



DUKE UNIVERSITY RECORDS RETENTION GUIDELINES

Duke University Press **Effective January 20, 2005**

The following records retention guidelines provide recommendations for the disposition of records and information created during the editing, production, and marketing of books and journals published by Duke University Press. The records identified in these guidelines document the functional areas of the Press and activities of the Press as a whole.

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

Privacy

It is not uncommon for student interns or employees to work at the Press, in which case provisions of the Family Education Rights and Privacy Act (FERPA, 20 USC §1232g) may apply. FERPA primarily addresses educational records; however, it more broadly addresses student identifiable information, such as that which may exist in employment or internship records. For more information on FERPA and the release of students' information, visit <http://www.registrar.duke.edu/>.

Fiscal Records

Much of the information used in the management and oversight of Press activities is financial in nature. Procedures for disposing of accounting records are in Financial Services' [General Accounting Procedure 200.240](#), Retention Periods for Accounting Records.

Electronic Records

The Press relies almost exclusively on electronic or "born digital" records created with word processing, desktop publishing, spreadsheet, electronic mail, website authoring, or database programs to carry out its business and activities. While the all-encompassing term "records" includes any recorded information stored on any medium, the guidelines attempt to recognize that a series may contain paper and electronic records. As electronic records are created, managed, and stored throughout their life cycle of usefulness, these guidelines should serve as a general strategy for identifying basic retention needs for different sets of information.

Using the Retention Guidelines

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

- Books Editing—records created as pre-press books are negotiated or edited;
- Books Marketing—records concerning the marketing or publicizing of books;
- Books Production—records created during the book production process;
- Director's Office—administrative and programmatic records created during the planning and implementation of Press programs or initiatives;
- Journals Editing—records created as journal articles are negotiated or edited;
- Journals Marketing—records concerning the marketing or publicizing of journals;

- Journals Production—records created as articles are finalized and journals are produced;
- Rights and Permissions—records granting permission for others to use Press books or journals, in whole or in part, and establishing copyright held by the Press; and,
- Records of common administrative and programmatic functions, which are covered by [retention guidelines for administrative and management 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. Nonsensitive records can be recycled.

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 Duke University Press records periodically and will issue revisions as necessary.

If you maintain 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 do not have adequate space to store records beyond one or two years following their administrative usefulness. 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 levels 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 the office's business

FERPA—the Family Education Rights and Privacy Act (20 USC §1232g)

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

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 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.

Record Series (or Series)—a group/set of identical or related records, information, or data that are normally used and filed or stored as a logical unit; synonymous with data set.

Duke University Records Retention Guidelines

Category Description: Duke University Press

Duke University Press publishes approximately 100 books annually and more than 30 journals. This places the Press's books publishing program among the twenty largest at American university presses, and the journals publishing program among the five largest. The Press publishes primarily in the humanities and social sciences and issues a few publications for primarily professional audiences (e.g., in law or medicine). It is best known for its publications in the broad and interdisciplinary area of theory and history of cultural production, and it is known in general as a publisher willing to take chances with nontraditional and interdisciplinary publications, both books and journals.

The Press distributes one copy of each book, journal, and monograph to the university library for its permanent collection.

Primary Heading: Books Editing

Series Title	Content	Minimum Retention	Notes
Books editing files (active)	Records in paper, electronic, and database environments concerning books that the Press is interesting in publishing. May include correspondence/email to/from authors, manuscripts, pricing worksheets, reviewer lists, reviews, etc. When book goes to production, files also include duplicate contracts with authors, copies of permissions, and Editorial Advisory Board (EAB) packets.	Transfer to Archives 5 years after publication and "release" of file; purge corresponding records in Publications database when administrative value ends (Contact Archives prior to transfer of electronic records)	Original permissions on file with Rights and Permissions Office. Status of book projects can be tracked in Publications database.
Books editing files (rejected)	Records in paper, electronic, and database environments concerning book proposals that are rejected. May include book proposals, correspondence/email, manuscripts, rejection letters, etc.	Hardcopy--3 months; purge corresponding records in Publications database after 2 years if there is no new contact with author	Status of book projects can be tracked in Publications database

Primary Heading: Books Marketing

Series Title	Content	Minimum Retention	Notes
Books marketing files (active)	Records in paper, electronic, and database environments concerning marketing of published books. May include advertisements, endorsements, award nominations, correspondence/email, Editorial Advisory Board (EAB) packets, final publication approvals, "launch" notes, marketing questionnaires, reviewer lists and reviewers' comments, reviews, etc.	Transfer to Archives 5 years after publication date (Contact Archives prior to transfer of electronic records)	Some portions of the file may be duplicated in the Books Editing or the Books Production department

Primary Heading: Books Production

Series Title	Content	Minimum Retention	Notes
Books production files (active)	Records in paper, electronic, and database environments concerning books under production. May include financial data, schedules, marketing information, manuscript transmittals, composition specifications, layouts, vendor correspondence/email, cover proofs, etc. Following production, files may include invoices; histories of changes; release paperwork; marketing questionnaires; design specifications; sample layouts; cover compositions; and archive of text, cover file, and art (electronic).	10 years after date of last printing/reprint; purge corresponding records in Publications database when administrative value ends	Scheduling, financial data, and other information are tracked in the Publications database. Typesetter and printer also archive projects.

