



Chautauqua, Cattaraugus, Allegany and Steuben Counties

Southern Tier Extension Railroad Authority

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“This institution is an equal opportunity organization”

Frank “Jay” Gould, Chairman
Richard Zink, Chief Executive Officer

STERA Records Management Program

Annual Report to the Board For the Year Ending December 31, 2020

This report details all records management activities during the reporting period, to provide the STERA Board with information necessary for it to discharge its oversight responsibility with respect to STERA’s record management system so as to ensure compliance with required regulations.

Statutory Compliance

The Records Management Program is intended to comply with the requirements of New York State Law and with New York State Authority Budget Office Policy Guidance 10-03.

Program Purpose

The Records Management Program is intended to promote efficient administration and management of STERA’s records related to the maintenance, retention, and storage of official records based on their legal and administrative value to STERA.

Records Retention and Disposition Policy

STERA’s Records Retention and Disposition Policy is as follows:

- A. STERA has adopted *Records Retention and Disposition Schedule MI-1*, issued pursuant to Article 57-A of the Arts and Cultural Affairs Law. Schedule MI-1 contains legal minimum retention periods for local government records for use by all officers in legally disposing of valueless records listed therein.
- B. In accordance with Article 57-A of the Arts and Cultural Affairs Law, STERA only disposes of those records that are described in *Records Retention and Disposition Schedule MI-1* after they have met the minimum retention periods described therein;
- C. In accordance with Article 57-A of the Arts and Cultural Affairs Law, STERA only disposes of those records that do not have sufficient administrative, fiscal, legal, or historical value to merit retention beyond established legal minimum periods.

The CEO of STERA is designated as Records Management Officer (RMO). The Records Management Officer’s responsibilities include (a) ensuring that STERA’s records are maintained and disposed in compliance with regulations, (b) preparing, identifying, protecting, and preserving archival records, and (c) presenting a report annually to the STERA Board detailing all records management activities during the reporting period.

Records Management Activities

1. In all cases, STERA complies with the provisions of the three outlines of the policy as set forth above, to wit:
 - Only disposing of documents covered by *Records Retention and Disposition Schedule MI-1*, issued pursuant to Article 57-A of the Arts and Cultural Affairs Law if they are valueless records or if they have met the minimum retention periods described therein; and
 - Only disposing of those records that do not have sufficient administrative, fiscal, legal, or historical value to merit retention beyond established legal minimum periods.
2. STERA has retained digital copies of all corporate documents required for compliance with NYS statutes and regulations pertaining to its status as a local public authority (e.g., including but not limited to meeting agendas and minutes, press releases, financial records, internally prepared interim financial statements, audits, policies, reports, budgets, financial plans, legal opinions, grant applications, compliance files, affirmative action/equal opportunity records, minority- and women-owned business records, subject matter list of records held by STERA as required under Freedom of Information Law, register or list of applicants seeking access to public records, Freedom of Information records request file, web site content, etc., to the extent that there are records in these record category types). These may be considered archival records. Some may be disposed of after the minimum retention period described in Schedule MI-1 has run.
3. STERA has retained hard copies of certain corporate documents that were not otherwise available as digital documents (e.g., including but not limited to contract documents, agreements, bank statements, received correspondence, capital construction or public improvement project file {including but not limited to bids, specifications, contracts, performance guarantees, inspection reports, and environmental impact statements, and proposals in response to an RFP}, any complaint/ petition/ request for service received by STERA, real property parcel information, procurement documents, etc.). Certain such documents (e.g., correspondence may be scanned and the originals disposed of if they are not archival and if their administrative value is not diminished by substituting a digital version for the original hard copy version.
4. Disposals of records in conformity to the policy are carried out on an ongoing basis.

Submitted to and Approved by the Board of Directors
of the Southern Tier Extension Railroad Authority
on March 15, 2021



Name
Records Management Officer