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# **Rogue Community College**

## **Records Management Policy and Procedure**

All Rogue Community College employees have an important role in keeping the information and records we receive from students, customers, and employees safe and protected. Each employee shall take steps to protect records within their control and shall dispose of records in the appropriate manner, whether by recycling or destruction, and in accordance with college record retention requirements.

The Oregon State Archivist grants authorization to Oregon government agencies, in the form of records retention schedules, for the retention or disposition of public records in their custody. General Records Retention Schedules published as Oregon Administrative Rule 166-450-0000 provide state and local agencies with the lawful authority to destroy or otherwise dispose of commonly occurring public records. Rogue Community College sets minimum record retention limits within all applicable laws and best practices, which meets or exceeds the Oregon State Archivist guidelines for community college records.

### **Use, Care, Control, Retention and Disposal of Records**

Records can be separated into two general categories: those containing protected or personally identifiable information (PII) and those that do not.

Records that **do not** contain personally identifiable information or other confidential information do not require special use, care, control and disposal measures. However, most records are subject to the records retention requirements established by the Oregon State Archives Division.

Records that **do** contain personally identifiable information require responsible use, care, control, retention and disposal measures.

### **Use, care and control of Paper and Electronic Records Containing PII or Confidential Information**

- Records in your possession should be kept in a secure place at all times. Paperwork in process should be protected so that visitors, students, or other customers cannot view or access information. Once processed, paperwork should be kept in locked filing cabinets or drawers until properly archived or destroyed according to College guidelines. Sensitive information should be kept in locked file cabinets. Paperwork should not be left unattended.
- Monitor access to offices. All offices should be secured outside of normal business hours and offices where students', customers', or employees' information is kept should not be left unsecured.
- Do not release Records with personally identifiable information to any individual or company except RCC employees with a business or educational purpose relating to the information on the record as permitted by the Family Education Rights and Privacy Act

(FERPA) and public information laws. These include but are not limited to student, financial, contract, personnel and public safety records.

- Public Records Requests: For legal purposes, subpoenas for production of records should be served on the Director of Enrollment Services who is the college's designated custodian of records.
- Know the College's "FERPA, Privacy, Confidentiality and Non-Disclosure" Administrative Procedure. Know the college's policies and guidelines related to records and access to records. They include Administrative Procedure AP-013, "FERPA, Privacy, Confidentiality, and Non-Disclosure", and Administrative Procedure GI-003, "Archives and Records Management Subpoenas (Custodian of Records)." Highlights are shown below:
  - Do not post students' grades or classroom notes and communications by using names, social security numbers, or alphabetical listings. Use a neutral identifier.
  - Do not provide student information to any requestor unless the student provides written authorization for the release of the information. The written release should be presented to the Director of Enrollment Services for approval and retention.
  - Keep lists of students and sensitive information such as grades and social security numbers in locked filing cabinets or drawers.
  - Do not discuss student situations outside of the classroom unless it is with an employee of the College who has a legitimate educational interest.
  - Personal notes regarding students' progress are considered personal property – not part of College records, and should be treated as personal memory aids and not used in public or shared with anyone. Once shared, they are no longer personal, but college records.
  - Refer persons who request student information to Rogue Central counters.

It is college administrative procedure that requests for directory information for groups or categories of students may be released only to (1) student organizations, (2) other educational institutions, or (3) local, state, and federal agencies in the performance of their functions (4) local newspapers for honor rolls and graduation information. This information may not be further released by any of these agencies. The Director of Enrollment Services must approve releases and exceptions to this policy.

## **Retention and Disposal of Paper and Electronic Records**

Rogue Community College, requires that official college records be destroyed within one year after their minimum retention period has passed.

Unless stated in the retention and disposal schedule below, a retention period shall be calculated from the date the record was created. The college area that is charged with retention of each record type is also charged with appropriate disposal of these records. The area with retention and disposal responsibility is listed in italics in each record type paragraph in the records retention and disposal schedule.

Appropriate disposal methods for each medium in which records have been retained are listed below.

### **Disposal of records that are confidential by law (contain personally identifiable information (PII)) or that are negotiable instruments**

Hard copy, including paper, microfiche, film and CD ROMs must be disposed of by shredding or incineration. The college provides secure shredding services and locked shredding bins on each campus. Contact the Contracts and Purchasing Coordinator for shredding bin locations.

Hard drives must be "punched/crushed" and then "pulverized" with all parts being separated and recycled. This process fully destroys hard drives. There is one secure bin for disposal of hard drives located at the Help Desk on Riverside Campus.

Digital images on Write-Once-Read-Many (WORM) optical disks must be disposed of according to the Expungement of Information Recorded on Optical WORM Systems standards of the Association of Information and Image Management.

Student and Human Resources records stored as Administrative Information System database records will not be constrained by this disposal schedule.

### **Records that do not contain confidential information, in any format:**

May be donated for recycling of the fiber or chemical they contain provided that the recycling agreement includes provisions to insure that the public records are promptly converted into a form which precludes use of the information they contain.

Other records which have continuing local historical value, although destruction is authorized, may be donated to a library, museum or historical society with the permission of the State Archivist.

## **Records Retention and Disposal Schedule**

### **Community Colleges (166-450-0000)**

This General Schedule prescribes minimum retention periods for public records created and maintained by the community colleges. Retention periods apply to the official copy of all public records, regardless of medium or physical format, created or stored by the above specified agencies. See Appendix 1b for exceptions to this General Schedule.

If unable to match records with those listed in the retention and disposal schedule, use a record series that matches most closely within reasonable limits. If a record appears to be a combination of two or more record series in the schedule, use the listing with the longest retention period. If a record cannot be reasonably interpreted to match any series in the schedule, contact the State Archives for appraisal assistance or information on limited special scheduling

Stat. Auth.: ORS 192 & 357

Stats. Implemented: ORS 192.005 - 192.170 & 357.805 - 357.895

Hist.: OSA 3-1998, f. 8-4-98, cert. ef. 8-5-98

## **Administrative Records (166-450-0005)**

The General Schedule is applicable to the administrative records of community colleges. Retention periods apply to the official copy of all public records, regardless of medium or physical format, created or stored by the above specified agencies. Please note the exceptions to this General Schedule listed in OAR 166-030-0027 before disposing of records.

(1) **Accreditation Records, Institutional:** *President's Office:* Records document the institutional accreditation process by the President's Office, project coordinator and college departments. The records document the information compiled for inclusion in the college's self-study and other reports provided to the evaluators as well as the response of evaluators. Records may include but are not limited to institutional data sheets, annual reports, working papers, resource notebooks, college self-study, interim and final evaluation reports, progress reports and responses by the college, and related correspondence and documentation. (Minimum retention: Self-study and final evaluation report: permanent; Other records: until accreditation is completed).

(2) **Administrative Records, General:** *Individual Departments:* Records document internal administration or housekeeping activities of the individual office. In general, these records related to the office organization, staffing, procedures, systems, and communications. These records do not serve as unique documentation of the programs or functions which caused the office to be created. Records may include but are not limited to documentation of day-to-day administration and training of office personnel; supplies, and office services; the use of office space, equipment and utilities; unit activity relating to specific and defined short-term office projects; and correspondence. (Minimum retention: one year).

(3) **Administrative Records, Program:** *Individual Departments:* Records document the daily activities and routine business of academic, service, support, and other programs developed and administered by the office department. The records are used to develop and administer programs and to communicate with other divisions, departments, and programs; other community colleges; state and federal governments; outside business and organizations; and faculty and students. Records may include but are not limited to correspondence and memoranda; reports, surveys, and policy statements, task assignments; discussion outlines and summaries; planning documents; working papers; informal and working files on student progress and administration; staff meeting records including minutes and agendas; and related correspondence. (Minimum retention: five years).

(4) **Advisory Committee Records:** *Individual Advisory Committees:* Records document the activities of advisory committees which provide advice and assistance regarding professional-technical and other programs. Advisory committee members are generally selected from the community and appointed by the college's Board of Education. The committees are designed to improve the quality and impact of instructional programs and to ensure that the skills taught are current with those in business, industry, and government. Records may include but are not limited to meeting minutes; agendas; reports; notes; working papers; transcriptions; and correspondence. (Minimum retention: Resource notebooks and working files: until superseded; Other records: three years).

(5) **Association and Organization Membership Records:** *President's Office:* Records document the relationship and participation of college units with professional, educational, and civic associations and organizations. The college's role may be one of membership on an advisory or administrative board or participation in a task force or subcommittee. Records may include but are not limited to promotional information; rules and regulations; reports; newsletters; proposals and planning records; workshop and conference records; surveys and questionnaires; minutes and agendas; and related documentation and correspondence. This series refers to records that document the direct involvement of the college or its representative in an organization; it does not include individual staff or faculty membership records. (Minimum retention: five years).

(6) **Budget Committee Records:** *Budget and Finance Department:* Records document the process by which the college's budget is adopted by the Board of Education. Budget Committee assists the Board of Education in analyzing the administration's annual budget proposal and is composed of the seven elected members of the Board of Education, seven appointed budget committee members from each of the geographical zones in the college district, and ex-officio members representing the college administration. The Budget Committee bases its discussions on the Budget Book, which is a compilation of budgets from each of the college areas prepared by the budget officer. Public hearings on the budget are held at one of the regularly scheduled Board of Education meetings. Records include but are not limited to committee agendas and minutes; the Budget Book; recommendations from the budget officer; records of the public hearings; committee recommendations; committee membership applications; and correspondence. SEE ALSO: Budget Records in the Financial and Accounting section. (Minimum retention: Minutes, recommendations, and budget books: 20 years; Other records: two years).

(7) **College Committee Records:** *College Councils:* Records document the activities of standing and ad hoc college committees and councils made up of members from a variety of units within the college. The committees are charged with formulating and recommending institutional policies and procedures: establishing standards and requirements; performing an advisory function; reviewing petitions, appeals, and deviations from policy; facilitating communication; or finding solutions to specific problems, barriers, or challenges. Types of committees include administrative, standing, review, advisory, steering, activities, and planning committees, councils, and task forces. Records include but are not limited to agendas; meeting minutes or notes; reports; working papers; appointment, biographical, and other information about committee members; and correspondence. SEE ALSO: Advisory Committee Records, this section. (Minimum retention: five years).

(8) **College History Files:** *President's Office:* Records document significant events in the college or departments past. Records may include records on the formation and naming of the college; lists or descriptions of landmarks or significant college events; college histories; progress and planning reports; biographies and records of past presidents, administrators, faculty, or staff; and newsletters or other publications. Records may include but are not limited to reports; published and unpublished historical sketches; scrapbooks; ephemera; photographs; press releases; newspaper clippings; publications; list of awards received by the college; and correspondence. (Minimum retention: Permanent). (These records stored in Marketing and Community Relations)

(9) **Copyright Records:** *Instructional Division/Media Department:* Records document application and permission to reproduce, distribute, adapt, perform, or display copyrighted material of all kinds for academic and other purposes. Approval may be for a single use, unlimited use, permission to reproduce a specified number of copies, permission for a specific date or date span, permission to use for a defined purpose or audience, or other conditions. Records may include application and approval forms; correspondence and copies of subject material -- paper and other media. (Minimum retention: five years after expiration of copyright).

(10) **Correspondence, Ephemeral:** *Individual Departments:* Records document communications received or sent which do not contain specific information about programs or operations or require action. Records may include but are not limited to advertising circulars, and worksheets, desk notes, memoranda, and other records of a preliminary or informational nature. (Minimum retention: Until read).

(11) **Election Records:** *Budget and Finance Department:* Records document the process whereby tax levy, bond measures, and other issues receive voter approval. Records may include but are not limited to certified copies of election results; ballot title and wording records; county election filing forms; precinct maps; election tax levy history; election cost records; promotion and advertising records; and correspondence. SEE ALSO: Bond Records, Financial in the Financial and Accounting Records section. (Minimum retention: Clerk certified election results: five years; Election results and ballot title: Permanent).

(12) **Full-Time Equivalency Records:** *Institutional Research:* This series document the numbers of students enrolled in the college in terms of full-time equivalency (FTE). The reports are used for internal statistical information and analysis and to generate reports to the federal and state governments. Reports are generated from the student academic records database and track the FTE in various departments, programs, or courses. SEE ALSO: Institutional Research and Reporting Records section, and Course Enrollment Summaries in Curriculum and Instruction Records section. (Minimum retention: 10 years).

(13) **Governing Board Records:** *President's Office:* Records document the functions and policies of the Board of Education, Board of Directors, or other similarly named governing body of the college. The Board of Education has primary authority for establishing policies governing the operation of the college and adopting the college's annual budget. The board is composed of elected members from designated geographical zones in the college district. Records include but are not limited to original meeting minutes; oaths of office; resolutions; policies adopted, reauthorized, or disapproved; certificates of election; audio recording of meeting proceedings; and correspondence. The records may also include a booklet or package of information prepared before the board meetings. The packet may include the meeting agenda; minutes;

background information about agenda items; reports; action items; and other information items. Resolutions concerning financial policies and activities may become a part of the Budget Document. SEE ALSO: Budget Planning and Preparation Records section. (Minimum retention: Official copies of minutes, agendas, oaths, resolutions, policies, and election certificates: Permanent; Audio recordings: Until transcribed or summarized in minutes; Other records: five years).

(14) **Grant Records, Administrative:** *Grants Office:* Records document the application, evaluation, awarding, administration, monitoring, and status of grants in which the college or department is the recipient, grantor, allocator, or administrator. Grants may come from local or state governments or foundation and other private funding sources. Records may include but are not limited to applications including project proposals, summaries, objectives, activities, budgets, exhibits, and award notification; grant evaluation records and recommendations concerning grant application; records of administration of grants including equipment purchasing and disposition of records; contract; records monitoring project plans and measuring achievement; and reports to the funding agency on the use of their grant funds. SEE ALSO: Grant Records, Financial in Financial and Accounting Records Section. (Minimum retention: Contracts or agreements documenting building construction, alterations, or repair: retain 10 years after substantial completion; Other contracts: six years after expiration; Final grant product or report: Permanent; Unsuccessful grant applications: one year; Fixed assets' records: two years after disposition of assets; All other records: five years after final or annual expenditure report accepted).

