



Book	Administrative Procedures
Section	Chapter 3 - General Institution
Title	Guidelines for Classification, Retention and Destruction of Records
Code	AP 3410
Status	Active
Adopted	October 2, 2009
Last Revised	April 13, 2012

SCOPE

The Board of Trustees establishes this policy, in accordance with Title 5, Division 6, Chapter 10, Sub-chapter 2.5 of the California Code of Regulations (CCR), to govern procedures for the classification, retention and destruction of all District records. Annually, the Chancellor or designee shall review documents and papers received or produced during the prior academic year and classify them as Class 1 (Permanent), Class 2 (Optional), or Class 3 (Disposable) if appropriate.

Records originating during a current academic year shall not be classified during that year. Records of a continuing nature, such as active and useful for administrative, legal, fiscal, or other purposes over a period of years, shall not be classified until such usefulness has ceased. All records not classified prior to July 1, 1976, are subject to the same review and classification. If such records are three or more years old and classified as Class 3 (Disposable), they may be destroyed without further delay, in accordance with Article 3, Section 59029 of the CCR.

The responsibility for Records Management shall be as specified in Appendix A.

Each year the appropriate official, as identified in Appendix A, shall submit to the office of the Chancellor or designee, a list of records scheduled for destruction the following year.

The list shall include Class 3 records and those, if any, Class 1 and 2 records to be reclassified to Class 3.

The Chancellor or designee, then submits to the Governing Board the list of Class 1 and Class 2 records recommended for reclassification to Class 3 and requests approval for the destruction of all Class 3 records and shall verify that no records included in the list are in conflict with this policy.

Upon approval of the Governing Board for the destruction of the specified records, such records shall be permanently destroyed by such foolproof methods as recycling, shredding, burning, or pulping, and such destruction shall be supervised by the appropriate official, Chancellor or designee.

Whenever records are kept electronically, a certification copy for evidence shall be completed (form 4cd-137) and filmed preceding the referenced records. (Reference Section 59022(e) of Title 5 and Section 1531, Evidence Code.)

The appropriate official and designated District personnel shall provide for the permanent and safe storage of paper and electronic records during the retention period.

The retention and destruction of records related to Federal and State categorical programs are subject to the regulations covering the program if they are more restricted than District policy. The retention and destruction of records related to Proposition 39 bond measures are subject to the regulations required by statute if they are more restricted than District policy.

For records that are photographed, micro-photographed, or otherwise reproduced on film or electronically, the copy thus made is hereby classified as Class 1 (Permanent). The original record, unless classified as Class 2 (Optional), may be classified as Class 3 (Disposable), and may then be destroyed in accordance with law if the following conditions are met:

1. The reproduction is accurate in detail.
2. The Chancellor or designee has attached to or incorporated in the copy or system a signed and dated certification of compliance with the provisions of Section 1531 of the Evidence Code, stating in substance that the copy is a correct copy of the original, or a specified part thereof, as appropriate.
3. The copy was placed in an accessible location and provision was made for preserving permanently, examining and using same.
4. In addition, if the record is photographed or microfilmed, the reproduction must be on film of a type approved for permanent, photographic records by the United States Bureau of Standards.

DEFINITIONS

For the purpose of this Board policy, the following definitions apply:

1. Records: all District maps, books, papers, data processing output, and electronic documents that are required by law to prepare or retain by law or official duty, including student records as defined in section 76210 of the Education Code.

The following documents are not "records" and may be destroyed at any time:

- Additional copies of documents beyond the original or one copy (a person receiving a duplicated copy need not retain it).
- Correspondence between District employees that does not pertain to personnel matters or constitute a student record.
- Advertisements and other sales material received.
- Textbooks used for instruction, and other instructional materials, including library books, pamphlets and magazines.

2. Class 1 (Permanent Records) – The original of each of the records, or one exact copy when the original is required by law to be filed with another agency, and must be retained indefinitely unless copied or reproduced on film or electronically.

The following District records are in Class 1:

Annual reports:

- Official budget
- Financial reports of all funds, including cafeteria and student body funds

- Audit reports of all funds
- Average daily attendance/full-time equivalent student including Period 1 and Period 2 reports.
- Other major annual reports, including:
- Those containing information relating to property, activities, financial condition, or transactions; and
- Those declared by Board minutes to be permanent.

The following official actions:

- Minutes of the Board or committee meetings thereof, including the text of a rule, regulation, policy, or resolution not set forth verbatim in the minutes but included therein by reference only.
- Elections, including the call, if any, for and the result (but not including detail documents, such as ballots) of an election called, conducted or canvassed by the Board for a Board Member, the Board Member's recall, issuance of bonds, incurring any long-term liability, change in maximum tax rates, reorganization, or any other purpose.
- Records transmitted by another agency that pertain to that agency's action with respect to District organizations.

