

RECORDS MANAGEMENT

This policy establishes a program for the systematic organization, identification, maintenance, retention, and disposal of records created by the South Colonie Central School District. The policy ensures that the District's documentation is complete for legal, fiscal, administrative, and historical purposes.

The policy defines records as any paper, book, photograph, microfilm, map, drawing, chart, card, magnetic tape, or printout that has been generated or received by the District and is used as evidence of activity.

The Board of Education directs the Superintendent of Schools to establish a charter for establishment of a Records Management Committee and to develop administrative regulations to govern the Records Management policy.

Reference: Part 185, 8 NYCRR

Adopted: April 20, 1999

RECORDS MANAGEMENT CHARTER

This charter sets forth the policies of the South Colonie Central School District as to scope, organization, responsibility, authority, and conduct of operation for the Records Management Committee for the District.

General Description

The Superintendent of the South Colonie Central School District has established a Records Management Committee (RMC) to serve as an independent review organization of the District's Records Management Program. The RMC will carry out its responsibility by implementing the requirements of the Charter.

Responsibility

The establishment of the Records Management Committee set forth in this charter is designed to:

1. review the overall direction and policies of the Records Management Program;
2. meet the intent of SARA Records Retention and Disposition Schedule ED-1;
3. review and approve updates to the District's overall Records Retention Schedule; and
4. provide technical and advisory assistance on matters related to the District's Records Management Program.

RMC Composition

1. Committee Membership

The RMC shall be composed of membership of at least four members, including the Chairperson. The Chairperson shall be the Superintendent of Schools or designee. The Vice Chairperson shall be appointed by the Chairperson. Alternates shall be permitted to serve as RMC members when so delegated in accordance with Committee procedures. In any event, the RMC shall be composed of persons having the competence required to review concerns in the following areas:

- Financial Records
- Historical Records
- Human Resources Records
- Legal and Regulatory Requirements
- Student Records

Personnel assigned to the Committee shall possess experience in their individual specialties. An individual may possess expertise in more than one specialty area.

2. Committee Organization

The Chairperson shall designate a secretary who need not be a member of the RMC. The Chairperson may also call upon consultants who are not members of the Committee to assist in carrying out the Committee's activities.

Committee Procedures**1. Meeting Frequency**

The Chairperson or designated alternate shall convene and preside over all formal meetings. The Chairperson shall provide for the scheduling of meetings on an as-needed basis.

2. Quorum

All actions of the RMC shall require a quorum. A quorum consists of the Chairperson or designated alternate, plus a majority of the voting Committee members or their authorized appointed alternates. Committee actions and recommendations shall be decided by a simple majority vote of members present at the meeting. Any Committee action which is not a unanimous decision of the members present shall fully describe the minority opinion.

3. Meeting Records

Minutes of all RMC meetings shall identify attendees and all material reviewed by the RMC and shall document decisions and recommendations made by the RMC as a result of their review. The meeting minutes shall be promptly distributed to all members of the RMC. The RMC Chairperson or designated alternate shall provide for the preparation of meeting records and the retention of such records in appropriate files.

Committee Authority

The areas which shall be reviewed and acted upon by the RMC are delineated under the section titled "Responsibility". All RMC actions shall be subject to the approval of the Superintendent.

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RECORDS MANAGEMENT AND ORGANIZATION**General Program Policies**

1. Develop and establish a District-wide system whereby each type of record created or retained in the operation of the business of the District shall be:
 - a. retained only for the period of usefulness;
 - b. preserved against disaster by means of microfilm for security, if essential and vital to the District's ability to conduct business;
 - c. destroyed at the end of a prescribed retention period.
2. Develop detailed policy for retention of records with consultation, advice and approval of the Records Management Committee, the membership of which will provide requirements and opinions on the legal, financial, and administrative value of all records.
3. Publish the detailed policy for guidance of personnel responsible for record keeping and reduce unnecessary filing procedures, cost for equipment, space, and personnel waste.
4. Provide coordination among departments on all phases of the Records Management Program and bring consistency and uniformity to record keeping policies and methods for the entire District.
5. Facilitate exchange and implementation of information and improvements in all areas of records management which will affect savings or improved quality of the District's records and make records more accessible and usable by personnel by means of operational manuals and microfilm.
6. Develop and maintain a centralized records storage and retrieval area utilizing hard copy, microfilm and computerized data for reference and research.

Definitions

Records: Any paper, book, photo, microfilm, map, drawing, chart, card, magnetic tape, or printout that has been generated or received by the District and is used as evidence of activity.

Record Series: A file unit defined by its having uniformity of arrangement, content, and purpose, which permits evaluation as a unit for disposition.

Vital Records: Documents which contain information vital and essential to:

- a. resumption and/or continuation of operation;
- b. recreation of legal and financial status of the District;
- c. fulfillment of obligations to employees, students and identification of assets and liabilities.

