



DUKE UNIVERSITY RECORDS RETENTION GUIDELINES ADMINISTRATIVE AND MANAGEMENT RECORDS Effective January 11, 2005

The following records retention guidelines provide recommendations for the disposition of records and information used in the administration and management of Duke University's departments, programs, libraries, committees, schools, and institutes. The records document the creation of policy; fulfillment of missions, goals, and objectives; and development and implementation of directives and plans. They also serve to keep University offices functioning day-to-day and therefore can be routine and business-like in nature.

These guidelines apply to administrative and management records and data stored on any and all media. These guidelines do not obligate an office to create records that did not previously exist.

Fiscal Records

Much of the information used in the management and oversight of programs and the administration of offices or centers is financial in nature. An office should follow procedures laid out in Financial Services' [General Accounting Procedure 200.240](#), Retention Periods for Accounting Records, when fiscal records are being disposed of.

Using the Retention Guidelines

The Retention Guidelines identify *minimum* retention periods for several categories of administrative and management records. Those categories include:

- Routine Administrative Records—these records are used to support routine functions in an office. Examples include copies of widely dispersed policies and procedures, staff meeting records, daily staff calendars, budgetary data, etc.
- Program Administration and Management Records—these records are used to oversee and administer programs, departments, or centers. They are more substantive materials used for planning and evaluation and may be created for reporting purposes, to satisfy missions or directives, or to document achievements. Examples include reports, strategic plans, policies and procedures, and program development and evaluation records.
- Records of Standing and Ad Hoc Committees, Councils, or Boards—these records are created in the conduct of business by the many committees and councils at Duke University. Included in this category are meeting minutes and supporting documents, working papers, reports, and membership records.

Following the minimum retention period, the records in question should be disposed of according to the recommendations in these guidelines. In some cases it is important to destroy information using a method that preserves its confidentiality. (This excludes records identified for permanent retention.) Duke University maintains contracts with several shredding facilities; visit Procurement Services' website at <http://www.procurement.duke.edu/> for more information.



DUKE UNIVERSITY RECORDS RETENTION GUIDELINES **ADMINISTRATIVE AND MANAGEMENT RECORDS** Effective January 11, 2005

If you need assistance or guidance in transferring records to the University or Medical Center Archives, visit (or call) <http://www.lib.duke.edu/archives/index.html> (919-684-5637) or <http://archives.mc.duke.edu> (919-383-2653).

A series title and brief description of the contents of each series identifies the information or data to be disposed of following the recommended retention period. DO NOT dispose of any records or data if an investigation, legal action or proceeding, audit, or program review is forthcoming or in progress.

The University Records Manager will review the retention guidelines for administrative and management records periodically and will issue revisions as necessary.

If you maintain administrative and management records that are not identified in these guidelines, visit <http://www.lib.duke.edu/archives/rm/> or call 919-684-6181 for assistance.

Off-site Storage

In most cases, offices responsible for maintaining records do not have adequate space to store them beyond one or two years. If records must be moved to an off-site storage location, consider the following needs:

- Access and retrieval, including frequency of retrieval, emergency access needs, and potential costs associated with getting to the records;
- Environmental conditions that provide stable and friendly conditions for the records;
- Security systems that prevent unauthorized access to the records;
- Filing systems that permit the rapid retrieval of records via a logical index, box list, or similar finding aid; and,
- The overall physical and intellectual control over the records for which you are the guardian.

Abbreviations and Definitions

Administrative Value—the usefulness of a record in the conduct of office business

Archives—the University Archives (<http://www.lib.duke.edu/archives/index.html>) or the Medical Center Archives (<http://archives.mc.duke.edu>)

Minimum Retention—the minimum amount of time a particular series of records should be retained



DUKE UNIVERSITY RECORDS RETENTION GUIDELINES
ADMINISTRATIVE AND MANAGEMENT RECORDS
Effective January 11, 2005

Permanent—an indefinite retention period; signifies that the records have sufficient value or importance to justify keeping them in perpetuity. Permanent retention also may be based on legal requirements or demonstrated and justifiable need. Long term or permanent retention of electronic records commits an office's resources to data migration, ensuring the integrity and trustworthiness of the data, and addressing hardware/software obsolescence. An office should consider the long-term availability of its resources prior to expressing an interest in retaining information permanently. The University Archives or the Medical Center Archives is the official repository for information with historical or enduring value.

Records—all recorded information, regardless of its physical form or characteristics, created or received pursuant to the transaction of University business or in the fulfillment of its educational, administrative, business, or legal obligations.

