

# 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 appreciations, 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.

<b>RECORD CATEGORY</b>	<b>RETENTION PERIOD</b>	<b>AUTHORITY<sup>1</sup></b>
<b>Administrative and/or Executive Records</b>		
• Accreditation	Permanent	
• Admissions statistics (degree, enrollment, grade, and race/ethnicity)	Permanent	
• Articles of Incorporation and amendments	Permanent	
• Institutional policies, mission statement, and strategic plan	Permanent	
• Audit Reports – Internal and External, Audit work papers and reports	Recommended permanent or as determined by the needs of the University	
• Broadcast License – Station records of experimental broadcast stations – i.e. records explaining nature and periods of the experiment etc.	2 years	47 CFR § 74.181
• By laws	Permanent	
• Licenses	Permanent	
• Minutes, meeting notices, agendas, membership lists, and resolutions of Board of Regents and all subcommittees <ul style="list-style-type: none"> <li>• Minutes should include the names, addresses, &amp; class of membership for each member</li> </ul>	Permanent	Cal. Corp. Code § 1500; § 8320
• Minutes of Student Organizations	Permanent or as determined by the needs of the University	

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

<ul style="list-style-type: none"> <li>Public Relations Materials – i.e. direct mail pieces, brochures, printed literature, films, video tapes and audio tapes, leaflets, handbills, fliers, recruitment manuals, etc.</li> </ul>	1 year	38 USC § 3696
<ul style="list-style-type: none"> <li>Tax-exemption documents, IRS determination letters, and any related documents</li> </ul>	Permanent	
<ul style="list-style-type: none"> <li>Trademark, copyright, patent, and royalty records</li> </ul>	Permanent	
<b>Building and Facility Records</b>		
<ul style="list-style-type: none"> <li>Construction plans and blueprints, design and construction contracts, licenses and permits</li> <li>Engineering studies and reports</li> </ul>	Permanent	
<ul style="list-style-type: none"> <li>Commercial Leases</li> </ul>	Term + 4 years	Cal. Civ. Proc. § 337.2
<ul style="list-style-type: none"> <li>Property Records including costs, property appraisals, inspection reports, depreciation reserves and schedules, deeds, mortgages, easements, title insurance, and property tax returns.</li> </ul>	Recommended permanent or as determined by the needs of the University	
<b>Clinic-related Records, Clinics Managed by Graduate School of Education and Psychology</b>		
<ul style="list-style-type: none"> <li>Clinic Employee Records</li> </ul>	3 years following termination of employment	22 CCR § 75335; 75337
<ul style="list-style-type: none"> <li>Health and Psychiatric Records - Adults</li> </ul>	7 years after discharged	22 CCR § 75343
<ul style="list-style-type: none"> <li>Health and Psychiatric Records- Minors</li> </ul>	1 year after the minor has reached 18 and in no event less than 7 years after	22 CCR § 75343

	discharged	
<ul style="list-style-type: none"> <li>Policies and procedures with respect to protected health information in compliance with HIPAA</li> </ul>	6 years from date of creation or date when last in effect, whichever is later	45 CFR § 164.530(j)
<b>Federal Grant Records</b>		
<ul style="list-style-type: none"> <li>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</li> </ul>	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); 34 C.F.R. § 74.53
<b>Financial Aid Records</b>		
<ul style="list-style-type: none"> <li>Financial aid program records</li> </ul>	5 years from the end of the award year for which the record was submitted or created	
<ul style="list-style-type: none"> <li>Applications for financial aid and recipient's records (including loans, scholarships, grants, and fellowships)</li> </ul>	5 years from date of graduation or last date of attendance	
<ul style="list-style-type: none"> <li>Promissory notes</li> </ul>	3 years after outstanding loan(s) are paid in full	
<ul style="list-style-type: none"> <li>Athletically Related Student Aid Records: <ul style="list-style-type: none"> <li>Number of students receiving aid</li> <li>Race &amp; sex of the students organized by sport</li> <li>Graduation Rate</li> </ul> </li> </ul>	3 years	20 USC § 1092(e), (g)
<ul style="list-style-type: none"> <li>Federal Pell Grant Documents: <ul style="list-style-type: none"> <li>Records related to administration of programs</li> </ul> </li> </ul>	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"> <li>Federal Perkins Loan Documents:</li> </ul>	3 years after loan is repaid or	34 CFR §§ 674.19 and 668.24

