

SOLANO COMMUNITY COLLEGE DISTRICT

RETENTION AND DESTRUCTION OF RECORDS

3500

POLICY: The District shall keep, retain and destroy records in accordance with the California Code of Regulations, Title 5, the California Education Code and the California Government Code.

**REFERENCES/
AUTHORITY:**

California Code of Regulations, Title 5, Sections 59020-59029

California Education Code, 76210

California Government Code, Sections 6200-6201

WCW/jkb

Policy 3500

ADOPTED: January 21, 1987

REVISED: May 17, 2000

REVIEWED: 2008 – No Updates

**SOLANO COMMUNITY COLLEGE DISTRICT
BUSINESS SERVICES PROCEDURES**

RETENTION AND DESTRUCTION OF RECORDS

POLICY #3500

PROCEDURES:

**PROCEDURES TO ACCOMPANY BOARD POLICY 3500
RETENTION AND DESTRUCTION OF RECORDS**

I. RECORDS MANAGEMENT

- A. Definitions and Exclusions: As used in this procedure, “record” means all records, maps, books, papers, data processing output, and other documents of the District required by law and the California Code of Regulations, Government, and Education Codes which are prepared and retained as necessary or convenient to discharge the official duty of the District.

The following are not records and may be destroyed at any time.

1. Duplicated copies of any notice or memorandum.
2. Individual memoranda between one employee and another employee of the District.
3. Notices of meetings.
4. Advertisements, pamphlets, magazines and sales materials.

- B. Purposes: The objectives of the District records management program are listed below:

1. Protect vital records in the District.
2. Establish schedules for insuring the appropriate retention and storage of important records and the destruction of records which are no longer needed.
3. Provide procedures for having records readily accessible for reference and to eliminate duplicative retention of information.

- C. Responsibility: The Superintendent-President shall be responsible for the overall supervision of the records retention program. Every five years, the Office of the Superintendent-President shall request that District administrators review District records to identify those that are Class 1 documents and where they are stored. The procedures accompanying Board Policy 3500 shall be reviewed to reflect any changes or modifications.

II. CLASSIFICATION OF RECORDS

The deans in each area of responsibility shall classify records in their area as belonging to Class 1, Class 2, or Class 3. Each of these is explained below:

- A. CLASS 1: Permanent records shall be retained indefinitely, either as hard copy, computer disk, or microfilm. Class 1 records include annual reports, official actions, personnel records of employees, student records, and property records. These are explained in detail below:

ANNUAL REPORTS

- 1) Official budget;
- 2) Financial report of all funds, including cafeteria and student body funds;
- 3) Audit of all funds;
- 4) FTES reports, including Period 1 and Period 2 reports;
- 5) Other major annual reports, including
 - a) Those containing information relating to property, activities, financial condition, or transactions;
 - b) Those declared by Board Minutes to be permanent.

OFFICIAL ACTIONS

- 1) Minutes of the Board or committees, including the text of a rule, regulation, policy, resolution not set forth verbatim in the minutes but included by reference only;
- 2) Elections, including the result of an election called or conducted for a Board member, the Board member's recall, the issuance of bonds, reorganization, or any other purposes.
- 3) Records transmitted by another agency that pertain to that agency's action with respect to District organization.

PERSONNEL RECORDS OF EMPLOYEES

All detail records relating to employment, assignment, employee evaluations, amounts and dates of services rendered, termination or dismissal of an employee, sick leave record, rate of compensation paid, deductions or withholdings made and the person or agency to whom the amounts were paid.

STUDENT RECORDS

- 1) The records of enrollment and scholarship for each student. These include the name, date and place of birth dates of attendance, subjects taken during each period of enrollment, grades and credits given.
- 2) All records pertaining to any accident or injury involving a student for which a claim has been filed.

PROPERTY RECORDS

These include all detail records relating to land, buildings, and equipment. These include all fixed assets, an equipment inventory, and the date of acquisition and description, the cost of each unit of property.

