

RUTGERS

EDWARD J. BLOUSTEIN SCHOOL OF PLANNING AND PUBLIC POLICY
33 Livingston Avenue, Suite 400 • New Brunswick, New Jersey 08901-1982

To: Bloustein School Departmental Administrators
Bloustein Faculty/Staff involved with Sponsored Research

From: Bill Marosy *nam*
Director of Grants and Contracts Administration

Date: November 15, 2004

Re: Records Retention Guidelines

Attached are records retention guidelines that have been established for the Bloustein School. These guidelines are the result of a collaborative effort and reflect the input of the School's departmental administrators, as well as other administrative staff who manage these records on a day-to-day basis. The purpose of these guidelines is to establish what documents we need to retain, how long we need to retain them, and who is responsible for retaining them. In addition, the guidelines also make it clear that we are not obliged to retain everything forever.

Attachment A (7 pages) provides retention guidelines for the following records: grant account files, state/other account files, PACER report files, personnel files for both full-time and hourly employees, job search files, and student records files. These guidelines have been reviewed and approved by Steve Dalina, the University's Records Management Coordinator, and Roberta O'Haeri of the Division of Grants and Contracts Accounting.

Attachment B (9 pages) provides the records retention guidelines that have been established for NTI's course records and program materials. These guidelines were established by the University's Records Management area and are to be used as the retention guidelines for similar records of the Heldrich Center and Government Services Center.

Attachment C (3 pages) is information from the Rutgers University Libraries website that provides general records management pointers and specific instruction for preparing records for shipment to off-site storage. It should be noted that there is a charge for storing records off-site.

Finally, I want to point out that these guidelines do not address every single piece of paper generated within the Bloustein School. Retention periods for personal correspondence files, vendor files, minutes of meetings, procedure manuals and the like should be determined locally.

Departmental Administrators – Please share this information with those faculty/staff in your units who are involved with sponsored research.

If you have any questions, please call me at 2-3133 x567.

Bloustein School Records Retention Guidelines - Effective November 15, 2004

Grant Account Files

Description:

A grant account master file should be created for each award received by the Bloustein School. This master file is maintained in the Bloustein School Business Office for the grants of the Brownfields Center, CEEEP, NJPPRI, HIV Unit, and individual PIs not affiliated with one of the Bloustein School Centers or Institutes. For the grants of CUPR, CGS, VTC, NTL, and the Heldrich Center, the master file is maintained locally by the Business Manager for that particular unit. The Bloustein School Business Office should maintain a back-up file for these center/institute grants.

Contents:

The master grant account file should contain copies of the following items: the original proposal, endorsement form, budget, notice of award, signature card, signed contract/agreement/MOA, purchase orders/invoices, TABERs, subcontracts, consulting agreements, salary reallocations, journal entries, IRB/human subjects documents (if applicable), interim and final progress reports sent to the funder, requests for no-cost extensions and/or budget modifications, and other relevant correspondence (memos, e-mail). Keeping copies of payroll documents (PAFs, PDRs, TRFs) in the grant master file is optional, since these records must be maintained in personnel files within the School Business Office (or Center/Institute). The same is also true for fiscal year-end actual vs. budget and payroll distribution reports.

Retention Period:

7 years

Disposition:

Destroy (or send to off-site storage)

Other Copies:

The Division of Grant and Contract Accounting maintains the official file for the University.

Special Note:

More details re: Federal awards at <http://www.whitehouse.gov/omb/circulars/a110/a110.html#53>

Bloustein School Records Retention Guidelines - Effective November 15, 2004

State Account and Other Account Files

Description:

An account master file should be created for each state account and "other" account (operating account, gift account, special projects account, ICR account) received by the Bloustein School. This master file is maintained in the Bloustein School Business Office for the accounts of the Dean's Office, Brownfields Center, CEEEP, NJPPRI, and the HIV Unit. For the accounts of CUPR, CGS, VTC, NTI, and the Heldrich Center, the master file is maintained locally by the Business Manager for that particular unit. The Bloustein School Business Office does not maintain a back-up file for these center/institute state and other accounts.

