BROOKDALE COMMUNITY COLLEGE
COLLEGE REGULATION

2.3000R Records Storage, Retention, and Disposal

I. Title of Regulation

Records Storage, Retention and Disposal

II. Objective of Regulation

To effect an efficient records environment at the College in accordance with State, Federal and local law so as to control the storage and disposal of official College records.

III. Authority

Bylaws of the Board of Trustees, Section 1.3034(g)

IV. Regulation Statement

In order to maintain an efficient records environment at the College, it is necessary to establish standards, schedules and procedures governing the storage and disposal of records that insure compliance with applicable State, Federal and local laws, follow sound business practices, and serve the best interests of the College.

To accomplish this, the following procedures and Records Retention Schedule are established concerning the required storage locations, disposal and retention periods of records.

A. Procedures

Holders of Original Records
The Records Retention Schedule will serve as the primary source for defining holders of original records, which will normally be the unit creating the record. There may be limited cases, especially in Personnel and Finance, where a record is so designated under two or more units to ensure back up for especially important records. In such cases, the Vice President, Administrative Services, will define the location of the original and annotate the Schedule accordingly.

Disposal of Original Records
Under no circumstances will an original record be disposed of or destroyed prior to the expiration of the stipulated retention period as set forth in the Records Retention Schedule.

Upon expiration of the retention period, the holder of record will submit the original to the Executive Vice President for Administration, Operations and Information Technology Services. The Executive Vice President will insure expiration of the retention period, consult with College Counsel, if necessary, and review potential historical value with the Executive Assistant to the President and/or the College Archivist.

After such review, the Executive Vice President will rule as to the disposition of the record. If the decision is to dispose of or destroy the record, the Executive Vice President will effect disposal. If the decision is to retain the record for historical value, the record will be forwarded to the appropriate party. Under no circumstances will the holder of an original record effect the actual disposal or destruction of an original record. This function is solely the responsibility of the Executive Vice President for Administration, Operations and Information Technology Services.

Disposal of Copies, Duplicates
Prior to the disposal of any copy or duplicate of a record, a unit head will refer to the Records Retention Schedule to determine the holder of the original and request oral confirmation that the original still resides there. Upon receipt of such confirmation, the unit head may proceed with the disposal of said copy. If confirmation cannot be given, the unit head will then contact the Office of the Executive Vice President for Administration, Operations and Information Technology Services, and request that a search for the original be initiated. If the search is successful, the Executive Vice President will insure that the original is forwarded to the holder of record as defined and so notify the unit head, thereby approving disposal of the copy in question. If the search is unsuccessful, the Executive Vice President will insure that a copy is forwarded to the holder of record for retention as a conditional original and notify the unit head approving or disapproving disposal of the copy.

Questions, Clarifications and Disputes
In cases regarding questions, clarifications or disputes, the Executive Vice President, Administration, Operations and Information Technology Services, will be the sole adjudicator.

B. Records Retention Schedule

See following Records Retention Schedule.

V. Responsibility for Implementation

Executive Vice President for Administration, Operations and Information Technology Services

Approval: President 11/15/79
Effective: 11/15/79
Updated: 2/09

GENERAL RECORDS

RECORD TITLE	RETENTION PERIOD
Correspondence – Internal	Periodic Review
Correspondence – General	3 Years and Review for Archives
Inventories – Departmental	As Updated
Budget Workpapers	1 Year
College Processing Forms – Copies* (Work Orders, Purchase Orders, Personnel Requests, etc.)	2 Years
Minutes of Standing Committees	Permanent
Minutes of Ad Hoc Committees	3 Years and Review for Archives

*Originals of all such documents will be retained as specified under the unit maintaining control of process.

PRESIDENT'S OFFICE

RECORD TITLE	RETENTION PERIOD
Operating Manual of Board of Trustees	As Updated
DHE Regulations, Standards, Approvals, Funding Notifications	As Updated
Accreditation Reports & Awards	Permanent
Annual Reports	Permanent
College Management Documentation	2 Years & Review
Board Policies and College Regulations	As Updated

BOARD OF TRUSTEES

RECORD TITLE	RETENTION PERIOD
Minutes of Board of Trustees	Permanent
Minutes of Executive Committees	Permanent
Minutes of Standing committees	Permanent
Minutes of Ad Hoc Committees	Permanent
Board Correspondence	Permanent
Committee Materials (Work Papers)	10 Years
Board Materials (Work Papers)	10 Years
Board of Trustees Membership List	Permanent
Bylaws and Regulations of the Board of Trustees	Permanent

BROOKDALE FOUNDATION TRUST

RECORD TITLE	RETENTION PERIOD
Minutes of Meetings	Permanent
Legal Documents	Permanent
Financial Statements	Permanent
Correspondence	Permanent
Membership List	Permanent

