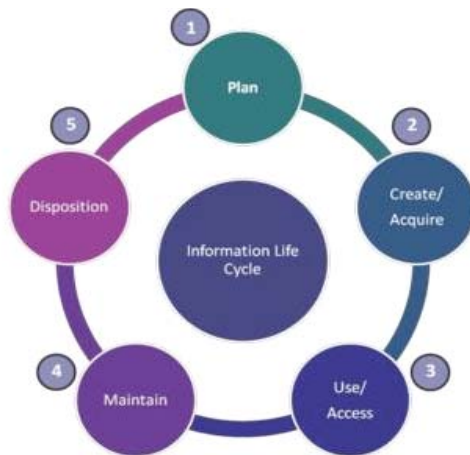




# RECORDS MANAGEMENT PROGRAM



## RECORDS MANAGEMENT

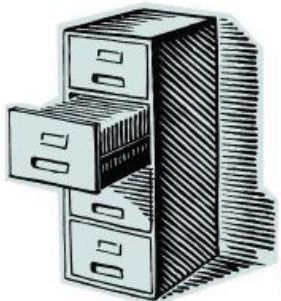
Creation Of Our Document of Record



The Official Document of Record



What is the Official Document of Record?



The official Document of Record is the original information your office creates and maintains in the course of doing business



The official Document of Record is held in your office or in storage until the document has met its scheduled retention period. Documents cannot be purged before then. The most effective way to know what records you have is to conduct a comprehensive inventory that will allow you to create a schedule for purging documents. Purging documents will free up needed space and allow your office and storage areas to properly function.

## RECORDS MANAGEMENT



How do I know when to purge my documents?



Each department has been provided a Records Retention Schedule. This schedule was created based on the information that the departments provided to the Records Management Coordinator. The schedule provides the retention period for each Official Document of Record.

KINGSBOROUGH COMMUNITY COLLEGE: RETENTION SCHEDULE 11/22/2011				
ACADEMIC DEPARTMENT SCHEDULE - COMMONLY HELD RECORDS				
Item	Record Series Title	Description / Examples	Retention	CUNY Schedule Reference
AT-9	OSHA files (Material Safety Data Sheets)	Official copies of chemical disposal forms and fire department certificates	3 years after materials are no longer stored at site; unless materials listed include substances listed in Subpart Z, 29 CFR (federal OSHA regulations). Contact CUNY's Environmental Health and Safety Office for additional advice	Environmental 10[805] a
AT-10	Course Schedules	List of classes offered by department in a given semester	10 years, to comply with accreditation requirements	Instruction 1[105]
AT-11	Course Syllabi	Syllabi for courses offered by department	10 years, to comply with academic requirements	Instruction 2[106]
AT-12	List of Majors, Minors, and Concentrations	Students enrolled in departmental majors, minors, or concentrations	Until superseded or obsolete	Instruction 4[108]
AT-13	Student Coursework	Exams, papers, other assignments submitted by students	2 years after course completed, to preserve records in case of appeal	Instruction 6[110]

This Schedule lists ONLY records whose OFFICIAL copies are kept in your department. DUPLICATE copies of records whose official copies are kept elsewhere are not listed. DUPLICATE copies should be destroyed as soon as no longer needed



What are Historical or Archival Records?



Historical or archival records are those records you need to keep forever. In government, historical records are those that are designated as "permanent" in a State Archives records retention and disposition schedule. They are also materials you decide to keep beyond the legal retention period because they have continuing research value.

## RECORDS MANAGEMENT



I have my Retention Schedule and I am ready to purge my records. How do I go about doing this?



You will need the following items to complete this process



PAD



MARKER



BOXES



Tape



### Records Management Certificate of Destruction

The following indicates records that your department is legally purging in compliance with the State Archives program of the New York State Education Department pursuant to Section 57.25 of the Arts and Cultural Affairs Law and Part 185, Title 8 of the Official Compilation of Codes, Rules and Regulations of the State of New York. Please forward this original certificate to the College Records Management Coordinator.