(15) **Institutional Planning Records:** *President's Office:* Records document the development of short-term or long-term plans for the institution and other special projects related to the organizational development of the college. Records may include but are not limited to instructions from the president or other administrator explaining the nature and purpose of the requested strategic planning effort; internal planning committee materials; statements of objectives, missions and goals; proposals; strategic planning reports activity reports; and correspondence. (Minimum Retention: Final reports: 20 Years; Other records: five years).

(16) **Legal Case Files:** *President's Office:* Records document the management and monitoring of legal cases involving the college. Records include investigatory material; complaints; work notes; police reports; subpoenas; requests for hearing; requests for judicial review; motions; pleadings; briefs; transcripts; petitions; court orders; notices of appeal; depositions; exhibits; and correspondence. *Portions may be exempt from public disclosure during specific periods of the case per ORS 192.501(1), 192.502(2).* (Minimum retention: five years after closed.)

(17) **Organization Charts:** *President's Office:* Records show the lines of administrative responsibility within the college. Records consist of final organization charts. (Minimum retention: Until superseded).

(18) **Policy and Procedure Manuals:** *President's Office:* Records document and distribute college policies and procedures approved by the board. The records include policy and procedure manuals and related guidelines on personnel, purchasing, and board grievance procedures. (Minimum retention: five years after superseded).

(19) **Professional Development and Awards Records:** *Human Resources and Instructional Division:* Records document programs that encourage participation in professional activities, recognize excellence in college staff and faculty, and provide opportunities for career advancement. Series may include professional development records which support travel to make presentations at professional meetings, participation in professional organizations or activities, or attendance at conferences; awards which recognize teaching skills; and visiting scholar programs which allow college faculty to teach at foreign host campuses. Records may include but are not limited to applications; review and approve documentation; lists of participants or recipients; arrangements and schedules; publicity and news clippings; presentation transcripts or published works; activities documentation; correspondence; and related documentation. (Minimum retention: three years).

(20) **Records Management and Archives Program:** *College Services:* Records document college's records management program -- the inventory, retention scheduling, storage, and disposition of non-permanent records. Also documents the college's archives program; appraising, acquiring, describing, processing, retrieval, and disposition of permanent records. The records may include records of inventories; authorizations; accession registers; finding aids; reference and research records; statistical reports; and correspondence. May also include records management manuals or handbooks. (Minimum retention: Accession register and records disposition records: Permanent; Other records: Until superseded).

(21) **Signature Authorization Records:** *Budget and Finance Department:* Records certify that designated college employees are authorized to sign fiscal and contractual documents. (Minimum retention: six years after authorization expires).

(22) **Volunteer Program Records:** *Human Resources:* Records document the activities and administration of the college's volunteer program. The records may include applications; skill test results; training records; task assignment and monitoring records; volunteer lists; work schedules; insurance information; publicity records; statistical reports; and correspondence. (Minimum retention: five years).

Stat. Auth.: ORS 192 & 357

Stats. Implemented: ORS 192.005 - 192.170 & 357.805 - 357.895

Hist.: OSA 3-1998, f. 8-4-98, cert. ef. 8-5-98

## **Bookstore Records (166-450-0010)**

The General Schedule is applicable to the bookstore records of community colleges. Retention periods apply to the official copy of all public records, regardless of medium or physical format, created or stored by the above specified agencies. Please note the exceptions to this General Schedule listed in OAR 166-030-0027 before disposing of records.

(1) **Bookstore Operation Records:** *Auxiliary Services:* Records document the operation of college bookstores. Records include but are not limited to book order forms; instructor's copy orders; consignments or purchases of books by outreach campuses from the main campus bookstore; transfers of book orders from one outreach campus to another; sponsored student

account records; daily cash reconciliation and deposit records; and related documentation. (Minimum retention: two years).

Stat. Auth.: ORS 192 & 357

Stats. Implemented: ORS 192.005 - 192.170 & 357.805 - 357.895

Hist.: OSA 3-1998, f. 8-4-98, cert. ef. 8-5-98

## **Child Care Records (166-450-0015)**

The General Schedule is applicable to the child care records of community colleges. Retention periods apply to the official copy of all public records, regardless of medium or physical format, created or stored by the above specified agencies. Please note the exceptions to this General Schedule listed in OAR 166-030-0027 before disposing of records.

(1) **Child Abuse Report Records:** *Auxiliary Services:* Records document suspected child abuse at college child care centers. Records may include but are not limited to a narrative account of the incident; notes and working files; observations of the child; a record of phone call to the State Office of Services to Children and Families or law enforcement agency; and related documentation. Also includes records verifying staff training in child abuse recognition. *Information may be exempt from public disclosure per ORS 192.501(1), (3), (13). ORS 192.502(2). OAR 414-300-0060(2).* (Minimum retention: one year after reported).

(2) **Child Care Accident Reports** *Auxiliary Services:* Records document injury or accident to children at college child care centers. Records may include but are not limited to an accident form reporting the child's name, nature of the injury, teacher, witness, date, time, and place of accident; description of accident; action taken or care given; comments; signatures of reporting staff and parent(s); record of transportation to doctor or hospital; and related documentation. (Minimum retention: one year).

(3) **Child Care Billing Records:** *Budget and Finance Department:* Records document the billing and payment for services provided by college child care centers. Records may include but are not limited to billing records which compute the fees assessed and record the amount due; adjustment memos which document changes in the amount due; and related documentation. SEE ALSO: Accounts Receivable Records in Financial and Accounting Records Section. (Minimum retention: three years).

(4) **Child Care Daily Attendance Records:** *Auxiliary Services* Records document the daily attendance of children at college child care centers. Records may include but are not limited to a sign-in sheet with the date, name of child, and times of arrival and departure. (Minimum retention: one year).

(5) **Child Care Facility License Records:** *Auxiliary Services* Records document the annual licensing of college child care facilities by the Employment Department, Child Care Division. Records may include but are not limited to sanitation inspection reports; fire safety reports; fire and other emergency drill records; staff development and training records; staff criminal history checks; staff first aid cards; staff orientation records; official license; Child Care Division inspection and certification; and correspondence. (Minimum retention: five years).

(6) **Child Care Food Program Records:** *Auxiliary Services* Records document the administration of the Child and Adult Care Food Program which provides meals and snacks to children at college care centers. Application is made annually to this U.S. Department of Agriculture program. Records may include but are not limited to monthly reimbursement claims which document the number of days of food service, production records, weekly menus, and attendance forms; Child and Adult Care Food Program Confidential Income Statement which documents the names, birth dates, and ethnicity of the children and the monthly income of the child's household; enrollment roster; and related documentation. (Minimum retention: five years).

(7) **Children's Case Files:** *Auxiliary Services* Records document a child's enrollment/admission and attendance at a college child care center. Records may include but are not limited to applications for admission; emergency notification forms; authorization to administer medications; permission to obtain emergency medical treatment and to call an ambulance; approval to participate in field trips or swimming; communications from parents; immunization records; and correspondence. May also, but do not necessarily, include assessments for learning disabilities or counseling; release forms; vision, speech, and hearing screenings, and records about special needs children. *Portions may be exempt from public disclosure per ORS 192.502(2).* (Minimum retention: one year after last attended).

(8) **Immunization Records, Student Workers:** *Auxiliary Services* Records verify that student workers in the child care center have measles protection and other required immunizations. Immunization verification is required for certain college students involved in health related programs, education or child care programs, other work experience programs, and intercollegiate athletics. The Certificate of Immunization Status forms include student identification information; vaccine history; and religious or medical exemptions. Immunization verification may also be required for hepatitis and other blood borne pathogens. (Minimum retention: one year).

Stat. Auth.: ORS 192 & 357

Stats. Implemented: ORS 192.005 - 192.170 & 357.805 - 357.895

Hist.: OSA 3-1998, f. 8-4-98, cert. ef. 8-5-98

## **Contracts and Agreements (166-450-0020)**

The General Schedule is applicable to the contracts and agreements of community colleges. Retention periods apply to the official copy of all public records, regardless of medium or physical format, created or stored by the above specified agencies. Please note the exceptions to this General Schedule listed in OAR 166-030-0027 before disposing of records.

(1) **Bids and Awards Records:** *Contracts:* Records document the procurement process including advertising, evaluation and award of bids to vendors or agencies and provide evidence of accepted and rejected bids for services and products. Records may include but are not limited to bid and quote lists; notices of bid opening and award; comparison summaries; spreadsheets; tabulation worksheets; bid advertising records such as requests for information (RFI's) and request for proposals (RFP's); tally sheets; bid specifications; records of accepted and rejected bids; selection of agents of record records; and correspondence. SEE ALSO:

Purchasing Records. (Minimum retention: Accepted agency improvement bids: 10 years after substantial completion; Other accepted bids: six years after bid awarded or canceled; Rejected bids or bid exemptions: two years).

(2) **Contracts and Agreements:** *Contracts and Budget and Finance:* Records document the negotiation, execution, completion, and termination of legal agreements, and the purchase and sale of land and buildings between the college and other parties. Records include the official contract or agreement; amendments; exhibits; addenda; facilities scheduling; lease agreements; title insurance policies and forms; legal records; contract review records; instructional services agreements; prevailing wage reports and other documentation furnished by the Bureau of Labor and Industry; and correspondence. (Minimum retention unless funded by a federal grant: Contracts or agreements documenting building construction, alterations, or repair: 10 years after substantial completion; Other contracts and agreements: six years after expiration).

(3) **Instructional Agreements and Records:** *Instructional / Enrollment Services/Contacts:* Records document the participation of the college in a variety of educational courses and programs. Records may document the contract or agreements as well as the administrative activities and student records concerned with these programs. Types of agreements may include Articulation Agreements with high schools (2+2, Step Ahead, Alternative Education, GED/ELS, and High School Services), other community colleges, and four year institutions; Instructional Services Agreements which document agreements between college and other entities, including the state government, for educational services; and Short-Term Contracted Training Records which document non-degree, non-credit, short-term classes that enable persons in business, government, industry, or the general public to learn new skills or update existing skills. Records may include but are not limited to contracts or agreements; registration records; class lists; payment records; flyers; course and credit records; transcripts; working files; reports; correspondence; and related documentation. (Minimum retention: Working papers: Until contract finalized; other records: six years after expiration).

(4) **Personal Service Contracts:** *Contracts:* Records document contractual agreements made by the college with individuals or firms for service rendered. Records may include but are not limited to contracts; addenda; exhibits; justification statements; proposals; contractor selection statements; expense records and correspondence. (Minimum retention: six years after expiration).

(5) **Software Licensing Agreements:** *Contracts:* Records document computer software licensing agreements. Records may include but are not limited to licensing agreements for word processing, database managing, and other software programs used in offices and classrooms. The contracts may include but are not limited to name of the software; ISBN number; name of the publisher; licensee name, title, department, and office location; institution name and address; authorized signature; and related documentation. Records may also include statistical reports on the number of students using the licensed programs and the number of hours in use. [SEE: Software Management Records in Information Management Records section.] (Minimum retention: six years after expiration).

(6) **Title and Deed Records:** *Contracts and Budget and Finance:* Records document the real property acquired or sold by the college. The records may include but are not limited to

purchase agreements; title abstracts; easement details; public hearing notices and minutes; county recorder's plat descriptions; memoranda of understanding; earnest money receipts; sales agreements; property deeds; working papers; and correspondence. (Minimum retention: Permanent).

Stat. Auth.: ORS 192 & 357

Stats. Implemented: ORS 192.005 - 192.170 & ORS 357.805 - 357.895

Hist.: OSA 3-1998, f. 8-4-98, cert. ef. 8-5-98

## **Curriculum and Instruction Records (166-450-0025)**

The General Schedule is applicable to the curriculum and instruction records of community colleges. Retention periods apply to the official copy of all public records, regardless of medium or physical format, created or stored by the above specified agencies. Please note the exceptions to this General Schedule listed in OAR 166-030-0027 before disposing of records.

(1) **Academic Calendar Records:** *Enrollment Services:* Records document dates and deadlines of significance to faculty, staff, and students. Calendars are produced quarterly and annually and include but are not limited to dates and deadlines for the academic term, registration, final examinations, holidays and breaks, personnel matters, reports, and related events. SEE ALSO: Publications in Publications and Promotional Records. (Minimum retention: three years).

(2) **Accreditation Records, Professional Programs:** *Instructional Division:* Records document the accreditation process for the departments, units, and related programs such as nursing, medical assisting, dental assisting, and EMT programs. Records provide documentation of the materials compiled for inclusion in a report packet sent to the appropriate professional accreditation board of the specific program or service and usually includes the statements on mission, finance, educational programs and departments/divisions make up. Most accreditation organizations produce an evaluation report based on the packet and on-site inspection which is used to determine the accreditation for the units and their programs. Records may include but are not limited to self-study reports; final reports; statistical data; working papers; accreditation organization evaluation report; and related documentation and correspondence. (Minimum retention: Self-study and final accreditation report: Permanent; Other records: Until accreditation complete).

(3) **Class Lists:** *Enrollment Services:* Records provide instructional units with an official record of students enrolled in courses taught. Records are used to track enrollment, registration, and attendance. Information in the series may include but is not limited to student name and social security number; academic term; course name; enrollment and registration status; payment status; handwritten instructor notes and comments; and related documentation. (Minimum retention: one year).

(4) **Class Scheduling Records:** *Marketing and Community Relations:* Records document the final draft of the schedule of classes booklet. Information includes registration instructions, list of classes, date and time held, and instructor. (Minimum retention: 10 years). (These records stored in Redwood Campus Instructional Building)

(5) **College Catalog Records:** *Marketing and Community Relations:* Records provide a record of institutional policies and procedures, program requirements, and course offerings. Information in the individual catalogues includes academic policies and procedures, program names and descriptions, alphanumeric course designations, credits offered per course, and related program and course information. Records may include but are not limited to published copies of catalogues including the general catalogue; drafts of catalogues; preparation and working papers; and related documentation and correspondence. SEE ALSO: Publications. (Minimum retention: Published catalog: Permanent; Other records: one year after catalog published).

