

Policy Statement

Finger Lakes Community College will retain records created in the course of its activities in compliance with applicable state and federal record retention requirements and guidelines. Except where indicated to the contrary, retention periods run from the date of completion of the record. Retention requirements pertain to the information contained in records, regardless of physical form or characteristic (paper, microfilm, computer disk or tape, or other medium).

Unneeded records will be systematically discarded. When the applicable record retention period has expired, any records which contain individually identifiable student information must be shredded before disposal in accordance with the College's Policy on Compliance with the Family Educational Rights and Privacy Act (The "Buckley Amendment"). This includes, but is not limited to, examinations or assignments containing student names, class lists, and grading sheets.

Reason for Policy

This policy is intended to ensure that records are retained for as long as necessary for administrative, legal and fiscal purposes, that state and federal record retention requirements and guidelines are met (including without limitation applicable provisions of the New York State Archives and Records Administration Records Retention and Disposition Schedule CO-2), and that record series with enduring historical and other research value are identified and permanently retained.

Applicability of Policy

This policy applies to all departments of the College that maintain any of the types of records as set forth in the procedures. This policy should be reviewed by all College personnel having custody of, or responsibility for, the types of records as described below.

Definitions

FERPA: Federal Family Educational Rights and Privacy Act, as amended

SARA: New York State Archives and Records Administration

Related Documents

- SARA Records Retention and Disposition Schedule CO-2, available at:
http://www.archives.nysed.gov/a/nysaservices/ns_mgr_pub_co2_part2.shtml#college

- FLCC policy on Compliance with the Family Educational Rights & Privacy Act (FERPA)

Review dates/action taken (requires Board of Trustees approval):

- September 2011: original approval date
- Fall 2012: non-substantive revisions
- Fall 2014: no revisions

Procedures

The types of records listed below will be retained by the College in accordance with the corresponding timeframe provided for each. Except where indicated to the contrary, retention periods run from the date of completion of the record. The retention periods listed pertain to the information contained in records, regardless of physical form or characteristic (paper, microfilm, computer disk or tape, or other medium).

In addition, some records may be needed to defend the College, Ontario County and/or their respective trustees, officers, employees and/or agents in legal proceedings. Records that are being used in such proceedings must be retained for the entire duration of the proceedings even if their designated retention period has otherwise expired.

If the retention period has expired by the time the legal proceedings end, the record must be retained for at least one additional year.

If the retention period has **not** expired, the record must be retained for the remainder of the retention period, but not less than one year after the legal proceedings end. When the applicable record retention period set forth below has expired, any records which contain individually identifiable student information must be shredded before disposal in accordance with the College's Policy on Compliance with the Family Educational Rights and Privacy Act (The "Buckley Amendment"). This includes, but is not limited to, examinations or assignments containing student names, class lists, and grading sheets.

The Records Retention Requirements policy will be distributed by the President to the senior leadership of the College annually to ensure compliance.

ACADEMIC AFFAIRS RETENTION PERIOD

Accreditation Records for institutional or program accreditation, including but not limited to correspondence, reports, questionnaires, guides and related documents between the College and the accrediting body: *Permanent*

Curriculum development records including but not limited to course worksheets, evaluations, and recommendations: *7 years*

Academic program proposals including request for approval of changes in program title, HEGIS (Higher Education General Information System) content, credit hours, curricular content, format, and/or resource commitment:

(a) For successful registration of program: *Permanent*

(b) For failed proposal: *0 after no longer needed*

Curriculum/program registration records including approvals from the State University of New York and registration letters from the State Education Department: *Permanent*

Institutional evaluation files including institutional self-study documents sent to State Education Department or other accrediting bodies such as the Middle States Association of Colleges and Schools, reports and determinations resulting from on-site visits for evaluation, and the College's response (plan or progress report) to any deficiencies noted in determination letter: *Permanent*

Chartering documents concerning the College's corporate status and degree-granting authority: *Permanent*

Department educational or academic (course) informational program file

(a.) Official copy of any literature or other material made available to the public: *Permanent*

(b) File on each institutional course or program: *1 year after course or program discontinued*

ADMISSIONS RETENTION PERIOD

Admissions data including but not limited to acceptance letter, advanced placement records, application, entrance examinations and reports, letters of recommendation, and transcripts from other schools, and/or high school

(a) For applicants who enter: *6 years after graduation or date of last attendance*

(b) For applicants who do not enter whether accepted or not: *3 years following date of admission or exclusion*

