College Procedure: 310.1 – Record Retention Procedure

Policy Reference: 310 – Administrative Function

Responsible Department: Institutional Effectiveness

Approval Authority: Cabinet

Procedure Owner: Vice President, Institutional Effectiveness

Effective Date: 7/1/2022

Version Number: 2

Legal Counsel Reviewed (yes/no): No

Legal Reference(s): N/A **Scope:** College-wide

Reason for Procedure

A record retention procedure provides a process to assist with management of risks including lost or stolen information, excessive backlog of paper files, loss of time and space while internally managing records, and an organization system for records. The procedure applies to all records generated in the course of the College's operation, including both original documents and reproductions. It encompasses all records stored by multiple methodologies, including, but not limited to, electronic and paper files.

The Procedure

Cabinet members will be responsible for preparing a listing of records used and maintained by their functions by department and shall compare it to the documents listed in the Records Retention Schedule. Annually and by July 1, each Cabinet member shall be responsible for the review of records to determine whether these records are adequate and appropriate for each department's requirements and determine any circumstances that necessitate changes in the records included or the retention periods. Any additions, deletions, or changes are communicated to the Director of Institutional Planning, Institutional Effectiveness.

Maintenance of College Records

Departments must maintain College records in a manner that provides (1) access for faculty and staff to carry out normal job responsibilities, and (2) reasonable protection against misuse, misplacement, loss, destruction, damage, or theft. Official records should be stored consistently within the department in a manner that provides protection against misuse, misplacement, damage, destruction, or theft. Original, confidential, and sensitive documents should be stored in a secure location. Unless authorized by the Cabinet member or qualified in a remote work contract, College records must be stored on College property at all times. Departments should document official records loaned to other departments or individuals, by describing the record, loan date, return date, borrowing department, and individual.

Disposal of Records

College records may be disposed of upon reaching the minimum retention period stated in this policy, provided the department does not need the records for future administrative, legal, research, historical, or fiscal purposes.

A Custodian of Records for each function is designated by the Cabinet member and communicated to the Director of Institutional Planning, and they are the individuals who have primary responsibility for maintaining the data in the Records Retention Schedule. The Custodian of Records is responsible for performing, annually, a review to determine the value or usefulness of departmental records. During this review, the Custodian of Records should identify and designate for disposal the records with elapsed retention periods.

The Custodian of Records is responsible for authorizing the disposal of records. When authorized, shred records containing sensitive and/or confidential information and dispose of shredded material properly by recycling or disposal. Documents containing sensitive or confidential information must be shredded.

Electronic Records Storage/Disposal Electronic

Electronic record keeping is the storage and retrieval of information in digital form. Electronic records and data files are rotated daily, and subsequently, systematically deleted. Electronic databases are operated by the College's Information Technology department and record retention responsibility lies within IT. Daily backups are performed, which includes the database and software. Email Document Retention is administered by College Procedure, 700.8 - Email Document Retention Procedure.

Minimum Retention Periods

The Records Retention Schedule, maintained by Institutional Effectiveness will be stored as an appendix to this procedure document and in KIN and lists the minimum record retention requirements for the following, 1) compliance with guidelines issued by the College, 2) providing maximum protection under current federal/state statutes of limitations, and 3) supporting general College business practices.

References

Definitions

Term	Definition
Term 1	
Term 2	
Term 3	
Term 4	

Revision Log

Version	Date		
Number	Approved	Approved by	Brief Description of Change
1	7/1/2022	Cabinet	New procedure
2	7/1/2023	Cabinet	Procedure updated

