

## RECORD RETENTION

Office of Origin:	Cabinet	
Responsibility:	Cabinet	
Date Adopted:	03-28-17	
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The procedure applies to all records generated in the course of the operations of Lake Michigan College (the College), including both original documents and reproductions. It also applies to records stored on any electronic medium (e.g., computer and microfilm) as well as paper records.

### **General Information**

The Cabinet representative for each department is responsible for ensuring that the records used and maintained by the department as listed in the Record Retention Schedule is complete and accurate.

It is expected that each Cabinet representative will review the Record Retention Schedule annually for completeness and accuracy as well as to consider if any special circumstances exist that necessitate changes in the retention periods. Any additions, deletions, or changes in specified retention periods should be directed to the Executive Assistant to the President.

### **Maintenance of College Records**

It is expected that all College records are maintained in a manner that provides (1) access for faculty and staff to carry out normal job responsibilities, and (2) reasonable protection against misuse, misplacement, loss, destruction, damage, or theft.

It is the responsibility of the Cabinet representative for each department to ensure that official records are stored within each department in a manner that provides protection against misuse, misplacement, damage, destruction, or theft.

Original, confidential, and sensitive documents must be stored in a secure location.

Unless authorized by the Cabinet representative, all College records must be stored on the premises at all times unless physically with an employee for work related

purposes (e.g., working at home.)

Departments should document official records loaned to other departments or individuals by describing the record, loan date, return date, borrowing department, and individual.

### **Disposal of Records**

College records (regardless of the storage medium) may be disposed of upon reaching the minimum retention period stated in this policy, provided the department does not need the records for future administrative, legal, research/historical, or fiscal purposes.

As described in the Records Retention Schedule following, Record Coordinators are those individuals who have primary responsibility for maintaining certain data. The Record Coordinator is responsible for performing, at least annually, a review to determine the value or usefulness of departmental records. During this review, Records Coordinator should identify and designate for disposal the records with lapsed retention periods.

The Cabinet representative over the Responsible Department is responsible for authorizing the actual disposal of records.

When authorized, records containing sensitive and/or confidential information must be shredded and the shredded material is to be recycled. Documents containing sensitive or confidential information are not to be discarded in the trash under any circumstances.

### **Banner / Data Warehouse Records**

The Banner and Data Warehouse records are integral to the fundamental operation of the College's computerized system and are exempt from the retention and disposal schedule.

### **Electronic Records**

With the exception of Banner / Data Warehouse records, maintenance and disposition of records created, retained, or stored in electronic format will proceed on the same basis as paper documents.

Unless retention is otherwise required by law, paper records that are scanned into a secure digital record format may be immediately disposed of by shredding.

### **Suspension of the Records Retention Schedule**

In the event of a claim, lawsuit, government investigation, subpoena, summons or the like, whether formal or informal, the Record Retention Schedule will be suspended for the related records and such records are not be destroyed, pending resolution of the matter.

### **Minimum Retention Periods**

The following Records Retention Schedule lists the minimum record retention requirements to:

- ensure compliance with applicable laws and regulations,
- provide maximum protection under current federal/state statutes of limitations, and
- support general best business practices.

### **References:** Record Retention Policy

State of Michigan Records Management Services Records  
Retention and Disposal Schedule for Michigan Public Schools  
Approved December 7, 2010

## **Appendix A – Records Retention Schedule**

### **Legend:**

#### **ACT = Active**

An Active Code is assigned to records that are case or project related. These records are retained "until the case or project is determined to be inactive." The retention period starts when the condition has been met. For instance, a file might be retained until a case is closed plus 5 years.

#### **CR = Creation**

A Creation Code is assigned to records when a definitive retention period can be assigned. The retention period is usually based on a calendar year and where there are no conditions that must be met. For instance, correspondence has a "CR" retention period that begins from the date the correspondence is created or received.

#### **ENR = Enrollment**

An Enrollment Code is assigned to denote the last date of enrollment of a student.

#### **EVT = Event**

An Event Code is assigned to records when a retention period is based on a future action or condition. This code is used when it's known that a future action or condition will be met, but it's uncertain when it will happen. For instance, deeds are retained to document the ownership of land; if the College divests itself of a property, a retention period can be applied to the records.

#### **EXP = Expiration**

An Expiration Code is typically assigned to contracts, grants, or other types of agreements that must be retained until expiration or other legal condition has been met. For instance, contracts are to be held until contract expiration (EXP) plus six years.