Contents:

The account master file should contain copies of the following items: account application documentation, budget (if applicable), purchase orders/invoices, TABERs, subcontracts, consulting agreements, budget adjustments, salary reallocations, journal entries, and any relevant correspondence (memos, e-mail). Keeping copies of payroll documents (PAFs, PDRs, TRFs) in the account master file is optional, since these records must be maintained in personnel files within the School Business Office (or Center/Institute). The same is also true for fiscal year-end actual vs. budget and payroll distribution reports.

Retention Period:

7 years

Disposition:

Destroy (or send to off-site storage)

Other Copies:

The University Accounting Division maintains the official file for the University.

Special Note:

The Working Budget Files for the Bloustein School are maintained by the Bloustein School Business Office and should follow the same retention schedule as for the State and Other Accounts Files.

Bloustein School Records Retention Guidelines - Effective November 15, 2004

PACER Report Files

Description:

PACER (Personnel Activity CERTification) reports are personnel effort certification reports completed and verified by personnel charged to grants and contracts. The Federal government requires that all salary charged to Federal awards be effort certified. The Bloustein School Business Office maintains the master PACER file for the personnel of the Brownfields Center, CEEEP, NJPPRI, HIV Unit, and for individual PIs not affiliated with one of the Bloustein School Centers or Institutes. For the personnel of CUPR, CGS, VTC, NTI, and the Heldrich Center, the master file is maintained locally by the Business Manager for that particular unit. The Bloustein School Business Office should maintain a back-up file for these center/institute PACER reports.

Contents:

The PACER Report master file should contain copies of the following items: DGCA's Control Report listing the personnel to be certified for the given time period, certified (signed) PACER reports by individual including backup documentation (copies of salary reallocations) explaining corrections to the amounts shown on the reports, and any relevant correspondence (memos, e-mails).

Retention Period:

7 years

Disposition:

Destroy (or send to off-site storage)

Other Copies:

The Division of Grant and Contract Accounting maintains the official file for the University.

Bloustein School Records Retention Guidelines - Effective November 15, 2004

Personnel Files - Full-Time Employees

Description:

A personnel master file should be created for each full-time employee (faculty, staff, GA) of the Bloustein School. This master file is maintained in the Bloustein School Business Office. It is recommended that CUPR, CGS, VTC, NTL, Heldrich Center, and the HIV Unit maintain a back-up file for their center/institute personnel.

Contents:

The personnel master file should contain copies of the following items: Personal Action Forms (PAFs), Personal Data Records (PDRs), Tax Withholding Certificates, Direct Deposit Authorizations, Absence Record Cards, Job Description, Performance Appraisals, Pay-for-Performance Notices (Staff), FASIP Award Notices (Faculty), and Benefits Applications/Changes (Medical, Dental, Pension). Though not required, copies of salary reallocation forms may be included in this file as well.

Retention Period:

6 years after the year employment terminates.

Disposition:

Destroy via confidential recycling service.

Other Copies:

Human Resources and Payroll Services retain originals of the documents contained in this file on behalf of the University.

Bloustein School Records Retention Guidelines - Effective November 15, 2004

Personnel Files - Hourly Employees and Students

Description:

A personnel master file should be created for each part-time hourly employee (Type 4) and student employee (Type 5) of the Bloustein School. This master file is maintained in the Bloustein School Business Office for the employees/students of the Brownfields Center, CEEEP, NJPPRI, the HIV Unit, and the individual PIs not affiliated with one of the Bloustein School Centers or Institutes. For the hourly employees/students of CUPR, CGS, VTC, NTI, and the Heldrich Center, the master file is maintained locally by the Business Manager for that particular unit.

Contents:

The personnel master file should contain copies of the following items: Personal Action Forms (PAFs), Tax Withholding Certificates, Direct Deposit Authorizations, Time Report Forms, and Job Description (if one exists). Though not required, copies of salary reallocation forms may be included in this file as well.

Retention Period:

6 years after the year employment terminates.

Disposition:

Destroy via confidential recycling service.

Other Copies:

Human Resources and Payroll Services retain originals of the documents contained in this file on behalf of the University.