Records Retention Schedule - Procedure 310.1

Name of Record	Department	Record Category	Custodian of Records	Retention Period
Annual Audits and	Finance	Accounting and Tax		Permanent
Financial Statements		Records	Finance	
Business Expense	Finance	Accounting and Tax		7 years
Records		Records	Finance	
Cash Receipts	Finance	Accounting and Tax		3 years
·		Records	Finance	
Credit Card Receipts	Finance	Accounting and Tax		3 years
		Records	Finance	
Depreciation Schedules	Finance	Accounting and Tax		Permanent
		Records	Finance	
Fixed Asset Records	Finance	Institutional Records	Finance	Permanent
General Ledgers	Finance	Accounting and Tax		Permanent
J		Records	Finance	
Invoices	Finance	Accounting and Tax		7 years
		Records	Finance	·
IRS 1099s	Finance	Accounting and Tax		7 years
		Records	Finance	
IRS 990 Tax Returns	Finance	Accounting and Tax		Permanent
		Records	Finance	
IRS Application for Tax-	Finance	Institutional Records		Permanent
Exempt Status (Form				
1023)			Finance	
IRS Determination	Finance	Institutional Records		Permanent
Letter			Finance	
Journal Entries	Finance	Accounting and Tax		7 years
		Records	Finance	
Petty Cash Vouchers	Finance	Accounting and Tax		3 years
		Records	Finance	
Sales Records (auxiliary	Finance	Accounting and Tax		7 years
services)		Records	Finance	
State Sales Tax	Finance	Institutional Records		Permanent
Exemption Letter			Finance	
Vendor Transaction	Finance	Institutional Records		3 years
Detail Records			Finance	
Bank Deposit Slips	Finance	Bank Records	Finance	7 years
Bank Statements and	Finance	Bank Records		7 years
Reconciliation			Finance	
Check Registers	Finance	Bank Records	Finance	Permanent
Collection Records	Finance	Student Records	Finance	7 years
Electronic Fund Transfer	Finance	Bank Records	Tillulice	7 years
Documents	Tillance	Bulk Necolus	Finance	/ years
Documents			Advancement	
		Í	Auvancement	1

Dank Statements	Foundation	Foundation Posseds	Advancement Sorvices Officer	2 4025
Bank Statements	Foundation	Foundation Records	Services Officer	3 years
Board Conflict of	e	E. datie Berede	Advancement	7
Interest Statements	Foundation	Foundation Records	Services Officer	7 years
			Advancement	_
Donor Agreements	Foundation	Foundation Records	Services Officer	Permanent
			Advancement	
Donor Records	Foundation	Foundation Records	Services Officer	Permanent
Foundation Annual			Advancement	
Report	Foundation	Foundation Records	Services Officer	7 years
			Advancement	
Foundation Audit	Foundation	Foundation Records	Services Officer	Permanent
			Advancement	
Foundation Legal Papers	Foundation	Foundation Records	Services Officer	7 years
Foundation Minutes of			Advancement	
Committee Meetings	Foundation	Foundation Records	Services Officer	7 years
Foundation Minutes of			Advancement	,
Director's Meetings	Foundation	Foundation Records	Services Officer	Permanent
				Permanent or 7
Foundation Policies &			Advancement	years after
Procedures	Foundation	Foundation Records	Services Officer	termination
Operating Agreements	Todridation	Todildation Records	SCIVICES OTTICES	termination
(w/ KCC, KCCK,			Advancement	
-	Foundation	Foundation Records	Services Officer	Dormanant
Heritage, etc.)	Foundation	Foundation Records	1	Permanent
Calculate A calculate	e	E. datie Berede	Advancement	4
Scholarship Applications	Foundation	Foundation Records	Services Officer	1 year
State Charitable			Advancement	_
Registrations	Foundation	Foundation Records	Services Officer	7 years
			Advancement	
Tax Determination	Foundation	Foundation Records	Services Officer	Permanent
			Advancement	
Tax Returns - IRS 990	Foundation	Foundation Records	Services Officer	7 years
		Insurance, Legal & Safety		5 years
Crime Logs	Public Safety	Record	AVP, Public Safety	J years
Crime Reports		Insurance, Legal & Safety		- Lucare
(State/Federal)	Public Safety	Record	AVP, Public Safety	5 years
		Insurance, Legal & Safety		.
Emergency Drill Report	Public Safety	Record	AVP, Public Safety	5 years
Emergency Response	,	Insurance, Legal & Safety	, ,	_
Plan	Public Safety	Record	AVP, Public Safety	5 years
-		Insurance, Legal & Safety	,	
Incident Reports	Public Safety	Record	AVP, Public Safety	5 years
sident Neports	. abiic barety	Insurance, Legal & Safety	, radic darcty	
Security Videos	Public Safety	Record	AVP, Public Safety	1 week
Approved Budgets	Finance	Financial Records	•	7 years
- ' '			Finance	7 years
Investment Ledgers	Finance	Financial Records		7 years after
			Finance	disposal
			Compliance	
	Institutional		Reporting	
HLC Annual Report	Effectiveness	Institutional Records	Manager	Permanent