(6) **Corrections Program Records:** Records document the services and programs offered by the college at correctional institutions. Records may include but are not limited to training records which inform the faculty about special rules and regulations concerned with teaching in a correctional facility; computer and software records which document the purchase and use of computers and software by the college and kept in the institutions; textbook inventories of books purchased by the college for use by students in the institutions; and related documentation and correspondence. (Minimum retention: Computer hardware and software records: one year after disposal of equipment; Other records: five years).

(7) **Course Enrollment Summaries:** *Instructional Division:* Records document the enrollment in courses during each academic term. Records include information concerning the organizational unit; course identification number; course sequence number; instructor's name; course title; course section; lecture or lab designation; time and location of course; maximum seat count; number of students actually registered for the course; and related documentation. Enrollment summaries may be produced at the fourth week and at the end of the term. SEE ALSO: Full-time Equivalency Records in Administrative Records section. (Minimum retention: five years).

(8) **Course Lists:** *Instructional Division:* Records provide a record of all existing courses. Records consist of a computer document which includes but is not limited to course identification number; course title; number of credits (lecture, lab, and total); number of contact hours or work load; number of weeks in term; tuition and fees; funding formula code; organizational unit; classification of instructional programs (C.I.P. number) interest area or topic in quarterly schedule; prerequisites; pay level and related information. (Minimum retention: five years).

(9) **Course Outline Records:** *Instructional Division:* Records document the content of credit and non-credit courses offered on- and off-campus by academic departments. Records include the course outlines and the working files of the department used to create the course outline and to receive approval from the Curriculum Coordinator. The course outlines include but are not limited to the course title; course identification number; number of instructional hours and credits; prerequisites; required text(s); course description; performance based learner outcomes; and an outline of the course content. The working files may also include copies of applications for course approval; and related documentation and correspondence. (Minimum retention: five years after superseded).

(10) **Course Syllabus Records:** *Instructional Division:* Records document the agreement between the student and the instructor which communicated the expectations of the instructor and the goals of the course. Records may include but are not limited to the course title and number; instructor name and phone number; class meeting times and location; instructor office

location and office hours; course description performance-based learner outcomes; required textbook(s); outline of topics and/or assignments; grading procedures; testing information; and additional references or recommended readings. (Minimum retention: three years after superseded).

**(11) Curriculum Development Funds Records:** *Instructional Division/Human Resources:* Records document the application and approval process of providing funds for faculty to develop or revise program curriculum in a course, to revise complete programs, or to update curriculum strategies and instruction. Records include but are not limited to applications and supporting documentation; review and approval documentation; summary list of recipients; report or other product of curriculum development project; and related correspondence and documentation. (Minimum retention: three years).

**(12) High School Dual Enrollment Program Participation Records:** *Instructional Division/Enrollment Services:* Records document the approval of programs offered by community colleges to local high schools, including but not limited to alternative education, GED and high school completing, English-as-a-Second-Language, college technical and transfer level courses, and career development activities for credit. Records may include but are not limited to contracts and agreements and related documentation. SEE ALSO: Academic Records in Student Records Section. (Minimum retention: Contracts and agreements: six years after expiration; Other records: five years).

**(13) New and Revised Certificate and Degree Program Development Records:** *Instructional Division:* Records document the planning and development of new academic programs and contains the records of short-term training programs as well as one- and two-year programs that have been approved. Information in the records include the program title, length of program, description of program, form of recognition, admission requirements, student recruitment efforts, curriculum, budgetary impact analysis, and related documentation. Records also contain working papers and the program application which may include projected employment, labor market analysis, and information about career opportunities for students who complete the program; business and industry partnership programs; feasibility survey; needs survey; projected enrollment and completion rates; SCANS (Secretary's Commission on Achieving Necessary Skills) Competencies Matrix; and instructor qualifications. The program development records are sent to the Oregon Department of Education for approval of new programs and options. Impact statements concerning the new program are sent to all colleges and universities in the state for comment. SEE ALSO: Course Outline Records this section. (Minimum retention: Working papers: one year; Other records: 10 years).

**(14) Program Student Handbooks:** *Instructional Departments:* Records document the requirements, policies, and offerings of specific instructional units for use by current or potential students. Records may contain information or policies on fields of study; faculty; and academic requirements. Handbooks may be issued for programs such as automotive, emergency medical technician, nursing, fire science, humanities, office administration and technology, human resources, construction skills training, and dental assisting. (Minimum retention: one year).

**(15) Small Business Development Center Statistical Reports:** *SBDC/Instructional Division:* Records document statistical reports prepared by the small business development center which provides training and counseling to persons in business or to those who want to learn how to

run a business. Reports contain data on number of new and ongoing clients served, number of businesses counseled, and use of reference library. (Minimum retention: 10 years).

Stat. Auth.: ORS 192 & 357

Stats. Implemented: ORS 192.005 - 192.170 & 357.805 - 357.895

Hist.: OSA 3-1998, f. 8-4-98, cert. ef. 8-5-98

### **Distance Education/Learning Records (166-450-0030)**

The General Schedule is applicable to the distance education/learning records of community colleges. Retention periods apply to the official copy of all public records, regardless of medium or physical format, created or stored by the above specified agencies. Please note the exceptions to this General Schedule listed in OAR 166-030-0027 before disposing of records.

(1) **Distance Education Records:** *Instructional Division:* These records are used to facilitate the production and presentation of courses by mail, television, video tape, computer modem, Ed-net, on-line media, and other electronic means. The tell-courses may be conducted by college instructors or produced, leased, and licensed by others via satellite or other means of transmission or broadcast. The records may include but are not limited to course lists; teachers' lists; marketing records; evaluations and surveys; annual statistical and narrative reports and summaries about enrollment, growth, and trends in distance education; license agreements concerning the acquisition of the material and the services provided by vendors such as wireless cable operators; and correspondence. License agreements contain vendors' terms of use, copyright provisions, and related documentation. (Minimum retention: License agreements: six years after expiration; Other records: five years).

(2) **FCC License Records:** *Contracts and Purchasing:* Records document the process of obtaining licenses for television, wireless, radio, and mobile communication frequencies from the Federal Communication Commission (FCC). Records may include but are not limited to applications, correspondence, legal options, license, excess capacity agreements, contract approval records, and related documentation. (Minimum retention: six years after expiration).

Stat. Auth.: ORS 192 & 357

Stats. Implemented: ORS 192.005 - 192.170 & 357.805 - 357.895

Hist.: OSA 3-1998, f. 8-4-98, cert. ef. 8-5-98

### **Equipment/Supplies/Property Records (166-450-0035)**

The General Schedule is applicable to the equipment/supplies/property records of community colleges. Retention periods apply to the official copy of all public records, regardless of medium or physical format, created or stored by the above specified agencies. Please note the exceptions to this General Schedule listed in OAR 166-030-0027 before disposing of records.

(1) **Equipment and Furniture Inventory Records:** *Facilities Department:* Records document the location of college-owned furniture and equipment, and the use and transfer of college-owned property and equipment. Records may include property inventory listings, property disposition requests and notices, equipment transfer memoranda or forms, warranties, and

correspondence. (Minimum retention: Inventory listings: Until superseded; Other records: one year).

**(2) Equipment Ownership and Operation Records:** *Facilities/Contracts and Purchasing:* Records provide information on individual pieces of equipment as defined by the state (\$5,000) held by the college and may provide support documentation for warranty, operation, maintenance, service, and repair. Records may include but are not limited to shipping manifests or packing slips; vendor information; instructions and operating manuals; warranties and guarantees; serial numbers of equipment; maintenance agreements or contracts; service call reports; maintenance records; and related documentation and correspondence. (Minimum retention: two years after disposition of property).

**(3) Vehicle Records:** *Budget and Finance Department:* Records document the administration of vehicles such as cars, vans, trucks, trailers, boats, tractors, and farm vehicles for accounting and insurance purposes. Records may include but are not limited to vehicle titles; registrations; vehicle warranties; maintenance agreements; service records and receipts; vehicle inventories containing information regarding description, dollar value, and date of purchase; vehicle usage records; scheduling records; transportation request forms listing the beginning and ending mileage of the vehicle; and related documentation and correspondence. (Minimum retention: Vehicle title: Until vehicle disposed of or transferred to new owner; Registration, warranties, maintenance agreements, and service records: two years after disposition of vehicle; Other records: one year).

Stat. Auth.: ORS 192 & 357

Stats. Implemented: ORS 192.005 - 192.170 & 357.805 - 357.895

Hist.: OSA 3-1998, f. 8-4-98, cert. ef. 8-5-98

## **Facilities Records (166-450-0040)**

The General Schedule is applicable to the facilities records of community colleges. Retention periods apply to the official copy of all public records, regardless of medium or physical format, created or stored by the above specified agencies. Please note the exceptions to this General Schedule listed in OAR 166-030-0027 before disposing of records.

**(1) Building and Grounds Repair, Remodeling, and Construction Records:** *Facilities and Contracts and Grants:* Records document the condition, upkeep, and routine maintenance of college buildings and grounds and the planning, administration, and implementation of current and potential capital construction projects on campus. It also documents remodeling and construction projects. Also used to forecast needs for projects and as a reference to projects completed. Records may include but are not limited to floor plans; specifications, layouts; sketches; maintenance agreements; work logs; fire marshal's compliance and other building inspection reports; permits project descriptions and requirements; plan reviews; project schedules; and related documentation and correspondence. Series may also include records of remodeling or construction due to American Disability Act (ADA) requirements. (Minimum retention: Contracts or agreements documenting building construction, alterations, or repair: 10 years after substantial completion (ORS 12.080 and 12.135); Other records: for the life of the structure).

(2) **Facilities Inventory Records:** *Facilities and Contracts and Grants:* Records document the value of lands and buildings owned by the college and of the changes in utilization of space due to remodeling, minor reallocation, and new construction. Records may include but are not limited to inventories which list each campus building and parcel of real estate; the date acquired; property description; utilization of building space records; operating and maintenance cost records; inventory and other working documents which include the building name, room number and condition, type of space, and square footage; and related documentation and correspondence. Records include the records of buildings and lands on the main as well as branch or outreach campuses. (Minimum retention: Until superseded).

(3) **Prevailing Wage Reports Records:** *Contracts:* Records document the prevailing wage rate schedule for workers on college construction projects. Records contain the certified payroll records of construction companies engaged in college projects. This information on prevailing wages is supplied to unions and other interested parties. Records may also contain annual planned project list and other documentation furnished by the Bureau of Labor and Industry. (Minimum retention: five years after completion of project).

(4) **Swimming Pool Operation and Maintenance Records:** Records document the operation and maintenance of college swimming pools. The records include water quality tests; records of filling, emptying and cleaning; operating and safety equipment repair and maintenance; and equipment warranties. (Minimum retention: Equipment records: for life of structure; Maintenance records: five years).

(5) **Utility Systems and Equipment Operation Manuals and Maintenance Records:** *Facilities/Contracts and Grants:* Records document the operations and maintenance of college utilities equipment. Records may include but are not limited to permits; equipment operations logs; mechanical readings charts; equipment maintenance histories; and correspondence. (Minimum retention: Until equipment is no longer in service).

Stat. Auth.: ORS 192 & 357

Stats. Implemented: ORS 192.005 - 192.170 & 357.805 - 357.895

Hist.: OSA 3-1998, f. 8-4-98, cert. ef. 8-5-98

## **Student Financial Aid Records (166-450-0045)**

The General Schedule is applicable to the student financial aid records of community colleges. Retention periods apply to the official copy of all public records, regardless of medium or physical format, created or stored by the above specified agencies. Please note the exceptions to this General Schedule listed in OAR 166-030-0027 before disposing of records.

(1) **Federal Title IV, Program Records, Institutional Records:** *Financial Aid Department:* Records document eligibility to participate and school's administration of Federal Title IV and programs. Records include Institutional Program Participation Agreement; Recertification; Education program eligibility; Accreditation reviews; and reports; State agency reports; Audits and program reviews; Other records, as specified in regulation, that pertain to factors of financial responsibility and standards of administrative capability; and Consortia Agreements between and amongst schools. SEE ALSO: Administrative Records, Accreditation. (Minimum retention:

Agreements: six years after expiration; Records pertaining to borrower eligibility: three years after the end of the award year in which the student borrower last attended the institution; Fiscal Operations Report, Application to Participate and supporting documentation: three years after the end of the award year in which the FISAP is submitted; Records involved in any loan, claim, or expenditure questioned by a Title IV, HEA program audit or review, investigation, or other review: until the resolution of that questioned loan, claim, or expenditure; or the end of the retention period applicable to the record, whichever is longer).

(2) **FFELP and Direct Loan Records:** *Financial Aid Department:* Records relate to Federal Family Education Loan Program (FFELP and Direct Loan Programs including but not limited to: Eligibility (student and/or parent); Application; Disbursement records; Promissory notes; and Student Status Confirmation Reports (SSCR). (Minimum retention: (a) Records relating to a student or parent borrower's eligibility: three years after the end of the award year in which the student borrower last attended the institution; (b) Other records relating to the participation in FFEL or Direct Loan Program: three years after the end of the award year in which the records are submitted; (c) Records involved in any loan, claim, or expenditure questioned by a Title IV, HEA program audit or review, investigation, or other review: until the resolution of that questioned loan, claim, or expenditure; or the end of the retention period applicable to the record, whichever is longer).

(3) **Financial Aid Annual Reports:** *Financial Aid Department:* Records document cumulative loan activity of each fiscal year through a required year-end report made to the U. S. Department of Education. Records may include but are not limited to schedules and instructions; working papers; exhibits audit reports; findings; rebuttals; and related documentation and correspondence. (Minimum retention: (a) Audit reports, exhibits, findings, rebuttals: 20 years; (b) Other records: Until completion of audit).

