



**LIFE CHIROPRACTIC
COLLEGE WEST**

POLICY ON RECORD RETENTION 2018

The College recognizes that the efficient management of its records is necessary to support its core functions, to comply with its regulatory obligations, to contribute to the effective overall management of the institution, to preserve its history, and to ensure that records that are no longer needed or of no value are discarded at the appropriate time. LCCW, therefore, requires that its records be managed in a systematic and logical manner according to the Record Retention Schedule outlined in Appendix.

This policy applies to all College personnel and covers all records, regardless of form, made, produced, executed, received or maintained by employees of the institution in the course of carrying out their College functions. Records and documentation created in the course of research, whether internally or externally funded, are also subject to contractual record-keeping requirements.

Record Retention Policy and Procedures

For the purpose of this policy, a College record includes any record that is made, produced, executed, received, or maintained by any department, office, or employee of the College in connection with the transaction of College business, including records considered to be confidential in nature. This policy applies to all records without regard to format, and includes but is not limited to documents in paper, electronic, microform (e.g., microfilm, microfiche, magnetic tapes, and CD-ROMS), and other traditional media formats.

1. College records shall be retained for a period specified in the Record Retention Schedule (see Appendix) to ensure that efficient and effective retention of College records are well documented and enforced.
2. Document storage locations shall be insured against the risk of theft / fire / other natural calamities.
3. College records, in their original form, may be destroyed after they have been retained for the minimum period.
4. The minimum retention period shall commence from the date of the last transaction entered in the records, such as completion of a contract or research pursuant to a grant. Unless otherwise specified, the retention period set forth in the schedule begins at this point in time.
5. Individual departments may establish appropriate procedures that are consistent with and in furtherance of this policy.

Filing, Archiving and Storage of Documents

1. Documents are stored in fire resistant metal filing cabinets while in active use, within access of the employees using the documents.
2. At the end of active use, the documents are moved to archives.
3. The documents in current use shall be filed in accordance with departmental procedures.



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4. Documents not in current use are placed in storage boxes. The Box is marked with the following information to facilitate easy retrieval of the document when needed:
 - a. Box number;
 - b. Type of document placed within the box;
 - c. Date of storage; and
 - d. Applicable retention period for the storage of documents as per the retention policy.
5. Boxes are stored in a safe location.

Retrieval of Documents from Storage

Retrieval of documents shall be done only with the approval of the department head. Destruction of documents shall be done only after the expiration of the specified retention period for the documents and with the approval of the department head.

Destruction of Documents

1. Once the information has been preserved for the required period, a list of the records eligible for destruction is compiled and then authorized by the appropriate department head or administrator for that area.
2. The documents are destroyed under proper supervision, keeping the following in mind:
 - a. All confidential documents must be either shredded or burned; and
 - b. Other documents will be disposed of in the fastest, most economical and environmentally friendly way.
3. A register of destroyed information is kept with sufficient details about each destruction to ensure an adequate audit trail is maintained about the information. The following particulars are included in the register at the minimum:
 - a. A description of the information;
 - b. The retention date in accordance with the retention period table;
 - c. The approval given for destruction of the information; and
 - d. The destruction date.

Appendix: Record Retention Schedule Record Retention Period Schedule

ADMINISTRATION & FINANCE	
Accreditation Records	Permanent



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Articles of Incorporation, Charter, Bylaws, Minutes of Board of Regents Meetings, Minutes of Board of Regents Committee Meetings	Permanent
Affirmative Action Audits and Annual Reports; Affirmative Action Compliance Records	2 years
Audit Records	Permanent
Awards Records	Permanent for eligibility terms and selection criteria, award history and information on funding sources, award notifications, summary lists of winners, biographies of winners, and press releases; 1 year for all other records
Board of Regent Member Records Conflict of Interest Forms	Permanent 5 years after resignation
Committee Records	Permanent for agendas, minutes, reports, and correspondence; 10 years for all other records of Faculty Committees; 3 years for all other records of other committees
IRB, Animal Research, and other Research Records	3 years after research is completed
Correspondence, Administrative ⁴	5 years
Correspondence, Executive ⁵	Permanent

³ Correspondence that documents communications received or sent which contain significant information about the institution's programs. Records include letters sent and received, memoranda, notes, enclosures, and attachments.

⁴ Correspondence that documents significant events and the development of administrative structure, policies, and procedures of the office. It may also record the historical development of the office. Records may include: letters sent and received; notes; directives; acknowledgments; and memoranda. Correspondence may be inter-office, within the College, and with non-College agencies, organizations, and individuals.