		<u> </u>	Camadianas	
	1		Compliance	
	Institutional		Reporting	
State & Federal Reports	Effectiveness	Institutional Records	Manager	Permanent
			Coordinator,	
HLC Accreditation	Institutional		Institutional	
Acknowledgement	Effectiveness	Institutional Records	Effectiveness	Permanent
			Coordinator,	
	Institutional		Institutional	
HLC Correspondence	Effectiveness	Institutional Records	Effectiveness	Permanent
				Record of final
				disposition for
				offenses that
				result in
				suspension or
				expulsion:
				permanent. All
Student Disciplinary	Student			other records: 7
Files	Services	Student Records	Dean of Students	years.
				3 years from
Incomplete	Academic			last date of
Requests/Extensions	Affairs	Student Records	Deans	attendance
Vendor/Service	Human		Department	
Contracts	Resources	Employment Records	Assistant, HR	Permanent
Retirement and Pension	Human	. ,	Department	
Plan Documents	Resources	Employment Records	Assistant, HR	Permanent
Records Relating to		. ,	,	
Promotion, Demotion or	Human		Department	7 years after
Discharge	Resources	Employment Records	Assistant, HR	termination
Accident Reports and		, , , , , , , , , , , , , , , , , , , ,	,	
Worker's Compensation	Human		Department	
Records	Resources	Employment Records	Assistant, HR	7 years
	Human		Department	7 700.0
Salary Schedules	Resources	Employment Records	Assistant, HR	7 years
Employment	Human	Employment Records	Department	, years
Applications	Resources	Employment Records	Assistant, HR	3 years
Applications	Human	Employment Records	Department	3 years after
I-9 Forms	Resources	Employment Records	Assistant, HR	termination
1 3 1 011113	Human	Employment Records	Department	terrimation
Time Cards	Resources	Employment Records	Assistant, HR	3 years
Collective Bargaining	Human	Employment Records	•	3 years
• •		Institutional Records	Department	Dormanant
Agreements	Resources	mstitutional Records	Assistant, HR	Permanent
Fodoral Crant Docard	Continuing	Institutional Deserve	Director Crants	7,400,75
Federal Grant Records	Education	Institutional Records	Director, Grants	7 years
Operating Compliance			Director,	[
Inspections (Fire,	Facilities	Facility Occupations Bosses	Maintenance	5 years
Elevator, Boiler)	Facilities	Facility Operations Record	Opps	Da was a si si si
Appraisals	Finance	Insurance, Legal and	Director, Risk	Permanent
0 1 1 6		Safety Records	Management	_
Contracts (after	Finance	Institutional Records	Director, Risk	7 years
expiration)			Management	