(4) **Fiscal Records and Reports:** *Financial Aid/Budget and Finance:* Records document Federal Title IV Aid transactions, including receipt, management and disbursement of funds. Records of all Title IV program transactions; Bank statements for all accounts continuing Title IV payments, cash disbursements, refunds, and repayments; General ledger (must be separate from school's other financial transactions) and related ledgers that identify each Title IV program transaction; Federal work-study payroll records; Annual Federal Fiscal Operations and Applications for Funds Report (FISAP). Records support data appearing on required reports: Federal Pell Grant Statements of Account; ED Payment Management system cash requests and quarterly or monthly reports; Title IV program reconciliation reports; Audit reports and school responses; State Grant and Scholarship award rosters and reports: Accrediting and licensing agency reports. (Minimum retention: three years after the end of the award year unless otherwise specified FISAP exception: three years after the end of the award year in which the FISAP was submitted).

(5) **Perkins Loan Program Records:** *Financial Aid/Budget and Finance:* Records relate to Perkins Student Loan, National Direct Student Loan, and Nursing Loan; and show each borrower's payment history (showing date and amount of each repayment) and amount of each repayment credited to principal, interest, collection costs, and penalty or late charges. Documentation of each contact with borrower or endorser in collection of overdue loan, including date, nature, result of the contact, and copies of all correspondence, collection agency

reports, and litigation records. (Minimum retention: (a) Records relating to the administration of the loan: three years after the end of the award year for which aid was awarded and disbursed; (b) Fiscal Operations Report, Application to Participate and supporting documentation: three years after the end of the award year in which the FISAP is submitted; (c) Records involved in any loan, claim, or expenditure questioned by a Title IV, HEA program audit or review, investigation, or other review: until the resolution of that questioned loan, claim, or expenditure; or the end of the retention period applicable to the record, whichever is longer).

**(6) Student Consumer Information Records:** *Institutional Research:* Records apply to all schools participating in Federal Title IV Aid Programs. Includes but not limited to: College catalog and term class schedules; Student Handbook or other publication; Campus Security Report and timely warnings; Right to Know -- completion or graduation and transfer-out rates; Equity in Athletics Disclosure Act (EADA); Drug & Alcohol Abuse Prevention Information; Drugfree Workplace Information; FERPA; and documentation supporting all calculations and statistics. SEE ALSO: Student Academic Records, Student Handbooks, Students Athletic Advising and Eligibility Records. (Minimum retention: three years after the end of the award year in which information was published).

**(7) Student Financial Aid Records:** *Financial Aid/Budget and Finance:* Records document student eligibility common to all Federal Title IV Aid Programs. May include, but not limited to: Student Aid Report (SAR) or Institutional Student Information Report (ISIR) used to determine eligibility; documentation of need and eligibility for Title IV funds; Cost of attendance information; documents used to verify applicant data; required student certification statements and supporting documentation; documentation of all professional judgments decisions; financial aid history information for transfer students; documentation of student's satisfactory academic progress; documentation of amount, date, and basis of all refund and repayment calculations for a student (last dates of attendance, grade rosters); and documentation of outside resources. SEE ALSO: Student Records, Academic; Veterans Student Records. (Minimum retention: Records relating to a student or parent borrower's eligibility: three years after the end of the award year in which the student borrower last attended the institution; Other records relating to the participation in FFEL or Direct Loan Program: three years after the end of the award year in which the records are submitted; Fiscal Operations Report, Application to Participate and supporting documentation: three years after the end of the award year in which the FISAP is submitted; Records involved in any loan, claim, or expenditure questioned by a Title IV, HEA program audit or review, investigation, or other review: until the resolution of that questioned loan, claim, or expenditure; or the end of the retention period applicable to the record, whichever is longer).

**(8) Student Records, Institutional:** *Enrollment Services:* Records used to establish student admission, enrollment status, period of enrollment and academic progress. Records include: academic transcript; admissions application; student course of study and enrollment history; ability to benefit test and test results; grade rosters; and Student Status Confirmation Report (SSCR). SEE ALSO: Student Academic Records. (Minimum retention: three years after the end of the award year in which the FISAP is submitted or until all questions resolved, whichever is longer).

Stat. Auth.: ORS 192 & 357

Stats. Implemented: ORS 192.005 - 192.170 & 357.805 - 357.895

Hist.: OSA 3-1998, f. 8-4-98, cert. ef. 8-5-98

## Financial and Accounting Records (166-450-0050)

The General Schedule is applicable to the financial and accounting records of community colleges. Retention periods apply to the official copy of all public records, regardless of medium or physical format, created or stored by the above specified agencies. Please note the exceptions to this General Schedule listed in OAR 166-030-0027 before disposing of records.

(1) **Account Reconciliation Records:** *Budget and Finance Department:* Records document the reconciliation of funds and accounts such as checks, cash, and bank accounts, fixed assets to capital expenditures. Records may include printouts; worksheets; bank statements, reports, schedules; and other supporting documentation. SEE ALSO: Accounts Receivable Records. (Minimum retention: Federal grant records: five years after annual of financial report accepted; Other records: three years).

(2) **Accounts Payable Records:** *Budget and Finance Department:* Records document expenditures and purchases and provides a record of payment of bills. Records may include but are not limited to encumbrance registers; purchase orders; balance sheets; bills; invoices; invoice vouchers; journal vouchers/entry forms; price quotes; requisitions; payment authorization; check request; reports of receipt of goods or services; petty cash, voucher register; and correspondence. SEE ALSO: Purchasing Records. (Minimum retention: Federal grant records: five years after annual of financial report accepted; Other records: three years).

(3) **Accounts Receivable Records:** *Budget and Finance Department:* Records document current status and transaction activity of college funds held in bank accounts, billings and collections, deferred tuition, and provides a record of money and miscellaneous debts owed to the college. Records may include but are not limited to bank statements; validated deposit slips and/or paid check copies; and reconciliation worksheets or spreadsheets; account edit sheets; credit card payment forms; invoices; journal vouchers; receipts; and correspondence. May also include account aging reports which are used to monitor accounts which are outstanding and overdue. (Minimum retention: three years after reconciled or deemed uncollectable).

(4) **Annual Financial Reports:** *Budget and Finance Department:* Records document the college's financial condition and results of operation using trial balance data. These reports are used to report and monitor the college's financial condition, and as a reference by auditors. Records may include combined balance sheet; combined statement of revenues; expenditures, changes in fund balance; notes to the financial statement; statistical reports, audit reports, general ledger, trial balance, and budget status reports. (Minimum retention: 20 years).

(5) **Audit Reports:** *Budget and Finance Department:* Records document the examination of the college's financial condition by internal or independent auditors. Audits examine the fiscal condition, internal controls and compliance policies and procedures, accounting principles and methods, the accuracy and legality of transactions. Records may include but are not limited to audit reports; audit work-papers; supporting documentation; and correspondence. May also include performance or program audits. SEE ALSO: Financial Reports. (Minimum retention: Official copy of audit and responses: 20 years; Grant fund audits: five years; Other records: one year after audit completed).

(6) **Bond Records, Financial:** *Budget and Finance Department:* Records document the authorization and payment of bonds to finance college construction and improvements. Records may include but are not limited to authorizations; supporting financial documentation; G.O. Bonds and certificates of participation, revenue bonds, bond ratings; sample copies of bonds issued; paid bonds; coupons; and receipts; bond register; and correspondence. SEE ALSO: Election records in the Administrative Records section. (Minimum retention: three years after final payment).

(7) **Budget Planning and Preparation Records:** *Budget and Finance Department:* Records are used to develop, propose, and plan budget requests for units, departments, or the college. Records may include but are not limited to budget requests; spread sheets; expenditure projection work papers; budget development instructions, schedules; allotment reports; past and current budget worksheets; salary worksheets; miscellaneous income reports; budget instructions and guidelines; capital outlay reports; equipment need reports; decision packages; budget committee minutes and agendas; spending plans; compensation plan proposals; contingency plans; and correspondence. SEE ALSO: Board of Education Records in the Administrative Records section. (Minimum retention: five years).

(8) **Budget Records:** *Budget and Finance Department:* Records document the annual financial plan approved by the college's governing board. Records may include but are not limited to adopted budgets, also called the Budget Document; budget allotment reports; budget messages; revenue and expenditure tracking records; status reports; operating programs, debt service, position, and wage analysis; and correspondence. SEE ALSO: Budget Planning and Preparation Records and Budget Status Reports in this section. (Minimum retention: Final approved budget document: 20 years; Other records: Most recent 2 budgets).

(9) **Budget Status Reports:** Records document departmental expenditures in relation to the approved budget and are used to monitor allotments, and expenditures. Records may include monthly or quarterly printouts of departmental expenditures and amounts available for use in various funds and accounts. Printout information may include but is not limited to fund or account name and/or code; object description; encumbrances or amount allocated; expenditures; balances; and related data. SEE ALSO: Budget Planning and Preparation Records, and Budget Records in this section; and Board of Education Records in the Administrative Records section. (Minimum retention: Year-end report: five years; All other reports: Until superseded).

(10) **Capital Construction Funding Records:** *Budget and Finance Department:* Records document the funding of capital construction projects on campus, and are used to prepare budgets and allocations for capital construction projects. Records may include but are not limited to project descriptions; budget projection and allocation records; budget authorization forms; budget change orders; final acceptance statements; and related documentation and correspondence. (Minimum retention: Life of structure).

(11) **Correspondence, Fiscal:** *Budget and Finance Department:* Records document significant communication between the college and other government agencies, vendors, students, and the public pertaining to fiscal policy, obligations, revenue and transactions. Records include letters sent and received by the college's administrative and/or business office staff. SEE ALSO: Administrative Records, Program in the Administrative Records section. (Minimum retention: three years).

(12) **General Ledger and Trial Balance Records:** *Budget and Finance Department:* Records provide a comprehensive listing of all fiscal transactions of the college and are used to prepare the college's Financial Reports. The General Ledger provide a record of fiscal transactions for all asset, liability, owners equity, revenue, and expenditure accounts for the college. The Trial Balance provides a list of all open accounts in the General Ledger and reflects the current financial position of the college. Information includes: debit, credit, and balance amounts per fund and account. SEE ALSO: Subsidiary Ledgers, Journals, and Registers, and Financial Reports. (Minimum retention: Fiscal year-end reports: 20 years; Other reports: Until superseded).

(13) **Grant Records, Financial:** *Budget and Finance Department:* Records document the expenditure data and status of federal and other grants received by the college. The records may include but are not limited to grant applications; project narratives; proposed budgets; notices of grant awards; project reviews; fund request; project reports; capital outlay expenditure reports; adjustment notices; contract; financial reports; performance reports; federal evaluations; allocation preparation reports; grant status summaries; reimbursement request; correspondence; and quarterly, annual and final expenditure reports. May also include grant related fixed-asset purchase, inventory, and disposal records. SEE ALSO: Grant Records, Administrative in the Administrative Records section. (Minimum retention: five years after final or annual expenditure report accepted; Fixed asset records: two years after disposition of assets).

(14) **Journal Vouchers:** *Budget and Finance Department:* Records document authorization and movement of funds between college accounts and cost center. The records include journal vouchers which show account numbers, amount, authorizing signature, and related information. The records may also include intra-institutional voucher which provide detail of internal charge-backs for campus services such as phones, postage, copying and media. May also include documentation explaining and/or justifying transfer. (Minimum retention: three years).

(15) **Purchasing Records:** *Budget and Finance Department and Purchasing:* Records document the purchase of goods and services by the college. Records may include but are not limited to purchase orders; purchase authorizations; requisitions; contract release orders; vouchers; telephone service orders; vendor files; and correspondence. SEE ALSO: Bids and Award Records in the Contracts and Agreements section. (Minimum retention: Vendor files: Until superseded or obsolete; Other records: three years).

(16) **Receipts and Receipt Registers:** *Budget and Finance Department:* Records document cash received or distributed by the college. It also documents all money received and deposited to department accounts through daily deposits. This series may include but is not limited to validation receipts; cash register tapes; bank deposit slips; check stubs; departmental deposit vouchers; cash receipt slips; petty cash balance sheets; bank deposit slips; checks, check register; cash by account reports; and monthly cash register reports. (Minimum retention: three years).

(17) **Subsidiary Ledgers, Journals, and Registers:** *Budget and Finance Department:* Records document details of transactions such as those related to receipts and expenditures on a daily, monthly, quarterly, or similar basis. Includes journals, ledgers, registers, day books, and other account books that provide backup documentation to the general ledger. May include

details of revenues, expenditures, encumbrances, cash receipts, warrants and others. Information often includes date, payee, purpose, fund credited, or debited, check number, and similar or related data. Note: These ledgers, journals, and registers may no longer be created due to the automation of accounting systems. (Minimum retention: Trust fund ledgers: two years after trust fund closed; Other subsidiary ledgers, journals, and registers: two years).

Stat. Auth.: ORS 192 & 357

Stats. Implemented: ORS 192.005 - 192.170 & 357.805 - 357.895

Hist.: OSA 3-1998, f. 8-4-98, cert. ef. 8-5-98

## **Health Services Records (166-450-0055)**

The General Schedule is applicable to the health services records of community colleges. Retention periods apply to the official copy of all public records, regardless of medium or physical format, created or stored by the above specified agencies. Please note the exceptions to this General Schedule listed in OAR 166-030-0027 before disposing of records.

(1) **Communicable Disease Records:** Records fulfill the public health requirement of reporting the discovery of communicable disease. Records may include but are not limited to laboratory test results; name and address of student; date; and person making referral. Information is transferred to the county health department but the log is maintained by laboratory. *Records may be exempt from public disclosure per ORS 192.502(2).* (Minimum retention: five years).

(2) **Laboratory Inspection Records:** Records document periodic in-house inspection of laboratory equipment. Records may include but are not limited to a checklist of all equipment, calibrations, and conditions. (Minimum retention: Two most recent inspections).