Scheduled Item Number	Record Series Title	Retention As Indicated On the Schedule	Document Creation Date	ID & Box Number(s)

Department:	Room #	Phone #	Certificate #
Individual Prepared By: <small>PRINT</small>			Date: <small>SIGN</small>
Department Liaison: <small>PRINT</small>			Date: <small>SIGN</small>
Chairperson/Director/Dean/Vice President: <small>PRINT</small>			Date: <small>SIGN</small>

### RECORDS CERTIFICATE OF DESTRUCTION

WR Revised 3/7/13

KINGSBOROUGH COMMUNITY COLLEGE: RETENTION SCHEDULE 11/22/2011				
ACADEMIC DEPARTMENT SCHEDULE - COMMONLY HELD RECORDS				
Item	Record Series Title	Description / Examples	Retention	CUNY Schedule Reference
AT-9	OSHA files (Material Safety Data Sheets)	Official copies of chemical disposal forms and fire department certificates	3 years after materials are no longer stored at site; unless materials listed include substances listed in Subpart Z, 29 CFR (federal OSHA regulations). Contact CUNY's Environmental Health and Safety Office for additional advice	Environmental 10[805] a
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### RETENTION SCHEDULE





## RECORDS MANAGEMENT

**Now that you have all the tools you will need, you can now begin to purge your documents by following the instructions below.**

- Keep track of what is going into each box by making notes on a pad. This will help when filling out the Certificate of Destruction and labeling the boxes.
- The Records Management Certificate of Destruction is designed with almost the same headings as your Records Retention Schedule.
- You can copy and paste the information from your Records Retention Schedule onto your Certificate of Destruction or you can hand write in the information.
- The information descriptions must be Identical to those on your schedule.
- The only two columns that do not appear on your schedule are the “Document Creation Date” and the “Department ID and Box Number(s)”.
- The “Document Creation Date” is the date when your documents were created. This is how you will determine if the document has reached its correct retention period. Always remember that whatever the retention period is, it is always at the end of that year.
- The “Department ID and Box Number(s)” are unique identifications that show where the box came from and what’s in the boxes. This is important in the event we need to retrieve a box for legal or operational purposes.
- Department ID’s” are your college mail code. So if your department is the Media Center your first box should be identified as “MC001”. This is the number you will place on the Certificate of Destruction and on the box. If you have more than one box the next number would be MC002.
- If you are using the same “Record Series Title” you do not need to use multiple lines. The ID and Box Number can be displayed as MC001 to MC020.

## RECORDS MANAGEMENT



**All of the staff in my office have copies of the Original Document of Record. Once we no longer need these copies can we throw them out?**



**The correct term for copies of the Original Documents of Record are called “While Needed”**

Please do not be confused with "Original Documents of Record" and "While Needed Documents". "While Needed Documents" are copies of the "Original Document of Record". However, "While Needed Documents" still need to be purged through the shredding process even though they are copies and do not have a retention period. Copies of original documents in some cases still contain personal information such as names, Social Security numbers, addresses and grades. Therefore, it is our responsibility to ensure that we properly purge records that contain personal and private information. A Certificate of Destruction must be prepared. However, on the Certificate of Destruction, the columns identified as "Scheduled Item #, Retention as Indicated on the Schedule and Document Creation Date all will be identified as "While Needed". The Certificate and boxes are marked as noted above.

## RECORDS MANAGEMENT



**All of my boxes have been packed, taped shut and my Certificate of Destruction has been complete. What happens next?**

Once you have prepared your boxes and you have your certificate(s) of destruction completed you will need to send the certificate to the College Records Management Coordinator. The Certificate should be sent by email and the document must be signed and completed as indicated. After receiving your certificate you will receive an email from the College Records Management Coordinator providing you with a work order requesting that your boxes be removed. Soon after this is completed you will be contacted by a Supervisor in Buildings & Grounds who will make an appointment with you to have the boxes picked up. The B&G staff picking up the boxes will have a copy of the Certificate of Destruction. It is imperative that all boxes have the proper coding and everything being picked up matches what is on the certificate. Each box must be taped closed for handling and security purposes. Boxes that do not have the correct coding, or if the certificate does not match what is being picked up, the boxes will not be removed.

Once the boxes are removed they will be placed in a secured room until the shredding company arrives on campus. If for any reason a box needs to be retrieved and is still on campus we will help you with this.

### KCC College Records Management Coordinator Contact Information



Bill Rosenblum  
College Records Management Coordinator  
Kingsborough Community College  
2001 Oriental Boulevard,  
Brooklyn, NY 11235  
718 368-5124  
Email: [BRosenblum@kbcc.cuny.edu](mailto:BRosenblum@kbcc.cuny.edu)



Created by : Bill Rosenblum 7/2/14 - KCC



## RECORDS MANAGEMENT



### FREQUENTLY ASKED QUESTIONS ABOUT DEPARTMENTAL SCHEDULES

#### 1. **What is a Departmental Schedule?**

Your Departmental Schedule acts as an “at a glance” companion to the complete *CUNY Records Retention and Disposition Schedule* (CUNY Schedule). Used in conjunction with the Administrative Schedule, it will enable you to quickly locate the retention periods for the records that are kept in your department. You should always consult with the CUNY Schedule or your department’s Records Coordinator if you have additional questions about a record’s retention period.

