



## 1. INTRODUCTION

Each administrative office at the University generates unique records in the course of conducting daily business. The intent of this Policy and its associated procedures is to ensure that all University administrative 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 administrative needs, and identify and preserve permanently valuable records.

## 2. POLICY STATEMENT

The University Archives is responsible for establishing Records Retention Schedules and records management procedures so that University Records are handled in an appropriate manner throughout their life cycle. Collaboration among the Office of Origin, the Office of General Counsel, and the University Archives should ensure that Active Records are available for business use, that 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.

University Records are recorded information created or received in the course of conducting University business and kept as evidence of such activity. This definition extends to records in all formats, including but not limited to e-mail, electronic and paper documents, film and print graphics, and audio and video recordings.

Records of enduring historical value shall be accessioned into the permanent collections of the University Archives and identified in such a way as to make them accessible for appropriate research use.

All administrators and staff at the University, including those members of the faculty who may possess University Records relating to administrative duties, must observe the following:

1. All University administrative offices must work with the University Archives to ensure the efficient and economic control of University Records. Records must be regularly surveyed, inventoried, and appraised to determine retention periods.
2. Records Retention Schedules set forth the maximum period of time that a University Record should be kept, absent a hold order, legal requirement (marked by an asterisk in the schedules), or other extension as described in Paragraph 9 below. Records Retention Schedules will be prepared by the University Archives in consultation with the Office of Origin, and must be approved by the Office of General Counsel. Records Retention Schedules will be based upon administrative needs, including legal and fiscal requirements, and the historical significance of the record. Retention periods for University Records not specifically included in the Records Retention Schedules are generally three years; however, offices should contact the University Archives for guidance where Record Retention Schedules do not exist.
3. Retention periods for University Records common to most offices across the University are outlined in the General Records Retention Schedules. Most offices also will have Records Retention Schedules for University Records specific to their own office. If there is a conflict between the General Records Retention Schedules and the office-specific Records Retention Schedules maintained by the Records Coordinator, the office-specific schedules should be followed.
4. Each office should designate a Records Coordinator to act as its liaison with the University Archives in records related matters. The responsibilities of the Records Coordinator shall include maintenance of and compliance with the Records Retention Schedules for the office.
5. Each office should identify as Vital Records those records so essential to University operations that their loss would seriously impair or disrupt the business of the University. Vital Records must be secured safely and permanently.
6. Active records are the responsibility of the Office of Origin. Physical and/or intellectual control of these records is the responsibility of that office.
7. Inactive Records not scheduled for immediate destruction should be transferred to the University Archives for temporary storage in the University Records Center for the period stipulated in the Records Retention Schedules. Inactive Records transferred to the University Archives that are scheduled for eventual destruction will be the custodial responsibility of the Archives but remain the administrative responsibility of the Office of Origin and will be accessible only to authorized representatives of that office, the University Archives, and the Office of the President.
8. Inactive Records may not be placed in storage at a site other than the University Records Center without the joint approval of the office's Records Coordinator and the University Archivist.

9. University Records scheduled for destruction must be disposed of in accordance with the provisions and timetable of their schedules. Any exception must be authorized by a hold order from the Office of General Counsel or by the creation of new Records Retention Schedules. Reasons for emergency holds on records destruction include but are not limited to new government regulation, judicial order, pending litigation, or audit requirements.
10. The University Archivist has the sole responsibility to appraise Inactive Records for possible inclusion in the permanent historical collections of the University. The Office of Origin may also consult the University Archivist to determine if an active record is of archival value to the University to ensure that it is handled appropriately. The University Archivist will determine which records will be permanently retained, will grant and limit access to the records, and will establish and administer other policies and procedures as necessary. Historically significant records, in any form, that have been designated as Archival Records shall become the administrative responsibility of the University Archivist.
11. The University Archivist, acting on behalf of the President, will have final authority for all matters pertaining to the care of archival records in any facilities which store such records.

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### 3. SCOPE

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This policy applies to all University of Notre Dame administrators and staff, including those members of the faculty who may possess University records relating to administrative duties. This policy does not apply to the teaching and research records of faculty members, which are addressed in the *Intellectual Property Policy*.

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### 4. DEFINITIONS

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<b>Active Records</b>	University Records that are currently in use in the office in which they were created.
<b>Archival Records</b>	University Records of enduring historical value that are retained permanently as part of Notre Dame's historical research collection.
<b>General Records Retention Schedules</b>	Maximum time periods governing the retention of University Records that may be encountered by all administrative offices across the University. These General Records Retention Schedules may be supplemented by office-specific Records Retention Schedules.
<b>Inactive Records</b>	University Records that are no longer considered to be in active use. Most inactive records should be scheduled for immediate destruction. Some inactive records may be placed in the University Records Center for the period stipulated in the Records Retention Schedules until their eventual destruction. Some inactive records will become Archival Records.
<b>Office of Origin</b>	The office in which a record was created.
<b>Office of Record</b>	The office that is primarily responsible for the retention and