General Contracts	Finance	Insurance, Legal and	Director, Risk	3 years
		Safety Records	Management	
Insurance Policies	Finance	Insurance, Legal and	Director, Risk	7 years
		Safety Records	Management	
Leases	Finance	Insurance, Legal and	Director, Risk	7 years
		Safety Records	Management	,
OSHA Documents	Finance	Insurance, Legal and	Director, Risk	7 years
		Safety Records	Management	, , , , , , , , , , , , , , , , , , , ,
Real Estate Documents	Finance	Insurance, Legal and	Director, Risk	Permanent
		Safety Records	Management	
Risk Management	Finance	Insurance, Legal and	Director, Risk	7 years
Insurance Claims	1 manee	Safety Records	Management	, years
Stock and Bond Records	Finance	Insurance, Legal and	Director, Risk	Permanent
Stock and Bond Records	Tillance	Safety Records	Management	remanent
		· ·	ivianagement	
For the surrent of Charles	Dudalia Cafata	Insurance, Legal & Safety	THE Countings	3 years
Environmental Studies	Public Safety	Record	EHS, Coordinator	
Hazardous Chemical		Insurance, Legal & Safety		3 years
Waste Records	Public Safety	Record	EHS, Coordinator	,
			Executive	
Affirmative Action	President's		Assistant to the	
Statement	Office	Institutional Records	President	Permanent
Annual Reports to			Executive	
Secretary of	President's		Assistant to the	
State/Attorney General	Office	Institutional Records	President	Permanent
			Executive	
	President's		Assistant to the	
Articles of Incorporation	Office	Institutional Records	President	Permanent
·			Executive	
Board Meeting and	President's		Assistant to the	
Board Meeting Minutes	Office	Institutional Records	President	Permanent
			Executive	
Board	President's		Assistant to the	
Policies/Resolutions	Office	Institutional Records	President	Permanent
			Executive	
	President's		Assistant to the	
By-laws	Office	Institutional Records	President	Permanent
5, IUW5	311100	moditational records	Executive	. crimanent
	President's	Insurance, Legal and	Assistant to the	
Convright Pagistrations	Office	Safety Records	President	Permanent
Copyright Registrations	Office	Jaiety Necolus	Executive	remanent
Correctioned	Drocidostic			
Correspondence	President's	Institutional Baserda	Assistant to the	2 40255
(general)	Office	Institutional Records	President	3 years
end of the	Book to the		Executive	
Freedom of Information	President's		Assistant to the	
Act Requests	Office	Institutional Records	President	Permanent
			Executive	
	President's		Assistant to the	
Litigation Records	Office	Institutional Records	President	1 year

			Executive	
Minutes of Cabinet	President's		Assistant to the	
		Institutional Decords		7
Meetings	Office	Institutional Records	President	7 years
		1	Executive	
	President's	Insurance, Legal and	Assistant to the	
Trademark Registrations	Office	Safety Records	President	Permanent
			Executive	
	President's		Assistant to the	
Trustee Election Results	Office	Institutional Records	President	Permanent
			Executive	
Facilities Foundation -	President's		Assistant to the	
Annual Reports	Office	Financial Records	President	7 years
			Executive	
Facilities Foundation -	President's		Assistant to the	
Articles of Incorporation	Office	Institutional Records	President	Permanent
Facilities Foundation -			Executive	
Board Meeting	President's		Assistant to the	
Materials	Office	Institutional Records	President	Permanent
			Executive	
Facilities Foundation -	President's		Assistant to the	
Financial Statements	Office	Financial Records	President	7 years
Timaricial Statements	Office	Timanelar Records	Executive	7 years
Facilities Foundation -	President's		Assistant to the	
Liquor Licenses	Office	Institutional Records	President	Permanent
Liquoi Licenses	Office	Ilistitutional Records	Executive	remanent
Facilities Farmdation	President's			
Facilities Foundation -		Institutional December	Assistant to the	Downson
Property Leases	Office	Institutional Records	President	Permanent
Facilities Foundation -	Baratal and a		Executive	
Tax and Audit	President's		Assistant to the	_
Information	Office	Financial Records	President	7 years
		1	Executive	
Facilities Foundation -	President's	Insurance, Legal and	Assistant to the	
Tower Leases	Office	Safety Records	President	Permanent
			Executive	
Facilities Foundation -	President's	Accounts	Assistant to the	
Vendor Contracts	Office	Payable/Purchasing	President	7 years
			Executive	
Complaint/Due Process	Academic		Assistant,	
Files	Affairs	Student Disability Records	Academic Affairs	7 years
			Executive	
Copyright Permission	Academic		Assistant,	
Letters	Affairs	Library Services	Academic Affairs	Permanent
			Executive	
Course Inventory	Academic		Assistant,	
Master File	Affairs	Instruction Records	Academic Affairs	Permanent
			Executive	
Disability Student	Academic		Assistant,	
files/all contents	Affairs	Student Disability Records	Academic Affairs	7 years
mest an contents	, 1110113	Stadent Disability Necolus	/ Cadeline Allans	, years