#### 2. **What is the Administrative Schedule?**

The Administrative Schedule covers the administrative records that are most commonly found across all departments at your College. You may not have every item listed on the Administrative Schedule and do not have to create records where no records currently exist.

#### 3. **How do I read my Departmental Schedule?**

Your Departmental Schedule includes for each item an *Item Number*, followed by the *Record Series Title*, a brief *Description/Example* of the item, the item’s required *Retention Period*, and lastly, under *CUNY Schedule Reference*, where this item can be located in the CUNY Schedule. For ease of reference, the items in your Departmental Schedule are generally listed in the order in which they appear in the CUNY Schedule. In addition, duplicate copies of records, except where necessary for clarification, are not listed. For the most part, your Departmental Schedule lists only those items where your department is responsible for the official copy



## RECORDS MANAGEMENT



### FREQUENTLY ASKED QUESTIONS ABOUT DEPARTMENTAL SCHEDULES

#### 4. **Where do the retention periods come from?**

The CUNY Schedule has been adapted from the *Records Retention and Disposition Schedule MI-1* issued by the State Archives program of the New York State Education Department. In the adaptation process, a great many items in Schedule MI-1 were deleted because of their inapplicability to CUNY, and most of the remaining items have been edited so that they are more accessible to the CUNY community. The State Archives requires that the retention periods for items prescribed in Schedule MI-1 may not be shortened. For a number of items, however, CUNY has decided that it is appropriate to lengthen the retention periods prescribed in Schedule MI-1 in the CUNY Schedule or the Departmental Schedules.

#### 5. **What if a record I have is not in my Departmental Schedule?**

You should consult either the CUNY Schedule for the record's retention period, or your department's Records Coordinator for clarification. Make sure to notify your department's Records Coordinator for the possible addition of this item to your Departmental Schedule.

#### 6. **What should I do if I do not have records listed in my Departmental Schedule?**

You are not required to create a record where none currently exists. Your Departmental Schedule contains only records existing in the department at the time the Departmental Schedule was created. If an item is in your Departmental Schedule and you no longer maintain those records, please contact your department's Records Coordinator about a possible update to your Departmental Schedule.

## RECORDS MANAGEMENT



### FREQUENTLY ASKED QUESTIONS ABOUT DEPARTMENTAL SCHEDULES

#### 7. What do I do with duplicate records?

The items listed in the CUNY Schedule refer only to the *official* copy of a record, regardless of its form (paper or electronic). Once you have determined that your record is truly a duplicate, you should retain the record only while it is needed and then dispose of it at the earliest administrative opportunity. In no case should duplicate records be retained longer than official copies that contain the same information. To confirm the retention period of official copies, please consult the CUNY Schedule.

#### 8. What do I do with files that have records in them with different retention periods?

Often you will have files containing records where individual items have different retention periods. It is recommended that you do not spend time weeding through the file removing items as they become eligible for destruction, but rather retain the entire file for a single retention period. That retention period should be based on whichever item in the file has the longest retention requirement. An *exception* to this recommendation is if any of the items requires Permanent retention. In this case, you must identify and save the items with a Permanent retention requirement and dispose of the remaining items in the file either at the end of their applicable retention period or the longest retention period of all the items in the file that need not be held permanently.

## RECORDS MANAGEMENT



### FREQUENTLY ASKED QUESTIONS ABOUT DEPARTMENTAL SCHEDULES

#### 9. What do I do with records that are past their retention period?

Once you have identified that a record's retention period has expired, you should do the following:

