Kirkwood
COMMUNITY COLLEGE

College Procedure: 310.1 – Records Retention

Policy Reference:	310 – Records Retention
Responsible Department:	Institutional Effectiveness
Approval Authority:	Cabinet
Procedure Owner:	Vice President, Human Resources and Institutional Effectiveness
Effective Date:	07/01/2022
Version Number:	2
Legal Counsel Reviewed (yes/no):	No
Scope:	College-wide

Reason for Procedure

A record retention procedure provides a process to assist with management of risks including lost or stolen information, excessive backlog of paper files, loss of time and space while internally managing records, and an organization system for records. The procedure applies to all records generated in the course of the College's operation, including both original documents and reproductions. It encompasses all records stored by multiple methodologies, including, but not limited to, electronic and paper files.

The Procedure

Cabinet members will be responsible for preparing a listing of records used and maintained by their functions by department and shall compare it to the documents listed in the Records Retention Schedule. Annually and by July 1, each Cabinet member shall be responsible for the review of records to determine whether these records are adequate and appropriate for each department's requirements and determine any circumstances that necessitate changes in the records included or the retention periods. Any additions, deletions, or changes are communicated to the Director of Institutional Planning, Institutional Effectiveness.

Maintenance of College Records

Departments must maintain College records 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. Official records should be stored consistently within the department in a manner that provides protection against misuse, misplacement, damage, destruction, or theft. Original, confidential, and sensitive documents should be stored in a secure location. Unless authorized by the Cabinet member or qualified in a remote work contract, College records must be stored on College property at all times. 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 may be disposed of upon reaching the minimum retention period stated in this procedure, provided the department does not need the records for future administrative, legal, research, historical, or fiscal purposes.

A Custodian of Records for each function is designated by the Cabinet member and communicated to the Director of Institutional Planning, and they are the individuals who have primary responsibility for maintaining the data in the Records Retention Schedule. The Custodian of Records is responsible for performing, annually, a review to determine the value or usefulness of departmental records. During this review, the Custodian of Records should identify and designate for disposal the records with elapsed retention periods.

The Custodian of Records is responsible for authorizing the disposal of records. When authorized, shred records containing sensitive and/or confidential information and dispose of shredded material properly by recycling or disposal. Documents containing sensitive or confidential information must be shredded.

Electronic Records Storage/Disposal Electronic

Electronic record keeping is the storage and retrieval of information in digital form. Electronic records and data files are rotated daily, and subsequently, systematically deleted. Electronic databases are operated by the College's Information Technology department and record retention responsibility lies within IT. Daily backups are performed, which includes the database and software. Email Document Retention is administered by College Procedure, 700.8 - Email Document Retention Procedure.

Minimum Retention Periods

The Records Retention Schedule, maintained by Institutional Effectiveness will be stored as an appendix to this procedure document and in KIN and lists the minimum record retention requirements for the following,

1) compliance with guidelines issued by the College,
2) providing maximum protection under current federal/state statutes of limitations, and
3) supporting general College business practices.

Revision Log

Table 1 Revision Log

Version Number	Date Approved	Approved by	Description of Change
1	07/01/2022	Cabinet	New procedure
2	07/01/2023	Cabinet	Procedure updated

Kirkwood
COMMUNITY COLLEGE

Appendix A – Record Retention Schedule

Table 2 Records Retention Schedule - Procedure 310.1

Name of Record	Department	Record Category	Custodian of Records	Retention Period
Annual Audits and Financial Statements	Finance	Accounting and Tax Records	Finance	Permanent
Business Expense Records	Finance	Accounting and Tax Records	Finance	7 years
Cash Receipts	Finance	Accounting and Tax Records	Finance	3 years
Credit Card Receipts	Finance	Accounting and Tax Records	Finance	3 years
Depreciation Schedules	Finance	Accounting and Tax Records	Finance	Permanent
Fixed Asset Records	Finance	Institutional Records	Finance	Permanent
General Ledgers	Finance	Accounting and Tax Records	Finance	Permanent
Invoices	Finance	Accounting and Tax Records	Finance	7 years
IRS 1099s	Finance	Accounting and Tax Records	Finance	7 years
IRS 990 Tax Returns	Finance	Accounting and Tax Records	Finance	Permanent
IRS Application for Tax-Exempt Status (Form 1023)	Finance	Institutional Records	Finance	Permanent
IRS Determination Letter	Finance	Institutional Records	Finance	Permanent
Journal Entries	Finance	Accounting and Tax Records	Finance	7 years