			1	
Disability Student			Executive	
Files/Test	Academic		Assistant,	
Accommodations	Affairs	Student Disability Records	Academic Affairs	7 years
			Executive	
	Academic		Assistant,	
Faculty Handbook	Affairs	Instruction Records	Academic Affairs	Permanent
			Executive	
Interlibrary Loan	Academic		Assistant,	Until need is
Agreements	Affairs	Library Services	Academic Affairs	satisfied
			Executive	
Library Circulation	Academic		Assistant,	
Records	Affairs	Library Services	Academic Affairs	3 years
Program and Course		-	Executive	-
Change Form/	Academic		Assistant,	
Documentation	Affairs	Instruction Records	Academic Affairs	Permanent
			Executive	5 years from
Prospective Disability	Academic		Assistant,	last date of
Files	Affairs	Student Disability Records	Academic Affairs	attendance
	7		Executive	
Reciprocal Borrowing	Academic		Assistant,	
Agreements	Affairs	Library Services	Academic Affairs	3 years
Agreements	Anans	Library Services	Executive	3 years
Specialized	Academic		Assistant,	
Accreditation	Affairs	Institutional Records	Academic Affairs	10 years
Accreditation	Allalis	institutional Records		10 years
	A and a main		Executive	
Student Fuere (MA)	Academic	In atometica December	Assistant,	4
Student Exams/Work	Affairs	Instruction Records	Academic Affairs	1 year
Student Files/All				
Contents At-Risk,			F	
Perkins			Executive	
(Disability Students	Academic	l	Assistant,	
Only)	Affairs	Learning Services Records	Academic Affairs	7 years
			Executive	
Student Grade Back Up	Academic		Assistant,	
Materials	Affairs	Instruction Records	Academic Affairs	5 years
			Executive	
User Records (library	Academic		Assistant,	
system)	Affairs	Library Services	Academic Affairs	3 years
			Executive	
Equipment Purchase	Information	Information Technology	Assistant, IT	7 years after
Agreements	Technology	Records	Services	disposal
			Executive	
Hardware Server	Information	Information Technology	Assistant, IT	7 years after
Contracts	Technology	Records	Services	disposal
			Executive	
Software Purchase	Information	Information Technology	Assistant, IT	7 years after
Agreements	Technology	Records	Services	termination
	<u> </u>		Executive	
Software Service	Information	Information Technology	Assistant, IT	7 years after
Contracts	Technology	Records	Services	termination
	01	1	L	