- B. CLASS 2

Optional records worthy of preservation but not classified as Class 1. Each of these shall be given a retention period, and can be disposed of after that time.

C. CLASS 3

Disposable. These include records not classified as Class 1 or Class 2. These include, but are not limited to the following:

- a) The originals of permanent records, which have been microfilmed.
- b) Detailed local forms, slips, work sheets, memoranda, and correspondence which are used to generate permanent records and which are not basic to the audit.
- c) Periodic reports, bulletins, and instructions.
- d) Detail records relating to records basic to audit, including those relating to attendance, FTES, or a business or financial transaction (purchase orders, invoices, warrants, ledger sheets, cancelled checks, student body and cafeteria fund records, etc).

D. OTHER RECORDS

All records not covered above are considered to be temporary of local records and may be destroyed at will.

III. PERIOD OF RETENTION

1. Class 1 records: The original of each Class 1 record, or an exact copy, is required to be retained indefinitely, unless it is microfilmed.
2. Class 2 records: These are optional records, which should be retained for a certain number of years, which is at the discretion of the District.
3. Class 3 records: Unless otherwise specified, these should be destroyed during the third school year after the year in which it was originated or after the retention date required by any agency other than the State of California, whichever date is later. (Example: if a record was produced in 1992, it can be destroyed in 1996.)
4. Other records: It is recommended that these should not be retained longer than three years after the close of the fiscal year in which they were originated, because of the problem with storage. The retention period is at the discretion of the office that is retaining them and could even be as early as one year after preparation.

IV. PROTECTION OF PERMANENT RECORDS

1. Fireproof files, if available, are to be devoted to the protection of permanent records.
2. Permanent records for past years which are beyond the capacity of records storage center files and vaults should be stored in a single location and are to be preserved in good order and ready for quick reference.

V. METHOD OF DESTRUCTION

Records which are permitted to be destroyed are to be burned, shredded or otherwise appropriately discarded or recycled. Specific questions relative to the retention or destruction of records should be referred to the appropriate dean with responsibility for the area.

VI. LISTING OF CLASS 1, 2, AND 3 DOCUMENTS

A listing of these documents, along with periods of retention for Class 2 and Class 3 documents, along with the position responsible is provided in the Appendix.

APPENDIX – CLASS 1

PROCEDURES TO ACCOMPANY BOARD POLICY 3500: RETENTION AND DESTRUCTION OF RECORDS

LISTING OF CLASS 1 DOCUMENTS AND STORAGE LOCATION

1. Records stored in the Office of the Superintendent-President or in the Vault in Building 600
 - a) Governing Board agendas, attachments, and minutes
 - b) Board Resolutions
 - c) Closed Session Information
 - d) Election Files (including Statement of facts, and Districting Files)
 - e) Information regarding District Organization and Reorganization
 - f) Property Files
 - g) Official District Policies and Procedures

2. Records stored in the Office of the Vice President for Academic Affairs or the Curriculum Office
 - a) College Catalog
 - b) Schedule of Classes
 - c) Information Regarding Sabbatical Leaves
 - d) Flex-Cal Hours
 - e) Official Course Outlines for All Courses
 - f) Active Curriculum Files
 - g) Workload Reports
 - h) Community College Chancellor's Office Approval and Non-Approval of Courses and Courses Not In Approved Programs
 - i) Current Articulation Agreements

3. Records stored in Building 100
 - a) Academic Council Petitions; stored in Student Records
 - b) Financial Aid Applications, etc; stored in Financial Aid
 - c) Admissions and Records; see Assistant Registrar for storage information
 - 1) Applications for Admission
 - 2) CCAF 130 (Active Enrollment)
 - 3) CCAF 131 (Sources of Graded Enrollment)
 - 4) CCEB Credit Evaluation
 - 5) Certification and Achievement Lists
 - 6) Class Final Grade Sheets
 - 7) Class Rosters
 - 8) CLEP Evaluation
 - 9) Counseling Sheets