Kirkwood
COMMUNITY COLLEGE

Name of Record	Department	Record Category	Custodian of Records	Retention Period
Petty Cash Vouchers	Finance	Accounting and Tax Records	Finance	3 years
Sales Records (auxiliary services)	Finance	Accounting and Tax Records	Finance	7 years
State Sales Tax Exemption Letter	Finance	Institutional Records	Finance	Permanent
Vendor Transaction Detail Records	Finance	Institutional Records	Finance	3 years
Bank Deposit Slips	Finance	Bank Records	Finance	7 years
Bank Statements and Reconciliation	Finance	Bank Records	Finance	7 years
Check Registers	Finance	Bank Records	Finance	Permanent
Collection Records	Finance	Student Records	Finance	7 years
Electronic Fund Transfer Documents	Finance	Bank Records	Finance	7 years
Articles of Incorporation	Foundation	Foundation Records	Advancement Services Officer	Permanent
Bank Statements	Foundation	Foundation Records	Advancement Services Officer	3 years
Board Conflict of Interest Statements	Foundation	Foundation Records	Advancement Services Officer	7 years
Donor Agreements	Foundation	Foundation Records	Advancement Services Officer	Permanent
Donor Records	Foundation	Foundation Records	Advancement Services Officer	Permanent
Foundation Annual Report	Foundation	Foundation Records	Advancement Services Officer	7 years
Foundation Audit	Foundation	Foundation Records	Advancement Services Officer	Permanent

Kirkwood
COMMUNITY COLLEGE

Name of Record	Department	Record Category	Custodian of Records	Retention Period
Foundation Legal Papers	Foundation	Foundation Records	Advancement Services Officer	7 years
Foundation Minutes of Committee Meetings	Foundation	Foundation Records	Advancement Services Officer	7 years
Foundation Minutes of Director's Meetings	Foundation	Foundation Records	Advancement Services Officer	Permanent
Foundation Policies and Procedures	Foundation	Foundation Records	Advancement Services Officer	Permanent or 7 years after termination
Operating Agreements (w/KCC, KCCK, Heritage, etc.)	Foundation	Foundation Records	Advancement Services Officer	Permanent
Scholarship Applications	Foundation	Foundation Records	Advancement Services Officer	1 year
State Charitable Registrations	Foundation	Foundation Records	Advancement Services Officer	7 years
Tax Determination	Foundation	Foundation Records	Advancement Services Officer	Permanent
Tax Returns – IRS 990	Foundation	Foundation Records	Advancement Services Officer	7 years
Crime Logs	Public Safety	Insurance, Legal and Safety Records	AVP, Public Safety	5 years
Crime Reports (State/Federal)	Public Safety	Insurance, Legal and Safety Records	AVP, Public Safety	5 years
Emergency Drill Report	Public Safety	Insurance, Legal and Safety Records	AVP, Public Safety	5 years
Emergency Response Plan	Public Safety	Insurance, Legal and Safety Records	AVP, Public Safety	5 years

