

**THREE RIVERS COLLEGE
GENERAL ADMINISTRATION REGULATION**

Section: 100 General Administration	
Sub Section: 1400 Records	
Title: GAR 1410 Record Retention and Destruction	Page 1 of 12
Primary Policy: GAP 1410 Record Retention and Destruction	
References: RSMo109.255; Missouri Community College Record Retention Schedule; General Record Retention Schedule; eCFR 382.307	
Supersedes: NA	
Responsible Administrator: College President; Cabinet Members; Director of Human Resources	
Initial Approval: 10-20-2010	Last Revision: 10-21-2020

The Three Rivers College shall effectively maintain and manage its records, including those in electronic format, and to ensure the preservation of certain records as required by both state and federal law, including the Missouri Records Retention Law and Local Record Retention Schedule for Community Colleges as provided by the Missouri Secretary of State.

This regulation sets the enforcement of state, federal, and professional minimum timelines for record retention. Where the minimum timelines differ, the college shall select the maximum timeline for record retention and destruction. This regulation underscores the importance for employees to recognize their obligation in retaining college documents and files as those in electronic format including but not limited to: e-mail, Web, text, video, sound, PDF, and all Microsoft Office or other formatted files.

Each cabinet member is the officer responsible for the administration of this policy within their areas of control and the implementation of processes and procedures to ensure that the records retention schedule is followed.

Each cabinet member is responsible to:

- make modifications to the records retention schedule to ensure compliance with this policy and associated regulation including the appropriate document and record categories;
- monitor local, state, and federal laws affecting records retention;
- annually review the record retention and disposal program;
- monitor college compliance with this policy; and
- bring any revisions forward to the president's cabinet for approval and inclusion in the records retention schedule.

Suspension of Records Disposal in Event of Litigation or Claims

In the event the college is served with a subpoena or request for documents or any employee becomes aware of a governmental investigation or audit concerning the college, or the commencement of any litigation against or concerning the college, such employee is to immediately inform the appropriate cabinet member. In the case of a scheduled disposition of

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any college documents that may be affected by such litigation, the process shall be suspended. The cabinet member, college president, and legal counsel shall determine the schedule for continuation. The cabinet member shall promptly inform all staff with access to the suspended college documents and inform them of a schedule for continuation of same.

Definitions

For purposes of this Record Retention and Destruction Policy, the term “record” is defined as any document, including electronic format, which was made or received pursuant to law or in connection with the transaction of official business.

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DOCUMENT HISTORY:

- 10-20-2010:** Initial approval of regulation GAR 1410 Record Retention and Destruction.
- 09-21-2016:** The College Board of Trustees approved the name change of the college from Three Rivers Community College to Three Rivers College.
- 10-21-2020:** Employee Record(s) Retention and Destruction Retention Period Revisions: Employee Earnings Records revised from “time of separation + 7 years” to 5 years; Employee Personnel Records revised from “75 years from date of hire” to Date of Separation +20 years; Job Descriptions revised to 3 years after superseded (and added) “or obsolete”; Family and Medical Leave Act Records revised from “3 years” to 7 years; Employee Medical/Benefit Records revised from “7 years” to 3 years after separation or eligibility expired; “added Drug Testing Records 7 years after separation”; “added USDOT retention revised to Positive Results 5 years from end of calendar year and Negative Results 1 year from end of calendar year”; Worker’s Compensation Records revised from “7 years” to 3 years if no action and 10 years if action; Training records revised from “1 copy kept permanently” to Retain one copy until superseded; Leave Requests revised from “6 years” to 3 years + completion of audit. Added Reference(s) to Regulation Grid: Missouri Community College Record Retention Schedule; General Record Retention Schedule; eCFR 382.307

Retention Schedules

<u>Record Type</u>	<u>Retention Period</u>
ACADEMIC RECORDS	
Curriculum Committee Minutes	Permanent
Faculty Meeting Minutes	Permanent
Curricular Committee Supporting Documents	Permanent
Division Meeting Minutes	10 Years
Standing Committees of the Faculty	10 Years
Annual Reports by School/College	10 Years
Academic Affairs year-End Reports	10 Years
Student Grade Appeals	10 Years
Student Credit for Prior Learning Portfolios	10 Years
Syllabi	1 Year
Grade Books	1 Year
Course Evaluations (PT Faculty)	5 Years
Course Evaluations (FT Faculty)	5 Years
Course Evaluations (FT Faculty – Summary Sheet	Permanent
Personnel Records	
<u>Record Type</u>	<u>Retention Period</u>
Incentives/Awards	11 years
IPEDS Report for Personnel	2 years after superseded or filing (whichever is longer)
Employee Earnings Records	5 years
Employee Handbooks	1 copy kept permanently
Employee Personnel Records (including individual attendance records, application forms, job or status change records, performance evaluations, termination papers, orientation checklists, payroll withholding information, leave summary record, performance documentation, and other records related to an individual's employment.	Date of separation + 20 years