(3) **Laboratory Test Requests:** Records document physician orders for laboratory tests for students receiving services at the student health center. Records consist of lab test request forms showing name of student, date, test(s) ordered, and physician's signature. (Minimum retention: five years).

(4) **Licensure Records:** Records document the licensing of student health center and facilities. Records may include but are not limited to license applications; license and inspection reports; and correspondence. (Minimum retention: Until superseded).

(5) **Medical Records:** Records document medical services provided to students by the student health center. Records may include but are not limited to summary sheets; bacteriology test results; treatment record forms; diagnosis sheets; health history/screening sheets; initial evaluation/assessment sheets; referral sheets; health center billing statements; personal health history sheets; dental examination sheets and X-rays; laboratory test results; physical therapy notes; X-ray release forms; X-ray requisitions with narrative of radiologist; notes; memoranda; and correspondence. SEE ALSO: Student Athletes Medical Records in Intercollegiate Athletics Records section. *Records may be exempt from public disclosure per ORS 192.502(2).* (Minimum retention: seven years after last service or until 21st birthday, whichever is longer).

(6) **Patient Satisfaction Surveys:** Records document patient comments on services provided by the student health center and are used to plan changes in services. The surveys may include but are not limited to rating of services; type of services rendered; statistics about the student; and possibly names and addresses. (Minimum retention: three years).

(7) **Pharmacy Prescription Dispensing Records:** Records are used to provide an individual, daily summary, and annual summary record of initial drug dispensing and refills administered by the student health center as required by the Oregon State Pharmacy Board. Records may include but are not limited to prescription slips; in-house computer-generated Rx registers; controlled substance reports; and data base purge reports. (Minimum retention: three years).

(8) **Practitioner Schedules:** Records document the practitioners' work schedules and are used to clarify assigned responsibilities. Records include dates and times of assignments, practitioner names, and responsibilities. (Minimum retention: two years).

(9) **Student Health Insurance:** Records document students selection and purchase of insurance policies through the health center. The records may include but are not limited to benefit explanations; payment summaries; photocopies of checks; invoices; policy change sheets; ledgers; individual student correspondence relating to their coverage; and correspondence with the insurance company. (Minimum retention: five years).

Stat. Auth.: ORS 192 & 357

Stats. Implemented: ORS 192.005 - 192.170 & 357.805 - 357.895

Hist.: OSA 3-1998, f. 8-4-98, cert. ef. 8-5-98

## **Information Management Systems (166-450-0060)**

The General Schedule is applicable to the information management records of community colleges. Retention periods apply to the official copy of all public records, regardless of medium or physical format, created or stored by the above specified agencies. Please note the exceptions to this General Schedule listed in OAR 166-030-0027 before disposing of records.

(1) **Computer Services Disaster Recovery Plans:** *Institutional Technology Department:* Records document the steps to take in case of a major disaster which has destroyed or compromised the operations of the department. Components of the recovery plan include but are not limited to physical plant repair which includes a description of equipment needed and steps to be taken to repair the physical plant and its infrastructure such as electrical and air conditioning systems; equipment restoration including contacts with equipment suppliers and a list of replacement equipment to be purchased; data restoration including steps to be taken to reload data, recover data, reconnect networks, reestablish telephone connections, and reconnect modems and data phones; and related procedures and needs dealing with risk management, public relations, and financial issues. (Minimum retention: Until superseded).

(2) **Computer System Maintenance Records:** *Institutional Technology Department:* Records document the maintenance of computer systems and are used to ensure compliance with any warranties or service contracts; schedule regular maintenance; diagnose system or component problems; and document system backups. Records may include but are not limited to computer

equipment inventories; hardware performance reports; component maintenance records (invoices, warranties, maintenance logs, correspondence, maintenance reports, and related records); system backup reports; backup tape inventories; and related documentation. (Minimum retention: Records related to system or component repair or service: Life of system or component; Records related to regular or essential records backups: Until updated or obsolete).

**(3) Computer System Program Documentation:** *Institutional Technology Department.* Records document the addition, modification, or removal of software from a computer system. Records usually fall into six categories: 1) records that document operating systems; 2) records that document the in-house creation and modification of application programs; 3) records that document the structure and forms of datasets; 4) records that document the use of commercial software packages; 5) records that document the structure of the system; and 6) records that document system-to-system communication. Records may include but are not limited to system overviews, operations logs, job listings, operator instruction manuals, system development logs, system specifications and changes, conversion notes, dataset logs, dataset inventories, dataset record layouts, hard copies of table, data dictionaries, data directories, programming logs, program specifications and changes, record layouts, user views, control program table documentation, program listings, commercial software manuals and related documentation. SEE ALSO: Information System Planning and Development Records, Software Management Records, and Computer System Maintenance Records, this section. (Minimum retention: For the life of the system).

**(4) Information System Planning and Development:** *Institutional Technology Department.* Records document the planning and development of information systems. Although these records typically document computerized information systems, they may also document manual filing systems and microfilm systems. The records are used to ensure that planned systems will help the department fulfill its missions, are cost-effective, conform to adopted information standards, and integrate with existing information systems. Records may vary according to the level of documentation required for each system and may include but are not limited to information technology plans, feasibility studies, cost-benefit analyses, department or program studies and surveys, system specifications and revisions, component proposals, technical literature, vendor literature and proposals, and related correspondence and documentation. SEE ALSO: Computer System Program Documentation in this section. (Minimum retention: Implemented systems: For the life of the system; Unimplemented systems: three years).

**(5) Software Management Records:** *Institutional Technology Department.* Records document the use of information systems software. Records are used to ensure that software packages are compatible, that license and copyright provisions are complied with, and that upgrades are obtained in a timely manner. Records may include but are not limited to software purchase records, software inventories, software licenses, site licenses, and related correspondence and documentation. SEE ALSO: Software Licensing Agreements in Contracts and Agreements Records section. (Minimum retention: Until software is disposed of).

Stat. Auth.: ORS 192 & 357

Stats. Implemented: ORS 192.005 - 192.170 & 357.805 - 357.895

Hist.: OSA 3-1998, f. 8-4-98, cert. ef. 8-5-98

## **Institutional Research Records (166-450-0065)**

(1) The General Schedule is applicable to the institutional research records of community colleges. Retention periods apply to the official copy of all public records, regardless of medium or physical format, created or stored by the above specified agencies. Please note the exceptions to this General Schedule listed in OAR 166-030-0027 before disposing of records.

(2) **Institutional Research and Reporting Records:** *Institutional Technology Department:* Records document the college's reporting to federal and state agencies such as the US Department of Education, National Center for Education Statistics, State Education Department, Office of Community College Services, and the State Office of Education Policy and Planning. Reports are prepared for such topics as adult education grants; Perkins professional technical grants; student right to know; graduation rates; enrollment, course data; staff data; financial data; and other topics as needed. Also documents research and reporting for internal management information such as outcome/performance measures, public affairs information, general information regarding enrollment and demographics, ad hoc department requests, accreditation, and other topics as needed. Reporting systems include Integrated Post Secondary Education Data System (IPEDS) and Oregon Community College Unified Reporting System (OCCURS). The records include but are not limited to hard copy, electronic, and microfilm draft and final reports; surveys; and correspondence. (Minimum retention: IPEDS reports, OCCURS reports, and other official reports to the Office of Community College Services or U.S. Department of Education: 10 years; Other reports: five years; Preparation material: one year).

Stat. Auth.: ORS 192 & 357

Stats. Implemented: ORS 192.005 - 192.170 & 357.805 - 357.895

Hist.: OSA 3-1998, f. 8-4-98, cert. ef. 8-5-98

## **Institutional Service Records (166-450-0070)**

The General Schedule is applicable to the institutional service records of community colleges. Retention periods apply to the official copy of all public records, regardless of medium or physical format, created or stored by the above specified agencies. Please note the exceptions to this General Schedule listed in OAR 166-030-0027 before disposing of records.

(1) **Mail, Copy, and Print Services Account Records:** *Auxiliary Services:* Records document the processing and clearing of accounts for mail, copy, and print services. Records may include but are not limited to account summaries of outgoing postage charged to departments; periodic reporting of charges to college accounts for printing and copy services; payment of charges; and related documentation. Records may be referred to the business office for collection and servicing of accounts. (Minimum retention: Copy machine accounts: three years; Other accounts: one year).

(2) **Postal and Shipping Records:** *Auxiliary Services:* Records document the mailing, shipping, and receipt of items by the U. S. Postal Service, UPS, Federal Express, and other private carriers. Records may include but are not limited to delivery receipts; receipt verification notebooks; incoming and outgoing certified, registered, insured, or express mail records; outgoing and upkeep records; and related documentation. (Minimum retention: three years).

(3) **Work Orders Records:** *Facilities Department:* Records document requests and authorizations for needed services and/or repairs to college property and equipment. Records may include but are not limited to copy center, printing, photography, microfilming requests and work orders; telephone service and installation requests and change orders; maintenance and repair authorizations; and related correspondence and documentation. (Minimum retention: one year).

Stat. Auth.: ORS 192 & 357

Stats. Implemented: ORS 192.005 - 192.170 & 357.805 - 357.895

Hist.: OSA 3-1998, f. 8-4-98, cert. ef. 8-5-98

### **Intercollegiate Athletics Records (166-450-0075)**

The General Schedule is applicable to the intercollegiate athletics records of community colleges. Retention periods apply to the official copy of all public records, regardless of medium or physical format, created or stored by the above specified agencies. Please note the exceptions to this General Schedule listed in OAR 166-030-0027 before disposing of records.

(1) **Athletic Eligibility Records:** Records document verification by the athletic director of student athletes' academic progress to the Northwest Athletic Association of community colleges (NWAACC). These records include computer generated academic progress reports. (Minimum retention: five years).

(2) **Athletic Scheduling Records:** Records document competition schedules set up with other colleges by coaches and the athletic director. Records may include but are not limited to contracts; final schedules; and related documentation and correspondence. (Minimum retention: six years after expiration).

(3) **Game Arrangement Records:** Records provide a reference record of arrangements made for and the schedules of past games. Records may include but are not limited to team practice schedules; team position assignments/depth charts; itineraries; bus lists; notes; and related documentation and correspondence. (Minimum retention: one year).

(4) **Game Statistics:** Records may include but are not limited to player academic statistics; season and game player statistics; rankings; awards information; NWAACC game statistics; all-conference nominations; numerical rosters; media guides; narrative reports on games; final team statistics for each game; NWAACC official scoring summaries; and related documentation and correspondence. (Minimum retention: 20 years).

(5) **Practice Schedule Records:** Records are used to monitor practice time for athletic teams and assist in complying with NWAACC rules and regulations. Records consist of team rosters indicating time spent in practices, meetings, training and conditioning, and competition. (Minimum retention: one year).

(6) **Student Athletes Eligibility Records:** Records document the participation of student athletes; providing records of academic progress while students are involved in athletic programs at the institution; and complies with NWAACC and other applicable conference

reporting requirements. These records include letters of intent; Talent Grant or athletic scholarships awarded, renewals of letters of intent; NWAACC Progress or other conference reports; students' request for release from athletic programs; disciplinary memoranda; and related correspondence. (Minimum retention: three years).

(7) **Student Athlete Medical History Records:** Records document the medical history of each athlete before and during his/her attendance at the college. Records may include but are not limited to annual health appraisals; authorization to release information forms; treatment consent forms; assumption of risk forms; accident reports; off campus treatment source records; and insurance questionnaires. Some records may be duplicated Medical Records in Health Services. SEE ALSO: Medical Records in Health Services Records section. *Information may be exempt from public disclosure per ORS 192.502(2).* (Minimum retention: three years).

Stat. Auth.: ORS 192 & 357

Stats. Implemented: ORS 192.005 - 192.170 & 357.805 - 357.895

Hist.: OSA 3-1998, f. 8-4-98, cert. ef. 8-5-98

### **Library and Media Records (166-450-0080)**

The General Schedule is applicable to the library and media records of community colleges. Retention periods apply to the official copy of all public records, regardless of medium or physical format, created or stored by the above specified agencies. Please note the exceptions to this General Schedule listed in OAR 166-030-0027 before disposing of records.

(1) **Acquisition Records:** *Library and Media:* Records document the process of requesting, ordering, acquiring and receiving books, periodicals, audio-visual, and other library materials. Provides a record of all items added and withdrawn each month. Records include but are not limited to hard copy and/or electronic purchase request forms which list the title and other bibliographic information about the item requested; requesters' name; request tracking data; subject area; authorization signature; and related documentation. Records may also include electronic bibliographic records which are downloaded from the OCLC into the library catalogue, notations of receipt of material; and accession registers; SEE ALSO: Accounts Payable Records in the Financial and Accounting Records section and Library Catalog in this section. (Minimum retention: Requesting and ordering records: two years; Purchasing records: three years; Other records: one year).

(2) **Audio-Visual Materials and Equipment Loan Records:** *Instructional Media:* Records document the loan, rental, scheduling, billing, and delivery of audio-visual materials and equipment to college faculty, students, staff, and other qualified patrons for classroom and in-library use. Media equipment may include televisions; overhead, slide, and film projectors; VCR's; screens; tape recorders; microphones; computer LCD panel projector systems; monitors and other equipment. Audio-visual materials may include films; filmstrips; videos; audio tapes; CD's and other media. Records include request forms; reservation records; booking and scheduling records; delivery records; periodic equipment usage reports; and related documentation. Records may also include an electronic inventory database containing equipment identification; purchase date and cost; vendor; location; maintenance and repair data; and disposition. (Minimum retention: Request forms: 1 term; Delivery records and statistical reports: five years).

(3) **Borrower Registration Records:** *Library:* Records grant students, faculty, staff, and other patrons of the library the privilege to use library resources and are used to control the circulation of library holdings. Records may be in the form of a library card, a bar code, or other record identifying and qualifying the patron. SEE ALSO: Circulation Records in this section. (Minimum retention: Until patron no longer registered at college and account cleared).