Bloustein School Records Retention Guidelines - Effective November 15, 2004

Job Search Files

Description:

A job search master file should be created for each full-time employee search/hiring (faculty, staff, GA) of the Bloustein School. This master file for all faculty searches is maintained in the Bloustein School Dean's Office. For staff, the master job search file should be maintained locally for hires made by CUPR, CGS, VTC, NTI, and the Heldrich Center. The master file for all other staff hires is maintained in the Bloustein School Dean's Office.

Contents:

The job search master file should contain copies of the following items: job description, job posting notice, documentation related to outside advertising, affirmative action information, resumes, letters from the candidates, reference lists, letters of reference, interview notes, and any correspondence from Human Resources relating to the search.

Retention Period:

7 years after the hire date resulting from the search

Disposition:

Destroy via confidential recycling service.

Other Copies:

None

Bloustein School Records Retention Guidelines - Effective November 15, 2004

Student Records Files

Description:

A student record master file should be created for each student who enrolls in the Bloustein School. This master file is maintained in the Bloustein School Student and Academic Services Office.

Contents:

The student record master file should contain copies of the following items: transcripts, applications, letters of recommendation, essays, and other appropriate materials collected over the course of time at the school.

Retention Period:

10 years after the graduation or withdrawal date for the student, 3 years after the rejection or withdrawal of a candidate for admission, and 1 year or less for applicants that did not complete the application process.

Disposition:

Destroy via confidential recycling service.

Other Copies:

None

MEMORANDUM

TO: Steve Dalina

FROM: Laura Poll

DATE: December 20, 2001

SUBJECT: Records Management Project 534

I inventoried the registrar's office of the National Transit Institute in New Brunswick. Since the NTI is a relatively new department, course records went back to only 1993. Records were organized by course offering and then chronologically in 12 random drawers of two lateral and three vertical filing cabinets, one of which was located in the registrar's office and the other two in hallways of the NTI office.

The record series that I inventoried and created a retention schedule for was a very small collection. I considered them to be course records as opposed to student records since the files documented the actual course and not the individual students, although they did contain student information.

My first reaction was that very few, if any, of the individual papers could be disposed of, but after comparing the contents to examples from NJDARM's records retention and disposition of admissions, financial aid, and registrar records for 4-year colleges in New Jersey, I found that only the course forms, registration forms, participant & attendance lists, and sign-in sheets should be permanent. I also used information taken from the Rutgers Records Management Program website regarding records retention schedules by record series.

Permanent records can be considered "Class Lists," "Master Class Schedules," "Graduation Lists," and "College Catalogs," all of which the above records are. Course forms describe the course being offered so they in effect become a type of college catalog. Participant lists, attendance lists, and sign-in sheets all need to be retained since they not only list the registrants of a course and other student information, but they also contain signatures verifying actual participation in the course.

I also recommended that course and conference center invoices, hotel sales contracts, and letters of travel reimbursement be kept for 7 years, as well as certificates of course completion. These records were similar to "Tuition Receipts" and "Certificates." Since there was no other record of travel reimbursement besides the letter, this letter functions as a type of receipt that can be referenced when questions arise. Even though the certificates of course completion were only samples, they need to be retained as such in case a student needs another certificate with their name printed on.

Course evaluation forms should be disposed of after 3 years, as well as miscellaneous letters such as inter-office memos and working drafts relating to the individual course. Though the registrar stated that they are not bound to keep evaluation forms, many of these courses are repeated each year and this would be considered a record of some importance for future sections of the course. This reasoning can also pertain to letters relating to the course.

Items such as confirmation, acknowledgement, and thank-you letters, invitations for free attendance, and general hotel information and directions could be disposed of in 1 year after either completion of the course or from the date submitted. These were records of little significance after the completion of a course, but still might be needed for reference purposes for a short time after. I chose the "Course Add/Drop Request" and "Class Room Schedule" as examples.

The only records that are housed on computer are student registrations and name/address changes. Since changes are only recorded in the computer, these student records are most up-to-date and must be retained permanently. It is recommended that the computer records be backed-up on disk and stored off-site or in a fireproof box in the office.

