



POLICY

Files and Records – Review, Retention and Retirement

Policy Administrator: Director of Risk Management and Environmental/Health/Safety

Authority: N.J.S.A. 47: 3-15 et. seq.

Effective Date: June 28, 1976; July 15, 2010; February 16, 2011

Index Cross-References:

Policy File Number: VI-92

Approved By: Board of Trustees

POLICY:

- A. The files of the University should contain only those materials that are of immediate or continuing importance to the effective operation of the unit possessing the file.
- B. Files and records should be purged frequently and at least annually. Those materials judged as suitable for the archival collection should be transferred to the library by the Office of Record. (See Attachment 1.) Materials retained beyond its period of usefulness occupy valuable file space and contribute to fire hazard risks.
- C. Any policy or procedure developed for University-wide use must conform to the applicable provisions of Destruction of Public Records Law, Chapter 410, Public Laws of 1953 (N.J.S.A. 47:3-15 et. seq.).
- D. Four sections or categories of files are authorized. These are:
 1. **Current or Active File.** This section of the files is the major repository for the current fiscal year. (July 1 through to the next August 31). It contains those items of correspondence, reports, records, and publications produced or received during the current period and retained as being essential to the effective functioning of the unit. At the end of the fiscal year the active section of the files is transferred to another location in the unit's file system and becomes the Inactive File. A new active file is started as a replacement and covers the forthcoming fiscal year.

2. Inactive File. As indicated this was the previous year's active file less those items purged during the review and transfer process. The latter process is conducted in conjunction with the physical transfer of the materials being retained. The purpose of retaining the Inactive File is to permit relatively easy access to those older materials which still contribute to the orderly functioning of the unit. This section of the file system might also be labeled as "the second year file." Also there will be occasions where specific holdings are removed from the inactive file and placed back into the current or active file.
 3. Holding File. This is the third section of the file system. It should contain those exceptional items required for some definite period beyond the "second year" Inactive File. Generally materials in the holding file should be restricted to a few items of historical, legal, or financial value to the unit and/or the University. In this category are some items, which after serving its purpose in the unit, would be transferred to the University Archives because of potential archival value.
 4. Transfer Files. These are materials which under N.J.S.A. 43:3-15 et. seq. meet the criteria as "Public Records" and are in the process of being destroyed. Those files or items requiring permission from Division of Archives and Records Management, Trenton, prior to destruction, are indicated by asterisks in the listing of retention periods. The transfer files would be held in a records retention center pending disposition.
- E. In the destruction process, the shredding of confidential correspondence, records, computer materials, identification cards will be accomplished by the Office of Record.
- F. Offices of Record. Various offices are designated as the Office of Record to be responsible for maintaining, in conjunction with the Archives, a continuity file of specified materials. The designations are included in this policy to fix the responsibility, and to eliminate the necessity or tendency for other offices to keep the same materials in their files. The knowledge that some other office is retaining copies or furnishing specific materials to the Archives, hopefully will preclude other offices from retaining copies of the same items. The designated Offices of Record and areas of responsibility are listed in Attachment 1.
- G. Retention Periods. Retention periods for various categories of file materials may be found at <http://www.state.nj.us/state/darm/links/pdf/s510000.pdf>

Attachments:

1. Office of Record

Attachment 1

Subject Area or Materials	Office of Record
Admission Data	Admissions Office
Academic Working Papers	Academic Affairs
Accreditation Materials	President's Office
Affirmative Action Reports	Affirmative Action & Ethical Standards
Alumni	Alumni Relations
Architect's Reports	Facilities Planning & Construction
Arts & Humanities Programs	Arts & Humanities
ARGO	Library
Athletics & Recreation	Athletics & Recreation
Attorney-General Correspondence	General Counsel/President's Office
Audits (Financial)	Accounting
Auxiliary Services	Administration & Finance
Board of Trustees	President's Office
Bond Issues	Administration & Finance
Budget	Administration & Finance
Calendar (Academic)	Student Records and Registration
Calendar of Events	Events Services
Capital Improvement Programs	Facilities Planning & Construction
Campus Activities	Events Services
Career Planning	Career Center
Collective Bargaining	President's Office
University Cabinet	President's Office
University Store	Administration & Finance
Community Services	Service Learning Program
Computer Programming & Data Processing	Computer Services
Continuing Education	Continuing Studies
Contracts (Legal)	Administration & Finance Staff Counsel
Data Processing	Computer Services

Educational Facilities Authority	Administration & Finance
EOF Reports/Newsletters	Student Affairs
Equipment Inventory	Purchasing/Accounting
Evaluation of Personnel	Human Resources
Faculty Items	Deans of the Faculties or Academic Affairs
Financial Aid - Students	Financial Aid
Financial Records & Trans.	Accounting
Food Service	Administration & Finance
General Studies Programs	General Studies
Grants	Grants Office
Institutional Goals	President's Office
Institutional Planning	President's Office
Library Programs & Holdings	Library
Lease Agreements	Administration & Finance
Master Planning Materials	President's Office
Master Schedules	Student Records & Registration
Middle States Association	President's Office
Natural Sciences & Mathematics	Natural Sciences & Mathematics
N.J. Dept. of Higher Education	President's Office
News Releases and Clippings	Office of External Affairs
Personnel Items	Human Resources
Policy Matters	President's Office
Policy Manual	Administration & Finance
Preceptor Program	Academic Advising
President's Memoranda & Reports	President's Office
Procedures Manual	Administration & Finance
Professional Studies Programs	Academic Affairs
Property Acquisitions	Administration & Finance
Prospectus of University	President's Office
Purchases	Purchasing Office
Recruitment of Personnel	Human Resources
Safety and Security	Campus Police

Self-Study
Social & Behavioral Sciences
Stockton Foundation
Student Activities & Publications
Student Grades & Records
Tenure Plan
Trustees (Decisions & Materials)
Utility Records
Vending

President's Office
Social & Behavioral Sciences
University Foundation
Student Development
Student Records & Registration
President's Office
President's Office
Plant Management
Administration & Finance

Approval History:

	Date
Board of Trustees	2/16/11