



RETENTION OF PERMANENT UNIVERSITY RECORDS (ARCHIVAL RECORDS) UNIVERSITY ARCHIVES, Z. SMITH REYNOLDS LIBRARY

Overview:

The University Archives, Z. Smith Reynolds Library serves as the official repository for the permanent records of Wake Forest University. Its primary purpose is to serve the administrative, teaching, research, and public service needs of the University and other user communities. In order to fulfill this purpose, the University Archives collects those records that have enduring value to document the history of Wake Forest University, its administration, programs, services, and members of its community. Records which possess historical, administrative, legal, and fiscal value are identified and retained permanently. The University Archives then preserves these records and makes them available for researchers.

Criteria:

In assessing records appropriate for permanent retention, the University Archives attempts to collect the documentation produced from the conduct of University business. There are seven functions common to the operations of most academic institutions: convey knowledge; advance knowledge; confer credentials; foster socialization; maintain and promote culture; sustain the institution; and provide public service.

[Varsity Letters: Documenting Modern Colleges and Universities, Helen Willa Samuels, The Society of American Archivists and the Scarecrow Press, Inc., 1992. pp.19-23.]

Purpose:

The purpose of this policy is to identify permanent records retention requirements and responsibilities, and to provide guidance for the retention and/or transfer of records to the University Archives deemed permanent.

Scope:

This policy covers all University Records (see definition below) of permanent and historical value, regardless of media form or format, made or received in connection with the transactions of university functions.

Policy:

Wake Forest University is committed to the retention of its permanent records in order to meet legal requirements, optimize use of space, minimize cost, and preserve the history of the University. This policy identifies records that must be retained permanently and applies to all records regardless of media type (paper, computer data, microfilm, electronic mail) created at all levels of the University. This policy should be used in conjunction with the University's [Retention of University Records Schedule for Nonpermanent Records](#).

Confidentiality:

Many records subject to record retention requirements contain confidential information (such as name, address, social security number, bank account numbers, financial aid information, student



numbers and grades, medical information, etc.). Such records are protected by federal, state and local statutes, including but not limited to the Family Educational Rights and Privacy Act (FERPA), the Gramm-Leach-Bliley (GLB) Act, and the Health Insurance Portability and Accountability Act (HIPAA).

The University Archives appraises and reviews all records transferred to its possession, and follows the above guidelines and standards in regards to confidential destruction.

Record Types

A

Accreditation Files

- Description: University, college or department files documenting accreditation review by accrediting agencies
- Retention: 7 years; transfer to Archives

Advertising/Promotional Materials

- Description: Brochures, flyers, bookmarks, magnets, other ephemera
- Retention: 2 years; transfer to Archives

Affirmative Action Plan Files

- Description: Procedures and regulations to be followed, work force analysis, goals, timetables, statistics.
- Retention: 6 years; transfer to Archives

Annual Financial Reports

- Description: Consolidated year-end report of financial situation showing assets and liabilities. Usually broken down by major funding area.
- Retention: 4 years; transfer to Archives

Annual Report (of originating department)

- Description:
- Retention: 3 years; transfer 1 copy to Archives

Audit Reports

- Description: Final Report of state or independent audit
- Retention: 4 years; transfer to Archives



Awarded Grants Files

- Description: Files containing proposal, budgets, accounting information on grants received by faculty members from federal and state agencies and private foundations
- Retention: Active + 5 years; transfer to Archives

B

Building Construction

- Description: Blueprints, Plans, Project Files, and Specifications
- Retention: Permanent, retained by originating office.

Budget, Institutional

- Description: Final, approved yearly budget for institution, usually in printed form
- Retention: Active + 3 year; transfer to Archives

C

Catalogs

- Description: Official bulletins of the institution
- Retention: Permanent; transfer 1 copy to Archives

Committee Records - College, School, Department, Division, or Office

- Description: Includes agendas, minutes, correspondence, reports for committees
- Retention: 3 years; transfer to Archives

Commencement Programs

- Retention: Permanent; transfer a copy to Archives

Conference Files

- Description
- Retention: 3 years; transfer to University Archives
- Notes: Destroy logistical details, e.g. menus, invoices, receipts after 3 years, transferring summary documents to University Archives

Construction Files

- Description:
- Retention: 3 years; transfer to University Archives
- Notes: Destroy logistical details, e.g. invoices, receipts after 3 years, transferring summary documents to University Archives