Records Retention Schedule: A published list of record series by department and/or office providing an approved timetable for maintenance in office, storage, microfilming, and destruction.

Issued: April 21, 1999

RECORDS MANAGEMENT

Purpose

This policy establishes a program for the systematic organization, identification, maintenance, retention and disposal of records created by the South Colonie Central School District. The policy ensures that the District's documentation is complete for legal, fiscal, administrative and historical purposes.

Coverage

All personnel.

Reference

Part 185, 8 NYCRR, Regulations of the Commissioner of Education

Responsibility

1. The Records Management Officer is responsible for:
 - a. Formulating, planning, and implementing the District's Records Management Program;
 - b. Recommending and guiding the development and application of records management practices for District personnel;
 - c. Coordinating the continuous disposition of obsolete records in accordance with legal requirement through the use of Records Retention Schedule ED-1;
 - d. Recommending to the Commissioner suitable retention periods for any records not covered by Records Retention Schedule ED-1;
 - e. Coordinating the storage and management of inactive records, those no longer needed for the conduct of the day-to-day business of the District;
 - f. Reviewing and making recommendations on requests for record storage equipment;
 - g. Coordinating the District's micrographics program;
2. District personnel are responsible for following the Records Management Program procedures.

Definitions

Record: Any paper, book, photo, microfilm, map, drawing, chart, card, magnetic tape or printout that has been generated or received by the District and is used as evidence of activity.

Record Copy: An original document or unaltered duplicate designated as an original; the official copy to be retained.

Historical Records: Records of enduring value.

Active Files: Those containing records that are referred to frequently in the performance of current administrative work.

Inactive Files: Files that have not been referenced within the last six months. Inactive status is usually connected with some final event such as end of school fiscal year, employment termination, contract expiration, etc.

Policy

District records will be indexed, stored, made accessible as needed and ultimately, except for permanently retained records, destroyed in a manner designed to facilitate operations and staff work in the most effective manner at reasonable cost.

All records are District property. Upon termination of employment, an employee should not remove records from the premises. These records should be retained by the employee's department until a determination can be made of their value.

In the interest of cost efficiency, records will be stored in the least expensive form which can be made accessible readily on request. This will be accomplished through inactive storage and conversion of records to microform or magnetic tape/disk as appropriate.

Records will be destroyed when the retention period has expired as identified by the Records Management Officer or when they are no longer useful for normal operations of the District, whichever is later.

The established Records Management Retention Schedule will be derived from ED-1.

The Records Management Program is committed to the following:

1. Vital and historical document preservation and security.
2. Reduction in the storage requirements for paper documents.
3. Maximum controlled use of microform production and duplication.
4. Microform standards and procedures adequate to meet related legal obligations.
5. File integrity through the use of standardized file practices and system control.

Other CONSIDERATIONS

Ineffective storage of records in paper form can be wasteful of space and staff time as well as being expensive. Only working files and official file copies should normally be maintained in department offices. After time records have fulfilled their administrative usefulness to the department, they should be transferred to inactive storage. An index to all records will be maintained and made available upon request from the Records Management Officer.

RECORDS RETENTION AND DESTRUCTION

Purpose and Policy

The purpose of this policy and procedure is to provide an up-to-date District Records Retention Schedule for all District records in accordance with administrative needs and applicable laws, regulations and historical requirements. It is the District's policy to retain and store only those records required by law or by operating need. All others shall be disposed of by destruction as appropriate.

Coverage

All personnel.

Reference

Records Management Policy.

Definitions

Record: Any paper, book, photo, microfilm, map, drawing, chart, magnetic tape or printout that has been generated or received by the district and is used as evidence of activity.

Record Copy: An original document or unaltered duplicate designated as an original; the official copy to be retained.

Historical Records: Records of enduring value.

Active Files: Those files containing records that are referred to frequently in the performance of current administrative work.

Inactive Files: Files that have not been referenced within the last six months. Inactive status is usually connected with some final event such as end of school fiscal year, employment termination, contract expiration, etc.

Retention Procedure

1. The Records Management Officer will be responsible for assigning retention periods for District records with the cooperation and approval of the requesting department.
2. The Records Management Officer will incorporate the assigned record retention periods into the District Records Retention Schedule. An up-to-date Records Retention Schedule will be maintained by the Records Management Officer.

Other Retention Considerations

1. Records not listed on Records Retention and Disposition Schedule ED-1 may not be disposed of without the approval of the Commissioner of Education.
2. Records that have been damaged by natural or manmade disasters and whose retention periods have not expired may be disposed of provided that the information contained in those records has been substantially destroyed or obliterated and approval has been obtained from the Commissioner of Education.
3. The District shall not dispose of any records predating 1910 without special approval of the Commissioner of Education.