Records Inventory Form

Page 1 of 1

Department: Rutgers, the State University of New Jersey

Division: National Transit Institute

Bureau: Office of the Registrar

Contact person: Susan Greenstone

Title: Registrar

Office address: Voorhees Transportation Center
120 Albany Street, Suite 705
New Brunswick, N.J. 08901

Phone: 732-932-1700 ext.19

Email: sgreenstone@masternti.rutgers.edu

Prepared by: Laura Poll

Date: December 20, 2001

Record series title: Course Records

Description: contains course forms, registration forms, sample letters of confirmation & certificates of completion; letters of acknowledgment & invitation for free attendance to course, course invoices, participant & attendance lists, sign-in sheets, course evaluations, letters of travel reimbursement & thank-yous to speakers, conference center invoices, hotel sales contracts & general hotel information, general memos and letters

Inclusive dates: **Begin:** 1993 **End:** present

Location: metal filing cabinets; Registrar's office & office hallways

Format: paper, computer

Filed in: file folders in hanging folders

Sequence: by course, then chronological

Reference rate: filed when course is completed

Comments: 1. Folders are color coded; each course has a different folder color

2. Electronic record keeping began in 1994 for student registrations and changes of address (paper files do not contain changes of address information). There is an information gap that occurred 1-1/2 years previous due to clerical error.

