

RECORDS RETENTION SCHEDULE

GUIDELINES FOR RETENTION OF CORRESPONDENCE

Up to One Year. Generally, correspondence including memoranda and e-mail should be retained for up to one year:

- Routine letters, notes, and e-mail which require no acknowledgment or follow-up
- Notes of appreciation, congratulations, etc.
- Letters of transmittal and plans for meetings
- Form letters which require no follow-up
- Letters of general inquiry and replies which complete a cycle of correspondence
- Correspondence requesting specific action which has no further value after changes are made or action has been taken
- Correspondence of inconsequential subject matter or to which no further reference is necessary

One to Five Years. The following correspondence should be retained from one to five years or as defined within the appropriate department:

- Correspondence explaining but not establishing University or departmental policy
- Correspondence related to establishing credit
- Collection letters after the account is paid
- Quotation letters where no contract results

Indefinitely. The following are examples of correspondence to be kept indefinitely or for the life of the principal document which it supports. The specific retention period should be defined within the appropriate department.

- Correspondence pertaining to patents, copyrights, bills of sale, permits, etc.
- Correspondence regarding historic, vital, or archival records
- Correspondence denying liability
- Correspondence which constitutes all or part of a contract, or which are important in the clarification of certain points in a contract

**To the extent that the Records Retention Schedule does not address a specific document, or if you have any questions regarding document retention, please contact your department manager or the Office of the General Counsel.

RECORD CATEGORY	RETENTION PERIOD	AUTHORITY ¹
Administrative and/or Executive Records		
<ul style="list-style-type: none"> • Accreditation 	Permanent	
<ul style="list-style-type: none"> • Admissions statistics (degree, enrollment, grade, and race/ethnicity) 	Permanent	
<ul style="list-style-type: none"> • Articles of Incorporation and amendments 	Permanent	
<ul style="list-style-type: none"> • Institutional policies, mission statement, and strategic plan 	Permanent	
<ul style="list-style-type: none"> • Audit Reports – Internal and External, Audit work papers and reports 	Recommended permanent or as determined by the needs of the University	
<ul style="list-style-type: none"> • Broadcast License – Station records of experimental broadcast stations – i.e., records explaining nature and periods of the experiment etc. 	2 years	
<ul style="list-style-type: none"> • Bylaws 	Permanent	
<ul style="list-style-type: none"> • Licenses 	Permanent	
<ul style="list-style-type: none"> • Minutes, meeting notices, agendas, membership lists, and resolutions of Board of Regents and all subcommittees <ul style="list-style-type: none"> ◦ Minutes should include the names, addresses, & class of membership for each member 	Permanent	Cal. Corp. Code § 1500; § 8320
<ul style="list-style-type: none"> • Minutes of Student Organizations 	Permanent or as determined by the needs of the University	
<ul style="list-style-type: none"> • Public Relations Materials – i.e., direct mail pieces, brochures, printed literature, films, video tapes and audio tapes, leaflets, handbills, fliers, recruitment manuals, etc. 	2 years	38 USC § 3696
<ul style="list-style-type: none"> • Tax-exemption documents, IRS determination letters, and any 	Permanent	

¹ A blank entry in this column indicates that there are no specific federal or state retention requirements of the type of record specified.

