporation	Useful Life	Permanent	RC	
Committee, Financial Management	10	Permanent	RC	
Committee, Human Subject Review Board	5	Permanent	RC	
Committee, Rank & Continuous Appointment	2	Permanent	RC	
Committees, All Others: Boards, committees, councils, senates, major committees, task forces, & other institutional units & organizations	5	15	Archives	Include agendas and all supporting documents Committee Chair: Retain one official copy for the Archives Other members: Retain a copy during the length of their committee tenure, then destroy
Compensation Claim Records	Useful Life	Permanent	RC	
Construction: See also Building Records	Useful Life +5	0	Destroy	
Construction Project Administration Records: Documents of all phases of administration of construction & remodeling/renovation projects such as project descriptions, proposals, bid requests, contracts, purchase orders, facilities use records, design proposals, meeting minutes, work forms, project programs, policy & legal discussion documents, check lists, specification books, videotapes, photographs, & related correspondence including equal employment opportunity records pertaining to contractors & subcontractors	Useful Life	15 years after project completion	Archives	Review & thin five years after project account closing
Construction Project Drawings, Maps, & Plans	Useful Life	15 years after project completion	Archives	Send two sets of the original drawings & maps, or best quality copies of the final version as built

Records Series	Retention Period in Office of Origin from Date of Last Activity	Retention Period in Records Center	Final Disposition	Comments
Construction Project Planning & Proposal Records: All new constructions & remodeling/renovation work of existing buildings & facilities; records include feasibility & needs studies, space planning documents, artist's sketches, architects' proposals, & related correspondence	Useful Life	15 years after project completion	Archives	A copy of final studies, plans, & reports should go to the Archives
Contract Forms, Teaching	6	Permanent	RC	
Contracts, Memoranda of Understanding, & Agreements: Legal records that the institution or its units enter into with other entities	Useful Life +5	15 years after completion of contract	Archives	
Corporate Papers	Useful Life	Permanent	RC	
Correspondence, Administrative: Substantive correspondence of the President, Provost, Vice Presidents, Deans, Departmental Chairs, & other senior university administrators.	5	15	Archives	
Correspondence, All Others: Correspondence from those below administration level.	5	10	Destroy	
Counseling & Testing Client Files, Students & their Spouses: Highly confidential & sealed files of the Counseling & Testing Center. They are kept sealed at the Center.	Useful Life +7	0	Destroy	These files do not include ACT, GRE, MCT, and & other testing scores & materials
Course Catalogs & Bulletins: Course catalogs or bulletins that include course offerings, program, requirements, & related policies & procedures	5	0	Archives	Office of Origin: Send two copies to the Archives when first produced Other Offices: Retain for period of reference only
Course Evaluations Records: Records of students' evaluations of teaching personnel & courses	5	0	Destroy	Department level summary may be retained by the Department
Course Handouts & Materials: Original creation of faculty member or prepared by the department	5	0	Archives	May be archived at CAR as part of a personal collection
Course Syllabi: Syllabi of offered courses	5	0	Archives	One set to the Archives
Credit Card Statements	Useful Life	0	Destroy	
Data Input & Verification Records: See Andrews University Data Entry Standards Manual for specific instructions concerning this record series	Useful Life	0	Destroy	
Degree & Certificate Records: Including, but not limited to: <ul style="list-style-type: none"> • Commencement Programs • Diplomas returned or not picked up • Graduation lists • Grade books with official class roster & grades 	Permanent	0	■	
Degree Audit Records: See Check Sheets				
Dental Insurance Records Delta: Contracts & relationships	Useful Life	0	Destroy	
Departmental Budget Files: See Budget Materials				
Departmental Meetings, Minutes: See Committee Minutes				
Deposit Books & Tickets	2	0	Destroy	
Disability Records	Useful Life	Permanent	RC	
Dissertations, Masters Theses, & Projects: The accepted dissertation, thesis, or project that has been completed in partial fulfillment of degree requirements; materials also included here are final approved papers & project supplemental materials such as music scores, portfolios, & documentation of models	5	0	Archives (or see comments)	After completion of degree, send two copies of each dissertation or thesis to the James White Library and CAR This also applies to Honors projects
Donor Prospect Records: See Gift & Donation Documentation				
Donor Records: See Gift & Donation Records				

