



SUNYADIRONDACK

Policy Title: 3006
Document #: Student Records Retention and Disposition
Effective Date: 10/27/22
Category: Legal and Compliance
Responsible Office: Office of Records and Registration

This policy applies to: Employees

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Summary:

This policy ensures that each unit [department or division] that maintains student records at SUNY Adirondack follows the Retention and Disposition Schedule for New York Local Government Records (LGS-1) which is a single, comprehensive retention schedule covering records of all types of local governments (<http://www.archives.nysed.gov/records/local-government-record-schedule/lgs-1-title-page>). It consolidates, revises and supersedes the CO-2, ED-1, MI-1, and MU-1 Schedules. The schedule is meant to ensure that necessary student records are retained for as long as is required and that records that have met the legal minimum retention periods are discarded systematically when they do not have sufficient historical, administrative or research value. The policy also covers retention of emails transmitted or received in the conduct of College business.

Policy:

SUNY Adirondack will protect access to information provided by prospective, accepted, formerly or currently enrolled students. Student records must be retained, managed, archived or disposed of in accordance with the Retention and Disposition Schedule for New York Local Government Records (LGS-1). The retention schedule indicates the minimum length of time that community colleges must retain official records before they may be disposed of legally. Records will be disposed of as described in the Retention and Disposition Schedule for New York Local Government Records (LGS-1) after they have met the minimum retention period prescribed therein. Records will be disposed only when they do not have sufficient administrative, fiscal, legal, or historical value to merit retention beyond established time periods.



Record disposition may be suspended in the event of a governmental audit, investigation or pending or anticipated litigation, see policy #3007 Records Retention and Disposition or in the receipt of a subpoena for records or a FOIL request and must be reported to the FOIL Officer, Registrar or Office of the President as appropriate, see policy # 3003 Handling Legal Papers and Subpoenas.

Although records in electronic format are covered by this policy, most emails are not official records but are transitory messages of electronically stored information and may be destroyed when no longer needed, unless the holder has been notified of a litigation, audit or FOIL hold. Only emails that serve a legal, operational or historical purpose are official records. Retention of such records is tied to the information in the record. The content of the email will determine what classification, if any, the email falls under. Email records should be retained in conformity with any other records related to the same function or activity, e.g. personnel record, student conduct record. It is the responsibility of the email user to create folders to store email records. Employees must use their College email account for College business.

Affiliated entities, the SUNY Adirondack Foundation, Faculty-Student Association and the Adirondack Housing Association, will comply with record retention and disposition according to regulations and guidance specific to each type of entity.

Definitions:

College. Use of this term explicitly refers to Adirondack Community College and/or the College's acceptable short name, SUNY Adirondack.

Employee. Any person who works for the College for wages, salaries or stipends including part-time and full-time faculty, staff and administrators. Excludes consultants such as instructors for the Office of Continuing Education. Students who are also employees will, in most instances, be categorized for purposes of the policy as a student. The Associate Vice President for Human Resources will make the determination based on the situation presented.

Prospective Student. A potential student in the future.

Record. Any book, paper, microform, computer-readable tapes, discs or other media, film, video and sound records, or other documentary materials, map, photograph, or other information-recording device, regardless of physical form or characteristic, that is made, produced, executed, or received by the College or officer thereof pursuant to law or in connection with the transaction of College business. Record as used herein shall not be deemed to include library materials, extra copies of documents created only for convenience of reference, and stocks of publications and blank forms.

Student. Any individual who is currently, or has formerly taken, courses at SUNY Adirondack, full-time, part-time, credit or non-credit.

Other Related Information:

New York State Archives Local Government Schedule: LGS-1 [*Community College: Academic Affairs, Alumni, Athletics, Counseling Services, Development, Disabled Students, Financial Aid, Fiscal, Housing, Instruction, Miscellaneous, President, Student Records – schedule item 150-220*]

<http://www.archives.nysed.gov/records/local-government-record-schedule/community-college>



Records Retention and Disposition at SUNY Campuses [Feb. 2016]
<https://www.suny.edu/sunypp/docs/806.pdf>

SUNY Email Retention Guidance [Aug 2015]
<https://www.suny.edu/sunypp/docs/753.pdf>

SUNY Policy 6609 Records Retention and Disposition Procedure section:
https://www.suny.edu/sunypp/documents.cfm?doc_id=650

Schedules for Community Colleges: MI-1 schedule is to be followed by Adirondack, Columbia-Greene, Corning, Fulton-Montgomery, Jamestown, North Country and Tompkins-Cortland Community Colleges and the Fashion Institute of Technology.

SUNY Records Management and Retention website
<https://system.suny.edu/compliance/records/>

Acceptable Use of Information Technology Resources policy # 6000
<N:/Policies, Procedures, Processes, and Guidelines/Technology/6000 Acceptable Use of Information Technology Resources.pdf>

Records Retention and Disposition policy # 3007
<N:/Policies, Processes, Procedures and Guidelines/Legal and Compliance/3007 Records Retention and Disposition.pdf>

Handling Legal Papers and Subpoenas policy # 3003 [in development]

Processes and Procedures:

Student Records Intake, Retention, and Disposal Procedure:

Admission files are created when a prospective student applies to the College and are maintained by the Admissions office until the student matriculates by attending an enrollment event or meeting.

Student admission files are converted to Student Records at the start of the semester of matriculation by the Office of Records and Registration.

Student files, including records for students not applying for admission, are maintained electronically in the Student Information System [SIS] system, in the vault located in the Office of Records and Registration's suite or through the Office of Continuing Education.

The Office of Records and Registration and Office of Continuing Education purges student files when the student has not had enrollment or outreach to the College per the LGS-1 schedule. A report from the SIS system is utilized to verify enrollment, conferral, or contact with the College.

Student records are disposed of via the shredding service maintained by the College and/or deletion from the College network drive and related databases/software.

The student's academic record is maintained permanently via the SIS system.



Forms:

There are no related forms relevant to this policy.

Authority:

Authority to Approve: Vice President for Academic Affairs

Responsible for Oversight: Director of Registration and Records

History:

This is the first Student Records Retention and Disposition policy. This policy was approved by the President on 9/1/22.

Review:

Annually in July.

Appendices:

None.