Kirkwood
COMMUNITY COLLEGE

Name of Record	Department	Record Category	Custodian of Records	Retention Period
Incident Reports	Public Safety	Insurance, Legal and Safety Records	AVP, Public Safety	5 years
Security Videos	Public Safety	Insurance, Legal and Safety Records	AVP, Public Safety	1 week
Approved Budgets	Finance	Financial Records	Finance	7 years
Investment Ledgers	Finance	Financial Records	Finance	7 years after disposal
HLC Annual Report	Institutional Effectiveness	Institutional Records	Compliance Reporting Manager	Permanent
State and Federal Reports	Institutional Effectiveness	Institutional Records	Compliance Reporting Manager	Permanent
HLC Accreditation Acknowledgement	Institutional Effectiveness	Institutional Records	Coordinator, Institutional Effectiveness	Permanent
HLC Correspondence	Institutional Effectiveness	Institutional Records	Coordinator, Institutional Effectiveness	Permanent
Student Disciplinary Files	Student Services	Student Records	Dean of Students	Record of final disposition for offenses that result in suspension or expulsion: Permanent. All other records: 7 years
Incomplete Requests/Extensions	Academic Affairs	Student Records	Deans	3 years from last date of attendance

Kirkwood
COMMUNITY COLLEGE

Name of Record	Department	Record Category	Custodian of Records	Retention Period
Vendor/Service Contracts	Human Resources	Employment Records	Department Assistant, HR	Permanent
Retirement and Pension Plan Documents	Human Resources	Employment Records	Department Assistant, HR	Permanent
Records Relating to Promotion, Demotion or Discharge	Human Resources	Employment Records	Department Assistant, HR	7 years after termination
Accident Reports and Worker's Compensation Records	Human Resources	Employment Records	Department Assistant, HR	7 years
Salary Schedules	Human Resources	Employment Records	Department Assistant, HR	7 years
Employment Applications	Human Resources	Employment Records	Department Assistant, HR	3 years
I-9 Forms	Human Resources	Employment Records	Department Assistant, HR	3 years after termination
Time Cards	Human Resources	Employment Records	Department Assistant, HR	3 years
Collective Bargaining Agreements	Human Resources	Institutional Records	Department Assistant, HR	Permanent
Federal Grant Records	Continuing Education	Institutional Records	Director, Grants	7 years
Operating Compliance Inspections (Fire, Elevator, Boiler)	Facilities	Facility Operations Records	Director, Maintenance Opps	5 years
Appraisals	Finance	Insurance, Legal and Safety Records	Director, Risk Management	Permanent

Kirkwood
COMMUNITY COLLEGE

Name of Record	Department	Record Category	Custodian of Records	Retention Period
Contracts (after expiration)	Finance	Institutional Records	Director, Risk Management	7 years
General Contracts	Finance	Insurance, Legal and Safety Records	Director, Risk Management	3 years
Insurance Policies	Finance	Insurance, Legal and Safety Records	Director, Risk Management	7 years
Leases	Finance	Insurance, Legal and Safety Records	Director, Risk Management	7 years
OSHA Documents	Finance	Insurance, Legal and Safety Records	Director, Risk Management	7 years
Real Estate Documents	Finance	Insurance, Legal and Safety Records	Director, Risk Management	Permanent
Risk Management Insurance Claims	Finance	Insurance, Legal and Safety Records	Director, Risk Management	7 years
Stock and Bond Records	Finance	Insurance, Legal and Safety Records	Director, Risk Management	Permanent
Environmental Studies	Public Safety	Insurance, Legal and Safety Records	EHS, Coordinator	3 years
Hazardous Chemical Waste Records	Public Safety	Insurance, Legal and Safety Records	EHS, Coordinator	3 years
Affirmation Action Statement	President's Office	Institutional Records	Executive Assistant to the President	Permanent
Annual Reports to Secretary of State/Attorney General	President's Office	Institutional Records	Executive Assistant to the President	Permanent
Articles of Incorporation	President's Office	Institutional Records	Executive Assistant to the President	Permanent