- 10) Credit by Examination
- 11) Credit by Examination
- 12) Degree Equivalency Sheets
- 13) English Equivalency Evaluation
- 14) Enrollment Statistics
- 15) Evaluation of Military Credit
- 16) Evaluation of Military Service Schools
- 17) Evaluation of Transfer Credit
- 18) Final Grade Distribution Report
- 19) Grade Change Card
- 20) Grade Summary Report (by student)
- 21) Graduation Check Sheets
- 22) Instructors' Grade Sheets (Scantron)
- 23) Lists of Certificates Granted
- 24) Microfilm Cartridges
- 25) Permanent Record Cards
- 26) Subpoenas
- 27) Transcripts from Other Schools in Support of Financial Aid
- 28) Mare Island Transcripts
- 29) Unclaimed Diplomas

4. Records Stored in Human Resources; See Human Resources for Storage Site and Method

- a) Certificated and Classified Personnel Files
- b) Student Evaluations of Faculty
- c) Collective Bargaining Files for CCA, CSEA, and Operating Engineers
- d) Management Policy Manual
- e) Staff File Data
- f) Employee Job Descriptions
- g) State Mandated Costs
- h) Affirmative Action Job Files
- i) Grievances and Litigation
- j) Seniority Lists

5. Records Stored in the Office of the Vice President of Administrative & Business Services; See the Office for Storage Site and Method.

- a) Accident or Injury Reports for which a claim has been made
- b) Budget
- c) Financial Reports for All Funds
- d) Annual Audits
- e) Fixed Assets and Property Records
 - 1) Buildings: Working drawings, blue prints and specifications for all structures, additions, and alternations and certificates of approval of completion and related documents.

- 2) Equipment: all records, relating to model numbers, quantity, type, identification number assigned, vendor, cost, date of acquisition, and disposal for items over \$200.
- f) Personnel and Payroll Records for Every Employee
- 1) Dates of Service Rendered
 - 2) Employment, Assignment, and Reassignment, and Offers of Employment
 - 3) Summary Payroll of Every Employee
 - 4) Salaries, Wages, Deductions, and Withholdings
 - 5) Termination and Dismissal Notices
 - 6) Professional Growth Reports

WW/jkb

Policy 3500

Reviewed by Governing Board: May 17, 2000

RECORDS RETENTION AND DISPOSITION SCHEDULE

Division:				Date Issued:	Page:
Department:					
Resource Code	Class	Record Title/Description	Retention Period	Action	Location

RESOURCE CODES:

AUTHORIZATIONS:

OFF: Official or Original	Supervisor:
DUP: Copy or Duplicate	
VR: Vital Records	Date:
ELC: Electronic	

Records Retention Appraisal Guidelines

The following questions should be answered when appraising a record (document) to determine its retention schedule.

1. Is this record/document...
 The original office record copy? A copy of an original/office record?

If it is a copy, where is the original?
 Institution Other department (which) _____
 Government agency Other _____
2. Is the information contained on the record/document obtainable elsewhere?

How is it retained? _____
Where and in what format? _____
3. Who uses the record?
 Analyst Examiner
 Senior management Only this department
 All of the above Other _____
4. How often is it used?
 One time Monthly, quarterly
 Once a year—at a specific time Spontaneously as events occur
 Other _____
5. How long will this document/record be needed?
 Current month only Current quarter
 Current year Current year + 1 year
 Current year + 2 years Current year + 3 years
 Current year + 5-10 years
6. What is the purpose of this record/document (check all that apply)?
 Gives dates, names, places of activity/event
 Used as basis for future decisions
 Documents results/resolutions
7. What information does document provide?
 Financial, statistical
 Documents results; resolutions
 Presents facts, information concerning activity
 Other _____
8. What would happen if the document/record was destroyed?