BROOKDALE ALUMNI ASSOCIATION

RECORD TITLE	RETENTION PERIOD
Minutes of Meetings	Permanent
Legal Documents	Permanent
Financial Statements	Permanent
Correspondence	Permanent
Membership List	Permanent

HUMAN RESOURCES

RECORD TITLE	RETENTION PERIOD
Personnel Folder	Permanent – Microfilm After 7 Years
Grievance Files	Permanent
Employment Application & Resumes	1 Year After Selection
Personnel Policies	Permanent
Employee Benefit Information	Permanent
Negotiations Information	1 Year and Review After Contract Re-negotiations
Salary & Benefit Surveys	1 Year and Review
Job Descriptions	Permanent
Personnel Advertisements	1 Year and Review
Organizational Chart	As Updated
Affirmative Action Files	Permanent
OSHA Records	5 Years
Time Exception Reports	7 Years After Termination of Employee
Personnel Requests	3 Years and Review
Employee Schedules (including faculty)	3 Years
Staff Handbooks	As Updated

RESEARCH

RECORD	RETENTION PERIOD
DHE Research Advisory Committee/Slib	As Updated
HEGIS Reports	Permanent
External Reporting Forms & Reports	3 Years
Enrollment Projection	2 Years
Enrollment Statistics	Permanent
Office of Research Reports	Permanent
Original Survey Questionnaires	4 Years
Research Notes and Materials	1 Year
Fact Book	As Updated

GRANTS AND INSTITUTIONAL DEVELOPMENT

RECORD TITLE	RETENTION PERIOD
Grants – Successful	10 Years After Completion of Grant
Grants – Unsuccessful	3 Years After Submission
Press Releases	3 Years then Permanent in Arch.
Official College Publications	Permanent
College Catalog	Permanent
Press Clippings; Other Publicity	3 Years then Permanent in Arch.
Photographs, Negatives, Slides	Permanent

EXECUTIVE VICE PRESIDENT FOR ADMINISTRATION, OPERATIONS AND INFORMATION TECHNOLOGY SERVICES

RECORD TITLE	RETENTION PERIOD
DHE Budget Submission	Permanent
Official Audit Reports	Permanent
Budget Manual	As Updated
Forms Log	As Updated
College Budget	Permanent
Contracts – General	10 Years After Completion
Contracts – Building	10 Years
Request & Authorization for Record Disposal by State, County or Municipal Agencies	Permanent

DIRECTOR OF ACCOUNTING

RECORD TITLE	RETENTION PERIOD
Enrollment Registers – Back up File	10 Years
College Budget	Permanent
Annual Audit Reports	Permanent
Quarterly Reports	6 Years
Procurement Requisitions – Back up File	2 Years
Budget Revisions – Back up File	2 Years
Employment Recommendations – Back up File	2 Years
Personnel Requests – Back up File	2 Years
Trustee Reports	6 Years
Invoice Vouchers – Back Up File	2 Years
Minor Capital Requests	3 Years
General Correspondence	3 Years
Budget Correspondence	5 Years
Budget Schedules	5 Years
Copies of Check Register – Back Up File	2 Years
Mileage and Travel – Back Up File	2 Years
Personnel Files	Permanent
F.T.E. Calculation	Permanent

ACCOUNTS PAYABLE, GRANTS AND BUDGETS

RECORD TITLE	RETENTION PERIOD
Account Summary – Year End	Permanent
Account Summary – Monthly	6 Years
Departmental Ledger – Year End	Permanent
Departmental Ledger – Monthly	6 Years
Trustee Check Register	6 Years
In-House Check Register	Permanent
Object Code Listing – Year End	6 Years
Open Purchase Order Listing	3 Years
Year to Date Check Register – Year End	6 Years
Vendor Expenditure Listing – Year End	3 Years
Vendor Books	1 Year
Journal Entries	6 Years
Budget Revisions	3 Years
Food Service Requisitions	6 Years
Vehicles Maintenance Charges	3 Years

Paid Vouchers (Includes check copy, receiving report, purchase order, etc.)	6 Years
Operating Bank Reconciliations	6 Years
Bank Statements	6 Years
Cancelled Checks	6 Years
Bookstore Requisition & Paid Out Reports	6 Years
Grant Files – Successful	6 Years (or Federal Reg.)
Grant Files – Unsuccessful	1 Year
Inventories of Auxiliary Services	6 Years