Records Series	Retention Period in Office of Origin from Date of Last Activity	Retention Period in Records Center	Final Disposition	Comments
Drafts & Informal Notes: Drafts or preliminary versions of memos, letters, reports, worksheets, working papers, informal notes, announcements of meetings, routing slips, letters & fax cover sheets; letters & memos scheduling appointments, directives, & instructions received, telephone & electronic messages, used in preparation of recorded information, not documenting policy	Useful Life	0	Destroy	Destroy as soon as determined by office to have no more value
Duplicate Copies of Records: Copies of documents created for administrative reference, information, or distribution only	Useful Life	0	Destroy	Destroy as soon as determined by office to have no more value
Electronic Mail (E-Mail): E-mail correspondence & their attachments sent or received via University network are considered University records and as such are subject to Andrew University Records Management policies & procedures. Every e-mail may fall into one or the other Record Series as listed in this or other Records Retention Schedules: Agendas, informal notes/announcements, minutes, correspondence, & therefore must be treated as such	Useful Life	5	Review	If content of e-mail messages fall under any of the record series listed in this schedule, the proper retention period for that series must be observed. Note: If the e-mail is particularly significant, prepare a hard copy of the e-mail message and file it appropriately. Only then, delete the e-mail message.
Employee Manual	Useful Life	0	Archives	Send one copy to the Archives when first produced
Employee Placement & Acknowledgement Forms: This form, signed by the employee, is a record that he/she recognizes the confidential nature of University information, including student records, & an agreement to comply with University policies and procedures regarding access use & security. It is used to control access & holds the employee responsible for any violation.	Employment Term +2	0	Destroy	Retain two years after employee terminates
Employee's Earning Records	Useful Life	Permanent	RC	Now electronic, maintained by Human Resources
Employment Applications, Not Hired	1		Archives	
Environmental Health & Safety Records: Records include Material Safety Data Sheets (MSDS), hazardous material purchases & manifests documentation, listings of generated waste, hazardous materials incident reports, certificates of destruction, & related correspondence	Useful Life	0	Permanent (see comments)	Asbestos & Lead Control Records are filed as topical records; environmental health & safety training records are filed with the employee's personnel records
Equipment Inventory Records: Inventories of major equipment	2	0	Destroy	Or after superseded
Equipment Records: These provide a record of equipment purchased &/or maintained by the office; it includes invoices, requisitions, or purchase orders, vendor information, instruction manuals, maintenance agreements/contracts, warranties, repair & service documentation, inventories, & related correspondence	While equipment is owned	0	Destroy	
Expense Reports: See Travel Documentation				
Facilities Management / Maintenance Records: Records of routine management, maintenance, & repair of buildings/facilities, grounds, & mechanical systems; they also cover such areas as security (security logs & reports), space planning, parking management, disabilities access documentation, as well as supply, equipment, & key inventory management	Useful Life +5	0	Destroy	Mostly Plant Administration concerns
Faculty Advancement Portfolio, Applications for Tenure & Promotion	5	5	Archives	Recommendations are filed with the Provost's office & retained permanently
Faculty Personnel Records: Document individual faculty academic work history, including all academic ranks	Employment Term +5	Permanent	RC	
Faculty Professional Papers & Property	5	Review	Review	Individuals are strongly encouraged to consult with the Archives & CAR to determine the archival value of their personal professional papers & property
Faculty Research & Publication Reports	5	0	Archives	Confer with Associate Dean for Research