#### **FY = Fiscal Year**

A Fiscal Year Code is assigned to records when a definitive retention period can be assigned and where there are no conditions that must be met. The retention period is based on the College's fiscal year (July 1 – June 30) and begins on June 30 of the applicable fiscal year.

**SUP = Superseded**

A Superseded Code is typically assigned to records that are updated or revised at various times during the record's lifetime – for example, policies and procedures. As a policy is updated and the old version is replaced or superseded, only the current version is needed.

**PERM = Permanent**

A Permanent Code indicates that the record is not authorized for destruction at any point in time.

**ARCHIVE**

An Archive Code indicates that the record should be maintained in the College's archival collection, which is currently housed in the library. These are open access records that are intended to maintain those records that reflect a history of the College.

Lake Michigan College Procedure – Appendix A: Records Retention Schedule

Name of Record	Responsible Department	Records Coordinator	Retention Period
<b>Academic Affairs</b>			
Classroom Observations	Human Resources	Director	ACT+3
Course Inventory Master File	Academic Affairs	Executive Assistant	PERM
Nursing Accreditation Acknowledgement	Health Sciences	Dean	PERM
Program / Course Change Form, Documents	Academic Affairs	Executive Assistant	PERM
Respiratory Accreditation Acknowledgement	Health Sciences	Dean	PERM
Student Exams/Work	Academic Divisions	Deans	Class Completion+1 Term
Student Grade Back Up Materials	Academic Divisions	Deans	ACT+3
<b>Employment / Human Resources</b>			
Application/Resume, Not Hired	Human Resources	Executive Director	CR+3
Background Checks	Human Resources	Executive Director	ACT+3
Civil Rights Compliance Records	Human Resources	Executive Director	ACT+3
COBRA Plan Files	Human Resources	Executive Director	ACT+6
Discrimination Claims	Human Resources	Executive Director	ACT+3
EEO-1 Survey	Human Resources	Executive Director	PERM
Form I-9	Human Resources	Executive Director	ACT+1
Grievance Files	Human Resources	Executive Director	ACT+1
Injury Records-Exposure	Human Resources	Executive Director	PERM
Injury Records-Non-Exposure	Human Resources	Executive Director	ACT+5
Injury Records-OSHA 300 Log	Human Resources	Executive Director	CR+5
Job Announcements, Advertisements	Human Resources	Executive Director	EVT+1
Job Descriptions	Human Resources	Executive Director	SUP
Medical Files	Human Resources	Executive Director	ACT+3
Personnel Files	Human Resources	Executive Director	ACT+3
Personnel Files, Cited for Conduct	Human Resources	Executive Director	PERM
Position Reclassifications	Human Resources	Executive Director	CR+3
Salary & Benefits Schedules	Human Resources	Executive Director	CR+6

Lake Michigan College Procedure – Appendix A: Records Retention Schedule

Name of Record	Responsible Department	Records Coordinator	Retention Period
Unemployment Compensation Claims	Human Resources	Executive Director	FY+1
Workers Compensation Claims	Human Resources	Executive Director	FY+7
Workers Compensation Policy	Human Resources	Executive Director	FY+7
<b>Facilities</b>			
Building Plans and Specifications	Facilities	Executive Director	PERM
Bulk Rate Mailing	Facilities	Executive Director	FY+5
Fuel Log	Facilities	Executive Director	PERM
Hazardous Chemical Waste Records	Facilities	Executive Director	PERM
Maintenance Records/Work Orders	Facilities	Executive Director	ACT+2
Motor Vehicle & Maintenance Records	Facilities	Executive Director	ACT
MSDS Sheets	Facilities	Executive Director	PERM
Occupancy Permit	Facilities	Executive Director	PERM
Operating/Inspection Certificates	Facilities	Executive Director	PERM
United Parcel Service Record	Facilities	Executive Director	FY+1
<b>Finance &amp; Accounting</b>			
Accounting Transaction Detail	Finance	Director of Finance	FY+7
Audit Records / Workpapers	Finance	Chief Financial Officer	FY+7
Audit Reports (Financial Statements, Grant)	Finance	Chief Financial Officer	PERM
Bank Reconciliation	Finance	Director of Finance	FY+7
Bank Statements	Finance	Director of Finance	FY+7
Budget Work Papers/Reports	Finance	Chief Financial Officer	FY+3
Budgets (Approved)	Finance	Chief Financial Officer	PERM
Cancelled Checks	Finance	Director of Finance	FY+7
Cash Receipts	Finance	Director of Finance	FY+7
Cash Register Tapes	Finance	Director of Finance	FY+3
Collection Records	Finance	Director of Finance	FY+7