PAYROLL

RECORD TITLE	**RETENTION PERIOD**
Payroll Register	Permanent
Deduction Registers – Year End	Permanent
Deduction Registers by Individual – Year End	10 Years
W-2 Register	10 Years
Employee History File	As Updated
Supplemental Check Register	Permanent
Encumbrance Ledger	10 Years
Object Code Listing	1 Year
Deduction Registers Per Pay	10 Years
Deduction Registers by Individual Per Pay	10 Years
941	10 Years
W – 2	6 Years
W – 4	Permanent or 7 Years After Termination
Employment Recommendations	10 Years
Employee Time Sheets	6 Years
Coding Sheets	6 Years
Pension Reports – Monthly and Quarterly	Permanent
Sick, Personal and Vacation Days	Permanent or 7 Years After Termination
Reconciliation Records of Gross Pay and Various Deductions	10 Years
Credit Union	6 Years
Garnishes	6 Years
Liquidation Per Pay Period	10 Years

Unemployment Records	10 Years
Transfer Summary	10 Years
Employee Data Files	Permanent or 7 Years After Termination
Job Description	Permanent – Updated

ACCOUNTS RECEIVABLE

RECORD TITLE	RETENTION PERIOD
Tuition Books Per Semester – Year End	10 Years
Financial Aid Journal – Year End	Permanent
Cash Receipts Journal	Permanent
Financial Aid Ledger	Permanent
Financial Aid Detail by Semester – Year End	10 Years
Student Balance Due Report Per Semester – Year End	10 Years
Daily Cash Receipt Batches	5 Years
Student Registration Copies	5 Years
Financial Aid Files – NDSL/NL	Permanent or 6 Years After Payment in Full
Accounts Receivable – Invoices	6 Years
Cashier Reports and Related Support	6 Years
Duplicate Check Copies of Financial Aid Disbursements	6 Years
Duplicate Check Copies of Tuition Refunds	6 Years
Restriction Copies	Permanent or 6 Years After Payment
Restriction Copies – Release Copies	6 Years
Collection Agency Files	Permanent or 2 Years After Payment in Full
Scholarship Files	6 Years
Computer Contracts	6 Years – After Completion
Chargeback Files	6 Years
Sales Tax File 6 Years	6 Years

CAMPUS SERVICES/BOOKSTORE

RECORD TITLE	RETENTION PERIOD
Insurance Policies	6 Years After Expiration
Insurance Risk Management Manual	As Updated
Accident Reports	5 Years
Bookstore Financial Reports	6 Years

Bookstore Inventory Reconciliation	3 Years
Bookstore Purchase Returns	3 Years
Bookstore Requisition	5 Years

PURCHASING/COMMON SERVICES

RECORD TITLE	RETENTION PERIOD
Purchase Orders	6 Years or 2 Years and Microfilm
Bid Documents – Successful	5 Years After Completion/Receipt
Bid Documents – Unsuccessful	3 Years and Review
Advertisements for Bids	3 Years
Capital Inventory	As Updated
Requisitions	6 Years or 2 Years and Microfilm

INFORMATION TECHNOLOGIES

RECORD TITLE	RETENTION PERIOD
Systems & Procedures Documentation	When Obsolete
Registration Files (Tapes)	Permanent
Systems & Program Library Files (Tape/Disk)	Permanent

PHYSICAL PLANT

RECORD TITLE	RETENTION PERIOD
Blueprints & Specifications	Permanent
HVAC, Electrical & Plumbing Data	Permanent
Key Record for Door Locks	As Updated
Vehicle Maintenance Report	7 Years After Disposition of Vehicle
Fire Alarm System Drawings	Permanent
Elevator Service Order	10 Years
Building Safety Inspection	10 Years
Work Orders	1 Year
Utility Statistics	5 years

SAFETY AND SECURITY

RECORD TITLE	RETENTION PERIOD
Traffic Regulations, Laws	As Updated
Parking Violations	2 Years
Procedure Manual	As Updated
Activity Reports, Incident Reports	Permanent

EXECUTIVE VICE PRESIDENT EDUCATIONAL SERVICES

RECORD TITLE	RETENTION PERIOD
Curriculum Approval Documents	2 Years and Review
Faculty-wide Projects	2 Years and Review
Faculty Development Files	2 Years and Review
College Calendar	3 Years and Review
Organizational Chart	As Updated

ACADEMIC DIVISION DEANS

RECORD TITLE	RETENTION PERIOD
Curriculum Development Files	2 Years and Review
Instructional Staff Development Files	2 Years and Review
Division Projects	2 Years and Review

BUSINESS AND COMMUNITY DEVELOPMENT

RECORD TITLE	RETENTION PERIOD
Active Student Folders	1 Year
Community Development Course/Program Files	3 Years
Registry of Cultural Events	3 Years
Course Development Project Files	2 Years

LIBRARY

RECORD TITLE	RETENTION PERIOD
Reference Activity – Estimates	As Updated
Circulation Statistics	As updated
Acquisition Statistics	As updated
Periodicals Received Files	As updated
Shelf List	As updated
Card Catalog	As updated
Inventory of Library & A/V Equipment	As Updated