RECORD CATEGORY	RETENTION PERIOD	AUTHORITY ¹
related documents		
<ul style="list-style-type: none"> • Trademark, copyright, patent, and royalty records 	Permanent	
Building and Facility Records		
<ul style="list-style-type: none"> • Construction plans and blueprints, design and construction contracts, licenses, and permits 	Permanent	
<ul style="list-style-type: none"> • Engineering studies and reports 	Permanent	
<ul style="list-style-type: none"> • Commercial Leases 	Term + 4 years	Cal. Civ. Proc. § 337.2
<ul style="list-style-type: none"> • Property Records including costs, property appraisals, inspection reports, depreciation reserves and schedules, deeds, mortgages, easements, title insurance, and property tax returns 	Recommended permanent or as determined by the needs of the University	
Clinic-Related Records, Clinics Managed by Graduate School of Education and Psychology		
<ul style="list-style-type: none"> • Clinic Employee Records 	3 years following termination of employment	22 CCR § 75335; 75337
<ul style="list-style-type: none"> • Health and Psychiatric Records - Adults 	7 years after discharged	22 CCR § 75343
<ul style="list-style-type: none"> • Health and Psychiatric Records- Minors 	1 year after the minor has reached 18 and in no event less than 7 years after discharged	22 CCR § 75343
<ul style="list-style-type: none"> • Policies and procedures with respect to protected health information in compliance with HIPAA 	6 years from date of creation or date when last in effect, whichever is later	45 CFR § 164.530(j)
Federal Grant Records		
<ul style="list-style-type: none"> • Records which fully disclose the amount and disposition of those funds, total cost of the activity, share of the cost provided by other sources, records that facilitate a financial or programmatic audit, financial records, supporting documents, statistical records, and all other records pertinent to an award 	3 years after completion of the activity for which the funds are used or 3 years from the date of submission of the final expenditure report, whichever is later	20 USC § 1232f(a)

RECORD CATEGORY	RETENTION PERIOD	AUTHORITY ¹
Financial Aid Records		
<ul style="list-style-type: none"> • Financial aid program records 	5 years from the end of the award year for which the record was submitted or created	
<ul style="list-style-type: none"> • Applications for financial aid and recipient's records (including loans, scholarships, grants, and fellowships) 	5 years from date of graduation or last date of attendance	
<ul style="list-style-type: none"> • Promissory notes 	3 years after outstanding loan(s) are paid in full	
<ul style="list-style-type: none"> • Athletically Related Student Aid Records: <ul style="list-style-type: none"> o Number of students receiving aid o Race & sex of the students organized by sport o Graduation Rate 	3 years	20 USC § 1092(e), (g)
<ul style="list-style-type: none"> • Federal Pell Grant Documents: <ul style="list-style-type: none"> o Records related to administration of programs 	3 years after the end of the award year	34 CFR §§ 690.81, 690.82, 668.24, and 668.164
<ul style="list-style-type: none"> • Federal Perkins Loan Documents: <ul style="list-style-type: none"> o Repayment records o Cancellation and deferment requests 	3 years after loan is repaid or cancelled	34 CFR §§ 674.19 and 668.24
<ul style="list-style-type: none"> • Federal Family Education Loan (FFEL) audit report required under 34 CFR § 682.305(c) 	5 years after report issued or 3 years after loan repaid by borrower or 5 years after repayment from any other source	34 CFR § 682.414
<ul style="list-style-type: none"> • Fiscal Operations Report and Application to Participate (FISAP) in Federal Perkins Loan, Federal Supplemental Educational Opportunity Grant Program (FSEOG), and Federal Work-Study (FWS) Programs <ul style="list-style-type: none"> o Any records necessary to support the data in the FISAP 	3 years after end of award year in which FISAP is submitted	34 CFR §§ 668.24, 674.19, 675.19, and 676.19
<ul style="list-style-type: none"> • FSEOG; Pell Grant; Title IV/Higher Education Act (HEA): Stafford, PLUS; Federal Perkins; FWS; or Federal Pell Grant Program: <ul style="list-style-type: none"> o Records demonstrating institutional eligibility o University fiscal information related to participation 	3 years after the end of the award year	34 CFR § 668.24(e)