Employee Withholding Forms (W-4)	5 years
Employment Contracts – Individual	11 years after separation
Employment Records - Correspondence with Employment Agencies and Advertisements for Job Openings, Testing and Rating Records	3 years from date of hiring decision
Employment Records - All Non-Hired Applicants (including all applications and resumes, interview questions, applicant lists, and, if any, related correspondence)	1 year after the position is filled; 6 months unsolicited resumes
Job Descriptions	3 years after superseded or obsolete
Personnel Count Records	3 years
Forms I-9	3 years after hiring, or 1 year after separation whichever is longer
Employment Grievance	5 years after final disposition
Family and Medical Leave Act Records	7 years
Employee Medical/Benefit Records	3 years after separation or eligibility expired
Drug Testing Records	7 years after separation
USDOT	Positive Results 5 years from end of calendar year; Negative Results 1 year from end of calendar year
Retirement Enrollment Forms	75 years
Pre-employment Background Checks	2 years
Worker’s Compensation Records	3 years if no action; 10 years if action
Exposure to toxic substances	Duration of employment + 30 years
Training records including course descriptions, textbooks, worksheets, handouts, films, videos, and course outlines	Retain one copy until superseded
Program records including instructor rosters and certifications, planning and development documentation, class enrollment and attendance records, and course evaluations	3 years
ACCOUNTING AND FINANCE	
Accounts Payable & Accounts Receivable ledgers and schedules	11 years
Accounts Payable & Accounts Receivable Records	6 years, including Completion of audit
Adopted Budget	Permanent
Annual Audit Reports and Financial Statements	Permanent
Annual Audit Records, including work papers and other documents that relate to the audit	7 years after completion of audit
Annual Financial Statements	6 years, including completion of audit
Bank Statements and Canceled Checks	6 years, including completion of audit
Bond Coupons/Bond Payment Agreements	6 years, including completion of audit
Budget Transfer	6 years, including Completion of audit
Correspondence- General	6 years, including completion of audit

Correspondence- Policy	Permanent
Employee Expense Reports	11 years
Fee Records	6 years, including completion of audit
Fixed Assets	6 years, including completion of audit
General Ledgers	Permanent
Grant Records	6 years, including completion of audit, Significant- Permanent, Other grants- 3 years after submission of final report or as specified by grant; whichever is longer, unsuccessful grant applications- 1 year after rejection or withdrawal
Mailing Lists	Destroy when superseded or obsolete
Notes Receivable ledgers and schedules	11 years
Policy and Procedure Files	6 years, including completion of audit
Postal Records	6 years, including completion of audit
Purchasing Records	6 years, including completion of audit
Permits and License	6 years, including completion of audit
Receipts	6 years, including Completion of audit
Scholarship Expenditure and Supporting Information	6 years, including completion of audit
Subsidiary Ledgers	6 years, including completion of audit
Sunshine Law Requests	6 years, including completion of audit
Travel Expense Reimbursement Records	6 years, including completion of audit
Investment Records	11 years after sale of investment
Calendars/Scheduling Records	6 years, including completion of audit
CONTRACTS	
Contracts and Related Correspondence (including any proposal that resulted in the contract and all other supportive documentation)	11 years after expiration or termination
Bid Record	6 years, including completion of audit
CORPORATE RECORDS	
Corporate Records (minute books, signed minutes of the Board and all committees, corporate seals, articles of incorporation, bylaws, annual corporate reports)	Permanent
Licenses and Permits	Permanent
Insurance Policy Records	6 years, including completion of audit
Insurance Claims Files	Action taken 10 years, no action 3 years
Litigation Case Files	6 years, including completion of audit
Legal Opinions	6 years, including completion of audit
PAYROLL DOCUMENTS	