(4) **Circulation Records:** *Library:* Records document the borrowing of circulating library materials by faculty, students, staff, and other qualified patrons. Records are generally maintained electronically and transaction resolution may delete the active on-line record. Hard copy records may include statistical reports detailing transactions for management use. Information may include but is not limited to name and identification of the borrower; titles of material borrowed; due date; overdue and fine payment notation; if item lost, or temporarily removed from circulation for repair; and related information. SEE ALSO: Library Reports, Borrower Registration Records, Audio-Visual Materials and Equipment Loan Records, and Overdue Records in this section. *Information may be exempt from public disclosure per ORS 192.501(10).* (Minimum retention: Statistical reports: 10 years; Other records: Until transaction is completed).

(5) **Cooperative Regional Library Contract Records:** *Library:* Records document the agreements between college and cooperative regional library services. Records include but are not limited to establishing documents, including original petition, Secretary of State, declaration of petition, and official notarized county election results; contracts and addendum's concerning the provision of library services; the sharing of materials; financial arrangements and reimbursement for services; agreement with the courier service concerning the movement of materials between libraries; and related correspondence and documentation. SEE ALSO: Cooperative Regional Library Service Records in this section. (Minimum retention: six years after expiration).

(6) **Cooperative Regional Library Service Records:** *Library:* Records document the establishment and administration of a regional cooperative library system, and the activities of advisory and policy groups founded to facilitate sharing information resources among libraries. Records may include but are not limited to establishing documents; meeting agendas; minutes and exhibits; reports and handouts; newsletters, publications; notes; working papers; membership lists; and correspondence. SEE ALSO: Cooperative Regional Library Contract Records in this section, and College Committee Records in the Administrative Records section. (Minimum retention: Establishment documents: Until service disestablished; Minutes and exhibits: 20 years; Other records: five years).

(7) **Films, Videotapes, and Sound Recordings:** *Instructional Media:* This section provides visual and audio documentation of college activities and events including college instruction, intercollegiate athletics, and other activities of students, faculty, and staff with significant relevance to the function and mission of the college or an individual unit. These productions are created for recruitment and orientation, fund-raising, publicity, research, and teaching. Records may include satellite video tapes, videos or films of courses and seminars, community and general interest programs, and other programs provided by the college. Records may include but are not limited to identified and labeled video tapes; motion picture films; phonographic recordings; audio tapes (all formats); compact audio discs; and transcriptions when available.

(Minimum retention: Final productions: Permanent; Preparation material and remaining footage, if final production does exist: Until final product completed; Acquired video tapes and films: Retain according to terms of license or copyright agreement with provider).

(8) **Inter-Library Loan Records:** *Library:* Records document materials borrowed and loaned by the library through an inter-library loan program in response to requests from patrons for materials in the college library. Materials may include books, serials, audio and video tapes, mixed media kits, and other library materials. Records may include but are not limited to ILL request forms; ALA request forms; lender and borrower request records generated from electronic sources such as OCLC; tracking logs; copies of citations; and related documentation. (Minimum retention: three years).

(9) **Library Catalog:** *Library:* Library catalog contains the bibliographic records of all library and audio-visual holdings including books, magazines and serials, films and videos, interactive media, and other AV materials. The catalog documents the acquisition and maintenance of library holdings; provides patrons with access to library holdings; and documents accessioning, de accessioning, and circulation of library materials. The catalog database is also used to produce reports on circulation activity, new acquisitions, and collection information. Records are generally created and maintained electronically and may contain modules for cataloging, serials, reserves, acquisitions, circulation, and community information. The holdings or inventory records, include but are not limited to title, author, subject entries, collection, call number, publication date, price or value, source, and related bibliographic documentation. SEE ALSO: Library Reports, Circulation Records, Acquisition Records in this section. (Minimum retention: (a) Holdings records: Until material withdrawn from the collection; (b) Serial holdings records: Until subscription terminated or holdings withdrawn).

(10) **Library Reports:** *Library:* Records document statistics and other data collected by the college library for internal research, collection development; planning and budgeting; to monitor library programs and activities; and to report to external sources such as the state library or the federal government. Records may include data tally sheets; summary compilations; and monthly, quarterly, or annual statistical and narrative reports based on the data collected. Records may also include records of additions and withdrawals from the collection; circulation records showing number of items checked out, category, number of holdings, time of checkout, length of checkout, student demographics, materials by subject, percentage of increase or decrease in activity, classes taught at the library, courier service statistics, special activities, and related documentation; courier service statistics; reference activity; inter-library loan activity; and overdue data. Statistics may be compiled manually or electronically. (Minimum retention: five years).

(11) **Overdue Records:** *Library/Budget and Finance:* This record series is used to monitor the status of overdue books and other library materials. Records may include but are not limited to notices sent to patrons notifying them of overdue materials; overdue records maintained in an on-line patron database; billing and collection records; overdue records involving material from other libraries in cooperative arrangements with the college library; and related documentation. Billing records may be referred to the Business Office for collection. SEE ALSO: Student Academic section; Accounts Receivable Records in the Financial and Accounting Records section. (Minimum retention: Until material returned, debts reconciled or deemed uncollectable, or transferred to Business Office; Records of open charges: 10 years).

(12) **Reference Records:** *Library:* Records document the activities of the reference unit. Records may include but are not limited to library orientation records; instructional request forms and scheduling data; periodic reports on reference usage and activities; and related documentation. (Minimum retention: one year).

Stat. Auth.: ORS 192 & 357

Stats. Implemented: ORS 192.005 - 192.170 & 357.805 - 357.895

Hist.: OSA 3-1998, f. 8-4-98, cert. ef. 8-5-98

## **Payroll Records (166-450-0085)**

The General Schedule is applicable to the payroll records of community colleges. Retention periods apply to the official copy of all public records, regardless of medium or physical format, created or stored by the above specified agencies. Please note the exceptions to this General Schedule listed in OAR 166-030-0027 before disposing of records.

(1) **Employee Time and Attendance Records:** *Human Resources:* Records document employee time worked and attendance. Records may include but are not limited to time cards or sheets; monthly summary reports of employee attendance; forms used to record attendance, sick, vacation, overtime, and compensatory time; requests and approval forms for leave; sick leave records; vacation leave records; absence, sick and vacation leave summary reports; overtime authorization or certification; and related documentation and correspondence. Some records may be duplicated in the employee's personnel file. SEE ALSO: Employee Payroll Records this section. (Minimum retention: (a) Time sheets: three years; (b) Summary reports: 1 academic year; (c) Other records: two years after employee separation).

(2) **Employee Payroll Records:** *Human Resources:* Records document individual employee pay history. The records may include but are not limited to employee time and attendance records; payroll authorization records; source documentation authorizing payroll deductions and withholding such as W-4 forms; PERS enrollment forms; insurance applications and beneficiary designations; leave authorization records; pay related personnel action documents; garnishment orders; child support claim records; electronic deposit authorizations; deduction reports; and correspondence. (Minimum retention: Records necessary for PERS enrollment: 75 years; Other records: five years after employee separation if records are filed under name of individual or three years if records are batch filed).

(3) **Payroll Register:** *Human Resources:* Records document the earnings, voluntary and required deductions and withholdings of all college employees. The records may include monthly listings of all paid employees with details of their earnings and deductions. (Minimum retention: Year-end official copy: 75 years; Other copies including monthly reports: one year).

(4) **Wage and Tax Statement:** *Human Resources:* Records document individual earnings and withholdings for state and federal taxes and social security. The records consist of Forms W-2 and wage and tax reports filed with the federal and state governments. (Minimum retention: five years).

Stat. Auth.: ORS 192 & 357

Stats. Implemented: ORS 192.005 - 192.170 & 357.805 - 357.895

Hist.: OSA 3-1998, f. 8-4-98, cert. ef. 8-5-98

## **Personnel Records (166-450-0090)**

The General Schedule is applicable to the personnel records of community colleges. Retention periods apply to the official copy of all public records, regardless of medium or physical format, created or stored by the above specified agencies. Please note the exceptions to this General Schedule listed in OAR 166-030-0027 before disposing of records.

(1) **Affirmative Action/Equal Opportunity Records:** *Human Resources:* Records document compliance with statutes and regulations of the US. Equal Employment Opportunity Commission including affirmative action. Records may include but are not limited to plans, updates, policy statements, reports, discrimination complaints, hearing and meeting records, supporting documentation, and other records described in 29 CFR 1613.222. (Minimum retention: Final Plans: 15 years after superseded; Equal Opportunity plans, updates and policy statements: 50 years; complaint records and documentation: three years after final decision; Other records: three years).

(2) **Bargaining Unit Records:** *Human Resources:* Records document negotiations and contractual agreements between the institution and bargaining units and are also used for labor relations planning. Records may include but are not limited to union contracts and amendments; tentative agreements; arbitrator's recommendations; negotiation work notes; strike contingency plans; management counter proposals; negotiation updates; newspaper clippings; press releases; research background material; employee classification printouts; Fair Share records; minutes, sound recordings, exhibits and reports of meetings; published manuals; and correspondence. (Minimum retention: Official copy: 20 years; Published manual: Until superseded).

(3) **Classification Specification Records:** *Human Resources:* Records document the development of the specification for each personnel position at the college. The records may include but are not limited to job analysis; classification specifications; position evaluations; position descriptions; and correspondence. (Minimum retention: five years after classification inactive or revised).

(4) **Collective Bargaining Records:** *Human Resources:* Records document collective bargaining between the college and bargaining unit(s). The records may include but are not limited to union contracts and amendments; tentative agreements; management counter proposals; arbitrator's recommendations; negotiation work notes; strike contingency plans; newspaper plans; newspaper clippings and press releases; research material; employee classification and compensation printouts; and correspondence. May also include conciliation, mediation, and grievance related records. (Minimum retention: Contracts: 50 years; Contract development records: 30 years; Grievance arbitration decisions: 30 years).

(5) **Compensation Plan Records:** *Human Resources:* Records document the development, operation and maintenance of the college's personnel compensation plans. The records may

include but are not limited to compensation plans; salary surveys; pay tables; merit matrixes; pay range tables; and correspondence. (Minimum retention: Compensation plans: five years after superseded; Other records: one year).

(6) **Criminal History Check Records:** *Human Resources:* Records document the criminal record checks made on students, staff and volunteers. Records consist of a form sent to the Department of Human Resources or Employment Department, Child Care Division to check the Oregon Law Enforcement Data System (LEDS) for the existence of criminal records for staff, students or volunteers. The criminal history form shows name and other identifying information about the student, volunteer, or staff member, indication of existence or absence of criminal record, and related information. SEE ALSO: Recruitment and Selection Records this section. *Information may be exempt from public disclosure per ORS 192.502(2).* (Minimum retention: two years).

(7) **Employee Benefits Records:** *Human Resources:* Records document individual employee benefit information such as selection of insurance plans, PERS status and other benefit program information. Records include but are not limited to insurance plan selection and application forms and enrollment cards; voluntary payroll deduction authorization forms; deduction termination forms; PERS enrollment and benefit designation forms; deferred compensation plan enrollment forms; and correspondence. SEE ALSO: Payroll Records section. *Portions may be exempt from public disclosure per ORS 192.502(2).* (Minimum retention: PERS Enrollment records: 75 years; Other records: two years after employee separation or eligibility expired).

(8) **Employee Medical Records:** *Human Resources:* Records document individual employee work related medical history. The records may include but are not limited to medical examination records -- pre-employment, pre-assignment, or episodic; X-rays; records of significant health or disability limitations related to job assignments; documentation of work related injuries or illnesses; hazard exposure records; first aid incident records; physician statements; drug test records; release consent forms; and correspondence. *These records must be kept physically separate from the employee personnel files as required by the Americans with Disabilities Act. Portions may be exempt from public disclosure per ORS 192.502(2).* (Minimum retention: Hazard exposure records: 30 years after separation, or as specified by 29 CFR 1910.20; Other records: three years after separation).

(9) **Employment Eligibility Verification Forms (I-9s):** *Human Resources:* Records document the filing of I-9 forms which verify that applicant and employees are eligible to work in the United States. These forms may be kept in Individual Employee Personnel Files or in a separate file for ease of reference. The records consist of U. S. Immigration and Naturalization Service Form I-9. Information includes employee information and verification data -- citizenship or alien status and signature; employer review and verification data documents which establish identity and eligibility, and employer's signature certifying that documents have been checked. (Minimum retention: The longer of three years or one year after employee separation).

(10) **Grievance Records:** *Human Resources/Student Services:* Records document grievances brought by or against faculty, staff, students, and people from outside the college. Grievances may be resolved formally or informally at the departmental level or they may be referred or appealed to a variety of offices, depending on the grievance, issues, and persons involved.

Records may include but are not limited to notice of grievances; informal discussions notes; formal hearing notes (including audio tapes); final summary statements; appeals documentation and correspondence. SEE ALSO: Student Grievance Records in the Student Records section, and Bargaining Unit Records, Collective Bargaining Records, and Affirmative Action/Equal Opportunity Records this section. *Information may be exempt from public disclosure per 192.502(2).* (Minimum retention: five years after resolved).

(11) **Individual Employee Personnel Records:** *Human Resources:* Records document individual employee work history. Records may include but are not limited to applications; notices of appointment; training and licenser (certification) records; records of health limitations; salary schedules; personnel actions; performance evaluations; teacher evaluation reports; letters of commendation and recommendation; letters of reprimand; notices of disciplinary action; notices of layoff; letters of resignation; home address and telephone disclosures; emergency notification forms; oaths of office; and related correspondence and documentation. Records may be exempt from public disclosure per ORS 192.502(2). SEE ALSO: Criminal History Check Records, Recruitment and Selection Records, Employee Medical Records, and Employee Benefits Records in this section. (Minimum retention: Employment applications (most recent and first successful), licensure (certification) records, personnel actions, oaths of office, home address/telephone disclosures, emergency notification form (most recent): 75 years after date of hire; Complaint and disciplinary records: three years; Other records: three years after separation).

