

**Kern Community College District
Administrative Procedures
Chapter 3 – General Institution**

AP 3310 Records Retention and Destruction

References:

Title 5 Sections 59020 et seq;
Federal Rules of Civil Procedure, Rules 16, 26, 33, 34, 37, and 45

Note: This procedure is **legally required**.

“Records” means all records, maps, books, papers, data processing output, and documents of the District required by Title 5 to be retained, including but not limited to records created originally by computer and “electronically stored information” (“ESI”), as that term is defined by the Federal Rules of Civil Procedure.

The *designated officer* shall supervise the classification and destruction of records and ESI. The District must preserve ESI and ESI that is relevant to actual or potential litigation pursuant to the Federal Rules of Civil Procedure. The District shall comply with the Federal Rules of Civil Procedure and produce relevant ESI in the form in which it is ordinarily maintained or readily usable. An annual report shall be made to the Board of Trustees regarding the classification and destruction of records and ESI.

Records shall be classified as required by Title 5 and other applicable statutes, federal and state regulations.

Records shall annually be reviewed to determine whether they should be classified as Class 1 – Permanent, Class 2 – Optional, or Class 3 – Disposable (as defined in Title 5).

Class 3 – disposable records shall be maintained for the period required by applicable law or regulation, but in any event shall be retained for at least three college years after the year in which they were originally created.

Destruction is by any method that assures the record is permanently destroyed, e.g. shredding, burning, and pulping.

Class 1—Permanent Records

Definition according to Title 5, Section 59023

The original of each of the records listed below, or one (1) exact copy thereof when the original is required by law to be filed with another agency, is a Class 1—Permanent Record and shall be retained indefinitely, unless microfilmed in accordance with California Code of Regulations.

Board of Trustees/Chancellor

Report	Responsibility
District Organization/Reorganization Documents	Chancellor's Office
Elections Records	Chancellor's Office
Organization Documents	Chancellor's Office
Minutes of all Board of Trustees Meetings	Chancellor's Office
Property Records (titles, origination documents, etc.)	Chancellor's Office

Finance

Report	Responsibility
Annual Accounts Receivable Report	District Operations
Appraisals of Land and Buildings	District Operations
Auditors Report of District and Foundations	District Operations
Bid Conditions (Advertised)	District Operations
District Budget (Official)	District Operations
Current Liability Report	District Operations
Commercial Warrant Report	District Operations
Deferred Maintenance Five-Year Plan	District Operations
Earnings Reports (Quarterly)	District Operations
Employee's Withholding Allowance Certificate	District Operations
Enterprise and Student Annual Fund Reports	District Operations
Facilities Inventory	District Operations
Federal Withholding Tax Reports	District Operations
Financial Annual Reports of all Funds	District Operations
Fixed Assets (detail or summary records)	District Operations
General Ledger and all Fund Ledgers	District Operations
Lease Agreements	District Operations

OASDI Reports	District Operations
Payroll Adjustment Orders	District Operations
Payroll Listing for CalPERS/CalSTRS	District Operations
Payroll Summary (Annual)	District Operations
Payroll Warrants Registers	District Operations
Payroll and Salary Records	District Operations
Payroll Officer Records	District Operations
Quarterly Wage and Withholding Report	District Operations
Tax Records	District Operations
Time Records (accrued vacation, sick leave, etc.)	District Operations
W-2 Wage and Tax Statement	District Operations

Human Resources

Report	Responsibility
al Personnel File (Regular Staff) <ul style="list-style-type: none"> ➤ Original Application ➤ Letters of Recommendation ➤ Transcripts ➤ Verification of Experience ➤ Employment Recruitment Survey ➤ Fingerprint History ➤ Original Interview Notes ➤ Notice of Employment ➤ Personnel Actions ➤ Requests for Board Action ➤ Employment Contracts ➤ Evaluations ➤ Leave History ➤ Salary Progression 	District Operations
Benefit Enrollment Forms (health, dental, vision, tax shelter, life insurance, flex plan, optional insurances)	District Operations
Board Actions	District Operations
Collective Bargaining Agreements	District Operations
Employee Complaints	District Operations
Employee Grievances Files—Inactive	District Operations
Employee Permanent Records Cards	District Operations

Human Resources (continued)

Report	Responsibility
Faculty Obligation Report (1725)	District Operations
Pay Authorizations	District Operations
Staff Development Report	District Operations
Staff Diversity Report	District Operations
Student Complaints Against Personnel	District Operations
Workers' Compensation Accident or Injury Reports	District Operations
Workers' Compensation Quarterly Payroll Report	District Operations
EDD Benefit Audit—DE-1296B	District Operations
EDD Quarterly Contribution Return and Report of School Employees Wages Under the Unemployment Insurance Code (DE-9423)	District Operations
Employee Income Protection Insurance Records	District Operations
Employee Income Protection Insurance Records	District Operations
Safety Inspection Reports	District Operations
Department of Transportation Random Drug Testing Records	District Operations

Student

Report	Responsibility
Student Permanent Record (before 1987)	College Admissions and Records Office
The following Student Data Elements Beginning 1987: <ul style="list-style-type: none">• Name of student• Date of birth• Student identifier (i.e., Social Security number)• Entering and leaving dates for each semester including summer session• Courses taken during each semester including summer session• Grades and credits given during each semester including summer session• Grades and credits accepted from other institutions• Degrees and certificates earned and dates awarded• Cumulative grade point averages• Average Daily Attendance (ADA)/Full-time Equivalent Students (FTES) including Period 1, Period 2, and Final reports (CCAF-320)• FTES attendance detail reports*	District Operations