The following employee personnel records:

- All records relating to employment, assignment, employee evaluations, amounts and dates of service rendered, termination or dismissal of an employee in any position, sick leave record, rate of compensation, salary or wages paid, deductions or withholdings made and the person or agency to whom such amounts were paid. In lieu of the detail records, a complete proven summary payroll record for every employee of the District, containing the same data may be classified as Class 1 (Permanent), and the detail records may then be classified as Class 3 (Disposable).

The following payroll records:

- Absence/Attendance Reports (Certificated & Classified)
- Salary Continuance/Adjustments (Medical, Dental, Life)
- Earnings Reports
- Quarterly Reports (Unemployment Insurance, Federal & State)
- Payroll Registers
- Payroll Adjustments & Employee/Employer Payment Detail
- Tax Shelter Annuities
- Time Cards (Classified, Certificated & Students)
- W-2 Form
- Warrant Cancellation (Documentation)
- Garnishments and Levies

The following student records:

Enrollment and scholarship for each student, including but not limited to:

- Name of student
- Date of birth
- Place of birth
- Name and address of a parent having custody or a guardian, if the student is a minor.
- Entering and leaving date for each academic year and for any summer session or other extra session.
- Subjects taken during each year, half year, summer session, or quarter.
- If grades or credits are given, the grades and number of credits toward graduation allowed for work taken.
- Provided, however, that the District will not treat as Class 1 every document containing some or all of the foregoing items of student record information. Annually, each District employee responsible for generating records which contain any of the foregoing items of information shall also generate, or participate in the creation of, a single record which to the extent reasonably possible consolidates each of the foregoing items of student record information into a single document per student, or per other reasonable category. Such consolidated records shall then be treated as Class 1 pursuant to this Administrative Procedure, and the separate individual records from which the information on the consolidated records was taken shall be treated as Class 3 records.
- All records pertaining to any accident or injury involving a student for which a claim for damages has been filed as required by law, including any policy of liability insurance relating thereto, except that these records cease to be Class 1 (Permanent) one year after the claim has been settled or applicable statute of limitations has run.

The following property records:

All detail property records relating to land, buildings, and equipment. In lieu of such detail records, a complete property ledger may be classified as Class 1 (Permanent), and the detail records may then be classified as Class 3 (Disposable), if the property ledger includes:

- All capital assets
- For each unit of property, the date of acquisition or augmentation, the person from whom acquired, an adequate description or identification, and the amount paid, and comparable data if the unit is disposed of by sale, loss or otherwise.

The following archival records:

Not required by law to be kept permanently but a District policy to retain documents related to historical events of the District, yearbooks, plaques, awards, photographs, etc.

The following Foundation records (District and Colleges):

All documents of incorporation, governing by-laws and amendments, and all state and federal exemption designations and corresponding regulations governing operation of Title 26, USCA, Section 501(c)(3) tax exempt non-for-profit organizations.

3. Class 2 (Optional Records) – 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). If the Chancellor or designee determines that classification should not be made by the specified time, all records of the prior year may be classified as Class 2 (Optional), pending further review and classification within one year.

4. Class 3 (Disposable Records) - All records, other than continuing records, not classified as Class 1 (Permanent) or Class 2 (Optional) shall be classified as Class 3 (Disposable), including, but not limited to:

- Records basic to audit, including those relating to attendance, full-time equivalent student, or a business or financial transaction (purchase requisitions, purchase orders, invoices, warrants, ledger sheets, cancelled checks and stubs, student body and cafeteria fund records, etc.), and detail records used in the preparation of any other report.
- Periodic reports, including daily, weekly, and monthly reports, bulletins, and instructions.

Generally, a Class 3 (Disposable) record, unless otherwise specified in this procedure, should be destroyed during the third college year after the college year in which it originated (e.g., 2003-04 plus 3 equals destruction in 2006-07). Federal programs, including various student aid programs, may require longer retention periods and such program requirements shall take precedence over the requirements contained herein.

With respect to records basic to an audit, a Class 3 (Disposable) record shall not be destroyed until after the third July 1 succeeding the completion of the audit required by Education Code Section 84040 or of any other legally required audit, or that period specified by Section 59118 of the CCR, or after the ending date of any retention period required by any agency other than the State of California, whichever date is later.

With respect to continuing records, a continuing record shall not be destroyed until the third year after it has been classified as Class 3 (Disposable).

[See Board Policy 3410 Classification, Retention and Destruction of Records](#)

Approved 10/2/09
Amended 4/13/12

See Appendix (attached)

[AP 3410 Appendix.pdf \(127 KB\)](#)