- (a) Determine that the record does not need to be retained in connection with any threatened or ongoing legal actions. *If legal action is either threatened or ongoing, all records retention guidelines are suspended, even if the retention period has expired. If the retention period has expired by the time the legal action ends, the records must be retained for at least one additional year. If the retention period has not expired, the records must be retained for the remainder of the retention period, but not less than one year after the legal action ends.* To verify that no legal actions have been threatened or initiated, your department's Records Coordinator must consult with your College's Records Management Coordinator, who will then consult with CUNY's Office of the General Counsel.
- (b) Determine that the records do not need to be retained because they have been requested in connection with a program or fiscal audit or other needs of state and federal agencies. If such a request has been made, the records must be retained beyond their retention periods until the College or the University receives the audit report or until the need has been satisfied. Please consult with your department's Records Coordinator if you identify any such items.
- (c) Determine that the records do not need to be retained in connection with any request made under the New York State Freedom of Information Law (FOIL). If such a request has been made, the records must be retained beyond their retention periods until the request has been answered and any potential appeal has been made and resolved. Please consult with your department's Records Coordinator if you identify any such items.
- (d) Determine if the records should be saved for archival purposes. Please consult with your department's Records Coordinator if you identify any such items.
- (e) If it has been determined that the records are not needed in connection with a legal action, are not subject to an audit or FOIL request, and are not appropriate for transfer to your College's archives, you should contact your department's Records Coordinator for a Records Disposition form. You must complete this form before destroying any *official* copies of records. This form will ask you to do an inventory of the items, as well as note the quantity of records eligible for disposition. Your College's Records Management Coordinator will determine if the records will be either shredded or transferred for recycling.

Created by : 888 Rosenblum 7/2/14 - KCC



## RECORDS MANAGEMENT



### FREQUENTLY ASKED QUESTIONS ABOUT DEPARTMENTAL SCHEDULES

**10. Can I keep records a different amount of time than listed in the Departmental, Administrative, or CUNY Schedules?**

*You can never keep records for a shorter retention period than is listed in the Departmental, Administrative, or CUNY Schedules.* If you have records that you feel should be kept longer than the listed retention period, please contact your department's Records Coordinator. The two of you will be able to determine if there is a need to keep the records longer than is currently specified. Your department's Records Coordinator will then consult with your College's Records Management Coordinator, who will consult with the University Records Management Coordinator and CUNY's Office of the General Counsel for a final determination of whether a longer retention period is appropriate. In some cases, your concerns will lead to changes in the Departmental, Administrative, and CUNY Schedules.

**11. When does my "year" start?**

Although there is no set date to start the year, most departments find it easier to follow either a fiscal or academic year. Remember that the retention period is the designated number of years *plus* the current year.

**12. What if my department is involved in a lawsuit?**

*If legal action is either threatened or ongoing, all records retention guidelines are suspended, even if the retention period has expired. If the retention period has expired by the time the legal action ends, the records must be retained for at least one additional year. If the retention period has not expired, the records must be retained for the remainder of the retention period, but not less than one year after the legal action ends.* To verify that no legal actions have been threatened or initiated, your department's Records Coordinator must consult with your College's Records Management Coordinator, who will then consult with CUNY's Office of the General Counsel.

## RECORDS MANAGEMENT



### FREQUENTLY ASKED QUESTIONS ABOUT DEPARTMENTAL SCHEDULES

**13. What do I do with electronic records?**

While items in the Departmental, Administrative, and CUNY Schedules for the most part cover records regardless of the physical form in which they are maintained, electronic records in some subject areas are treated differently. If so, these different requirements are specifically listed in the Schedules. Your department's Records Coordinator will contact your College's Records Management Coordinator if you have any additional questions or concerns about the retention and disposition of electronic records.

**14. Where can I get more details about the CUNY Records Retention and Disposition Schedule?**

The CUNY Schedule, which includes an introduction that may be helpful in your use of the Schedule, as well as an index, is available online at [http://policy.cuny.edu/pdf\\_source/rrs.pdf](http://policy.cuny.edu/pdf_source/rrs.pdf) or <http://policy.cuny.edu/toc/rrs/>.

Revised 3/18/2011



*Records Management Certificate of Destruction*

The following indicates records that your department is legally purging in compliance with the State Archives program of the New York State Education Department pursuant to Section 57.25 of the Arts and Cultural Affairs Law and Part 185, Title 8 of the Official Compilation of Codes, Rules and Regulations of the State of New York. Please forward this original certificate to the College Records Management Coordinator.

Scheduled Item Number	Record Series Title	Retention As Indicated On the Schedule	Document Creation Date	ID & Box Number(s)

Department:	Room #	Phone #
PRINT	SIGN	
Individual Prepared By:	Date:	
PRINT	SIGN	
Department Liaison:	Date:	
PRINT	SIGN	
Chairperson/Director/ Dean/ Vice President:	Date:	