Duke University Records Retention Guidelines

Category Description: Administrative and Management Records

This category of records documents the functions, executive and managerial duties, and overall management of Duke University Administration, schools, departments, libraries, programs, or centers. They may relate to planning initiatives, program implementation and evaluation, or the fulfillment of the University's mission and vision.

Primary Heading: Program Administration and Management Records—These are unique records that document the development, administration and management, and evaluation of programs, departments, or centers. They typically are used to support the programs or document activities and are retained to assist in planning efforts or to provide historical perspective for the office.

Series Title	Content	Minimum Retention	Notes
Audit reports-financial	Findings of audits of financial systems/records		Follow General Accounting Procedure 200.240 for disposition of fiscal records
Audit reports-programs, departments, or centers	Findings of audits of programs, departments, or centers; may include related correspondence	5 years; transfer to Archives	
Calendar of events and programs	Calendar of events for programs, departments, or centers; may include summaries of events and planning documents	Superseded or obsolete	
Conferences attended	Records of conferences, symposia, or workshops attended by staff of departments, programs, or centers	Administrative value ends	Follow General Accounting Procedure 200.240 for disposition of fiscal records
Conferences conducted or sponsored	Records of conferences, symposia, or workshops conducted or sponsored by staff of departments, programs, or centers	Contracts--3 years after final payment if not being audited Remaining records--5 years; transfer to Archives (excluding fiscal records)	Follow General Accounting Procedure 200.240 for disposition of fiscal records
Plans and reports	Planning documents, project or program reports, activity or summary (year-end) reports, etc.; may include supporting documents or aggregate data	5 years; transfer to Archives	Retain drafts only if major changes occur from one draft to the next

Series Title	Content	Minimum Retention	Notes
Policies and procedures (record copies), including handbooks	Policies and procedures for programs, departments, or centers	Superseded or obsolete, transfer to Archives	
Program development and accreditation records	Documents establishment, planning, and review/accreditation of major department activities/projects	5 years; transfer to Archives	
Resource and reference material	Catalogs, articles, guidelines and similar records related to programs include materials created to support department projects or programs	Reference value ends	These materials are from outside sources; this category does not include materials created to support department projects or programs
Strategic plans	Identify goals and objectives for programs, departments, or centers	5 years; transfer to Archives	
Subject files	Records providing background for office programs, mission, or functions and serving as resources for carrying out those activities	Contact Archives for review and appraisal	

Primary Heading: Records of Standing and Ad Hoc Committees, Councils, or Boards—Records documenting activities and decisions of committees, councils, and boards with which offices deal, or upon which office staff serves.

Series Title	Content	Minimum Retention	Notes
Committee records	May include agendas, minutes and appendices/attachments, bylaws, charters, correspondence, working papers, reports, etc., created by standing and ad hoc committees	5 years; transfer to Archives	Committee should identify guardian of record copies (i.e. Secretary) and destroy duplicate/reference copies
Membership records	Membership lists, acceptance letters, nomination letters, etc.	5 years; transfer to Archives	

Primary Heading: Routine Administrative Records—Concern daily functions, administration, and operations of the office; are used as routine supporting documentation for management activities and the conduct of business

Series Title	Content	Minimum Retention	Notes
Correspondence (routine)	Routine correspondence/email concerning information requests, invitations, confirmations, scheduling, etc.	Administrative value ends	
Emergency notifications	Call back lists, emergency and after-hours contact information	Superseded or obsolete	
Equipment	Instructions/manuals, warranties & guarantees, rental/lease/maintenance agreements, service documentation, etc.	3 years after disposition of equipment	Follow General Accounting Procedure 200.240 for disposition of fiscal records
Meeting records (staff)	May include agendas, minutes and appendices/attachments, correspondence, etc., created for routine staff meetings	3 years	
Monthly reports	Routine reports documenting activities of staff	3 years	Also see Plans and Reports
Office administrative and support records	Records used in the administration and daily functions of the office; may include copies of policies and procedures, distribution lists, copies of budget documents, etc.	Administrative value ends	Follow General Accounting Procedure 200.240 for disposition of fiscal records
Organizational charts		Superseded or obsolete, transfer to Archives	
Professional groups	Correspondence, copies of minutes, publications/newsletters, etc. concerning professional organizations/associations to which staff of programs, departments, or centers belong	Administrative value ends; transfer to Archives if group affiliated with Duke University and destroy remainder	Does not include records of student groups or organizations
Records management	Retention guidelines, inventories of material stored off-site, destruction certificates, etc.	Retain destruction certificates Remaining records--superseded or obsolete	