RECORD CATEGORY	RETENTION PERIOD	AUTHORITY ¹
<ul style="list-style-type: none"> o Documentation showing parent's and student's eligibility o Administration of program 		
<ul style="list-style-type: none"> • Records relating to Federal Guaranteed Student Loan program lenders including Title IV, HEA FFEL program loans <ul style="list-style-type: none"> o Application, deferment eligibility, collection history 	5 years after the loan is repaid in full	34 CFR § 682.515, 78 FR 65768, 65820
Financial Records		
<ul style="list-style-type: none"> • Accounts Payable Contracts 	Recommended permanent or as determined by the needs of the University	
<ul style="list-style-type: none"> • Accounts Payable/Receivable 	4 years	Cal. Civ. Proc. § 337
<ul style="list-style-type: none"> • Annual reports (year-end financial statements) 	Permanent	
<ul style="list-style-type: none"> • Bank records, statements, and reconciliations 	3 years	
<ul style="list-style-type: none"> • Budget Reports 	5 years	
<ul style="list-style-type: none"> • CA sales and use tax liability records – i.e., accounting books, schedules/working papers used in preparation of tax returns, bills, receipts, cash register tapes, etc. 	4 years	18 CCR § 1698(i)
<ul style="list-style-type: none"> • Cash Books 	7 years	
<ul style="list-style-type: none"> • Charts of Accounts 	3 years	26 CFR § 1.6038A-326 CFR § 1.6038A(a)
<ul style="list-style-type: none"> • Check Requisitions 	7 years	
<ul style="list-style-type: none"> • Cancelled Checks 	7 years	
<ul style="list-style-type: none"> • Conflict of interest disclosure forms 	7 years	
<ul style="list-style-type: none"> • Deeds, Mortgages, and Bills of Sale 	Recommended permanent (for historical purposes and proof of ownership)	
<ul style="list-style-type: none"> • Equipment Inventory 	5 years after disposal of equipment	
<ul style="list-style-type: none"> • Expense Reports/Petty Cash vouchers 	3 years	

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<ul style="list-style-type: none"> Fleet Management (i.e., University Vehicles) 	5 years after disposal of equipment	
<ul style="list-style-type: none"> Investment reports 	7 years	
<ul style="list-style-type: none"> Invoices 	7 years	
<ul style="list-style-type: none"> Notes Receivable Ledgers and Schedules 	7 years	
<ul style="list-style-type: none"> Purchase Orders 	7 years	
<ul style="list-style-type: none"> Sales & Purchase Records – i.e., record of total sales & volume purchased or received during such periods (weekly, monthly, quarterly, etc.) 	3 years	29 CFR § 516.5(c)
<ul style="list-style-type: none"> Receiving sheets 	2 years	
<ul style="list-style-type: none"> Records of total volume of sales or business 	3 years	29 CFR § 516.5(c)
<ul style="list-style-type: none"> Vending Machine Records: <ul style="list-style-type: none"> Location of the machine Serial number Merchandise bought for the machine Prices charged Receipts 	4 years	Cal. Admin. Code, title 18 §§ 1574; 1698(d)
Gift and Estate Planning Records		
<ul style="list-style-type: none"> Donor Files – Individual 	Recommended permanent or as determined by the needs of the University	
<ul style="list-style-type: none"> Gift Receipts 	6 years	26 USC § 6501
<ul style="list-style-type: none"> Property Appraisal by Outside Appraisers 	Recommended permanent or as determined by the needs of the University	
<ul style="list-style-type: none"> Support for endowment contributions 	Recommended permanent or as determined by the needs of the University	
<ul style="list-style-type: none"> Wills and Trusts 	Recommended permanent or as determined by the needs of the University	