AFFIRMATIVE ACTION

Individual complaint or problem case file involving human rights, equal employment or sexual harassment: *6 years after last entry*

Summary record for individual case and/or master summary record of all cases: *Permanent*

Biannual federal statistical report (EEO-6 form) relating to ethnic, racial, gender, position, and salary composition of the force: *Permanent*

ALUMNI RETENTION PERIOD

Alumni Association file containing records concerning its relations with the College

(a) Significant correspondence or records relating to decision-making or policy: *Permanent*

(b) Routine correspondence and related materials: *0 after no longer needed*

Alumni Directory including but not limited to name, address, occupation, degree attained, marital status, and financial contributions of alumni: *0 after superseded or obsolete*

ATHLETICS RETENTION PERIOD

Player recruitment/scouting file concerning recruitment of student athletes for intercollegiate sports programs, including but not limited to scouting reports, lists of prospects, recruitment proposals, and correspondence

(a) For student athletes entering college: *3 years after graduation or date of last attendance*

(b) For student athletes who do not enter college: *0 after no longer needed*

Athletic Scholarship File including but not limited to applications, recommendations, authorization of awards, financial statements, accounting data, and correspondence: *6 years*

Scouting reports relating to opposing teams: *0 after no longer needed*

Special Event file

(a) Official copy of any program or promotional literature or photograph of events or games: *Permanent*

(b) Background materials and supporting documentation: *6 years*

Athletic Program Records: *6 years*

Parental Consent Record: *6 years*

COUNSELING SERVICES RETENTION PERIOD

Student request for assistance relating to emotional, psychological, personal, social, academic, or vocational concerns: *6 years*

Academic termination record containing information about transfer to another college, reason for termination of future plans of student: *6 years*

List of student appointments including slips, return cards or counseling schedules: *0 after obsolete*

Statistical compilation or reports of students served: *0 after no longer needed*

Catalogs and related public relations information from other academic, vocational or educational institutions: *0 after superseded*

DEVELOPMENT RETENTION PERIOD

Special gifts file documenting each non-routine gift to the College including but not limited to correspondence, agreements, stipulations, descriptions of gifts, and accession information: *Permanent*

Summary donor file containing lists of individuals, organizations, or corporations that have donated funds, works or art, or property to the College: *0 after superseded*

DISABLED STUDENTS RETENTION PERIOD

Student file including but not limited to information on disability, transcripts, correspondence with student's sponsoring agency, orders for special equipment, and notes of contacts with counselors: *6 years after graduation or date of last attendance*

Disabled student emergency evacuation plan: *4 years after superseded*

Staff development materials relating to instructor orientation to disabled students and general disabilities: *0 after obsolete*

FINANCIAL AID RETENTION PERIOD

Student financial aid folder including but not limited to Financial Aid Form (FAF), applications for assistance, copies of income tax forms, financial aid transcripts from other schools, award and declination notices, verifications for non-taxable income, instructor requests for work study students, student job description, and copies of time sheets to verify hours with student schedule: *6 years*

FISCAL RETENTION PERIOD

Admissions collection record, including but not limited to record of receipts and log of operations: *6 years*

Billing records covering "chargebacks" or services provided by College or Ontario County

(a) Student's individual account: *6 years after last entry*

(b) Vendor's account: *6 years after last entry*

(c) Records used to determine billing and charges including water meter readings, electricity heat (fuel) "flat rate" computation record and copies of bills and charge slips: *6 years*

Fiscal reports from State University of New York (SUNY) including operating report (budget) and annual report (year-end): *6 years*

HEALTH SERVICES RETENTION PERIOD (1)

Certification, licensing, and accreditation records covering review and approval by state or federal agency or professional review organization, to operate facility or program, to conduct tests, or to perform specified work, including lists of permissible procedures or tests: *7 years after superseded, revoked, or no longer valid*

Survey, evaluation, and inspection records covering review of campus health facilities and programs by state agency or professional review organization, including but not limited to medical care evaluation and similar studies: *Permanent*

Master summary record, master index file, or principal register giving basic data on individual patients: *Permanent*

Appointment records, including slips, return cards, sign-in sheets, and clinic schedules kept by College health facility or program: *0 after obsolete*

Screening and assessment records and referrals, for persons evaluated but not treated by facility or program: *3 years*

Insurance carrier claim records, including but not limited to schedule of payments, copy of claim, listing of invalid or rejected claims, vendor payment list, list of claims submitted for payment, and list of checks received: *7 years*

Insurance and reimbursement related reports, including cost report and certified uniform financial or statistical report, and all necessary supporting documentation: *9 years*

Standard procedures and medical protocols: *Permanent*

Census record of student patients: *10 years*

Proof of immunization records: *10 years*

Student health service case record: *6 years after last entry*

Mental health individual case record including history, incidents, or referral to psychiatrist: *10 years after last entry*

Student consent forms: *6 years after last entry*

Athletic health information report determining student eligibility to participate in campus sports activities: *6 years*

(1): Certain aspects may not be necessary depending on scope of operations (for example, if insurance reimbursement is not sought).