Records Series	Retention Period in Office of Origin from Date of Last Activity	Retention Period in Records Center	Final Disposition	Comments
Faculty Research Files	5	15	Archives	
Faculty Research Grant Proposals	5	5	Destroy	
Faculty Research Grant Reports	5	0	Archives	
Faculty Search Records	Useful Life +3	0	Destroy	Copies of successful candidate applications, resume, & vitae are placed in their faculty personnel records
Family & Medical Leave Records: Including sick leave & vacation leave requests	Useful Life +30	0	RC	Retain 30 years after date of termination
Family Educational Rights & Privacy Act (FERPA) Data/Documents: The retention period of a FERPA document is the same as that of the student records to which it pertains; this includes documentation of student requests for disclosure or non-disclosure	Useful Life	0	Destroy	FERPA specifically requires institutions to maintain records of requests & disclosure of personally identifiable information except for defined "directory information" & requests from students for their own records. These records are part of the student's education records; therefore, they must be retained as long as the institution retains the educational records to which they refer.
Financial Aid Records: Documents about loans & grants	While attending AU	0	Destroy	After graduation or date of last attendance
Financial Records	4	0	Destroy	See Ledgers, General for yearly budget
Financial Records, Departmental: Payroll information, statements, copies of invoices, purchase orders, expense reports	Useful Life	0	Destroy	Financial Offices retain original records per legal requirements
Financial Statements, Audited	5	Permanent	RC	
Financial Statements, Interim: See Budget Materials				
Foreign Student Files: See Student Records, International				
Forms	Useful Life	0	Archives	Send a sample copy to the Archives
Fundraising Program Administration Records	3 years after project completion	Permanent	RC	
Gift & Donation Documentation	Useful Life	0	Destroy	
Gift & Donation Records	5	Permanent	RC	
Grade Change Forms	Permanent	0	RC	Scanned
Grade Sheets / Class Lists	Permanent	0	RC	Scanned
Graduation Lists	Permanent	0	RC	Available to public online at https://vault.andrews.edu/vault/goto/register/gradlist/get/closed/terms
Grant Resource Organizations: Including AUUCO, GRC	Useful Life	0	Destroy	
Grievances & Arbitration: Records of grievances against the institution which are resolved without litigation	Useful Life	Permanent	RC	
Health Insurance Records: Contracts & Relationships	Useful Life +5	0	Destroy	
Human Subject Review Board	5	0	Archives	
Instructional & Reference Materials: See Course Handouts & Materials				
Insurance Policy Records: Records of insurance maintained by the University	Useful Life +6	0	Destroy	As advised by insurance agent
Interdepartmental Purchase Orders/Service Orders: See Budget Materials				
Invoices	2	0	Destroy	
Ledgers, Accounts Payable	10	0	Destroy	
Ledgers, Accounts Receivable	10	0	Destroy	
Ledgers, General	10	Permanent	RC	

Records Series	Retention Period in Office of Origin from Date of Last Activity	Retention Period in Records Center	Final Disposition	Comments
Legal Advice Records: Records which document advice, opinions, & background on legal concerns that may impact programs or functions	5 or Useful Life	Permanent	RC	
Legal Proceeding & Investigation Records: Records relating to legal proceedings & investigations, purpose of litigation &/or court proceedings	5 or Useful Life	Permanent	RC	
Library Material: Reference information, book order material, & items acquired for individual use or exhibition	Useful Life	0	Destroy	Destroy as soon as determined by office to have no more value
Lists, Indices, & Summaries: Used for internal administrative convenience or information	Useful Life	0	Destroy	Office of origin may keep one copy for the Archives Note: Depends on nature & long-term usefulness of material
Manuals, Handbooks, Procedures, & Policies: See Publications, Andrews University Origin			Archives	
Medical Insurance Records: These include statements & premium payments	6	0	Destroy	
Miscellaneous Special One-Time Projects: Records related to special office projects that are general not part of an office retention schedule	5	0	Archives	
Non-AU Sponsored Project Administration Records: Such as NSF, NEH	5	0	Archives	
Note Register/File	Useful Life +2	0	Destroy	
Office Support Records	Useful Life	0	Destroy	
Patent & Trademark Records	5 or Useful Life	For a total of 20 years	Archives	The recommended time of retention in office is 5 years
Patient Records	7 years after last contact	0	Destroy	7 years after last contact, per Michigan law
Payroll Registers	5	0	Destroy	
Personnel Records	5 years after termination of employment	Permanent	RC	
Planned Giving & Trust Records: See Trust & Planned Giving Records				
Position Description Records: These provide current job descriptions & classifications which are used for employee recruiting, position review, etc.	Useful Life	0	Destroy	An appropriate copy should be maintained in the employee personnel file
Postal Records: These include returned registered or certified mail cards or receipts; insurance receipts & packing slips	1	0	Destroy	
Potential Job Candidate Records	Useful Life	0	Destroy	
Professional Organizations: University membership & all pertinent correspondence relating to policy, procedure, or function should be retained for the Archives by the sponsor/campus officer of the organization; many activities fall into one and/or the other record Series as listed in this Retention Schedule: Agendas, informal notes/announcements, minutes, correspondence, etc. They must, therefore, be treated as such.	5	15	Archives	
Programs, Conferences, & Seminars: These include planning materials & all other records associated with that meeting	2 years after event	0	Archives	Send one copy. Note: Keep summary material, printed program, & evaluation in the Archives
Proposals, Research, Curriculum, or Other: These include academic curriculum proposals as well as all other types of proposals	3 years after vote or end of activity	Permanent	RC	Include with committee, research, or other documents
Publications, Andrews University Origin: Includes newsletters, news releases, publicity photographs, catalogs, brochures, directories, & handbooks	Useful Life	0	Archives	Office of Origin: Send one copy to the Archives when first produced. Other Offices: Destroy
Publications, Non-Andrews University Origin	Useful Life	0	Destroy	
Purchase Orders	7	0	Destroy	Original only
Purchase Requisition Orders: Used to purchase services, supplies, equipment, etc.	2	0	Destroy	