Lake Michigan College Procedure – Appendix A: Records Retention Schedule

Name of Record	Responsible Department	Records Coordinator	Retention Period
Deposit Slips	Finance	Director of Finance	FY+7
Expense Reports	Finance	Director of Finance	FY+7
Fixed Asset Records	Finance	Chief Financial Officer	SUP
Indebtedness Records	Finance	Chief Financial Officer	FY+7
Internal Control / Special Project Reports	Finance	Chief Financial Officer	PERM
Investment Records	Finance	Chief Financial Officer	FY+7
Invoices	Finance	Director of Finance	FY+7
Journal Entry Records	Finance	Director of Finance	FY+7
Payment/Disbursement Records	Finance	Director of Finance	FY+7
Petty Cash Records	Finance	Director of Finance	FY+7
Procurement Card Statements	Finance	Director of Finance	FY+7
Property Taxes	Finance	Director of Finance	FY+7
Tax Returns	Finance	Chief Financial Officer	CR+7
Vendor Transaction Detail Records	Finance	Director of Finance	FY+7
Wire Transfers	Finance	Director of Finance	FY+7
<b>Financial Aid</b>			
Applications for Funds, Annual Activity Reports	Financial Aid	Director	FY+3
Applications/Verification Documents	Financial Aid	Director	FY+3
College Work Study Application and Contract	Financial Aid	Director	FY+3
Federal Family Education Loan Application	Financial Aid	Director	PERM
Federal Family Education Loan Records	Financial Aid	Director	ACT+5
Financial Aid Award Letters	Financial Aid	Director	FY+3
Financial Aid Awards	Financial Aid	Director	FY+3
State Aid Applications	Financial Aid	Director	FY+7
State Aid Reports	Financial Aid	Director	FY+7
<b>Foundation</b>			



Lake Michigan College Procedure – Appendix A: Records Retention Schedule

Name of Record	Responsible Department	Records Coordinator	Retention Period
Annual Report	Foundation	Executive Director	PERM
Audit Reports	Foundation	Executive Director	PERM
By Laws	Foundation	Executive Director	PERM
Donor Agreements	Foundation	Executive Director	PERM
Donor Records	Foundation	Executive Director	PERM
Legal Papers	Foundation	Executive Director	PERM
Minutes of Committee Meetings	Foundation	Executive Director	PERM
Minutes of Director's Meetings	Foundation	Executive Director	PERM
Policies & Procedures	Foundation	Executive Director	PERM
Tax Returns	Foundation	Executive Director	PERM
<b>Information Technology</b>			
Hardware Server Contracts	IT	Chief Information Officer	EXP+6
Hardware Service Contracts	IT	Chief Information Officer	EXP+6
Software License Agreements	IT	Chief Information Officer	ACT
Software Service Contracts	IT	Chief Information Officer	ACT
Technology Inventory	IT	Chief Information Officer	FY+1
Technology Network Maps/Documents	IT	Chief Information Officer	SUP
Technology Service Requests	IT	Chief Information Officer	FY
<b>Institutional</b>			
Administrative Files (non-statistic)	Student Affairs	Dean	CR+7
Affirmative Action Statement	President's Office	Executive Assistant	PERM
Articles of Incorporation	President's Office	Executive Assistant	PERM
By Laws	President's Office	Executive Assistant	PERM
Class Schedules	Academic Affairs	Executive Assistant	PERM
Collective Bargaining Agreements	Human Resources	Assistant Director	EXP+1
College Annual Report	Marketing	Director	PERM