RECORDS RETENTION AND DISPOSITION SCHEDULE		AGENCY NUMBER	SCHEDULE NUMBER	PAGE NUMBER																																								
DEPARTMENT	Rutgers, the State University of New Jersey		001	1 OF 3																																								
DIVISION	National Transit Institute																																											
BUREAU	Office of the Registrar																																											
		AGENCY REPRESENTATIVE Susan Greenstone TITLE Registrar (AREA CODE) TELEPHONE NUMBER 732-932-1700 ext. 19																																										
SCHEDULE APPROVAL: Written authorization must be obtained prior to the disposal of public records from the Division of Archives and Records Management in accordance with N.J.S.A. 47:3 - 17, governing the destruction of public records and with regulations as promulgated by the State Records Committee. Unless in litigation, the public records covered by this schedule, upon expiration of their retention periods, will be deemed to have no continuing value to the State of New Jersey.																																												
AGENCY REPRESENTATIVE SIGNATURE		SECRETARY, STATE RECORDS COMMITTEE SIGNATURE		DATE																																								
<table border="1" style="width:100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 15%;">RECORD SERIES NO.</th> <th style="width: 45%;">RECORD TITLE AND DESCRIPTION</th> <th style="width: 20%;">RETAIN IN AGENCY</th> <th style="width: 20%;">RECORDS CENTER</th> <th style="width: 10%;">DISPOSITION</th> </tr> </thead> <tbody> <tr> <td>0001-0000</td> <td>Course Records</td> <td>Permanent</td> <td></td> <td>Permanent</td> </tr> <tr> <td>0001-0001</td> <td>Course Form Information contained includes course name, instructor, dates & times, fees, location</td> <td>Permanent</td> <td></td> <td>Permanent</td> </tr> <tr> <td>0001-0002</td> <td>Registration Form Information contained includes student name, address, phone; notation if check returned due to cancelation</td> <td>1 yr after date submitted</td> <td></td> <td>Destroy</td> </tr> <tr> <td>0001-0003</td> <td>Confirmation Letter Contains 1-3 samples</td> <td>1 yr after date submitted</td> <td></td> <td>Destroy</td> </tr> <tr> <td>0001-0004</td> <td>Acknowledgment Letter (waiting list) Contains acknowledgment of registration and need to put on waiting list</td> <td>1 yr after date submitted</td> <td></td> <td>Destroy</td> </tr> <tr> <td>0001-0005</td> <td>Invitation Letter Offers one free attendee to course</td> <td>7 yrs after completion of course</td> <td></td> <td>Destroy</td> </tr> <tr> <td>0001-0006</td> <td>Course Invoice Includes copy of check, chart of registrants and payment method</td> <td></td> <td></td> <td></td> </tr> </tbody> </table>					RECORD SERIES NO.	RECORD TITLE AND DESCRIPTION	RETAIN IN AGENCY	RECORDS CENTER	DISPOSITION	0001-0000	Course Records	Permanent		Permanent	0001-0001	Course Form Information contained includes course name, instructor, dates & times, fees, location	Permanent		Permanent	0001-0002	Registration Form Information contained includes student name, address, phone; notation if check returned due to cancelation	1 yr after date submitted		Destroy	0001-0003	Confirmation Letter Contains 1-3 samples	1 yr after date submitted		Destroy	0001-0004	Acknowledgment Letter (waiting list) Contains acknowledgment of registration and need to put on waiting list	1 yr after date submitted		Destroy	0001-0005	Invitation Letter Offers one free attendee to course	7 yrs after completion of course		Destroy	0001-0006	Course Invoice Includes copy of check, chart of registrants and payment method			
RECORD SERIES NO.	RECORD TITLE AND DESCRIPTION	RETAIN IN AGENCY	RECORDS CENTER	DISPOSITION																																								
0001-0000	Course Records	Permanent		Permanent																																								
0001-0001	Course Form Information contained includes course name, instructor, dates & times, fees, location	Permanent		Permanent																																								
0001-0002	Registration Form Information contained includes student name, address, phone; notation if check returned due to cancelation	1 yr after date submitted		Destroy																																								
0001-0003	Confirmation Letter Contains 1-3 samples	1 yr after date submitted		Destroy																																								
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RECORDS RETENTION AND DISPOSITION SCHEDULE		AGENCY NUMBER	SCHEDULE NUMBER	PAGE NUMBER
DEPARTMENT	Rutgers, the State University of Rutgers		001	2 OF 3
DIVISION	National Transit Institute			
BUREAU	Registrar			
AGENCY REPRESENTATIVE		Susan Greenstone		
TITLE		Registrar		
(AREA CODE) TELEPHONE NUMBER		732-932-1700 ext.19		
SCHEDULE APPROVAL: Written authorization must be obtained prior to the disposal of public records from the Division of Archives and Records Management in accordance with N.J.S.A. 47:3-17, governing the destruction of public records and with regulations as promulgated by the State Records Committee. Unless in litigation, the public records covered by this schedule, upon expiration of their retention periods, will be deemed to have no continuing value to the State of New Jersey.				
AGENCY REPRESENTATIVE SIGNATURE		SECRETARY, STATE RECORDS COMMITTEE SIGNATURE		
DATE		DATE		
RECORD SERIES NO.	RECORD TITLE AND DESCRIPTION	AGENCY	RETAIN IN RECORDS CENTER	DISPOSITION
0001-0007	Participant & Attendance Lists, Sign-in Sheets Information contained includes name, address, phone, fax, email	Permanent	Permanent	Permanent
0001-0008	Course Completion Certificate Contains 1 sample	7 yrs after completion of course	7 yrs after completion of course	Destroy
0001-0009	Course Evaluation Form	3 yrs after completion of course	3 yrs after completion of course	Destroy
0001-0010	Letter of Travel Reimbursement	7 yrs after completion of course	7 yrs after completion of course	Destroy
0001-0011	Letter of Thank-You to Speaker	1 yr after completion of course	1 yr after completion of course	Destroy
0001-0012	Conference Center Invoice Information contained includes room rental, policies & procedures, banquet event orders	7 yrs after completion of course	7 yrs after completion of course	Destroy
0001-0013	Hotel Sales Contract	7 yrs after completion of course	7 yrs after completion of course	Destroy
0001-0014	Misc. Hotel Information Contains general information, directions	1 yr after completion of course	1 yr after completion of course	Destroy

RECORDS RETENTION AND DISPOSITION SCHEDULE		AGENCY NUMBER	SCHEDULE NUMBER 001	PAGE NUMBER 3 OF 3
DEPARTMENT	Rutgers, the State University of New Jersey			
DIVISION	National Transit Institute			
BUREAU	Office of the Registrar			
<p>AGENCY REPRESENTATIVE Susan Greenstone Registrar 732-932-1700 ext.19</p>				
<p>SCHEDULE APPROVAL: Written authorization must be obtained prior to the disposal of public records from the Division of Archives and Records Management in accordance with N.J.S.A. 47:3 - 17, governing the destruction of public records and with regulations as promulgated by the State Records Committee. Unless in litigation, the public records covered by this schedule, upon expiration of their retention periods, will be deemed to have no continuing value to the State of New Jersey.</p>				
AGENCY REPRESENTATIVE SIGNATURE		SECRETARY, STATE RECORDS COMMITTEE SIGNATURE		DATE
RECORD SERIES NO.	RECORD TITLE AND DESCRIPTION	RETAIN IN AGENCY	RECORDS CENTER	DISPOSITION
0001-0015	Misc. Letters Contains hand-written memos about room changes, working drafts, inter-office memos	3 yrs after completion of course		Destroy