	disposition of the official copy of the record.
<b>Records Retention Schedules</b>	Maximum time periods governing the retention of office-specific University Records.
<b>University Archives</b>	The centralized administrative unit with the task of identifying and collecting all permanently valuable University Records.
<b>University Archivist</b>	The Director of the University Archives who provides archival, records management, and preservation expertise to the University and its administrative offices, and sets policy and levels of practice in these areas.
<b>University Information</b>	All information that the University of Notre Dame or its agents use in the course of conducting University business, except those materials specifically excluded from University ownership as set forth in the University's <i>Intellectual Property Policy</i> .
<b>University Records</b>	Recorded information, in any form, created or received in the course of conducting University business and kept as evidence of such activity, excluding transitory work products (e.g., unused copies, drafts, notes).
<b>Vital Records</b>	Records containing information needed to establish or maintain continuity of operation in an office, department, or division of the University, to recreate the University's legal and fiscal records, or to preserve the rights of the University, its Board, faculty, staff, and/or students in the event of a disaster.

## 5. RESPONSIBILITIES

<b>Responsible Party</b>	<b>List of Responsibilities</b>
Audit & Advisory Services	<ol style="list-style-type: none"> <li>1. Conducts periodic audits to ensure compliance with this Policy.</li> <li>2. Recommends procedural changes to this Policy to University Archives.</li> <li>3. Investigates reported violations of this Policy.</li> </ol>
Office of General Counsel	<ol style="list-style-type: none"> <li>1. Approves general and office-specific Records Retention Schedules.</li> <li>2. Authorizes hold orders or exceptions to Records Retention Schedules.</li> </ol>
Records Coordinator	<ol style="list-style-type: none"> <li>1. Acts as liaison between his/her office and the University Archives in records related matters.</li> <li>2. Ensures that his/her office is in compliance with this Policy and its associated procedures.</li> </ol>
University Archives	<ol style="list-style-type: none"> <li>1. Establishes general and office-specific Records Retention Schedules and records management procedures.</li> <li>2. Offers guidance in managing University Records through the several stages – active, inactive, and archival – of their life cycle.</li> <li>3. Identifies, collects, and preserves University Records of archival value.</li> <li>4. Grants and limits access to Archival Records.</li> </ol>

## 6. PROCEDURES

<b>Task</b>	<b>Procedure</b>
Consult Records Retention Schedules for information on how long to retain records	1. See General Records Retention Schedules under “Records Management” at <a href="http://archives.nd.edu/records/retention.htm">http://archives.nd.edu/records/retention.htm</a> 2. Consult Records Coordinator and/or Archivist for Records Management for office-specific Records Retentions Schedules.
Transfer records to Archives or Record Center	1. See transfer instructions under “Records Management” at <a href="http://archives.nd.edu/records/transfer.htm">http://archives.nd.edu/records/transfer.htm</a>
Destroy records scheduled for destruction	1. See guidelines on destroying records under “Records Management” at <a href="http://archives.nd.edu/records/transfer.htm">http://archives.nd.edu/records/transfer.htm</a>

## 7. POLICY ENFORCEMENT

Compliance	Administrative office heads are responsible for their department’s compliance with this Policy. Administrative office heads should therefore designate Records Coordinators to act as their liaisons with the University Archives in records related matters. Audit & Advisory Services, as a part of its internal audit process, will conduct periodic records retention audits to ensure compliance with this Policy.
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## 8. REFERENCE DOCUMENTS

<b>Policy or Document</b>	<b>Web Address</b>
Access Policy of the University Archives	<a href="http://archives.nd.edu/about/accesspolicy.pdf">http://archives.nd.edu/about/accesspolicy.pdf</a>
Collection Policy of the University Archives	<a href="http://archives.nd.edu/about/collectionpolicy.pdf">http://archives.nd.edu/about/collectionpolicy.pdf</a>
General Records Retentions Schedules	<a href="http://archives.nd.edu/records/retention.htm">http://archives.nd.edu/records/retention.htm</a>
Intellectual Property Policy	<a href="http://www.or.nd.edu/technology-transfer/for-faculty/intellectual-property-policy/">http://www.or.nd.edu/technology-transfer/for-faculty/intellectual-property-policy/</a>
Records Transfer and Disposal Procedures	<a href="http://archives.nd.edu/records/transfer.htm">http://archives.nd.edu/records/transfer.htm</a>

## 9. CONTACTS

<b>Subject</b>	<b>Office or Position</b>	<b>Telephone Number</b>	<b>Office E-mail and URL</b>
Policy	University	(574) 631-6448	<a href="mailto:archives@nd.edu">archives@nd.edu</a>

Content/ Violations	Archives		<a href="http://archives.nd.edu">http://archives.nd.edu</a>
Web Address for this Policy		<a href="http://policy.nd.edu/policy_files/RecordsManagementandArchivesPolicy.pdf">http://policy.nd.edu/policy_files/RecordsManagementandArchivesPolicy.pdf</a>	