Kirkwood
COMMUNITY COLLEGE

Name of Record	Department	Record Category	Custodian of Records	Retention Period
Board Meeting and Board Meeting Minutes	President's Office	Institutional Records	Executive Assistant to the President	Permanent
Board Policies/Resolutions	President's Office	Institutional Records	Executive Assistant to the President	Permanent
By-laws	President's Office	Institutional Records	Executive Assistant to the President	Permanent
Copyright Registrations	President's Office	Insurance, Legal and Safety Records	Executive Assistant to the President	Permanent
Correspondence (general)	President's Office	Institutional Records	Executive Assistant to the President	3 years
Freedom of Information Act Requests	President's Office	Institutional Records	Executive Assistant to the President	Permanent
Litigation Records	President's Office	Institutional Records	Executive Assistant to the President	1 year
Minutes of Cabinet Meetings	President's Office	Institutional Records	Executive Assistant to the President	7 years
Trademark Registrations	President's Office	Insurance, Legal and Safety Records	Executive Assistant to the President	Permanent
Trustee Election Results	President's Office	Institutional Records	Executive Assistant to the President	Permanent
Facilities Foundation – Annual Reports	President's Office	Financial Records	Executive Assistant to the President	7 years

Kirkwood
COMMUNITY COLLEGE

Name of Record	Department	Record Category	Custodian of Records	Retention Period
Facilities Foundation – Articles of Incorporation	President's Office	Institutional Records	Executive Assistant to the President	Permanent
Facilities Foundation – Board Meeting Materials	President's Office	Institutional Records	Executive Assistant to the President	Permanent
Facilities Foundation – Financial Statements	President's Office	Financial Records	Executive Assistant to the President	7 years
Facilities Foundation – Liquor Licenses	President's Office	Institutional Records	Executive Assistant to the President	Permanent
Facilities Foundation – Property Leases	President's Office	Institutional Records	Executive Assistant to the President	Permanent
Facilities Foundation – Tax and Audit Information	President's Office	Financial Records	Executive Assistant to the President	7 years
Facilities Foundation – Tower Leases	President's Office	Insurance, Legal and Safety Records	Executive Assistant to the President	Permanent
Facilities Foundation – Vendor Contracts	President's Office	Accounts Payable/Purchasing	Executive Assistant to the President	7 years
Compliant/Due Process Files	Academic Affairs	Student Disability Records	Executive Assistant, Academic Affairs	7 years
Copyright Permission Letters	Academic Affairs	Library Services	Executive Assistant, Academic Affairs	Permanent
Course Inventory Master File	Academic Affairs	Instruction Records	Executive Assistant, Academic Affairs	Permanent

Kirkwood
COMMUNITY COLLEGE

Name of Record	Department	Record Category	Custodian of Records	Retention Period
Disability Student Files/All Contents	Academic Affairs	Student Disability Records	Executive Assistant, Academic Affairs	7 years
Disability Student Files/Test Accommodations	Academic Affairs	Student Disability Records	Executive Assistant, Academic Affairs	7 years
Faculty Handbook	Academic Affairs	Instruction Records	Executive Assistant, Academic Affairs	Permanent
Interlibrary Loan Agreements	Academic Affairs	Library Services	Executive Assistant, Academic Affairs	Until need is satisfied
Library Circulation Records	Academic Affairs	Library Services	Executive Assistant, Academic Affairs	3 years
Program and Course Change Form/Documentation	Academic Affairs	Instruction Records	Executive Assistant, Academic Affairs	Permanent
Prospective Disability Files	Academic Affairs	Student Disability Records	Executive Assistant, Academic Affairs	5 years from last date of attendance
Reciprocal Borrowing Agreements	Academic Affairs	Library Services	Executive Assistant, Academic Affairs	3 years
Specialized Accreditation	Academic Affairs	Institutional Records	Executive Assistant, Academic Affairs	10 years
Student Exams/Work	Academic Affairs	Instruction Records	Executive Assistant, Academic Affairs	1 year
Student Files/All Contents At-Risk, Perkins (Disability Students Only)	Academic Affairs	Learning Services Records	Executive Assistant, Academic Affairs	7 years