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Human Resources and Payroll Records		
<ul style="list-style-type: none"> • Advertisements or notices to the public or to employees relating to job openings, promotions, training programs, or opportunities for overtime work 	1 year	29 CFR § 1627.3(b)
<ul style="list-style-type: none"> • Application materials for individuals hired (resumes, letters of recommendation, etc.) 	4 years after the last date of employment	
<ul style="list-style-type: none"> • Applications and employment inquiries including records relating to failure or refusal to hire any individual 	4 years	Cal. Gov't Code § 12946; 2 CCR § 7287.0(c)
<ul style="list-style-type: none"> • Basic employment and earnings records: <ul style="list-style-type: none"> ○ Time cards ○ Job classifications and descriptions ○ Job evaluations ○ Wage rate tables, wages paid to men and women and any documents that describe or explain the basis for payment of any wage differential to employees of the opposite sex in the same establishment 	2 to 3 years	29 CFR § 516.6; 29 CFR § 1620.32; Cal. Labor Code §§ 1174, 1197.5
<ul style="list-style-type: none"> • Contracts 	Term + 4 years	SB 807
<ul style="list-style-type: none"> • Employee personnel files 	4 years after the last date of employment	SB 807; Cal. Gov. Code § 12946
<ul style="list-style-type: none"> • Employee Benefit Plans: <ul style="list-style-type: none"> ○ Pension and insurance plans ○ Seniority and merit system 	Keep during the period of the plan and 1 year after termination of the plan	29 CFR § 1627.3(b)(2)
<ul style="list-style-type: none"> • Employee Personnel Records Required Under the Family & Medical Leave Act (FMLA) <ul style="list-style-type: none"> ○ Basic payroll and identifying employee data (name, address, occupation, rate or basis of pay, terms of compensation, daily and weekly hours per pay period, total compensation) 	3 years	29 CFR § 825.500

RECORD CATEGORY	RETENTION PERIOD	AUTHORITY ¹
<ul style="list-style-type: none"> paid, additions and deductions from wages) o Dates FMLA leave is taken o Documents related to employee benefits, copies of FMLA notices given to employees o Records of any disputes with employees regarding FMLA leave 		
<ul style="list-style-type: none"> • Employee Personnel Records Required Under Title VII and the Americans with Disabilities Act (ADA): <ul style="list-style-type: none"> o Requests for reasonable accommodation o Application forms submitted by applicants requesting accommodation o Name, address, date of birth, rate of pay, weekly compensation o Records having to do with hiring, promotion, layoff, termination, rates of pay or other terms of compensation and selection for training 	2 years from making the personnel action or the record or 2 years after the date of involuntary termination, whichever is later; if discrimination charge, keep until final disposition	29 CFR § 1602.49
<ul style="list-style-type: none"> • Employment Development Department Records Requirement: <ul style="list-style-type: none"> o Period of pay, name, social security number, date hired, place of work, remuneration paid to each worker, and disbursement records 	8 years	22 CCR § 1085-2
<ul style="list-style-type: none"> • Employment Tax-related Records <ul style="list-style-type: none"> o Returns, schedules, statements indicating taxes withheld, refund claims, forms: W-2, W-4, 1099 	4 years after the due date of such tax for the return period to which the records relate, or the date such tax is paid, whichever is the later	26 CFR §§ 31.6001-1, 31.6001-2
<ul style="list-style-type: none"> • Faculty Peer Review Materials, letters regarding appointment, reappointment, Performance Evaluations (excluding student evaluations), Tenure and Promotion Records, Merit Increases, Teaching Awards 	Keep during employment and then 7 years after termination	
<ul style="list-style-type: none"> • Faculty and Course Evaluations by Students (if not otherwise 	7 years	

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returned to faculty member)		
<ul style="list-style-type: none"> Grievance proceedings, complaints, investigations, and findings 	7 years after the last date of employment	
<ul style="list-style-type: none"> Higher Education Staff Information Report EEO-6 Records and Information 	3 years	29 CFR § 1602.48
<ul style="list-style-type: none"> I-9 Employment Eligibility Verification Forms 	3 years after hiring; 1 year after termination, whichever is later	8 CFR § 274A.2
<ul style="list-style-type: none"> Insurance Claims 	7 years after claim is resolved	
<ul style="list-style-type: none"> Medical records – Employees exposed to toxic substances or harmful physical agents 	Maintain during employment and then for 30 years thereafter, except if the employee worked for less than one year and records given to the employee upon termination	29 CFR § 1910.1020(d)(1)(i)
<ul style="list-style-type: none"> Medical records – Employees not exposed to toxic substances or harmful physical agents (Note: for exposures, see 29 CFR 1910) 	3 years after termination	
<ul style="list-style-type: none"> Personnel actions (including all disciplinary actions and terminations) 	7 years after the last date of employment	
<ul style="list-style-type: none"> Policy Records 	Permanent	
<ul style="list-style-type: none"> Payroll & Related Personnel Records: <ul style="list-style-type: none"> All payroll records and identifying employee data, including name, address, date of birth, occupation, rate or basis of pay, terms of compensation, daily and weekly hours per pay period, total compensation paid, addition and deductions from wages (including garnishments) 	3 to 4 years (3-year retention requirement under federal law, but recommended 4-year retention because statute of limitations for wage/hour claims is 4 years)	29 CFR § 516.2; 29 CFR § 516.3; 29 CFR § 1627.3, Cal. Labor Code § 1174
<ul style="list-style-type: none"> Records regarding claims of discrimination or a civil suit, including all personnel records of the individual(s) involved and 	Retain until final disposition of the matter	29 CFR § 1602.49