Correspondence, Administrative and General

- Description: Deals with significant aspects of the administration of the offices. Includes information on policy, program, or fiscal matters.
- Retention: 2 years, then transfer to the University Archives

Course Content and Student Projects

- Description: Documenting the process of learning
- Retention: Permanent
- Notes: Needs permission of creator

Course Syllabi

- Retention: Active + 6 years
- Notes: Archives retains course years
- Descriptions published in catalogs and bulletins permanently

Curriculum Development Files

- Description: Files documenting approval of new programs and degrees
- Retention: Indefinite
- Notes: Archives receives permanent files from Department or College

Curriculum Vitae

- Description: Documenting the activities of faculty and staff
- Retention: Indefinite

D

Degree Statistics

- Retention: Indefinite; transfer copy to Archives

Dissertations

- Retention: Permanent. Submitted ETD. Embargo upon request.
Wake Forest University retains the right to reproduce for preservation purposes and to also provide online access for researchers.

E

Enrollment Statistics

- Retention: indefinite; transfer copy to Archives

F

Financial Report - Annual

- Description: Consolidated year-end report of financial situation showing assets and liabilities. Usually broken down by major funding areas, such as academic and student services areas. May include audit report
- Retention: 4 years; transfer to Archives

G

Grants and Contracts Final Reports

- Description: Consolidated year-end report of financial situation showing assets and liabilities. Usually broken down by major funding areas, such as academic and student services areas. May include audit report
- Retention: 4 years; transfer to Archives

H

Handbooks, Employee and Student

- Retention: until superseded; transfer 1 copy to Archives

I

Institutional Planning Records

- Description: Relate to planning and forecasting for internal purposes. Includes annual plans, five and ten-year strategic plans and forecasts, facility requirements, growth forecasts. Also includes statistics on enrollment, faculty, staff
- Institutional Research
- Retention: Active + 1; transfer 1 copy to Archives

L

Lists/Directories

- Description: Includes mailing lists, directories, rosters, and registers compiled by an office
- General Schedule

- Retention: Until superseded, obsolete, or replaced

M

Meeting Agendas and Minutes

- Description: meeting minutes of committees, task forces, working groups
- Retention: 3 years; transfer to University Archives

N

News Releases, Institutional

- Description: Marketing and Communications
- Retention: Indefinite; transfer 1 copy to Archives

Newsletters and Brochures, Institutional

- Description:
- Retention: Indefinite; transfer 1 copy to Archives

O

Organizational Charts

- Retention: Active + 10 years; transfer 1 copy to Archives

P - Q

Personnel

- Description: Curriculum Vitae, Policies and Procedures, Position Descriptions
- Retention: Active + 10 years; transfer 1 copy to Archives

President/Provost/Vice President/Director/ Dean/Chair

- Description: Files of correspondence, reports, memos, documenting activity of these offices
- Retention: 3 years; transfer to Archives

Program Development and Review Records

- Description:
- Notes: original in Office of Provost
- Retention: Permanent; transfer to Archives

Publications, Institutional

- Description: From originating Office
- Retention: Permanent; transfer to Archives

Publicity: News, Press Releases, Public Relations Files

- Description: Audiovisual, E-mail, Photographs, Web sites
- Retention: Permanent; transfer to Archives

R

Racial/Ethnic Reports, Statistics, and Studies

- Retention: indefinite; transfer 1 copy to Archives

Recruitment Materials, General

- Description: Videos, publications, posters, advertisements, etc. used to recruit students to attend the institution.
- Marketing and Communications
- Retention: 5 years; transfer to Archives

Theses

- Retention: Permanent. Submitted ETD. Embargo upon request.
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S

Schedule of Classes (Institutional)

- Schedule of classes offered each term by the institution
- Retention: indefinite; transfer 1 copy to Archives

Special Event/Conference Files

- Description:
- Retention: 3 years; destroy menus, invoices, receipts, etc.; transfer remainder to Archives

Speeches, Papers, and Presentations

- Retention: Transfer to University Archives

Strategic Plans

- Description: Program, Departmental, College, Institution
- Retention: Transfer to University Archives

U

University Governance Files

- Description: Files of minutes of boards/committees/governance groups documenting official actions of governing bodies
- Retention: 3 years; transfer to Archives

W

Web site, University and Related

- Description:
- Retention: Crawl