* *Changed to Class 3 after microfilming*

Student (continued)

Report	Responsibility
Faculty Contact Hours Adjustment (CCAF-320F)	District Operations
Apprenticeship Attendance Report (CCAF-321)	District Operations
Estimated Enrollment Fee Revenue	District Operations
Board of Governors Fee Waiver Program (BFAP 1-C)	District Operations
Request for Student Formal Hearings	College
Student Discipline Records	College

Class 2--Optional Records

Definition according to Title 5 Section 59024: Any record worthy of further preservation but not classified as Class 1--Permanent may be classified as Class 2-Optional and shall then be retained until reclassified as Class 3--Disposable.

Human Resources

Report	Responsibility
Workers' Compensation Log and Summary of Occupational Injuries and Illnesses—CAL/OSHA 200 [five (5) years]	District Operations
Independent Contractor Checklist [three (3) years]	District Operations
Billings—Optional Insurances [two (2) years]	District Operations
Billings—SISC (health, dental, life insurance, behavioral health, vision) [two (2) years]	District Operations
Billings—Tax Shelters [two (2) years]	District Operations
LSC Warrant Requests (benefit billings) [three (3) years]	District Operations

Class 3--Disposable Records

Title 5, Section 59026 states that generally, a Class 3--Disposable record, unless otherwise specified, should be destroyed during the third (3rd) College year after the College year in which it originated. Section 59026 further states that Federal programs, including various student aid programs, may require longer retention. These longer retention periods are noted below.

Finance

Report	Responsibility
Accounts Payable Reconciliation [four (4) years]	District Operations
Accounts Receivable Reconciliation [four (4)]	District Operations
Air Travel Reservations [four (4) years]	District Operations
Applications of Special Project funds [six (6) years]	District Operations/College Business Office
Bank Deposit Slips [seven (7) years]	District Operations/College Business Office
Bank Reconciliation and Cancelled Checks [four (4) years]	District Operations
Bank Statements [seven (7) years]	District Operations
Bids [four (4) years]	District Operations
Budget Worksheet [four (4) years]	District Operations
Cancelled Checks and Bank Reconciliation Student Body Records [seven (7) years]	District Operations
Cash Collection Reports/Student Body Records [four (4) years]	District Operations
Contracts [five (5) years]	District Operations
<i>Enterprise Fund Detail Records</i>	District Operations/College Business Office
Investment Records [four (4) years]	District Operations
Invoices, LSC (outgoing) [four (4) years]	District Operations
Invoices, Vendor's [four (4) years]	District Operations
Journals (all funds) [four (4) years]	District Operations
Membership Data forms (CalPERS/CalSTRS)	District Operations
Other Financial Detail Records [five (5) years]	District Operations
Petty Cash Payments Memo [four (4) years]	District Operations/College Business Office
Purchase Orders (computer records) [four (4) years]	District Operations
Timesheets/Cards [four (4) years]	District Operations
Vendor's Files [five (5) years]	District Operations/College Business Office

Warrants/Checks [four (4) years]	District Operations/College Business Office
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Human Resources

Report	Responsibility
Employment Recruitment Records [four (4) years]	District Operations
Employee Eligibility Verification (I-9) [three (3) years]	District Operations/College Human Resources Office
Employee Pre-Placement Drug Screens	District Operations
Employee Pre-Placement Physicals	District Operations
Recruitment Records (Applicant Pools) [three (3) years]	District Operations/College Human Resources Office
Report of New Employees (DE 34) [four (4) years]	District Operations
Report of Independent Contractors (DE 542) [four (4) years]	District Operations
Deceased/Terminated Retiree Files	District Operations
HCFA Data Match Project (MSPC-1)	District Operations

Student

Report	Responsibility
Permanent class record (roll sheet)	College
Grade Change form	College
Veterans Certification form [five (5) years]	College
Athletic Eligibility form [five (5) years]	College
Foreign student forms/documents [five (5) years]	College
Financial Aid Forms [five (5) years]	College

Class 4--Disposable Records (After the Current Semester)

Student

Report	Responsibility
Credit/No Credit Petition and Delete Grade Petition (student)	College
Petition to Audit	College
College Level Exam Program (CLEP) form	College
Add/Drop Course form	College
Advanced Placement form	College
Concurrent Enrollment form	College
Petition for Readmission	College
Posted Transcript	College
Residence classification support documentation	College
Petition for Graduation	College
Request for Transcript form	College
Refund Request form	College
Credit by Examination form	College
Diplomas and certificates [one (1) year past date of award]	College

Student (continued)

Report	Responsibility
Assignment of Incomplete ("I") Grade form [one (1) year]	College
Student Application form	College
Student Update form	College
General Person Update form	College
Verification forms (all)	College
Social Security Number (SSN) Changes	College
Subpoena Requests	College

Continuing Records

*According to Title 5, Section 59022, records of a continuing nature, i.e., **active** and **useful** for administrative, legal, fiscal, or other purposes over a period of years, shall not be classified until such usefulness has ceased. [An example of this is the **Student Education Plan**, which is a continuing record as long as it is active, then it becomes a Class 4—Disposable Record (after the current semester).]*