HOUSING RETENTION PERIOD

Residency occupancy records including but not limited to room and board contracts and room assignment: *6 years*

Damage records pertaining to damage of dormitory equipment and furnishings of structure: *6 years*

Off campus rental records including lists of landlords and/or listings indicating apartments or rooms available: *0 after superseded or obsolete*

INSTRUCTION RETENTION PERIOD

Course listing created for administrative convenience, containing department list of classes: *0 after superseded*

Course Syllabus: *6 years*

Instructor's grade book or listing including class number and title, location, date and time class meets, student attendance, test grades, and final grade: *2 years*

List of students majoring in a field of study: *0 after superseded*

Class schedule including class title, location, dates, and time of meeting: *6 years*

Final examinations (completed): *1 year*

Final examination questions: *10 years*

Application, permit and tax free use of alcohol report: *6 years*

Evaluations of course instructor: *3 years*

Radiation use log including student name, date, film size, quantity, screen, and length of time in laboratory: *4 years after graduation*

Records of hypodermic syringes and needles acquired for educational use including records of need, purchase, inventory, destruction, loss or theft: *6 years*

MISCELLANEOUS RETENTION PERIOD

Establishment plan for College including background materials: *Permanent*

Student grievance records including but not limited to grievance, investigative records, hearing proceedings, decision rendered, student appeal, records of arbitration procedure, final decision and correspondence: *6 years after grievance resolved*

Fire safety records

(a) Fire drill report and fire alarm records: *3 years*

(b) Fire safety inspection reports, when inspection is performed by local government (city, county, town, village, or fire district) which maintains the official copy: *3 years, or until all violations noted on inspection reports are corrected, whichever is later*

(c) Fire safety inspection reports, when inspection is performed by person or company, pursuant to Section 807-b (3-a 1,2) of the Education Law, and **not** by a local government: *21 years*

PRESIDENT RETENTION PERIOD

President's office files including, but not limited to, correspondence, memoranda, reports, studies, publicity items, Board and Executive Committee minutes, contracts and other legal documents

(a) Where file documents a significant subject, or major-policy making or program-development process: *Permanent*

(b) Where file documents routine activity: *6 years*

REGISTRATION RETENTION PERIOD

Transcript: Permanent

Student folder, including but not limited to:

(a) Change of grade documents, withdrawal authorizations, graduation certification, Social Security certification, student roster and attendance verification records such as class roster, or final grade listing and student schedule: *6 years*

(b) Academic action authorizations (dismissals and/or notification of problems), employment placement records, and assessment of life/work experience information for academic credits: *6 years after graduation or date of last attendance*

(c) Change in Social Security number record, application for veteran's benefits and enrollment certification and related records: *3 years*

(d) Application for graduation, change of course (drop/add), credit/no credit (audit) approval, name and/or gender change authorization, pass/fail request, registration form, and transcript request: *1 year*

FERPA records

(a) Request for hearing including student statement on content of disputed record, and written decision of hearing panel: *Same retention period as disputed record*

(b) Request and disclosure of personally identifiable information: *Same retention period as underlying record*

(c) Student request for nondisclosure of directory information: *1 year after date submitted*

(d) Student written consent for records disclosure: *Until consent terminated by student or retention period of record specified in consent*

(e) Waiver of right of access: *Until waiver terminated by student or retention period of record specified in waiver, whichever is longer*

(f) Directory Information Policy Statement: *Permanent*

Proof of residence records

(a) College copy of certificate of residence: *6 years*

(b) Lists of students residing in different political jurisdictions: *1 year after superseded or obsolete*

Statistical reports relating to enrollment, ethnicity, degrees and grades: *Permanent*

Scholarship records

(a) **Individual scholarship file** including but not limited to applications, recommendations, authorization of awards, financial statements, accounting data, and correspondence: *6 years*

(b) **List of scholarships awarded students:** *Permanent*

Forms/Online Processes

- None

Appendix

- None

Review dates/action taken:

- September 2011: original effective date
- Fall 2012: no revisions
- Fall 2014: no revisions