Kirkwood
COMMUNITY COLLEGE

Name of Record	Department	Record Category	Custodian of Records	Retention Period
Student Grade Back Up Materials	Academic Affairs	Instruction Records	Executive Assistant, Academic Affairs	5 years
User Records (library system)	Academic Affairs	Library Services	Executive Assistant, Academic Affairs	3 years
Equipment Purchase Agreements	Information Technology	Information Technology Records	Executive Assistant, IT Services	7 years after disposal
Hardware Server Contracts	Information Technology	Information Technology Records	Executive Assistant, IT Services	7 years after disposal
Software Purchase Agreements	Information Technology	Information Technology Records	Executive Assistant, IT Services	7 years after termination
Software Service Contracts	Information Technology	Information Technology Records	Executive Assistant, IT Services	7 years after termination
Technology Inventory	Information Technology	Information Technology Records	Executive Assistant, IT Services	Permanent
Technology Network Maps/Documents	Information Technology	Information Technology Records	Executive Assistant, IT Services	Permanent
Technology Service Requests	Information Technology	Information Technology Records	Executive Assistant, IT Services	Permanent
Bids and Quotes	Finance	Payroll and Employment Tax Records	Finance	7 years
Property Taxes	Finance	Payroll and Employment Tax Records	Finance	Permanent

Kirkwood
COMMUNITY COLLEGE

Name of Record	Department	Record Category	Custodian of Records	Retention Period
Fuel Log	Facilities	Facility Operations Record	Operations Manager	5 years
Application for Degree or Certificate	Student Services	Student Records	Registrar	Permanent
Change of Grade	Student Services	Student Records	Registrar	Permanent
College Transcripts	Student Services	Student Records	Registrar	Permanent
Course Withdrawal Forms	Student Services	Student Records	Registrar	Permanent
Placement Tests Scores	Student Services	Student Records	Registrar	Permanent
Requests for Audit	Student Services	Student Records	Registrar	Permanent
Residency Verification	Student Services	Student Records	Registrar	Permanent
Subpoenas	Student Services	Student Records	Registrar	Permanent
Transcript Requests	Student Services	Student Records	Registrar	Permanent
Transfer Credit Accepted	Student Services	Student Records	Registrar	Permanent
Veteran's Benefit Certification Request	Student Services	Student Records	Registrar	Permanent
Application for Admission	Student Services	Student Records	Registrar	Permanent
High School Transcripts	Student Services	Student Records	Registrar	Permanent
Placement Tests Scores	Student Services	Student Records	Registrar	Permanent
Cash Register Tapes	Finance	Payroll and Employment Tax Records	Retail Operations	7 years

Kirkwood
COMMUNITY COLLEGE

Name of Record	Department	Record Category	Custodian of Records	Retention Period
Building Plans, Specifications, As-Built, OEM's	Facilities	Facility Operations Records	Senior Director Construction	Permanent
Construction Documents	Facilities	Facility Operations Records	Senior Director Construction	Permanent
Institutional Review Board Documents	Institutional Effectiveness	Institutional Records	Senior Director, Institutional Research and Data Governance	Permanent
Maintenance Records (work orders)	Facilities	Facility Operations Records	VP, Facilities	5 years
Motor Vehicle Maintenance Records	Facilities	Facility Operations Records	VP, Facilities	5 years
CE Health Class Rosters	Continuing Education	Student Records	Director of Operations	5 years
CE Water Waste Water Rosters	Continuing Education	Student Records	Director of Operations	3 years
CE Driver Improvement Rosters	Continuing Education	Student Records	Director of Operations	5 years
CE OWI Rosters	Continuing Education	Student Records	Director of Operations	Forever
CE OSHA Rosters	Continuing Education	Student Records	Director of Operations	5 years
Standard CE Rosters	Continuing Education	Student Records	Director of Operations	2 years
Secondary Program Student FERPA Release and Test Scores	Secondary Programs	Student Records	Director of Operations	5 years
Secondary Student Graduation Records	Secondary Programs	Student Records	Director of Operations	5 years

Kirkwood
COMMUNITY COLLEGE

Name of Record	Department	Record Category	Custodian of Records	Retention Period
260E and F Application Records	Continuing Education	Institutional Records	Director of Operations	10 years
Kirkwood Community College Child Retention Center Documents	Social Sciences	Insurance, Legal and Safety Records	Associate Dean, Social Sciences	A period of two years following the 18th birthday of that minor