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	lf	Information Took and an	Executive	
Talkardanalana	Information	Information Technology	Assistant, IT	Damasaa
Technology Inventory	Technology	Records	Services	Permanent
-			Executive	
Technology Network	Information	Information Technology	Assistant, IT	
Maps/Documents	Technology	Records	Services	Permanent
	_		Executive	
Technology Service	Information	Information Technology	Assistant, IT	
Requests	Technology	Records	Services	Permanent
		Payroll and Employment		
Bids & Quotes	Finance	Tax Records	Finance	7 years
		Payroll and Employment		
Property Taxes	Finance	Tax Records	Finance	Permanent
			Operations	5 years
Fuel Log	Facilities	Facility Operations Record	Manager	3 years
Application for Degree	Student			
or Certificate	Services	Student Records	Registrar	Permanent
	Student			
Change of Grade	Services	Student Records	Registrar	Permanent
	Student		<u> </u>	
College Transcripts	Services	Student Records	Registrar	Permanent
Course Withdrawal	Student			
Forms	Services	Student Records	Registrar	Permanent
	Student		1108.00.00	. c.manone
Placement Tests Scores	Services	Student Records	Registrar	Permanent
Tideement rests scores	Student	Student Necords	riegisti di	remanent
Request for Audit	Services	Student Records	Registrar	Permanent
nequest for Addit	Student	Student Necords	registrar	Termanent
Residency Verification	Services	Student Records	Registrar	Permanent
Residency Verification	Student	Stadent Necords	Registrar	remanent
Subpoenas	Services	Student Records	Registrar	Permanent
Subpoenas	†	Student Records	registiai	reimanent
Transcript Paguasts	Student	Student Records	Pogistrar	Dormanant
Transcript Requests	Services	Student Records	Registrar	Permanent
Transfer Credit	Student	Charles Bassards	D	D
Accepted	Services	Student Records	Registrar	Permanent
Veteran's Benefit	Student			
Certification Request	Services	Student Records	Registrar	Permanent
Application for	Student			
Admission	Services	Student Records	Registrar	Permanent
	Student			
High School Transcripts	Services	Student Records	Registrar	Permanent
	Student			
Placement Tests Scores	Services	Student Records	Registrar	Permanent
		Payroll and Employment		
Cash Register Tapes	Finance	Tax Records	Retail Operations	7 years
Building Plans,				
Specifications, As-Built,			Senior Director,	Permanent
OEM's	Facilities	Facility Operations Record	Construction	
Construction			Senior Director,	Dormanant
	Facilities	Facility Operations Record	Construction	Permanent

		Senior Director,	
		I	
Institutional			
	Institutional Records		Permanent
Lifectiveriess	mstrational Necords	Data Governance	remanent
Eacilities	Eacility Operations Record	VD Encilities	5 years
racilities	racility Operations Record	VF, Facilities	
Eacilities	Eacility Operations Record	VD Facilities	5 years
	Facility Operations Record		
•	G. dad Barada		F
	Student Records	'	5 years
J			_
	Student Records	<u>'</u>	3 years
•			
	Student Records		5 years
•		Director of	
Education	Student Records	Operations	Forever
Continuing		Director of	
Education	Student Records	Operations	5 Years
Continuing		Director of	
Education	Student Records	Operations	2 years
Secondary		Director of	
Programs	Student Records	Operations	5 years
Secondary		Director of	
Programs	Student Records	Operations	5 years
		Director of	
_	Institutional Records	Operations	10 years
		'	a period of two
			years following
			the eighteenth
Social	Insurance. Legal and	Associate Dean.	birthday of that
Sciences		Social Sciences	minor
	Education Continuing Education Secondary Programs Secondary Programs Continuing Education Social	Facilities Facility Operations Record Facilities Facility Operations Record Continuing Education Student Records Secondary Programs Student Records Secondary Programs Student Records Continuing Education Institutional Records Social Insurance, Legal and	Institutional Effectiveness Institutional Research and Data Governance Facilities Facility Operations Record VP, Facilities Facilities Facility Operations Record VP, Facilities Continuing Director of Education Student Records Operations Secondary Programs Student Records Operations Secondary Programs Student Records Operations Continuing Director of Operations Secondary Programs Student Records Operations Continuing Director of Operations Secondary Programs Student Records Operations Continuing Institutional Records Operations Continuing Director of Operations