Primary Heading: Director's Office

Series Title	Content	Minimum Retention	Notes
Author contracts	Paper and electronic contracts or agreements with authors	Administrative value ends; transfer to Archives (Contact Archives prior to transfer of electronic records)	

Development and fundraising records	Paper and electronic records of development activities. May include proposals, donor inquiries, contact reports, gift memos, financial records, summaries, etc.	Administrative value ends, purge obsolete records	Follow General Accounting Procedures 200.240 when disposing of financial records
Editorial Advisory Board	Meeting minutes, correspondence/email and other records of activities with the EAB	Administrative value ends; transfer to Archives (Contact Archives prior to transfer of electronic records)	Archives holds records of the EAB dated 1939-1991
Financial summaries	Summaries of financial activities surrounding production expenditures, sales receipts, etc.	5 years; transfer to Archives	See " Plans and Reports " in guidelines for Administrative and Management Records, Program Administration and Management Records
Special projects	Paper and electronic records of special projects or initiatives undertaken by the Press; may include project proposals, negotiations, reports, correspondence/email, etc.	Administrative value ends; transfer to Archives for review and evaluation (Contact Archives prior to transfer of electronic records)	Examples of records in this category are those created during the Press's negotiations concerning Project Muse.

Primary Heading: Journals Editing

Series Title	Content	Minimum Retention	Notes
Journals editorial records	Correspondence/email to and from authors or editorial offices, paper and electronic drafts of articles with editorial comments, author corrections, editorial board packets if new journal is launched, etc.	1 year after journal publication	

Primary Heading: Journals Marketing

Series Title	Content	Minimum Retention	Notes
Advertiser contacts	Spreadsheet of contact information for advertisers	Superseded	
Advertising reservations and revenues	Tracking database for advertising information. Tracks ad reservations and revenues by fiscal year, by journal/issue/season, by type of ad, when ad ran, etc.	5 years	This database will become obsolete as data moves to global fulfillment system
Circulation files	Paper and electronic circulation data	Administrative value ends	
Distribution and standing orders	Electronic data concerning journals distribution and standing orders	Superseded	Tracked in Publications database
Exam and review copies database	Tracking database for copies sent for review; information tracked includes recipient, journal name, reviewers' subject matter of interest, etc.	Superseded	
Job logs	Tracking database for press releases, direct mailing information, marketing samples, etc. Complementary paper records include samples of journals mailed, copies of invoices, and other marketing materials.	5-10 years	

Primary Heading: Journals Production

Series Title	Content	Minimum Retention	Notes
Electronic journal production records	1st, 2nd, and 3rd pages; fonts; digital images; manuscripts; transmittal letters to printer	Administrative value ends	

Journal production folders	Consists of: Author intake folders—paper and electronic manuscript and cover proofs, shipping records, correspondence/email, and copies of ad memos Copies of paper and electronic production invoices received from printing vendors, composers, etc.	Retain electronic version of cover proof and destroy remainder of author intake folder 1 year after journal issue is mailed Destroy copies of production invoices at end of fiscal year if all questions/issues are resolved	Original production invoices maintained by Business Office
Permissions to reproduce	Paper and electronic permissions to reproduce journal articles or artwork	Retain electronic version	Original permissions on file with Rights and Permissions Office
Publication agreements	Paper and electronic publication agreements with authors	Retain electronic version	Original agreements on file with Rights and Permissions Office
Published journal issues		Reference value ends; destroy. Retain one copy to be bound and/or placed in the Journals Library	

Primary Heading: Rights and Permissions Office

Series Title	Content	Minimum Retention	Notes
Permission grants	Paper and electronic permissions to use the Press's intellectual property; includes supporting correspondence/email	5-10 years after grant expires	Permissions are tracked in the Permissions report generator
Permissions report generator	Database used to track permissions given to use the Press's intellectual property; information tracked includes requestor, nature of request, author information, applicable fees, whether request granted and when, etc.	5-10 years after grant expires	
Publication agreements	Original paper and electronic publication agreements with authors	5 years; transfer to Archives (Contact Archives prior to transfer of electronic records)	Electronic copies of publication agreements with authors of journal articles are maintained in the Journals Production division
Subsidiary rights (books)	Paper and electronic permissions granting rights to use contents of Press-produced books, or to reproduce books in another format	5-10 years after grant expires	Granting of rights is tracked in Permissions report generator