RECORD CATEGORY	RETENTION PERIOD	AUTHORITY ¹
all employees holding positions similar to that held or sought by the plaintiff		
<ul style="list-style-type: none"> • Retirement records: <ul style="list-style-type: none"> ○ Annual report for benefit plan, welfare, ○ vouchers, worksheets, receipts and ○ applicable resolutions, etc. 	6 years	29 USC § 1027
<ul style="list-style-type: none"> • Worker's Compensation: Open and Closed Files 	Maintain at least until the latest of the following dates – 5 years from the date of injury; 1 year from the date compensation was last provided; until all compensation has been paid; or if an audit has been conducted, until findings of an audit have become final	8 CCR §§ 10101, 10101.1, and 10102
<ul style="list-style-type: none"> • Worker's Compensation Claim Logs 	5 years from the end of the year covered	8 CCR § 10103.1
Insurance		
<ul style="list-style-type: none"> • Active and expired policies, certificates of insurance, indemnification and hold harmless agreements, and other similar documents 	Permanent	
<ul style="list-style-type: none"> • Insurance claim records, incident, accident and medical reports 	7 years after conclusion of claim	
Legal Records		
<ul style="list-style-type: none"> • Litigation – Active and inactive files 	Permanent	
<ul style="list-style-type: none"> • Settlement agreements and releases 	Permanent	
Safety/Environmental/Security Records		

RECORD CATEGORY	RETENTION PERIOD	AUTHORITY ¹
<ul style="list-style-type: none"> Accident, crime, and property damage reports and claims 	7 years	
<ul style="list-style-type: none"> Annual Security Reports 	3 years from the date the data is first available	20 USC § 1092(f)(l)(F)
<ul style="list-style-type: none"> Asbestos records regarding hazardous exposure 	30 years	29 CFR §§ 1910.19; 1910.1001(m)(1)(iii); 1915.1001
<ul style="list-style-type: none"> California Occupational Safety and Health Act (Cal/OSHA) Records: <ul style="list-style-type: none"> Log and summary of occupational injuries and illnesses Forms, Cal/OSHA Form 300, privacy case list (if one exists), Cal/OSHA form 300A, and Cal/OSHA form 301 incident reports 	5 years after the end of the calendar year that the record covers	8 CCR § 14300.33; 29 CFR § 1904.33
<ul style="list-style-type: none"> OSHA Records – General: <ul style="list-style-type: none"> Records verifying information sent to Secretary such as vouchers, worksheets, receipts, applicable resolutions 	5 years	29 USC §§ 436, 651 <i>et seq.</i>
Student Records²		
<ul style="list-style-type: none"> Acceptance letters, advanced placement records, applications for admission or readmission, entrance examination reports/test scores, transcripts from other colleges or high schools 	5 years after graduation	
<ul style="list-style-type: none"> Admissions records for applicants who do not enroll 	18 months from the date of start of application term	
<ul style="list-style-type: none"> Academic catalogs, class schedules, syllabi 	Permanent	
<ul style="list-style-type: none"> Admissions records 	Recommended permanent or as determined	

² The American Association of Collegiate Registrars and Admissions Officers (AACRAO) provides a guide for retention and disposal of student records. Most of the retention periods cited in this section are based upon the AACRAO guidance.