Books and Order File	As Updated
Production Files	3 years
Request for Media Service	1 Year
Production Release Forms	Permanent
Materials Requested and Received by Staff	1 Year
Copyright Records	Permanent

STUDENT DEVELOPMENT/COUNSELING

RECORD TITLE	RETENTION PERIOD
Student Counseling and Placement Files	2 Years After Termination of Enrollment
Student Evaluation Test Results	2 Years

FINANCIAL AID

RECORD TITLE	RETENTION PERIOD
Financial Aid Award Letters	10 Years After Termination of Enrollment
Institutional Allocations & Funding	10 Years
E.O.F. Student Summary Sheets	10 Years
Loan Files	10 Years
Financial Aid Reports	10 Years
Scholarships	6 Years
Roster of Financial Aid Recipients	10 Years
Guaranteed Student Loans	10 Years
Outside Contracts for College Work Study	10 Years

EDUCATIONAL OPPORTUNITY FUND

RECORD TITLE	RETENTION PERIOD
E.O.F. Proposals	3 Years
Program Evaluations	3 Years
Financial Reports	3 Years
Counselor Evaluations	3 Years

ADMISSIONS AND RECORDS

RECORD TITLE	RETENTION PERIOD
Application for Admission, Student Who Does Not Enroll	1 Year
Application Form for Enrolled Student	2 Years after Last Term of Enrollment
Registration Form	2 Years after Last Term of Enrollment
Add/Drop Form	2 Years after Last Term of Enrollment
Student Correspondence	2 Years after Last Term of Enrollment
High School Transcripts	2 Years after Last Term of Enrollment
College Transcripts	2 Years after Last Term of Enrollment
Health Inventory	2 Years after Last Term of Enrollment
Change of Program and Counselor Form	2 Years after Last Term of Enrollment
Matriculation Application	2 Years after Last Term of Enrollment
Escrow/Fast Start Approval Form	2 Years after Last Term of Enrollment
Credit by Examination Application Form	2 Years after Last Term of Enrollment
Authorization for Refund	2 Years after Last Term of Enrollment
Change of Grade Form	Permanent
Request to Review Educational Records	Permanent
Record of Educational Records Released	Permanent
Special Project Contracts	Permanent
Deferred Credit Completion Form	Permanent
Term Enrollment Rosters	Permanent
Term Master Schedule	Permanent
Term Listing of Faculty Teaching Sections	Permanent
Course Substitution Forms	Permanent
Graduation Evaluations	Permanent
Student Grade Reports	Permanent
External Transcript	Permanent

Cumulative Log: 5.0028R	Permanent
Transfer Credit Evaluations	Permanent
Course Master File	Permanent
Catalog	Permanent
Monitoring System (Individual Faculty Referral Form)	Permanent

TESTING SERVICES

RECORD TITLE	RETENTION PERIOD
Pre-Registration Test Scores	Permanent
College-Level Examination Program Scores	Permanent
Career & Psychological Test Results for Students	3 Years
Course Tests in Testing Center	As Updated by Faculty
Course Test Answer Sheets in Testing Center	As Updated by Faculty
Course Test Answer Keys in Testing Center	As Updated by Faculty
Course Test Item Analyses	6 Months
Career Testing Results for Career Clinic Clients	Permanent

STUDENT ACTIVITIES

RECORD TITLE	RETENTION PERIOD
Student Handbook	As Updated
Constitutions and Rosters, Student Clubs and Organizations	As Updated, Review for Archive
Awards Day Recipients	2 years
Calendar of Events	As Updated
Student Government; Charters, Constitutions	Permanent
Informational Material	1 Year
Alcohol Policy and Events	As Updated
Commencement Information	As Updated
Contracts – Student Activities	6 Years after Termination of Contract
Evaluation of Events Forms	1 Year
Student Election Petitions and Results	2 Years
Student Disciplinary Files	3 Years After Termination of Enrollment
Intercollegiate Athletics	
Eligibility Lists	1 Year
Athletic Records (Won – Lost)	Permanent

Team Rosters	Permanent
Scholar Athlete Awards	Permanent
Other Awards	Permanent

HEALTH SERVICES

RECORD TITLE	RETENTION PERIOD
Student Accident and Health Records	7 Years
Employees Accident and Health Records	7 Years
Blood Bank Program	1 Year

VETERANS AFFAIRS

RECORD TITLE	RETENTION PERIOD
Student Veterans Roster	10 Years
Veteran Affairs Forms	10 Years
Veteran Student Enrollment	10 Years
Application for Veteran's Benefits	10 Years
Federal Guidelines on Veterans Affairs Regulations	As Updated
Military Evaluation – Inactive	1 Year