RECORDS RETENTION SCHEDULE



Rutgers, The State University of New Jersey
 UNIVERSITY RECORDS ADMINISTRATION
 169 College Ave., New Brunswick, NJ 08901

FOR OFFICE USE ONLY
 Retention Schedule # 04-NTI

This schedule is: Original; 1 revised.
 If revised, enter previous retention schedule number here: # N/A
 Page 1 of 1 pages

Agency: National Transit Institute	Address: 120 Albany St., Suite 705, New Brunswick, NJ 08901-2163
Division or Unit: Program/ Curriculum Development	

ITEM NUMBER (i.e. S1-065)	RECORD SERIES' TITLE	APPROVED RETENTION PERIOD		ARCHIVAL DESIGNATION (to be filled in by University Archivist)
		Office	Records Center or approved off-site facility ²	
PM-01	Program Materials	Current + One workshop previous	N/A	

COMMENTS:

- This record series is a collection of several binders holding course materials from 1994 to present. Materials include:
 - instructor and student catalogs and course guides;
 - research materials;
 - charts/ overheads/slides/ manuals/ etc.

DESTRUCTION SCHEDULE:

Recommendation: Keep only two copies of program materials per course. One copy should be the most current copy, and the second should be the program materials from the 2nd most recent course.

Action: Weeded through all items in this record series and marked for destruction multiple/outdated copies of materials

¹ Record Series is a group of similar or related records arranged under a single filing system or kept together as a unit because they relate to a particular subject, result from the same activity, or have a particular form.
² Records with a permanent retention period cannot be stored at the Records Center. If you believe a record should be maintained permanently outside the office, it should be appraised for possible transfer to the State Archives. In this case, leave blank, and the State Archivist will review it.

Approved (Agency Records Management Liaison Officer)	Typed Name of RMLO: MEGHAN SERRANO	Title: Approved (Public Records Administrator)	Date: / /
Approved (State Archivist)			Date: 12 / 20 / 01
			Effective Date of Schedule: / /

RECORDS RETENTION SCHEDULE



Rutgers, The State University of New Jersey
 UNIVERSITY RECORDS ADMINISTRATION
 169 College Ave., New Brunswick, NJ 08901

FOR OFFICE USE ONLY
 Retention Schedule # 06-NTI

This schedule is: original; revised.
 If revised, enter previous retention schedule number here: # N/A
 Page 1 of 1 pages

Agency: National Transit Institute	Address: 120 Albany St., Suite 705, New Brunswick, NJ 08901-2163
Division or Unit: Library	

ITEM NUMBER (i.e. S1-065)	RECORD SERIES' TITLE	APPROVED RETENTION PERIOD		ARCHIVAL DESIGNATION <i>(to be filled in by University Archivist)</i>
		Office	Records Center or approved off-site facility ²	
LI 01 - 03	Library Collection	Retain 1 current copy + 1 previous edition	N/A	

COMMENTS:
 Materials from this record series are located in the NTI Library Facility. These materials include:
 LI- 01: Transit Trainer Workshop Awards (TTW) - annual;
 LI- 02: Course programs/ exercises and information
 LI- 03: NTI/vendor produced multi-media (CD-ROMS, VHS tapes, audio tapes, etc).