<u>Record Type</u>	<u>Retention Period</u>
Employee Deduction Authorizations	6 years, including completion of audit
Payroll Deductions	Termination + 7 years
W-2 and W-4 Forms	Termination + 7 years
Garnishments, Assignments, Attachments	Termination + 7 years
Payroll Registers (gross and net)	7 years
Time Cards/Sheets/	6 years, including completion of audit
Unclaimed Wage Records	6 years, including completion of audit
Leave Requests	3 years + completion of audit
PROPERTY RECORDS	
Deeds and Conveyance	Permanent
Correspondence, Property Deeds, Assessments, Licenses, Rights of Way	Permanent
Property Insurance Policies	Permanent
Owners Manuals and Warranties	Disposal or expiration
Vehicle Ownership/Maintenance Records	Disposal or Sold
Equipment Ownership/Maintenance Records	Disposal or Sold
TAX RECORDS	
Tax-Exemption Documents and Related Correspondence	Permanent
IRS Rulings	Permanent
Excise Tax Records	7 years
Payroll Tax Records	7 years
Tax Bills, Receipts, Statements	7 years
Tax Returns - Income, Franchise, Property	Permanent
Tax Workpaper Packages - Originals	7 years
Sales/Use Tax Records	7 years
Annual Information Returns - Federal and State	Permanent
IRS or other Government Audit Records	Permanent
1098T	Permanent
CONTRIBUTION RECORDS	
Records of Contributions	Permanent
Documents evidencing terms, conditions or restrictions on gifts	Permanent
Admissions Data/Documents for Applicants (Who do not Enroll)	
Representative Data/Document	Minimum Retention Period
Acceptance letters	1 year after application term
Advanced placement records	1 year after application term
Applications for admission	1 year after application term
Correspondence, relevant	1 year after application term

Entrance examination reports/test Scores (e.g.ACT,SAT, LSAT)	1 year after application term
Letters of Recommendation	1 year after application term
Medical Records	1 year after application term
Military Documents	1 year after application term
Placement test scores & reports	1 year after application term
Readmission forms	1 year after application term
Recruitment Materials	1 year after application term
Other test scores	1 year after application term
Transcripts other colleges	1 year after application term
Transcripts high schools	1 year after application term
Admissions Data/Documents for Applicants Who Enroll	
Representative Data/Document	Minimum Retention Period
Acceptance letters	5 years after graduation or date of last attendance
Advanced placement records	5 years after graduation or date of last attendance
Applications for admission or readmission (re-entry)	5 years after graduation or date of last attendance
Correspondence, relevant	5 years after graduation or date of last attendance
Entrance examination reports/test Scores (e.g.ACT,SAT, LSAT)	5 years after graduation or date of last attendance
Letters of Recommendation	Until admitted
Medical Records	5 years after graduation or date of last attendance
Military Documents	5 years after graduation or date of last attendance
Placement test scores & reports	5 years after graduation or date of last attendance
Recruitment Materials	Until enrollment
Residency classification forms	5 years after graduation or date of last attendance
Student waivers for rights of access to see letter of recommendation for admission	Until terminated
Other test scores	5 years after graduation or date of last attendance
Transcripts other colleges	5 years after graduation or date of last attendance

Transcripts high schools	5 years after graduation or date of last attendance
Student Visas	Permanent
Exchange Visitor Visas	3 years after graduation or date of last attendance
Registration, Attendance and Academic Progress Records	
Academic action authorization (dismissal, etc.)	5 years after graduation or date of last attendance
Academic records (including narrative evaluations, competency assessments, etc.)	Permanent
Advanced placement and other placement tests records/scores (e.g., ASSET, Compass, Accuplacer)	5 years after graduation or date of last attendance
Applications for admission or readmission (reentry)	5 years after graduation or date of last attendance
Applications for graduation	1 year after graduation or date of last attendance
Audit authorizations	1 year after graduation or date of last attendance
Change of grade forms (update documents)	Permanent
Changes of course (add/drop)	1 year after graduation or date of last attendance
Class lists (original grade sheets)	Permanent
Class schedules (students)	1 year after graduation or date of last attendance
Correspondence, relevant	5 years after graduation or date of last attendance
Credit by examination reports/scores (e.g., Advanced Placements, CLEP, PEP)	5 years after graduation or date of last attendance
Credit/no credit approvals (audit, pass/fail, etc.)	1 year after graduation or date of last attendance
Curriculum change authorizations	5 years after graduation or date of last attendance
Degree audit records	5 years after graduation or date of last attendance
Disciplinary action documents	5 years after graduation or date of last attendance
Fee assessment forms	5 years after graduation or date of last attendance
FERPA documents	5 years after graduation or date of last attendance