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Correspondence, Transitory ⁶	Until Read
Correspondence, General ⁷	5 years
Crisis or Disaster Records	5 years
Election Records	4 months after election
Faculty Senate Records	Permanent
Gift Records	Permanent for letters and agreements of gift, copies of bequest instruments and wills from individuals or estates, and related documentation and correspondence; 7 years for all other records.
Grievance Records	3 Years after Resolution
Institutional Planning Records	Permanent for final planning reports, proposals, goal and objective statements, and instructions and explanations of process; 20 years for internal planning committee materials, surveys, activity reports, working papers, informational materials, and correspondence
Mission Statements, Strategic Plans	Permanent
Organizational Charts	Permanent
Policies and Procedures Records	3 years after obsolescence
Professional Membership Records	4 Years
Vehicle Use Records	5 Years
Equipment Inventory Records	4 years after disposal of equipment
Equipment Maintenance Records	3 years after disposal of equipment
Requisition Records (purchase orders, etc)	5 years
Capital Construction Projects	Permanent
Buildings/Grounds Repair, Maintenance,	Permanent for floor plans, layouts,

⁵ Correspondence that documents communications received or sent which do not contain significant information about the institution's programs (Correspondence, Administrative), fiscal status (Correspondence, Fiscal), or routine agency operations (Correspondence, General). Records include, but are not limited to, advertising circulars, drafts and worksheets, desk notes, memoranda, and other records of a preliminary or informational nature.



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- 6 Correspondence that documents communications received or sent which do not contain significant information about an institution's programs. Records include: letters sent and received; memoranda; notes; transmittals; acknowledgments; community affair notices; charity fund drive records; routine requests for information or publications; enclosures and attachments.



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Remodeling, and Construction Records	sketches, and specifications; 7 years for all other records
Utilities Systems Operating and Maintenance Records	5 years after equipment is no longer in service for equipment maintenance histories; 10 years for all other records
Annual Fiscal Reports	10 years
Annual Financial Statements	Permanent
General Ledger Statements	7 years
Travel Reports/Records	4 years
Accounts Payable Records	7 years
Accounts Receivable Records	7 years
Cancelled Checks	7 years
Annual Budget Records	Permanent for Annual Operating Budget document; 7 years all other records
Contracts and Agreements Records	Contracts or agreements documenting building construction, alterations, or repair, 10 years after expiration; other contracts and agreements, 7 years after expiration.
Insurance Policy Records	7 years after policy expiration for liability, motor vehicle, special event and employee group insurance policies; 7 years after policy expiration for fire, theft, or extended coverage policies
Leases	7 years after expiration
Contracts	7 years after expiration
Legal Case Records	Permanent for Answers and Complaints; settlement documents; 7 years after final decision for all other records
Federal Tax Records	
Form 990 and Support	Permanent
Form 990-T and Support	Permanent
Antitrust Tax Returns and Support	Permanent
State & Local Tax Records	



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City & State Excise Tax Reports (Includes support documentation)	5 years
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Unclaimed Property Filings (Includes support documentation)	6 years
ACADEMIC AFFAIRS	
Academic Program Administrative Records	5 years
Book Order Records	1 year
Catalogs	Permanent for one copy of published catalog
Course Records ⁸	7 years after obsolescence
New Degree Program and Course Proposal Records	Permanent for committee meeting minutes and curriculum proposals; 5 years for all other records
Room Scheduling Records	1 year
Student Handbooks	Permanent for 1 copy
Course and Teacher Evaluation File	Individual Student Course Evaluations: Retain 1 year after semester ends then destroy; Promotion in Rank and Annual Faculty Evaluations: Retain 7 years then destroy
INFORMATION MANAGEMENT RECORDS	
Computer System Maintenance Records	For life of system or component for records related to system or component repair or service; until superseded for records related to regular or vital records backups
Computer System Program Documentation Records	For life of system
Software Management Records	Until software is disposed of or upgraded
Enrollment Reports	2 years after superseded or revoked
Curriculum Inventory Reports	2 years after superseded or revoked
Degrees Conferred Reports	2 years after superseded or revoked
IPEDS reports	2 years after superseded or revoked
HUMAN RESOURCES	



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7 Includes records of departmental course offerings and individual course contents. This may include but is not limited to: syllabi; course descriptions; course outlines; course summaries; course requests and proposals; curriculum approval lists; lists of classes by term; bibliographies; reading lists; course announcements; handout materials; and related documentation and correspondence.



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Job Announcements and Advertisements	2 years after search completed
Individual Applicants Who Are Not Hired	
Employment Applications	2 years after search completed
Background Investigation Results	2 years after search completed
Resumes	2 years after search completed
Letters of Recommendation	2 years after search completed
Employees	
Employee Personnel Files	7 years following separation of employee from institution
Benefit Policies and Procedures	7 years after expiration of program or contract
Employee Benefit Records	6 years after discontinuation or change of benefits
Continuation of Insurance Benefits (COBRA) Records	3 years
Family and Medical Leave Case Files	3 years after employee separation
Immigrant Visa Scholars Records	10 years following approval of permanent resident status
H-1 Visa Scholars Records	6 years after expiration of visa and extensions granted
J-1 Visa Scholars Records	3 years after visa expiration
Layoff Administration Records	7 years
Position Descriptions	Present and two previous descriptions for each position or descriptions covering a period of 5 years, whichever is greater; 5 years for position reclassification records
Promotion and Salary Increase Records	7 years after end of employment
Student Employees Personnel Records	5 years after employee separation for work-study student records and 3 years after employee separation for other student employee records
Time, Attendance and Leave Records	4 years