DESTRUCTION SCHEDULE:
Recommendation: Retain current copies/ editions of holdings and retain one copy of the previous editions/ publications. Consult the University Archives re: permanent storage. NTI may want to develop its own archives- in which case the University Archives should be notified.
Action: Recommend that all outdated copies of pubs should be destroyed with the exception of those designated as current + edition previous, and those materials marked for permanent archival storage.
 *** Floppies, videos/ audio cassettes should be weeded!!! There were duplicates, unidentified and non-NTI related materials in this series

- ¹ Record Series is a group of similar or related records arranged under a single filing system or kept together as a unit because they relate to a particular subject, result from the same activity, or have a particular form.
- ² Records with a permanent retention period cannot be stored at the Records Center. If you believe a record should be maintained permanently outside the office, it should be appraised for possible transfer to the State Archives. In this case, leave blank, and the State Archivist will review it.

Approved (Agency Records Management Liaison Officer)	Typed Name of RMLO: MEGHAN SERRANO	Title:	Date: 12 / 20 / 01
Approved (State Archivist)	Date: / /	Approved (Public Records Administrator)	Effective Date of Schedule: / /

RECORDS RETENTION SCHEDULE



Rutgers, The State University of New Jersey
 UNIVERSITY RECORDS ADMINISTRATION
 169 College Ave., New Brunswick, NJ 08901

FOR OFFICE USE ONLY
 Retention Schedule # 05-NTI

This schedule is: original; revised.
 If revised, enter previous retention schedule number here: # N/A
 Page 1 of 1 pages

Agency: National Transit Institute	Address: 120 Albany St., Suite 705, New Brunswick, NJ 08901-2163
Division or Unit: Public Relations	

ITEM NUMBER (i.e. SI-065)	RECORD SERIES ¹ TITLE	APPROVED RETENTION PERIOD		ARCHIVAL DESIGNATION (to be filled in by University Archivist)
		Office	Records Center or approved off-site facility ²	
PR-01	Public Relations Publications	Retain current copies	N/A	

COMMENTS:

Materials from this record series are located throughout the New Brunswick NTI office. These materials include: 1) slim-jims; 2) brochures/pamphlets; 3) audio-video materials; 4) catalogs and various other NTI

DESTRUCTION SCHEDULE:

Recommendation: Retain current copies of publications and send two copies of NTI-published materials to the University Archives for permanent storage. NTI may want to develop its own archives- in which case, TWO copies of each publication should be kept (and the University Archives should be notified about the duplicate collection).

Action: Recommend that all outdated copies of pubs should be destroyed with the exception of those designated for permanent archival storage.

- ¹ Record Series is a group of similar or related records arranged under a single filing system or kept together as a unit because they relate to a particular subject, result from the same activity, or have a particular form.
- ² Records with a permanent retention period cannot be stored at the Records Center. If you believe a record should be maintained permanently outside the office, it should be appraised for possible transfer to the State Archives. In this case, leave blank, and the State Archivist will review it.

Approved (Agency Records Management Liaison Officer)	Typed Name of RMLO: MEGHAN SERRANO	Title:	Date: 12 / 20 / 01
Approved (State Archivist)	Date: / /	Approved (Public Records Administrator)	Effective Date of Schedule: / /

Rutgers University Libraries

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Suggestions & Comments to:

Stephen Dalina

Records Management Coordinator

dalina@rci.rutgers.edu

Thomas Frusciano

University Archivist

fruscian@rci.rutgers.edu

September 18, 2002

Records Management Pointers

1. When creating a file think about future reference. Will you need to use this folder a week from now or perhaps a month from now, or even a year from now? How about never again?
2. Are you creating the official record. (Is this record the ONLY source of information for the file subject?) The university Personnel office on Busch campus is the official holder of all personnel records. The University Registrar holds the official record for students. Is the departmental personnel or student record redundant?
3. Always put records in the right place. Don't just leave them in your desk drawer or on an unlabeled diskette.
4. Break the extra copy habit. Create duplicate records only if necessary. Use a "duplicate - not for file" stamp when you send copies to others for information.
5. Don't use filing space for supplies storage. If you cannot use the filing space, someone else in your department may be able to.
6. Use of colored file folders is not recommended; if they get wet, the colors may run and obscure the information contained in the files.
7. Lateral filing cabinets with end tab file folders are recommended for most efficient filing and use of space.
8. Hanging folders take up 1/3 of the space in a file drawer. Filing space is better utilized if hanging folders are not used.
9. A recent trend is the elimination of legal size (8 1/2" x 14") documents, forms, file folders, supplies and equipment. Legal size equipment costs 13% more than letter size (8 1/2" x 11") and uses 16 % more floor space. We strongly urge, whenever possible, that you eliminate the use of legal size files, with the exceptions made for those documents which require the use of legal size paper. Conversion of legal size equipment to store letter size files can be done.
10. Use the appropriate supplies for the job. Files being constantly handled may warrant a heavier grade manila folder. A lower quality file folder may be appropriate for files that are handled infrequently.

