
TOPIC:
Records Retention - Procedures

Policy Number:
F21

Guidelines for Designated Record Custodians

Definitions

Closure: Destroy “x” years from closure. A record/file is closed when it ceases to be active. After closure, no new papers/information should be added to the record. Triggers for closure of a file include: covering a period of “x” years or more; no records added for “x” period of time; no actions taken after “x” period of time.

Closure period: Specified period of time during which the record is subject to restrictions on provision of access to staff and/or the public may be dictated by statutory requirements or by Cloud County Community College policy. Any closure period should comply with current legislation on access to local government information – including the Data Protection and Freedom of Information Acts.

Legal Hold: CCCC Legal, HR, Executive Cabinet, and the College President may issue a litigation hold notice based upon anticipated or pending litigation. Any records subject to Legal Hold must be retained and unedited until clearance of destruction is provided by legal counsel.

Destruction: Any records that contain confidential, Personal Identifiable Information, FERPA, HIPPA, PCI (credit of banking information) etc. must be shredded, not recycled.

Personal Identifiable Information: Any information that can identify a person such as: full name, address, social security number, driver’s license number, banking and credit card information, e-mail address, date of birth, etc.

Archival Records: An original record that is inactive, not required to be retained in the office in which it originated or was received, and has permanent or historic value.

Establishment of Guidelines

These Retention Guidelines have been issued to support the Departmental Record Custodian in the areas of data protection, freedom of information, and the Local Government Act. The Guidelines were developed to reflect an understanding of the administrative processes that

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give rise to record creation. This is intended to make the Guidelines independent of any particular format of record that might be historically created. The Guidelines are intended to cover the continuum of records and information from creation through to destruction or for retention for historical or research purposes. Records scheduled for destruction under the Guidelines may be destroyed in accordance with the provisions of the Guidelines. Backup copies stored on alternative media (server/microfilm/paper) should also be destroyed. The Departmental Record Custodian should hold notification of the records destroyed in accordance with the Guidelines on its behalf and/or how long these should be kept. Records for long-term preservation should be submitted to the Departmental Record Custodian. Records are to be destroyed within the minimum retention period unless needed to meet legal requirements, unless the records are to be archived. Unless otherwise defined, the minimum retention period is one year. CCCC's one-year retention period is based upon the fiscal year. Example: the new fiscal year begins July 1, prior to that date all records are to be destroyed unless it is to be archived. These guidelines apply to all forms of records; digital, paper, microfilm, CD's, tape, images, videos, etc.

Limitation of Scope

These Guidelines should be used for disposal of records as described in the Guidelines. It should be taken as a baseline for CCCC to interpret and apply appropriately in accordance with local practice. These Guidelines are not intended to cover student records; however, the majority of CCCC records can be destroyed under these Guidelines.

Objective of the Retention Guidelines

- The goal of the Guidelines is to:
- Assist in identifying records that may be historic in nature worth preserving permanently as part of a college archive.
 - Prevent the premature destruction of records that need to be retained for a specified period to satisfy legal, financial, and other requirements of public administration.
 - Provide consistency for the destruction of those records not required permanently after specified periods.
 - Promote improved Records Management practices.
 - Remove unnecessary risk.

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Transfer of Records to the College Archive Storage

Archival materials should be submitted to the Director of the Library annually.

Destruction of Records

Whenever there is the possibility of litigation, the records and information that are likely to be affected should not be altered or disposed of until the threat of litigation has been removed.

Sensitive Data is anything relating to: racial, or ethnic origin, religious or similar beliefs, trade union membership, physical/mental health or condition, sexual life, offenses, criminal proceedings, political opinions, or other sensitive information that has not been approved for public release by CCCC.

Standard Operating Procedure (SOP)

There are some records that do not need to be kept at all; SOP defines types of records which staff may routinely destroy in the normal course of business. However, the retention and disposal schedule must still contain reference and instructions referring to them. SOP usually applies to information that is duplicated, unimportant, or only of short-term facilitative value. Unimportant records or information include:

- Trade journals
- Telephone message slips
- Non-acceptance of invitations
- Trivial electronic mail messages or notes that are not related to agency business
- Requests for stock information such as maps, plans, or advertising material
- Out-of-date distribution lists
- Working papers which lead to a final report

Duplicated and superseded material such as stationery, manuals, drafts, forms, address books, and reference copies of annual reports may be destroyed under the SOP. Electronic copies of documents where a hard copy has been printed and filed, and thermal paper facsimiles after making and filing a photocopy, are also covered. SOP should not be applied to records or information that can be used as evidence – to prove

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that something happened. If you are in doubt about what information is required, consult with CCCC legal.

Legal Hold

CCCC Legal Counsel, HR, Executive Cabinet, or the President of the College, may issue a litigation hold notice based upon anticipated or pending litigation. Such notices are directed to the Departmental Record Custodian. Any records subject to legal hold in the possession of any department must be retained in the original form (not altered) and cannot be destroyed until the hold is released by Legal counsel. The Record Custodian will ensure that said records are shredded in accordance to the above.

Reviewing the Schedule

This Schedule prescribes minimum and permanent retention periods. All records must be retained in the manner required by applicable state and federal laws and regulations.

Cloud County Community College Records Retention Schedule

Record Name	Description	Record Location	Retention Period
Financial Records	Budgets, Account Books, Ledgers, Purchase Records, Purchase Orders, travel Expense Reports, Invoices, Receipts	Business Office	Active + 7 Years
Warranty Information		Business Office	Active + 7 Years
Employee Payroll Records	Personnel Records	Human Resources	Active + 7 Years
Personnel Search	Applications, References, Interview Notes	Human Resources	Active + 3 Years
College Policies and Procedures		President's Office	Permanent
Student Records	Student Grades, Transcripts, Student Personal Information	Office of Student Records	Permanent

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Student Records (Admissions and Advising)	Applications, Acceptance Letters, Transfer Records, Advising Records	Admissions and Advising	Active + 7 Years
Student Records (Financial Aid)	Student Financial Documents	Financial Aid	Active + 7 Years
Contracts and Agreements		Administrative Services	Active + 4 Years
Board of Trustees Meeting Minutes		President's Office	100 Years
Auditor's Reports			50 Years
Checks - Cancelled		Business Office	4 Years
Financial Reports relating to programs supported by federal funds		Business Office	Active + 3 Years or the time specified in federal law
Official bonds of surety of indemnity		Business Office	Active + 5 Years
Insurance Policies	Property, Liability, Athletic, Health, Work Comp	Business Office and Human Resources	Active + 5 Years
Bonds		Business Office	6 months after the next audit

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