Lake Michigan College Procedure – Appendix A: Records Retention Schedule

Name of Record	Responsible Department	Records Coordinator	Retention Period
College Catalogs	Academic Affairs	Executive Assistant	PERM
College Policies, Procedures	President's Office	Executive Assistant	PERM
Crime Logs	Administrative Services	Director, Safety	CR+7
Crime Reports (State/Federal)	Administrative Services	Director, Safety	CR+7
Department of Education Grant Records (Title III/Upward Bound)	Student Affairs	Dean	FY+5
Drug/Alcohol Prevention Program	Human Resources	Director	PERM
Emergency Agreements w/outside groups	Administrative Services	Vice President	ACT
Emergency Drill Report	Facilities	Executive Director	FY
Emergency Response Plan	Human Resources	Director	SUP
Federal Grant Records – Programmatic	Content Area	Vice President/Dean Over Content Area	FY+5
Freedom of Information Act Requests	Administrative Services	Vice President	CR+1
HLC Accreditation Acknowledgement	Academic Affairs	Dean of Accreditation, Planning and Quality	PERM
HLC Annual Report	Academic Affairs	Dean of Accreditation, Planning and Quality	PERM
HLC Correspondence	Academic Affairs	Dean of Accreditation, Planning and Quality	PERM
Incident Reports (Insurance, Accident)	Administrative Services	Director, Safety	CR+7
Incident Reports (Student)	Student Affairs	Dean	CR+7
Litigation Records	Administrative Services	Vice President	ACT+5
Master Plans	Administrative Services	Vice President	PERM
Millage Records	Finance	Chief Financial Officer	PERM
Minutes of Board of Trustees Meetings	President's Office	Executive Assistant	PERM
Minutes of Cabinet Meetings	President's Office	Executive Assistant	CR+6
Property Addition / Disposal Records	Administrative Services	Vice President	PERM
Real Property Records	Administrative Services	Vice President	ACT
Security Videos	Administrative Services	Director, Safety	CR+60 days
Tech Prep Agreement	Academic Affairs	Vice President	PERM

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Name of Record	Responsible Department	Records Coordinator	Retention Period
Trustee Election Results	President's Office	Executive Assistant	PERM
<b>Learning Resource Center</b>			
Bibliographic Database	Learning Resource Center	Director	CR+5
Copyright Permission Letters (if any)	Learning Resource Center	Director	PERM
Interlibrary Loan Agreements	Learning Resource Center	Director	PERM
Library Circulation Records	Learning Resource Center	Director	EVT+7
Library Consortium of Michigan	Learning Resource Center	Director	PERM
Library Holdings Statistics	Learning Resource Center	Director	PERM
OCLC	Learning Resource Center	Director	CR+5
Reciprocal Borrowing Agreements	Learning Resource Center	Director	PERM
User Records (library system)	Learning Resource Center	Director	ENR+5 Semesters
<b>Mendel Center – Conference &amp; Event Services</b>			
CES Employee Authorization Forms	CES	Event Supervisor	ACT
CES Employee Guidelines	CES	Event Supervisor	ACT
CES Employee Work Permits	CES	Event Supervisor	ACT
Client Invoices	CES	Director & Scheduling Coordinator	FY+7
Event Contracts for External Clients	CES	Director & Scheduling Coordinator	EXP+6
<b>Mendel Center - Mainstage</b>			
Box Office Sales Records	MCO	Front of House Manager	ACT
Client Invoices	MCO	Operations Manager	FY+7
Event Contracts for External Clients	MCO	Operations Manager	EXP+6
Mainstage Employee Authorization Forms	MCO	Front of House Manager	ACT
Mainstage Employee Guidelines	MCO	Front of House Manager	ACT
Mainstage Employee Work Permits	MCO	Front of House Manager	ACT

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Name of Record	Responsible Department	Records Coordinator	Retention Period
Production Contracts	MCO	Executive Director/Operations Manager	EXP
<b>Payroll</b>			
Direct Deposit Forms	Finance	Director of Finance	ACT+6
Form 941 Quarterly Payroll Tax Reports	Finance	Director of Finance	FY+6
Form W-2	Finance	Director of Finance	FY+7
Form W-4	Finance	Director of Finance	ACT+6
Garnishment Records	Finance	Director of Finance	ACT+6
Payroll Deduction Records	Finance	Director of Finance	ACT+6
Payroll Files	Finance	Director of Finance	ACT+6
Payroll Journal Per Payroll	Finance	Director of Finance	FY+7
Retirement Reports Per Payroll	Finance	Director of Finance	FY+7
Time Sheets	Finance	Director of Finance	FY+3
Work Study Payroll Information	Finance	Director of Finance	FY+3
<b>Purchasing &amp; Risk Management</b>			
Appraisals	Purchasing	Risk Management Manager	PERM
Bids, Quotes, Proposals	Purchasing	Risk Management Manager	ACT
Contracts (Vendor/Service)	Purchasing	Risk Management Manager	EXP+6
Credit Card Statements (College card)	Purchasing	Risk Management Manager	FY+7
Insurance Claims	Finance	Risk Management Manager	FY+7
Insurance Policies	Finance	Risk Management Manager	PERM
<b>Student</b>			
Amnesty of Semester Requests	Records & Registration	Registrar	PERM
Academic Advising Records, Notes, Letters of Recommendation	Academic Advising	Director	PERM
Academic History	Records & Registration	Registrar	PERM