11. Use charge-out cards when files are removed from the cabinet.
12. Maintain records so that information is RETRIEVABLE.
13. Transfer the responsibility for your records to another employee when you leave your employment at the College. Remember records are the College's property. Provide an explanation of the purpose and use of your records, where they are located and how to retrieve needed information.
14. Be Retention Conscious - File your records according to their retention period. All records that can be disposed in 2 years should be filed together, not with records that have a longer retention
15. Think about why you file something. The more you put into your filing system, the more you have to look through to find what you really need. Ask yourself questions such as: Why am I keeping information on a seminar that is already past? Why am I filing a memo sent to ten other people if I'm not the originator? Why am I keeping unsolicited materials?
16. Remove outdated materials from all areas of your office. An accumulation of outdated documents makes it harder to locate it.
17. Secure papers in file folders using fasteners. Don't use rubber bands to hold records together. Why? Because they break!
18. Remove all unnecessary sticky notes before documents are filed. Why? Because the sticky doesn't always stay sticky and over time the note falls off. If truly necessary, secure it with a staple.
19. Create a File Structure - Decide on a specific system for your files (alpha, subject, numeric, functional, etc.), codify it, and post it for all staff members to utilize when filing.
20. When in doubt, Call the Expert - Any time you have a question regarding records retention, disposition, or reformatting, do NOT guess. Please contact Stephen Dalina, University Records Management Coordinator at 732 932-7006 or dalina@rci.rutgers.edu

Source: Carla Hemsing - Lethbridge Community College



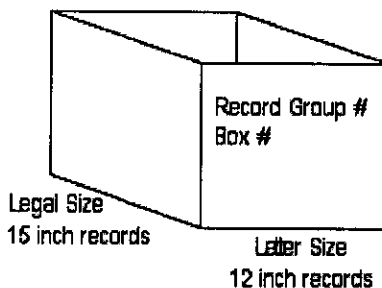
URL: http://www.libraries.rutgers.edu/rul/libs/scua/ru_records/pointers.shtml

Libraries website maintained by the [Libraries Webmaster](#)

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Records Management Program Definitions

- Records *must* be sent in approved one cubic foot (12 x 15 x 10) records storage boxes.
- Records should be packed in the same order as they are filed in the agency/department.
- All records in each box should belong to the same series (e.g. Voucher time cards should not be placed with personnel files).
- All records in each box must have the same retention period (e.g. Permanent records should not be in the same box as records that will be destroyed).
- Please do *not* use (Pendaflex) hanging folders in boxes.
- About one inch of space should be left in each box to facilitate referencing.
- Records should not be placed on top of other records in the box.
- The weight of the box should not exceed 35 pounds.
- A complete typed box and folder list should be compiled with one copy placed in each corresponding box, a second copy for sending office files, and a third copy sent to the University Archivist or University Records Management Coordinator.
- Please call Special Collections and University Archives 732/932-7006 before sending material.



If you have any questions, please contact Stephen Dalina or Thomas Frusciano at 732/932-7006

Memo dated November 15, 2004
Re: Records Retention Guidelines

Copies to : John Anciano, NTI
Walter McGonigal, CGS
MM 4/8/05

Copies to Linda Guardabascio
Brenda Francis, BCSR
MM 6/9/05

Copy to Walter McGonigal, CGS
+ Janice Vasicek, Heldrich MM 6/20/05

Copy to Dahk Muhammad, CUPR
MM
8-23-06

Distribution List:

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* Departmental Administrators have to be instructed to distribute to this memo to the appropriate people in their respective units.