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Unemployment Compensation Claim Records	2 years
Deduction Authorization Records	4 years after authorization expires or is



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	superseded
Payroll Records – Individual Employees	
Wage or Salary History	5 years
Salary or Current Rate of Pay	5 years
Payroll Deductions	6 years
Time Cards or Sheets	5 years
W-2 Form	5 years
W-4 Form	5 years
Garnishments	Upon separation
Payroll Register	6 years
STUDENT RECORDS	
Grant-In-Aid Award Records	5 years
Borrower's Loan Records	5 years after loan repayment or assignment to U.S. Department of Education
Federal Title IV, Program Records, Institutional Records	7 years after expiration for agreements; 5 years after the end of the award year in which the student borrower last attended the institution for records pertaining to borrower eligibility; (c) 5 years after the end of the award year in which the FISAP is submitted for the Fiscal Operations Report, Application to Participate and supporting documentation. For 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.



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FFELP and Direct Loan Records	5 years after the end of the award year in which the student borrower last attended the institution for records relating to a student or parent borrower's eligibility; 5 years after the end of the award year in which the records are submitted for other records relating to the participation in FFEL or Direct Loan Program. For records involved in any loan, claim, or expenditure questioned by a Title IV, HEA program
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	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.
Pell Grant Reports	5 years after audit
Perkins Loan Program Records	5 years after the end of the award year for which aid was awarded and disbursed for records relating to the administration of the loan; 5 years after the end of the award year in which the FISAP is submitted for Fiscal Operations Report, Application to Participate and supporting documentation; 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.
Student Financial Aid Records	5 years after the end of the award year in which the student borrower last attended the institution for records relating to a student or parent borrower's eligibility; 5 years after the end of the award year in which the records are submitted for other records relating to the participation in FFEL or Direct Loan Program; 5 years after the end of the award year in which the FISAP is submitted for Fiscal Operations Report, Application to Participate and supporting documentation; 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.
Student Promissory Notes	5 years after repayment



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Work Study Program Administrative Records	5 years
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Admissions Records for Applicants Who Do Not Enroll (Accepted or Rejected)	1 year after application term
Admissions Records for Applicants Who Do Enroll (Accepted)	5 years after graduation or date of last attendance
Student Tracking Records	5 years after graduation or date of last attendance
Academic Action Authorizations	5 years after graduation or date of last attendance
Course Schedule Change Forms and Data	5 years after graduation or date of last attendance
Withdrawal Forms and Data	5 years after graduation or date of last attendance
Class Schedules of Students, Curriculum Change Forms	5 years after graduation or date of last attendance
Academic Standing Reports	3 years
Examinations, Tests, Term Papers, and Homework Records	1 term after completion for uncontested grade results; until resolved for contested grade results
FERPA Related Documents	Life of the affected record or until student terminates waiver for written consent of the student to disclose records and waivers for rights of access; life of the affected record for all other records
Grade Reports	5 years after graduation or date of last attendance
Grievance Records	6 years after graduation or date of last attendance
International Student Records	5 years after graduation or date of last attendance
Student Academic Records	Permanent for transcripts, 7 years for all other records
Student Conduct Records/Disciplinary Action Records	5 years after graduation or date of last attendance
Tuition and Fee Records	5 years after graduation or date of last attendance



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Transcript Request Forms	6 months for requests of official transcripts
Veterans Records	3 years following termination of enrollment period



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POLICE, SECURITY, SAFETY	
Accident and Injuries Records	3 years after final disposition of claim
Incident/Offense Reports	3 years
Dispatch Records	3 years, or until case is adjudicated, whichever is longer
Emergency Response Plans and Procedures	Until superseded
Non-Staff Accident and Injuries Records	5 years
Security and Fire Records, including Crime Statistics	3 years for copies of reports filed by law enforcement agencies; 5 years for all other records
Student Incident Records	3 years if no claim results; 3 years after employee separation if incident involves employee hazard exposure
Vehicle Accident Records	3 years
ENVIRONMENTAL HEALTH	
Environmental Regulations Records	10 Years
Material Safety Data Sheets Records	30 Years from the date the substance was last received in the workplace
Training Records (OSHA)	3 years from the date on which training occurred
Medical Records for Employees with Occupational Exposure	Duration of employment plus 30 years from termination of employment
Toxic Substance Exposure Records	40 years
ALUMNI RECORDS	
Alumni Records	Permanent

UPDATE: April 10, 2018