(12) **Recruitment and Selection Records:** *Human Resources:* Records document the recruitment and selection of college employees. The records may include but are not limited to recruitment and application materials. *Portions may be exempt from public disclosure per ORS 192.502(2).* (Minimum retention: Unsolicited applications: three months; Other records: two years).

(13) **Staff Training Records:** *President's Office/Enrollment Services/Human Resources:* Records document the activities involved in developing and/or providing in-service and other training to college staff and faculty. Records may include but are not limited to flyers; calendars; credit records to document receipt of funds based on the participation; class enrollment and attendance records; copies of contract instructor agreements; and correspondence. The student academic database holds the records of academic courses, workshops, and training sessions which faculty and staff may attend. (Minimum retention: five years).

(14) **Wellness Program Records:** *Human Resources:* Records document the development and operation of the college's wellness program. The records include but are not limited to program statements; health surveys; health and committee records; newsletters; workshop and seminar records; and correspondence. (Minimum retention: three years).

Stat. Auth.: ORS 192 & 357

Stats. Implemented: ORS 192.005 - 192.170 & 357.805 - 357.895

Hist.: OSA 3-1998, f. 8-4-98, cert. ef. 8-5-98

## Public Safety Records (166-450-0095)

The General Schedule is applicable to the public safety records of community colleges. Retention periods apply to the official copy of all public records, regardless of medium or physical format, created or stored by the above specified agencies. Please note the exceptions to this General Schedule listed in OAR 166-030-0027 before disposing of records.

- (1) **Officer Notebooks:** *Facilities Department:* Notes written by officers during the course of a shift that may pertain to contacts, incidents, unusual circumstances, and other subjects. Information may include names, dates, times, vehicles, activities, locations, and related data. (Minimum retention: two years).
- (2) **Parking Records:** *Facilities Department:* Records document the issuance of permits and citations for on-campus parking. Records may include but are not limited to citations; appeal petitions; annual permit cards; temporary permits; parking permits reports; and related documentation and correspondence. (Minimum retention: two years).
- (3) **Vehicle Pool Inspection Records:** *Facilities Department:* Records document daily safety inspections of college Public Safety owned vehicles. Records include but are not limited to annual motor vehicle inspection reports, and related forms, documentation, and correspondence. SEE ALSO: Vehicle Records in Equipment/Supplies/Property Records section. (Minimum retention: one year).

Stat. Auth.: ORS 192 & 357

Stats. Implemented: ORS 192.005 - 192.170 & 357.805 - 357.895

Hist.: OSA 3-1998, f. 8-4-98, cert. ef. 8-5-98

## Publications and Promotional Records (166-450-0100)

The General Schedule is applicable to the publications and promotional records of community colleges. Retention periods apply to the official copy of all public records, regardless of medium or physical format, created or stored by the above specified agencies. Please note the exceptions to this General Schedule listed in OAR 166-030-0027 before disposing of records.

- (1) **Marketing Research Records:** *Marketing and Community Relations Department:* Records document research done to provide information about significant events and issues affecting the college. The records are used for research, and public information and education. The records include surveys; notes from focus groups; reports; studies; news clippings; and correspondence. (Minimum retention: three-five years).
- (2) **Press Releases:** *Marketing and Community Relations Department:* Records document college information officially released to the media for dissemination to the public. The records consist of press releases and public service announcements. (Minimum retention: five years).
- (3) **Publications:** *Marketing and Community Relations Department:* Records include publications produced by individual college offices, including student publications. It may be used to document the activities of the office for educational or informational purposes, or to

communicate programs, policies, and events. (Minimum retention: Final publication: Permanent; Preparation Records: Until final publication printed; College catalog: Permanent). Student handbook, commencement programs, ads, brochures, etc., ( minimum retention: three to five years)

Stat. Auth.: ORS 192 & 357

Stats. Implemented: ORS 192.005 - 192.170 & 357.805 - 357.895

Hist.: OSA 3-1998, f. 8-4-98, cert. ef. 8-5-98

## **Risk Management Records (166-450-0105)**

The General Schedule is applicable to the risk management records of community colleges. Retention periods apply to the official copy of all public records, regardless of medium or physical format, created or stored by the above specified agencies. Please note the exceptions to this General Schedule listed in OAR 166-030-0027 before disposing of records.

(1) **Accident, Injuries and Incident Records:** *Human Resources Department:* Records document the reporting and investigation of campus related accidents that result in injury to persons or their property. This record series may include accidents or incidents which involve hazardous chemical exposure; first aid reports; blood contaminations; body fluid spills; and other types of accidents. Records may include but are not limited to report of accident forms; complaints; investigation reports; insurance appraisals and estimates; photographs; and related documentation and correspondence and other campus incidents reports. Records document the reporting of accidents, criminal incidents, and other activities of the campus police or public safety office. Types of incidents may include vehicle accidents; fire alarm and fire drills, field interrogations; bookstore shoplifting incidents; telephone complaints and fraud; criminal incidents; motorist and public assistance requests; escort requests; suspicious behavior; requests to lock/unlock; and other security related activities. Records include but are not limited to incident reports which contain names, dates, course numbers, dollar values, locations, descriptions of incident, and personnel tallying report; copies of reports filed by Oregon State Police, the sheriff's department, or other local law enforcement agencies; notes and memos; vehicle accident reports; death reports; accident claims; damage liability, or loss of property reports; and correspondence. Records may be transferred or referred to Risk Management. (Minimum retention: five years).

(2) **Business Continuity and Recovery Plans:** Records document the development, implementation and updating of the college's plans for operations during and recovery from emergencies or disasters. The records include draft and final plans; and correspondence. (Minimum retention: Final plans: Until superseded; Other records: Until plan adopted).

(3) **Environmental Health and Safety Plans and Procedures:** Records document procedures to follow in the event of emergency such as earthquakes, floods, hazardous materials release, or other disaster. Records may include rules, plans, forms, and procedures which often relate to regulatory compliance according to OSHA standards such as hazardous communication standards, blood borne pathogens, or fork lift driver training. (Minimum retention: Adopted plans: 20 years; Other records if federal funding received: three years after annual or final expenditure report submitted; Other records if no federal funding received: two years).

(4) **Department of Motor Vehicles (DMV) Records:** Records may be used by campus safety and security officers for law enforcement purposes in accordance with ORS 341.300, 101.542 and 133.005. Information in the reports may include but is not limited to car license plate number; name of registered owner; address of owner; and related data elements. (Minimum retention: one year).

(5) **Hold Harmless/Liability Waivers:** *Human Resources Department:* Records document the release of the college from liability related to various activities involving students, or faculty, or staff. Waivers or hold harmless agreements may concern activities on college sponsored field trips, participation in physical education classes, and other activities. Information included in the waivers usually states that the participant assumes personal responsibility and holds the college blameless for any accident or injury; informs the student or participant of college insurance; describes the activity; and contains signatures and related information. (Minimum retention: six years after expiration).

(6) **Insurance Claims:** *Human Resources Department:* Records document requests for payment of personal or property claims filed by students, faculty, staff, or visitors to the college campus. Records may include but are not limited to copies of incident or accident report from the Public Safety department; narrative description of incident, accident, or injury; invoices; correspondence, and related documentation. SEE ALSO: Accidents, Injuries, and Incident Reports in this section. (Minimum retention: Property claims: five years after all claims settled or closed; Personal claims: 10 years after all claims settled or closed).

(7) **Insurance Policies:** *Human Resources Department:* Records document the terms and conditions of insurance policies between the college and insurers. Types of insurance may include but are not limited to general liability, volunteer, property, computer equipment, automobile, professional child care, and workers compensation. Records may include but are not limited to insurance application forms which state information about college employees, building, and property needed to purchase insurance; and related correspondence and documentation. (Minimum retention: 10 years after policy expired).

(8) **Key Issuance Records:** *Facilities Department:* Records document key assignments and deposits (if applicable) for college faculty, staff, students, and others using college facilities. Series also documents administration of the automatic access card system. Records may include but are not limited to key or access card issue approval forms; return forms; key and card inventories; paid receipts; refund forms; key and card logs; and related documentation and correspondence. (Minimum retention: one year after key returned).

Stat. Auth.: ORS 192 & 357

Stats. Implemented: ORS 192.005 - 192.170 & 357.805 - 357.895

Hist.: OSA 3-1998, f. 8-4-98, cert. ef. 8-5-98

## **Risk Management and OSHA Employee Safety Training Records (166-450-0110)**

The General Schedule is applicable to the risk management and OSHA employee safety training records of community colleges. Retention periods apply to the official copy of all public records, regardless of medium or physical format, created or stored by the above specified

agencies. Please note the exceptions to this General Schedule listed in OAR 166-030-0027 before disposing of records.

(1) **OSHA Employee Safety Training Records:** *Human Resources Department:* Records document student and staff training and certification for equipment operation and driver training. Records may include but are not limited to sign off sheets indicating that employees have received training; instruction sheets; copies of data sheets; informational materials; and related documentation and correspondence. Includes group training sessions. Records document training programs in compliance with OSHA programs and standards. Examples of training programs include hazardous communication, blood borne pathogens, fork lift driver training, and other areas. Records may include but are not limited to class lists, instructional materials, bibliographies, handouts, training certification forms, and related documentation. SEE ALSO: Environmental Health and Safety Plans and Procedures this section. (Minimum retention: two years).

(2) **Risk Factor Reports:** *Human Resources Department:* Records document annual report from the insurance company analyzing insurance claim activity and assessing campus safety in order to determine appropriate insurance needs. Records include but are not limited to a report to the college's board of education or governing board from the insurance company; and related documentation may include records of RFP in agent selection procedures. (Minimum retention: five years).

(3) **Safety Committee Records:** *Facilities Department:* Records document the actions and activities of workplace safety committees which oversee or advise the college on workplace safety issues. Records may include but are not limited to agendas, minutes, exhibits, reports, and related correspondence. Subjects may include hazards to employees, students, and the general public; construction design and repair safety concerns; suggestions; complaints; state and federal rules and regulations; and related issues. (Minimum retention: three years).

(4) **Safety Inspection Records:** *Facilities Department* Records document safety inspections and college compliance with state and local safety regulations. Records may include internal inspections of campus buildings, facilities, or activities to identify unsafe conditions and safety hazards, especially in high risk areas. Safety inspections may be generated by the workplace safety committee or required by state and local laws. Records may also include reports on building, fire alarm system, elevator, and boiler inspections performed by state and local agencies as well as citations received by the college. Records may include but are not limited to inspection reports, follow-up actions, survey summaries and reports, correspondence, and related documentation. (Minimum retention: 10 years).

Stat. Auth.: ORS 192 & 357

Stats. Implemented: ORS 192.005 - 192.170 & 357.805 - 357.895

Hist.: OSA 3-1998, f. 8-4-98, cert. ef. 8-5-98

## **Student Housing and Food Services Record (166-450-0115)**

The General Schedule is applicable to the student housing and food services records of community colleges. Retention periods apply to the official copy of all public records, regardless

of medium or physical format, created or stored by the above specified agencies. Please note the exceptions to this General Schedule listed in OAR 166-030-0027 before disposing of records.

(1) **Catering and Special Event Records:** Records document catering service and housing accommodations for special events hosted by the college. Records may include but are not limited to campus housing registration cards; customer room occupancy lists; catering service orders; purchase and supply records; billing records; customer evaluations; summary reports; and correspondence. (Minimum retention: two years).

(2) **Student Housing Contract Appeals Records:** Records document appeals made by residents who have been assessed penalties for failing to follow the terms and conditions of their housing and food service contracts. The records include students' appeals stating their reasons for seeking modification on contract terms; decisions from the director of housing, including instructions for further appeal; and correspondence. (Minimum retention: Appeals denied: one year; Appeals accepted: six years after contract expires).

(3) **Student Housing Contract Records:** Records document contracts for the occupancy of college administered housing such as residence halls, family housing, and cooperative and/or contract housing. The records may include but are not limited to housing applications; contracts; proof of admission records; and correspondence. (Minimum retention: six years after expiration).

(4) **Student Housing Incident Records:** Records document incidents of injury, vandalism, and other infractions of housing rules and the disposition of such incidents. The records may include but are not limited to incident reports; housing director's written decisions; student appeals of decisions; and correspondence. (Minimum retention: one year after case closed).

Stat. Auth.: ORS 192 & 357

Stats. Implemented: ORS 192.005 - 192.170 & 357.805 - 357.895

Hist.: OSA 3-1998, f. 8-4-98, cert. ef. 8-5-98

## **Student Records, Academic (166-450-0120)**

The General Schedule is applicable to the student records, academic records of community colleges. Retention periods apply to the official copy of all public records, regardless of medium or physical format, created or stored by the above specified agencies. Please note the exceptions to this General Schedule listed in OAR 166-030-0027 before disposing of records.

(1) **Assessment Placement and Testing Records:** *Counseling Department and Testing Centers:* Records document the administration of assessment, placement, diagnostic, challenge exams and other formal tests. Types of testing and assessment services offered may include but are not limited to entrance, placement, or skills tests such as General Education Development (GED) test; aptitude test; vocational aptitude and interest surveys; personality inventories; career self-exploration research tests and surveys; placement tests for math, reading, and writing skills; or hearing and vision tests. Records may include but are not limited to rosters of test takers; testing rules and regulations; test administration records; examiner's manuals; exams and tests; test order and payment records; placement and test results; and

summary reports. *Records may be exempt from public disclosure per ORS 192.502(2).* (Minimum retention: Placement test, GED tests, GED Completer files and NLN test records: five years; Special academic program orientation records, demographic forms, sign-in sheets, score sheets, surveillance logs, seating charts, GED essays, one year; Accommodated test records, GED records request forms two years; Other records: five years).