RECORD CATEGORY	RETENTION PERIOD	AUTHORITY ¹
	by the needs of the University	
<ul style="list-style-type: none"> • Counseling/Medical Records 	7 years after last visit	
<ul style="list-style-type: none"> • Departmental Files 	5 years after graduation	
<ul style="list-style-type: none"> • Disciplinary Records (General) and Grievance Proceedings 	7 years after graduation or last date of attendance	
<ul style="list-style-type: none"> • Disciplinary Records Resulting in Expulsion or Dismissal 	Permanent	
<ul style="list-style-type: none"> • Exams/Papers (if not otherwise returned to student) 	One semester or trimester after end of semester or trimester in which exam given or paper written for uncontested grade results, or until resolution of contested grade	
<ul style="list-style-type: none"> • FERPA Requests and Hearing Records, e.g., request for formal hearing, student statements on content of records regarding hearing panel decisions, written decisions of hearing panels 	Permanent	
<ul style="list-style-type: none"> • Grade records, academic records (narrative evaluations and competency assessments), professional credentialing documents, and change of grade forms 	Permanent	
<ul style="list-style-type: none"> • Graduation lists 	Permanent	
<ul style="list-style-type: none"> • Residential Housing Contracts 	Permanent	
<ul style="list-style-type: none"> • Records of Exchange Visitors (those with J-1 visas) 	Retain for period of enrollment and for 3 years thereafter	22 CFR § 62.10(h); 514.10(h)
<ul style="list-style-type: none"> • Records of Immigrant Students (those with F-1 & M-1 visas) 	Retain for period of enrollment and for 3 years after notification to SEVP that the student is no longer pursuing a full course of study	8 CFR § 214.3(g)
<ul style="list-style-type: none"> • Student Requests for non-disclosure of directory information or student written consent for records disclosure 	As long as records are maintained	

RECORD CATEGORY	RETENTION PERIOD	AUTHORITY ¹
<ul style="list-style-type: none"> • Student clinical training files and teacher portfolios 	5 years after graduation	
<ul style="list-style-type: none"> • Student created placement files 	Retain in accordance with GSEP Career Center “Placement File Maintenance”	
<ul style="list-style-type: none"> • Third party requests for disclosure of student personally identifiable information 	Permanent	
<ul style="list-style-type: none"> • Thesis and Dissertations (final, accepted copies) 	Permanent	
<ul style="list-style-type: none"> • Transcripts 	Permanent	
<ul style="list-style-type: none"> • Timesheets for Student Employees 	3 years after end of employment	34 CFR § 668.24(e)
Tax Records		
<ul style="list-style-type: none"> • CA Sales and Use Tax Liability Records: <ul style="list-style-type: none"> ○ Normal book accounts, bills, receipts, invoices, cash register tapes, schedules ○ or working papers used in tax preparation, etc. 	Permanent (unless written authorization to destroy)	Publication 116 CA Dept. of Tax and Fee Admin.
<ul style="list-style-type: none"> • Form 990T & CA 109 & 199 Return of Organization Exempt from Income Tax 	Permanent	
<ul style="list-style-type: none"> • Notice of disallowance of taxpayers claim by Secretary 	Permanent	
<ul style="list-style-type: none"> • Property tax records 	Permanent	
<ul style="list-style-type: none"> • Returns – Return & Assessment Dates for Many Different Taxes: <ul style="list-style-type: none"> ○ Gift taxes, estate taxes, excise taxes, income taxes, personal holding company, constructive dividends etc. 	Permanent	
<ul style="list-style-type: none"> • Records related to overpayment of any tax for application of a tax refund or credit claim 	Permanent	

*If there are any inconsistencies in the required retention periods, the longer period should be followed.