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Name of Record	Responsible Department	Records Coordinator	Retention Period
Applications for Admission and Admission/Acceptance letters	Admissions	Director	ENR+4
Applications for Degree or Certificate	Records & Registration	Registrar	ENR+5
Athletic Participation, Photographs, Awards, and other records defined by and related to participation in NJCAA	Intercollegiate Athletics	Director	ENR+7
Background checks – on campus housing	Security/Campus Housing	Director, Public Safety	ENR+3
Course Add/Drop/Registration Forms	Records & Registration	Registrar	PERM
Change of Grade Forms	Records & Registration	Registrar	PERM
Change of Major Requests	Records & Registration	Registrar	PERM
Class Lists	Records & Registration	Registrar	PERM
Course Waiver/Substitution Forms	Records & Registration	Registrar	PERM
Course Withdrawal Forms	Records & Registration	Registrar	PERM
Credit by Exam Forms	Records & Registration	Registrar	PERM
Dean's List Certificates	Academic Affairs	Executive Assistant	PERM
Degree/Certificate Awarded and Date	Records & Registration	Registrar	PERM
Enrollment Data Files	Records & Registration	Registrar	PERM
FERPA Records, Requests for Disclosure and Non-Disclosure, Requests for Formal Hearing and Written Discussion of Hearing Panels, Student Statements on Content	Records & Registration	Registrar	Life of Affected Record(s)
Foreign Student Forms I-20	Records & Registration	International Student Specialist	ENR+5
Inactive Student Files, Non-enrolled students	Admissions	Director	CR+2
Incomplete Requests and Extensions	Records & Registration	Registrar	PERM
Independent Study Form	Records & Registration	Registrar	ENR+4
IPEDS Reports	Institutional Research	Director	CR+10
Name or SSN Change Authorizations	Records & Registration	Registrar	PERM
Placement Test Scores	Testing Center	Director	ENR+5
Release and Waiver of Liability for Use of College Fitness Equipment/Wellness Center	Wellness Center	Director	CR+4

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Name of Record	Responsible Department	Records Coordinator	Retention Period
Residency Verification and Residency Change Requests/Documentation	Records & Registration	Registrar	PERM
Student Complaints (formal)	Student Affairs	Dean	PERM
Student Disciplinary Files, Incident Reports, Disciplinary Hearing Records, Letter Regarding Sanctions and Corrective Actions	Student Affairs	Dean	ACT+5
Subpoenas	Records & Registration	Registrar	ACT
Transcript Requests	Records & Registration	Registrar	CR+ 6 months
Transcripts - High School	Admissions	Director	ENR+4
Transcripts - Other Colleges	Records & Registration	Registrar	PERM
Transfer Credit Accepted	Records & Registration	Registrar	PERM
Tuition Appeal Requests, Related Documentation and Response Letters	Records & Registration	Registrar	PERM
Verification of Advance Placement Credit, CLEP Credit, and PEL Credit	Records & Registration	Registrar	PERM
Veterans Benefit Certification Request	Records & Registration	Veteran Student Specialist	ENR+4
Veteran Records	Student Affairs	VA Coordinator/Specialist	ACT+3
Wellness Center Records of Sign In and Equipment Use	Wellness Center	Director	CR+1
<b>Student Disability</b>			
At-Risk Report	Academic Advising	Counselor	PERM
Complaint/Due Process Files	Academic Advising	Counselor	ACT+5
Disability Student files	Academic Advising	Counselor	ACT+5
Disability Student Files, Accommodations	Academic Advising	Counselor	ACT+2
Incomplete/Temporary Student Files	Academic Advising	Counselor	ACT+2
LAL Yearly Contact Report	Academic Advising	Counselor	PERM
Perkins	Academic Affairs	Dean, Career & Workforce Education	PERM
Prospective Disability Files	Academic Advising	Counselor	ACT+2

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Name of Record	Responsible Department	Records Coordinator	Retention Period
Student Files - At-Risk, Perkins Disability	Academic Advising	Counselor	ACT+5
Tutor Appointment Follow-Up Reports	Testing Center	Director	CR+5