(2) **Apprenticeship Records:** Apprenticeship Department: Records document the admission, employment, attendance, progress to program completion by students and administration of the program in accordance with Bureau of Labor and Industry requirements. Records may include: applications, minimum qualifications documentation, apprenticeship agreement, placement/lay-off/termination slips, evaluation & progress records, disciplinary actions/notices, related training attendance reports, related training grades, completion records, termination records, (Minimum retention: All listed records, five years. Other Records; Maintained at the discretion of the committee).

(3) **Grade Records:** *Enrollment Services:* Records document the grades awarded by instructors of and serves as the basis for the students' official academic records. Records may include test, assignment, paper, and homework scores; attendance records; and final grades for students. Records in this series may include but are not limited to instructor's grade books; grade confirmation reports; grade change records; final grade rosters; and related documentation which is reported to the Registrar's Office for inclusion in the student's academic record. Records may also include grade reports, report cards, and grade histories which are distributed to students at the end of each term and which indicate course numbers and titles, grades, awarded and grade point average. SEE ALSO: Student Academic Records. Information may be exempt from public disclosure per ORS 192.502(2). (Minimum retention: Official electronic grade records: 75 years; Grade change forms or grade sheets: 10 years; Contested grade records: Until resolved; Other records: one year).

(4) **Graduation Evaluation Records:** *Enrollment Services Department:* Records document the progress made toward graduation by students. Records may include but are not limited to applications for graduation; degree audits or evaluations by program; correspondence; departmental notes and working papers; and related documentation. SEE ALSO: Student Academic Records this section. (Minimum retention: Applications for graduations, degree audit records, curriculum deviation/course waiver forms, transcripts from other colleges, transfer credit evaluation forms, or any other documents related to graduation evaluations: 10 years; Electronic or paper confirmation that student completed degree requirements: 75 years; Diploma replacement requests: one year).

(5) **Student Academic Advising Records:** *Counseling Department:* Records document the student's academic progress within a specific department or program, including student athletes. Most of the components in these records are reference copies of records maintained in the files of the Registrar's Office and are maintained for the convenience of the student academic advisors. *Records may be exempt from public disclosure per ORS 192.502(2).* (Minimum retention: one year).

(6) **Student Academic Records:** *Enrollment Services Department* Records document the admission and academic progress of students enrolled in the college. Records may include but

are not limited to the following notice of acceptance to limited entry program, registration and add/drop forms, international student applications no show, I-20 issued, request for audit and pass/no pass forms, transcripts from high school other colleges, applications for admission international student records, final and articulated grade sheets, challenge/credit by assessment documents, grade change requests, official transcript, record of academic probation or suspensions, FERPA Student Status Confirmation Reports, records requests and disclosures, report cards, grade change requests, student schedules, tuition and fee information, demographic information, residency verifications, change of major notification, and underage enrollment documentation. *Information may be exempt from public disclosure per 192.502(2).* (Minimum retention: Transcripts, record of academic probation or suspension, and records relating to student records requests and disclosures: 75 years; Final and articulated grade sheets, challenge/credit by assessment documents, and grade change requests: 10 years; International student records: five years; Applications for admissions: three years; Other records: one year).

(7) **Veterans Student Records:** *Financial Aid Department:* Records document the status of military veterans who have requested veterans benefits and are registered as students of the college. Records may include but are not limited to correspondence; records completed and submitted to the Veterans Administration to request, start, or reinstate veterans benefits; and other records that document student participation in a variety of educational benefits programs for veterans. Selected information about veterans may be maintained electronically in the student's record; other records are maintained in paper form in veterans student files. SEE ALSO: Student Academic Records this section. (Minimum retention: three years following termination of enrollment period).

Stat. Auth.: ORS 192 & 357

Stats. Implemented: ORS 192.005 - 192.170 & 357.805 - 357.895

Hist.: OSA 3-1998, f. 8-4-98, cert. ef. 8-5-98

## **Student Records, Other (166-450-0125)**

The General Schedule is applicable to the student records, other records of community colleges. Retention periods apply to the official copy of all public records, regardless of medium or physical format, created or stored by the above specified agencies. Please note the exceptions to this General Schedule listed in OAR 166-030-0027 before disposing of records.

(1) **Agency Sponsored Program Records:** Records document the participation of agency-sponsored students in college programs. Agencies might include, but are not limited to, Adult and Family Services (AFS) Division, Job Opportunities and Basic Skills (JOBS), Vocational Rehabilitation Division, Vocational Rehabilitation Division (VRD), Veterans' Administration, Jobs Training and Preparation Act (JTPA), Social Security and local agencies. Records may include participant case files, specific applications for service, employment development plans (EDP), fee expenditures' documents, progress files, and case correspondence. (Minimum retention: five years).

(2) **Cooperative Work Experience Records:** *Instructional Division:* Records document student participation in and college administration of cooperative work experience programs which

provide credit for learning on the work site. Records include training agreements and learning objectives contracts between the college, student and employer; work habit evaluation reports; registration records which are entered into the student's academic record; and related correspondence and documentation. (Minimum retention: Contracts and agreements: six years after expiration; Other records: 10 years).

(3) **Occupational Skills Training Records:** *Instructional Division:* Records document student participant in and college administration of programs designed to provide occupational skills training for persons recruited from governmental programs such as vocational rehabilitation, workers compensation, or veterans' programs. Records include but are not limited to student attendance and job performance reports; progress in learning objectives report; counseling case files and notes; and related correspondence and documentation. (Minimum retention: five years).

(4) **Peer Assistant Program Records:** *Instructional Division:* Records document the administration and activities of the peer assistant program. Peer assistants are trained college students who assist other student with the personal, academic, and social concerns; refer students to college counselors; provide information about college and community resources; assist with student orientation; make presentations; and assist the counseling and advising staff in a variety of ways. Records may include but are not limited to student application and selection records including application forms, reference letters, transcripts, and interview records including application forms, reference letter, transcripts, and interview records; training and work schedules; evaluation records; reports summarizing program activities and analyzing the assistance provided; activity contact logs; meeting agendas and minutes; program notebooks or files containing records about funding, recruitment, publicity, projects, and training; and related correspondence and documentation. (Minimum retention: one year).

(5) **Placement Service Records:** Records document student participation in the job placement services provided by the college for students and others in the community. Records may include but are not limited to job history records; list of employers and job listings; job postings; correspondence with employers; and related documentation. SEE ALSO: Student Academic Records. (Minimum retention: one year).

(6) **Services to Students with Disabilities Program Records:** *Disability Services:* Records document student participation in the Services to Students with Disabilities Program. The records may include but are not limited to health professional evaluation reports; recommendations for student applicants; high school transcripts and academic work-sheets; autobiographical essays; special admissions applications checklists; physicians' statements and letters of recommendation; counseling interview notes; counseling referrals; records of services provided; diagnostic test result and correspondence. *Some records may be exempt from disclosure because of Americans with Disabilities Act.* (Minimum retention: one year after date last attended).

(7) **Student Advising and Counseling Records:** *Counseling Department:* Records document college counseling and "non-academic" advising activities such as career planning and selection, personal counseling, and educational planning and monitoring. Records may include but are not limited to personality and interest tests; advisor or counselor notes; records and test

scores from outside agencies; test and assessment results; and related documentation. SEE ALSO: Student Academic Advising Records in the Student Records, Academic section. *Portions of these records may be exempt from public disclosure per ORS 192.502(2).* (Minimum retention: five years).

(8) **Student Exchange Participant Records:** Records document student participation in a community college student exchange program. Records may include but are not limited to letters of application; applications for admission to the college as special students; notices of admission to host institutions; personal data sheets; and related documentation and correspondence. (Minimum retention: one year).

(9) **Student Government Administrative Records:** *Student Services Division:* Records document the history, development, and policies of campus student organizations, including student clubs, government, and newspaper. This series may include but is not limited to student organization annual review forms; minutes; constitution and by-laws; committee and task-force records; election records; student senate bill and resolution files; budget and accounting records; officer and member rosters; scrapbooks; photographs; and correspondence. (Minimum retention: Minutes, constitution, bylaws, senate bill and resolution files, officer rosters, and photographs: Permanent; Other records: three years).

(10) **Student Grievance Records:** *Student Services Division:* Records document grievances or complaints brought forward by students against the institution concerning student conduct and violations of student rights and responsibilities. Records may include but are not limited to notices of grievance; written description of the complaint; informal discussion notes; formal hearings notes (including audio tapes); summary of interviews; final summary statements; resolution of grievance; appeals documentation; and related documentation and correspondence. SEE ALSO: Grievance Records in the Administrative Records section. *Portions of these records may be exempt from public disclosure per ORS 192.502(2).* (Minimum retention: five years after resolution).

(11) **Student Handbooks:** *Student Services Division:* Records document the requirements and policies for current or potential students. This series may contain information or policies on fields of study; faculty; academic requirements; the evaluation process; and research proposal process. (Minimum retention: Permanent).

(12) **Student Recruitment Records:** *Student Services Division:* Records document the requirement and policies for current or potential students. This series may contain but is not limited to prospect lists; interview and conversation notes; photographs; personal information forms and resumes; copies of test scores and copies of academic transcripts; and related documentation and correspondence. (Minimum retention: Current term).

(13) **Student Rights and Responsibilities Documents:** *Student Services Division:* Records document the contract between the student and institution concerning student rights and responsibilities, rules of student conduct, freedoms, and due process. The document contains statements of code of behavior, student rights, conflict resolution, student discipline, and the appeal process. The statement is published in the student handbook and catalog. (Minimum retention: six years after expiration).

(14) **Tutoring Records:** *Instructional Division:* Records document tutoring services provided to students. Records include but are not limited to registration records; tutor training records; tutor (student hourly, work study, or staff) personnel records; tutor class records; and memoranda. (Minimum retention: one year).

Stat. Auth.: ORS 192 & 357

Stats. Implemented: ORS 192.005 - 192.170 & 357.805 - 357.895

Hist.: OSA 3-1998, f. 8-4-98, cert. ef. 8-5-98

## Glossary of Terms

**Document:** A “Public Record” or document means any writing containing information relating to the conduct of the public’s business that is prepared, owned, used or retained by a public body regardless of physical form or characteristics, including but not limited to, handwriting, typewriting, printing, photographing, and every means of recording, including letters, words, pictures, sounds, symbols or combination thereof, and all papers, maps, files, facsimiles, or electronic recordings.

Documents can be separated into two general categories; those containing protected or personally identifiable information (PII) and those that do not.

**Personally Identifiable Information (PII):** includes but is not limited to; addresses, phone numbers, bank and credit card information, social security numbers, student ID numbers, User ID’s and passwords, etc. Names alone are not PII. However, if they are associated with any other information (data) such as listed above, they should be considered PII. Examples of documents that may include personally identifiable information are registration forms, class lists, phone messages, credit card slips, paper copy reports, paper copy e-mails, employee lists, applicant records, payroll records, Web reports, financial aid records, etc.

Documents can also be electronic in nature. Examples of electronic documents containing PII include; all data in any of the College’s computer systems, networks and servers including e-mail and all data in the form of microfiche.

## Appendix 1a

### Dos and Don'ts of Records Management

| ⊘ <i>Don't!</i>   | ☺ <i>Do!</i>   |
|---|--|
| <ul style="list-style-type: none"> <li>⊘ Dispose of documents before the retention period has expired.</li> <li>⊘ Recycle or place in the trash, documents containing PII.</li> <li>⊘ Accumulate documents in your work area to be shredded.</li> <li>⊘ Leave documents containing PII unlocked.</li> <li>⊘ Divulge employee or student information without authorization.</li> <li>⊘ Provide password or personal identification numbers to ANYONE.</li> <li>⊘ Take electronic files containing PII off premises without exercising proper data encryption/protection strategies.</li> <li>⊘ Make judgment calls as to whether it is PII.</li> </ul> | <ul style="list-style-type: none"> <li>☺ Know the records retention requirements for documents in your care and control.</li> <li>☺ Keep documents which include PII in locked drawers or filing cabinets until they can be shred.</li> <li>☺ Use locked shredding bins provided by the college to dispose of documents with PII when no longer needed.</li> <li>☺ Protect PII from public view and secure after hours.</li> <li>☺ Understand FERPA Guidelines. (See Administrative Procedure AP-013 "FERPA, Privacy, Confidentiality, and Non-Disclosure".)</li> <li>☺ Secure your passwords; and for added security, change them periodically.</li> <li>☺ Know how to respond to a Public Records Request. (See Administrative Procedure GI-003, "Archives and Records Management Subpoenas.")</li> <li>☺ When in doubt, SHRED IT! Ask your supervisor for clarification.</li> </ul> |

## Appendix 1b

### Public Records Retention and Disposition Authorization (Local Agencies) (166-030-0027)

Authorization for destruction of public records by local agencies must be obtained as follows:

- (1) No authorization is required to destroy materials which are excluded or exempt by statute from the definition of public records. (ORS 192.005(5), 192.170)
- (2) An applicable General Schedule published in OAR Chapter 166, or a Special Schedule approved by the State Archivist, establishes the appropriate retention and disposition for local agency records. A local agency may destroy public records which have met the terms and conditions of their scheduled retention period, subject to the prior audit requirements of OAR 166-030-0041 and any suspension ordered under the provisions of OAR 166-030-0045. Unless otherwise stated, a retention period shall be calculated from the date the public record was created.
- (3) Notwithstanding any retention period listed in a General Schedule, no public record created in or prior to 1920 shall be destroyed without the express written permission of the State Archivist.
- (4) Specific approval from the State Archivist by means of a Special Schedule is required to dispose of public records which are not listed in an applicable General Schedule found in these rules. Instructions on creating Special Schedules are available from the State Archivist.
- (5) A Special Schedule approved for an individual local agency shall supersede an applicable General Schedule, insofar as it applies to the same public record.
- (6) Special Schedules approved after January 1, 1987, shall have an expiration date set by the State Archivist.
- (7) Notwithstanding any retention period listed in a General Schedule or Special Schedule, no public records listed on the Oregon Historical Records Inventory shall be destroyed. Copies of lists of records on the Oregon Historical Records Inventory are available from the State Archivist.

Board Approved: 03-18-08