Financial aid documents (see Retention Schedule H – Federal Aid Record Requirements)	3 Years after the annual audit has been accepted by the department of Education
Foreign/international student forms (I-20, etc.)	5 years after graduation or date of last attendance
Grade reports (registrar’s copies)	1 year after date distributed
Graduation authorizations	Permanent
Graduation lists	5 years after graduation or date of last attendance
Hold or encumbrance authorizations	Until released
Medical records	1 year after graduation or date of last attendance
Military documents	5 years after graduation or date of last attendance
Name change authorizations	5 years after graduation or date of last attendance
Pass/fail requests	1 year after date submitted
Personal data information forms	1 year after date submitted
Registration forms	1 year after date submitted
Transcript requests (student)	1 year after date submitted
Transfer credit evaluations	5 years after graduation or date of last attendance
Tuition and fee charges	5 years after graduation or date of last attendance
Withdrawal authorizations	2 years after graduation or date of last attendance
Publications, Statistical Data/Documents, and Institutional Reports	
Catalogs	Permanent
Commencement Programs	Permanent
Degree statistics	Permanent
Enrollment statistics	Permanent
Grade statistics	Permanent
Race/ethnicity statistics	Permanent
Schedule of classes (institutional)	Permanent
Certification Data/Documents and Representative Data/Document	
Enrollment verifications	1 year after verification
Financial aid assistance records (see Retention Schedule H)	3 years after graduation or date of last attendance
Social security certifications	1 year after certification
Teacher certifications	1 year after certification

Veterans Admissions	3 years after graduation or date of last attendance certifications
Family Educational Rights & Privacy Act Data/Documents	
Requests for formal hearings	Permanent
Requests and disclosures of personally identifiable information	Permanent
Student requests for nondisclosure	Until terminated by student or permanent
Student statements on content of records regarding hearing panel decisions	Permanent
Student's written consent for records disclosure	Until terminated by student or permanent
Waivers for rights of access	Until terminated by student or permanent
Written decisions of hearing panels	Permanent
Federal Disclosure Records	
Crime Statistics/Security Report	3 years from date of required disclosure
SRK Graduation/Completion, Transfer out Data	3 years from date of required disclosure
Athletic Participation/EADA documents	3 years from date of required disclosure
Institutional Information (Cost of Attendance, Withdrawal Procedures, disclosure, end of award year, Accreditation, etc.)	3 years from date of required disclosure
Federal Student Financial Aid Data/Documents	
Program Participation Agreement	3 years from award year
Accrediting and licensing agency review, approvals and reports	3 years from award year
State agency reports	3 years from award year
Audit and review reports	3 years from award year
Self-evaluation reports	3 years from award year
Other records pertaining to financial responsibility and standards of administrative capability	3 years from award year
Records of SFA program	3 years from award year
Bank statements for accounts containing SFA funds	3 years from award year
State & Other Financial Aid Data/Documents	
Records of student accounts	3 years from award year
Ledgers identifying SFA transactions	3 years from award year
Federal work-study payroll records	3 years from award year
Records supporting data on required reports , such as: SFA program reconciliation reports Audit reports and school responses Pell grant statements of accounts Accrediting and licensing agency reports	3 years from award year

The Student Aid Report (SAR) or Institutional Student Information Record (ISIR)	3 years from award year
Application data submitted to the Dept. of Education or lender by the school on behalf of the student	3 years from award year
Documentation of student's eligibility	3 years from award year
Financial aid history for Transfer students	3 years from award year
Documentation of student's satisfactory academic progress	3 years from award year
Documentation of student's program of study and courses enrolled in	3 years from award year
Data used to establish student's admission , enrollment status, period of enrollment	3 years from award year
Documents used to verify applicant's data	3 years from award year
Documentation related to the receipt of aid such as: amount of grant, loan, FWS award; and calculations used to determine aid amounts	3 years from award year
Date and amount of disbursements	3 years from award year
Documentation of initial or exit loan counseling	3 years from award year
Reports and forms used for participation in the SFA program	3 years from award year
Documentation supporting the school's calculation of its completion/graduation or transfer-out rate	3 years from award year
Campus-based aid (Perkins loan, SEOG, and Federal Work Study)	3 years from award year
Pell Grant	3 years from award year
Fiscal Operations Report (FISAP)	3 years from award year report submitted
Perkins repayment records	3 years from date loan assigned, cancelled, or repaid
Perkins original promissory notes	Until loan is satisfied or documents are needed to enforce obligation
FFEL and Direct Loans: Borrower's eligibility records	3 years from end of award year student last attended
All other records/reports	3 years from end of award year report submitted