Destruction Procedure

1. Records shall not be destroyed until a Records Destruction Authorization has been approved and signed by the Records Management Officer (6160-E.1).
2. The Records Destruction Authorization shall be maintained by the Records Management Officer as a permanent record.

Other Destruction Considerations

Records that have been microfilmed in accordance with the Regulations of the Commissioner of Education may be disposed of without further formality under this procedure.

Issued: April 21, 1999

MICROFILMING RECORDS

Purpose and Policy

This policy defines minimum requirements for microfilming school district records on any microform media including roll film, microfiche, jackets, and aperture cards, whether done in-house, by a contracted service bureau, or by vendors under contract to the District.

Coverage

All personnel.

Reference

Records Management Policy.

Definitions

Aperture Card: Card with a rectangular opening specifically prepared for mounting or inserting microfilm. Typically an aperture card is the size of an IBM punch card and is used to hold a single 35mm image of an engineering drawing.

Jacket: A flat, transparent plastic carrier with single or multiple film channels made to hold single or multiple images.

Microfiche: A sheet of microfilm, generally 148mm by 105mm (approximately 6" X 4") containing multiple images in a grid pattern. It usually contains a title (header) that can be read without magnification.

Microfilming: The photographic process whereby a document image is optically reduced and recorded on film in sizes too small to be read without magnification (microimages).

Microform: Any film format that contains microimages.

Revisable Document: Document that is routinely maintained current by issuing revisions or other formal change notifications that supersede information contained in the previous version.

Roll Film: Microfilm that is or can be put on reel, spool, or core; generally 16mm or 35mm wide.

General Requirements

1. Since paper is costly to store properly and is susceptible to loss, damage and physical deterioration, microforms are recommended for long-term retention of records. In general, records with a retention of ten (10) years or more, or those of high volume, should be considered candidates for microfilming.

2. The microfilming of District records shall be done in the normal course of business according to industry standards and regulatory requirements.
3. After record images on microforms are verified as complete, legible and capable of being reproduced, the original can be disposed of unless written direction from the Superintendent or legal counsel mandates the retention of the paper.
4. The original silver halide copy of the microform shall be the official record copy for retention purposes. Diazo film copies should be used for day-to-day viewing and printing.
5. The original silver halide copy shall be processed, handled and stored according to applicable American National Standard Institute (ANSI) standards to ensure archival quality.

Standard Practices

1. Microfilm formats, including reduction ratios, targets, titling, certification, image placement, and microfilm dimensions, shall conform to industry standards as set forth by ANSI.
2. If a microform containing multiple images, such as roll film, microfiche or jackets, is to serve as the record copy of a District record, a "Declaration by Records Custodian" (6160-E2) and a "Declaration by Camera Operator" (6160-E3) shall be included on the microform.
3. The microfilming process shall follow standard practices which include:
 - a. document preparation;
 - b. verification that all pages of all records have been accounted for in the filming process;
 - c. refilming of records when the microform copy does not pass quality control inspection;
 - d. periodic checking through sampling or other methods to ensure the microfilm image quality has not deteriorated.

Quality Control

During the production of record copy microforms, the following quality control tests and inspections shall be performed according to ANSI standards: Resolution Test, Density Test, Methylene Blue Test, and Visual Image Inspection.

In order to be acceptable, a microform must pass the minimal standard requirements of these tests and inspections.

RECORDS DESTRUCTION AUTHORIZATION

Records Description and Dates	Cubic Feet	Retention Period/ED-1/Rev. Retention Schedule Reference
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_____ **Authorizing Signature/Title** _____ **Date**

_____ **Records Management Officer** _____ **Date**

Method of Destruction: _____ **Date**

Total Volume of Records Destroyed: _____

DECLARATION BY RECORDS CUSTODIAN

South Colonie Central School District

Records Series Title: _____

Records Series Arrangement: _____

Beginning Document: _____

Access Restrictions: _____

This is to certify that the microphotographs appearing on this roll of microfilm are true and accurate reproductions of original records of the South Colonie Central School District as delivered in the regular course of business for photographing, following established New York State Archives and Records Administration microfilming guidelines.

Signature of Records Custodian _____

Type/Print Name: _____

Records Custodian Title: _____

Date: _____

DECLARATION BY CAMERA OPERATOR

**The file or records series described on the Declaration of Records Custodian
was microphotographed for the
South Colonie Central School District
by**

Records Series Title: _____

• **Series Begins With:** _____

• **Series Ends With:** _____

Date Filmed: _____

Reduction Ratio: _____

Film Manufacturer: _____

Film Type: _____

Expiration Date: _____

Batch Number: _____

This is to certify that the microphotographs appearing on this roll of microfilm are accurate reproductions of the above-named records. The images were microfilmed from the documents received for filming in the course of regular operations. The microfilming of these records followed microfilm guidelines established by the New York State Archive and Records Administration.

Signature of Camera Operator

Printed Name of Camera Operator