Records Series	Retention Period in Office of Origin from Date of Last Activity	Retention Period in Records Center	Final Disposition	Comments
Real Estate, Deeds & Titles	5 or Useful Life	Permanent	RC	The recommended time of retention in office is 5 years
Receipts	4	0	Destroy	
Reconciliations, Organizational Accounts	6	0	Destroy	
Recruitment Materials	3	0	Archives	VA regulations require that all recruitment materials be retained for 3 years; send one copy of a complete set to the Archives when first produced
Reference Files: See Subject Files				
Registration & Enrollment Records: Including, but not limited to: <ul style="list-style-type: none"> • Class conflict forms • Drop/Add forms • Independent Study forms • Manual registration forms • Permission to take classes/registration • Staff Free Class forms (HR) • Student Missionary forms 	1	0	Destroy	After date submitted
Reports, Annual, Department or Program: Reports on the institution & its subdivisions. <i>(This does not include audits or annual financial reports)</i>	5	10	Archives	One copy with other office files to the Archives
Reports, Opening/Closing	Useful Life	0	Archives	Statistical in nature
Reports, Research Statistics	5	5	Archives	
Requests & Disclosures of Personally Identifiable Information: Scanned	5	0	Destroy	After life of affected record
Requests for Formal Hearings	5	0	Destroy	After life of affected record
Research Projects, Graduate Students: See Dissertations, Masters Theses, & Projects				
Retirees & Death Claim Records	3 or Useful Life	Permanent	RC	
Retirement/Pension Plans	Useful Life	0	Destroy	After expiration
Safety Records	6	0	Destroy	
Sales Invoices	6	0	Destroy	
Schedule of Classes, Institutional: Record of courses actually held/given by the University	10	0	Destroy	Send one copy to the Archives when first produced
Sick Leave Benefits See Family & Medical Leave Records				
Special Audits	6	Permanent	RC	
Student Accounts Records, Active: Including tuition & fee charges	3	0	Destroy	After graduation or date of last attendance Note: Records of student accounts that have not been paid off by then are transferred to the collections office
Student Accounts Records, Collections: Including tuition & fee charges	3 or Useful Life	0	Destroy	These records are kept at the collections office; see above
Student Activities Records: Records dealing with special events, programs, promotional activities, club activities, etc.	2 or Useful Life	0	Review	Many records fall under other series & should be placed there; usually transferred after 5 years in office
Student Disciplinary Files	7	Permanent	RC	Do select purging after appropriate amount of time has passed
Student Employment/Labor Records	5 or Useful Life	0	Destroy	Retain 5 years after date of termination

Records Series	Retention Period in Office of Origin from Date of Last Activity	Retention Period in Records Center	Final Disposition	Comments
Student Files, Departmental, Graduate & Professional Programs, Graduated	5	20	Review	Destroy after graduation or date of last attendance unless graduate students &/or students in professional programs (professional accreditations may require maintenance of student files); this includes terminated/withdrawn students
Student Files, Departmental, Graduate & Professional Programs, Withdrawn/Terminated	5	5	Destroy	After termination
Student Records, Historical	5	0	Permanent	As required by AACRAO, accreditation, & law; older than 75 years
Student Records, International: I-20 & other immigration matters	5 years after graduation or date of last attendance	5	Destroy	Ten years after graduation or date of last attendance
Student Requests for Non-Disclosure of Directory Information	Permanent	0	■	
Student Statements on Content of Records Regarding Hearing Panel Discussions & Written Decisions of Hearing Panels	5	0	Destroy	After life of affected record
Student's Written Consent for Records Disclosure	5	0	Destroy	Until terminated by student or life of affected record
Subject Files: Files documenting day-to-day activities of university offices, reflecting administrative activities such as policy decisions, actions taken, events, committee & community involvement, & involvement with outside organizations. These are of value to understand the organizational culture, differing points of view, & decision-making process	Useful Life or 5	A total of 30 years from origination	Archives	Some records may be permanently closed in the Records Center
Syllabi: See Course Syllabi				
Systems Contingency Records	3	7	Destroy	Retain current & most recently developed plan records
Systems Data Storage/Back-Up Records	3	0	Destroy	Retain storage media as specified in the backup cycle schedule
Systems Documentation Records	Useful Life or 3	7	Destroy	
Systems Support Records: This includes purchase records, systems maintenance schedules, service orders, notes on significant failures, & troubleshooting	Useful Life or 5	5	Destroy	
Systems Technical Support Records	Useful Life or 5	0	Destroy	Machine-specific records should be kept as long as the machine is in use
Tax Records	6	Permanent	RC	
Teacher Certifications	5	0	Destroy	After certification
Telephone Billing Statements	1	0	Destroy	
Tenure & Promotion Recommendations: See Faculty Advancement Portfolio, Applications for Tenure & Promotion				
Time Sheets/Payroll Sheets	4	7	Destroy	
Topical Files: See Subject Files				
Travel Documentation: Documentation maintained in support of reimbursement to University employees for University related travel	1	0	Destroy	Expense reports are included in this record series
Trial Balances	Useful Life	0	Destroy	Keep until audit
Trust & Planned Giving Records: Wills & Trust	5 years after close of the trust	Permanent	RC	Active & inactive files
Undergraduate Fellowships	Useful Life	0	Destroy	
Unemployment Insurance Claims	3	0	Destroy	After expiration
Vouchers, Journal & Check Registers	6	0	Destroy	After graduation or date of last attendance

