Farmingdale State College
Records Management
Training

PRESENTED BY
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SUNY Records Retention and Disposition Policy - 6609

• Retention and disposition of official records are governed by the NYS Arts and Cultural Affairs Law.
• Records cannot be destroyed unless in conformity with:
  - SUNY Records Retention and Disposition Schedule – education and SUNY-specific records
  - NYS General Retention and Disposition Schedule - all other state government records not included on the SUNY schedules
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• Both schedules dictate the minimum retention requirements for documents.
  • Operational value
  • Destroying documents prior to required retention period

• Most records on the SUNY schedule have been pre-authorized for conversion to digital formats. If documents are converted, certain requirements must be met.
Records that reach the end of their retention period shall be destroyed by appropriate means based on the content and nature of the records.

**EXCEPTION TO THE RETENTION SCHEDULES**
- Records subject to litigation hold or audit cannot be destroyed until the records are no longer needed as determined by University Counsel or audit body. Reviews by other organizations, such as accreditation reviews, may also require records be retained beyond their retention period.
Farmingdale State College Records Management Policy

• Can be found on the FSC Internal Control Webpage and Policies Webpage
• Campus specific policy to be used in conjunction with the SUNY Records Retention policy.
• Campus Policy further defines –
  • Management of Records
  • College RMO’s role
  • What a record is
  • Requires each campus department to designate a departmental records coordinator.
Why do we need to comply with the retention schedules?

1. It’s the law!
   - Without them we’d have no legal authority to destroy records.

2. Administrative Burden
   - Information Requests (such as FOIL requests) and Discovery requests where the documents requested should not have been retained because they were past their retention period causes an administrative burden that would not have existed if records had been disposed of properly
   - Audit inquiries where documents requested span back farther than the SUNY schedule requires them to be kept for also causes an administrative burden that would not have existed if records had been disposed of properly

3. Limited storage space on campus
   - Storage costs and IT costs: Non-Compliance with records retention schedules causes an undue burden on the University to maintain electronic servers and physical storage space in order to house all of the information that the institution is no longer obligated to keep

4. Data breaches
   - Information that should have no longer been in SUNY's possession is compromised
   - Information that no longer serves a legal, operational, or historic value to the institution, but that contains private data raises the possibility for a potential privacy breach
Your role as Records Coordinators

• To manage records and submit requests to dispose of state records to the Physical Plant Department throughout the calendar year.

• Keep an inventory to track the state of inactive records through destruction.

• Obtain training and information regarding College records management policies from the College’s Records Management Officer.
Records Management

Includes organizing, securing, archiving and destroying records.

- Develop appropriate filing system
- Create a records inventory (which includes retention period of the records)
- Storage of inactive files
- Proper destruction of records that no longer have a legal, operational, or historic value
E-mail Retention

• Most emails are not records and can be destroyed when no longer needed.

• Generally, records transmitted through e-mail systems have the same retention periods as records in other formats that are related to the same function or activity.

• E-mail records should be scheduled for disposition in conjunction with any other records related to that function or activity.

• Campus and University officials may delete, purge, or destroy e-mail records if the records have been retained for the minimum retention period established in the RR&D Schedule and are not being retained for a legal action or otherwise subject to a litigation hold or for an audit.

• For further guidance on the disposition of e-mail messages and attachments, see item 90369 in the State Archives’ General Retention and Disposition Schedule for New York State Government Records.
Using the Retention Schedules:

1. Is this a record?

   Documentary material transmitted or stored by a campus AND, has legal or operational, or historical value
   - Including, but not limited to, reports, statements, examinations, memoranda, opinions, folders, files, books, manuals, pamphlets, forms, papers, designs, drawings, maps, photos, letters, microfilms, computer tapes or discs, rules, regulations or codes.
   - This includes any records created while conducting College business using personal email accounts or personal electronic devices (i.e. laptops, smart phones etc.)

2. Do I have an official copy vs. a convenience copy?

3. What retention schedule does this fall under?
   - Is it an education/SUNY-specific record vs. a record all state agencies have (telephone, financial etc.)
Storing & Destroying Records

- Campus procedures
- Disposition Log

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<th>Department</th>
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<th>Method of Destruction</th>
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Additional Resources

• Campus Records Retention Webpage
  • [http://www.farmingdale.edu/administration/administration-finance/internal-control/recordretention.shtml](http://www.farmingdale.edu/administration/administration-finance/internal-control/recordretention.shtml)

• SUNY Compliance Webpage – Records Retention
  ◦ [http://system.suny.edu/compliance/topics/records/](http://system.suny.edu/compliance/topics/records/)

• NYS Archives Webpage