


<p>Procedure No. B-04</p>	<p style="text-align: center;">SUNY College at Old Westbury</p>  <p style="text-align: center;">Record Retention Policy</p>	<p style="text-align: center;">INDEX</p>
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<p>Issued By: Dr. Calvin O. Butts, III President, College at Old Westbury</p>	<p>Signature:</p>	<p>Effective Date: April 16, 2007</p>
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1.0 PURPOSE and SCOPE

It is the policy of the State University of New York College at Old Westbury to adhere to the record retention guidelines set forth by New York State. This policy seeks to promote compliance with state, federal, and other legal requirements for record retention and improve operational efficiencies within the College.

2.0 RESPONSIBILITIES

Each Vice President and Department Head is responsible for implementing control procedures, securing confidential and sensitive records, and monitoring adherence to this policy within the division. The College’s Internal Control Officer will periodically perform reviews to determine compliance with this policy and applicable College standards and procedures.


3.0 DEFINITIONS

- 3.1 A **Vice President**, for the purpose of this policy, is considered to be any of the following: The Executive VP; the Provost and VP for Academic Affairs; the VP for Enrollment Management Services; the VP for Student Affairs; the Assistant to the President for Administration; the Assistant to the President for Advancement and the Chief Financial Officer.
- 3.2 A **Department Head**, for the purpose of this policy, is considered to be the Chief of University Police or the Chief Information Officer.
- 3.3 The **Internal Control Officer** is the College official responsible for reviewing and reporting on the College’s program of internal controls, including policies and procedures, in accordance with the NYS Governmental Accountability, Audit and Internal Control Act.
- 3.4 **College Standards and Procedures** are those policies that represent the College’s official position with respect to significant issues that affect the entire College. Included are standards and procedures that currently exist, those that may be adopted in the future and those that may be modified, amended or supplemented.
- 3.5 A **Record** as presently defined, is any paper or text document, file, computer report, electronic data, microfilm, computer tapes, maps, graphs, or video/audio recording.
- 3.6 **Active Records** are records needed to support the current business activity of a department, division or administrative office.
- 3.7 **Inactive Records** are records for which the active period has passed, and which are being held for the remainder of the specified retention period.
- 3.8 The **Retention Period** is the minimum required length of time for which a division or department or administrative office is responsible for the maintenance of records according to NY State guidelines.

4.0 PROCEDURES

- 4.1 **Active Records:**
All active files should be maintained within the department for two years, in correctly labeled file cabinets or storage shelves. Each division is responsible for ensuring these files are stored in a secure location.

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4.2 Inactive Records:

All inactive files should be stored in the department’s designated storage facility in correctly labeled storage boxes. Each box should be labeled with the department name, contents, date of contents and destruction date (based on legal guidelines, see Exhibit 1). The retention period can range from one to ten years, with some records to be stored permanently.

4.3 Inventory of Records Kept

Each division should maintain an inventory of items stored in their storage facility, to be updated annually and reported to the Internal Control Officer. The annual report should include a full inventory as well as information on what records have been destroyed, discarded or added during the quarter. Regardless of where inactive records are stored, the originating department is responsible for maintaining files or logs describing the contents of stored records, and for retrieving records upon official request.

4.4 Minimum Retention Period

Each division should follow the minimum legal requirements for record retention as stated in The General Record and Disposition Schedule for NYS Government Records (see Exhibit1). For financial records, the retention period begins on the last day of the fiscal year that the records were created, and can range from one to ten years, with some records to be stored permanently.

5.0 SECURITY & SAFEGUARDING

Steps should be taken to ensure that all confidential and sensitive records are properly secured and destroyed. The storage location must provide appropriate confidentiality and protection from unauthorized inspection, theft or physical damage due to a fire, flood or natural disaster. At the end of the appropriate retention period, inactive records shall be discarded or destroyed according to the applicable schedule. *Records containing personal and confidential information must be shredded.* For bulk shredding, Contact the Facilities Department’s Manager of Institutional Services. The disposal process should preserve the confidentiality of documents through the final point of disposition. Non-confidential paper records may be put into recyclable containers and discarded.


6.0 REFERENCES

- The following authoritative documents were used in the preparation of this policy:
- a. New York State “Disposal of Personal Records Law” effective 12/2/06.
 - b. New York State Archives record retention policy.
 - c. State University of New York policies on record retention.

7.0 APPROVALS

This policy was reviewed by the College’s Chief Financial Officer, the Assistant to the President for Administration and the Executive Vice President prior to approval by the President.

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The General Record Retention and Disposition Schedule for New York State Government Records (2002) contains guidelines for complying with legal, fiscal, and administrative requirements for records retention and provides advice on cost-effective management of records commonly found in all State agencies. The schedule provides legal authorization to dispose of common records on a regularly scheduled basis.

General Record Retention and Disposition Schedule guidelines are available on-line at:

http://www.archives.nysed.gov/a/nysaservices/ns_mgr_pub_genschedule.shtml

KEY INFORMATION

Record Type	General Retention Periods	Sources
Financial	Three to seven years	www.archives.nysed.gov/a/nysaservices/ns_mgr_pub_genschedule.shtml Part 1 Part 4 Region 10 Advisory Office (NY State Archives): 631-952-6864 or 6866 State Agency Advisory Services: 518-474-6926
Health	Seven years	www.archives.nysed.gov/a/nysaservices/ns_mgr_pub_genschedule.shtml Part 5 Region 10 Advisory Office (NY State Archives): 631-952-6864 or 6866 State Agency Advisory Services: 518-474-6926
Legal Research Foundation	Six months to permanent	www.archives.nysed.gov/a/nysaservices/ns_mgr_pub_genschedule.shtml Schedule ED-1 http://epss.rfsuny.org/content/policies/mupol020.htm State Agency Advisory Services: 518-474-6926
Student (Non-Financial)	One year to permanent	www.archives.nysed.gov/a/nysaservices/ns_mgr_pub_genschedule.shtml Schedule ED-1 Region 10 Advisory Office (NY State Archives): 631-952-6864 or 6866 State Agency Advisory Services: 518-474-6926

Refer to the specific email address for updated information as necessary.

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