Records Series	Retention Period in Office of Origin from Date of Last Activity	Retention Period in Records Center	Final Disposition	Comments
W-2 Forms	6	0	Destroy	
W-4 Forms	6	0	Destroy	
Work Orders	2	0	Destroy	
Work-Study Records	5	0	Destroy	Retain 5 years after date of termination

Notes of Consideration:

Record format may vary & include, but are not limited to paper, electronic, video, audio recordings, photos, & other types of records.

New Records Series, retention, & disposition are evaluated by the University Archivist, discussed with the Office of Origin, & approved by Legal Counsel & the Andrews University Archives Committee before added to the Records Retention Schedule.

This retention schedule is interpreted and enforced in compliance with applicable privacy laws.

APPENDIX I: Forms**Records Information & Transfer Form**

4190 Administration Drive
James White Library, 1st Floor
Berrien Springs, MI 49104-1440

269-471-3373

FAX: 269-471-2646

archives@andrews.edu

www.andrews.edu/services/archives/

Records Information & Transfer Form

Please fill this out before transferring records to the University Archives.

Name of Transferring Office:	Date of Transfer:
Name of Person Transferring Records:	Email:
Campus Phone Number:	Media Format (Please check all that apply): <input type="checkbox"/> Paper <input type="checkbox"/> CD/DVD <input type="checkbox"/> Other:
Restriction to Use or Access: <input type="checkbox"/> No <input type="checkbox"/> Yes, please explain:	
Box contents:	Box _____ of _____

Instructions & Guidelines

- No hanging folders
- Lay completed form inside the box on top of records
- Do not mark the outside of the box
- Loose papers must be in manila folders

Retrieval Request Form



4190 Administration Drive
James White Library, 1st Floor
Berrien Springs, MI 49104-1440

269-471-3373

FAX: 269-471-2646

archives@andrews.edu

www.andrews.edu/services/archives/

Retrieval Request Form

Please fill this out to request records from the University Archives.

Requester's Name:	Date of Request:
Office of Origin:	Email:
Campus Phone Number:	Preferred Method of Return: <input type="checkbox"/> Pick Up <input type="checkbox"/> Campus Mail <input type="checkbox"/> Scanned & Emailed
Description of Records Needed:	
Reason for Request:	

Instructions & Guidelines

- Be specific in your description of what records are needed (title of record, alphabet range, dates of records, other criteria)
- Indicate who course & professor records are needed for, if applicable

Records Destruction Documentation Form



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Records Destruction Documentation Form

NOTE: This form is used in conjunction with the Records Retention Schedule (RRS), and other established guidelines. This form applies to all academic and administrative units on the Andrews University campus. Records DESTRUCTION may not take place if there is an open records request, or if there is pending litigation or audit involving these records.

I, _____, **authorize the destruction of the below-listed records.**
(department head)

Record Title/Description	Begin Date	End Date	Retention Period	Date Eligible for Destruction (End Date + Retention Period)

I have reviewed these records and found them to be obsolete in accordance with the indicated records retention schedule. I certify that to the best of my knowledge, all audit requirements have been satisfied and these records are not subject to any current or pending litigation, subpoena, or other legal demand for their retention or disclosure. I understand that confidential records, such as those relating to personnel data, should be disposed of by shredding, burning or pulverizing.

Signature of Department Head

Date

These records were destroyed on:

Date

Signature of Official Overseeing Destruction