<ul style="list-style-type: none"> <li>• Repayment records</li> <li>• Cancellation and deferment requests</li> </ul>	canceled	
<ul style="list-style-type: none"> <li>• Federal Family Education Loan (FFEL) audit report required under 34 CFR § 682.305(c)</li> </ul>	5 years after report is issued	34 CFR § 682.414(a)
<ul style="list-style-type: none"> <li>• 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</li> <li>• Any records necessary to support the data in the FISAP</li> </ul>	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"> <li>• 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"> <li>• Records demonstrating institutional eligibility</li> <li>• University fiscal information related to participation</li> <li>• Documentation showing parent's and student's eligibility</li> <li>• Administration of program</li> </ul> </li> </ul>	3 years after the end of the award year	34 CFR § 668.24(e)
<ul style="list-style-type: none"> <li>• Records relating to Federal Guaranteed Student Loan program lenders including Title IV, HEA FFEL program loans <ul style="list-style-type: none"> <li>• Application, deferment eligibility, collection history</li> </ul> </li> </ul>	5 years after the loan is repaid in full	34 CFR § 682.515
<b>Financial Records</b>		
<ul style="list-style-type: none"> <li>• Accounts Payable Contracts</li> </ul>	Recommended permanent or as determined by the needs	

	of the University	
• Accounts Payable/Receivable	4 years	Cal. Civ. Proc. § 337
• Annual reports (year-end financial statements)	Permanent	
• Bank records, statements and reconciliations	3 years	
• Budget Reports	5 years	
• 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)
• Cash Books	7 years	
• Charts of Accounts	3 years	26 CFR § 1.6038A-3
• Check Requisitions	7 years	
• Cancelled Checks	7 years	
• Conflict of interest disclosure forms	7 years	
• Deeds, Mortgages, and Bills of Sale	Recommended permanent (for historical purposes and proof of ownership)	
• Equipment Inventory	5 years after disposal of equipment	
• Expense Reports/Petty Cash vouchers	3 years	
• Fleet Management (i.e University Vehicles)	5 years after disposal of equipment	
• Investment reports	7 years	
• Invoices	7 years	
• Notes Receivable Ledgers and Schedules	7 years	

• Purchase Orders	7 years	
• 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)
• Receiving sheets	2 years	
• Records of total volume of sales or business	3 years	29 CFR § 516.5(c)
• Vending Machine Records: <ul style="list-style-type: none"> <li>• Location of the machine</li> <li>• Serial number</li> <li>• Merchandise bought for the machine</li> <li>• Prices charged</li> <li>• Receipts</li> </ul>	4 years	Cal. Admin. Code, title 18 §§ 1574; 1698(d)
<b>Gift and Estate Planning Records</b>		
• Donor Files – Individual	Recommended permanent or as determined by the needs of the University	
• Gift Receipts	6 years	26 USC § 6501
• Property Appraisal by Outside Appraisers	Recommended permanent or as determined by the needs of the University	
• Support for endowment contributions	Recommended permanent or as determined by the needs of the University	
• Wills and Trusts	Recommended permanent or as determined by the needs of the University	
<b>Human Resources and Payroll Records</b>		
• Advertisements or notices to the public or to	1 year	29 CFR § 1627.3(b)

employees relating to job openings, promotions, training programs, or opportunities for overtime work		
<ul style="list-style-type: none"> <li>Application materials for individuals hired (resumes, letters of recommendation, etc...)</li> </ul>	7 years after the last date of employment	
<ul style="list-style-type: none"> <li>Applications and employment inquiries including records relating to failure or refusal to hire any individual</li> </ul>	2 years	Cal. Gov't Code § 12946; 2 CCR § 7287.0(c)
<ul style="list-style-type: none"> <li>Basic employment and earnings records: <ul style="list-style-type: none"> <li>Time cards</li> <li>Job classifications and descriptions</li> <li>Job evaluations</li> <li>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</li> </ul> </li> </ul>	2 to 3 years	29 CFR § 516.6; 29 CFR § 1620.32; Cal. Labor Code §§ 1174, 1197.5
<ul style="list-style-type: none"> <li>Contracts</li> </ul>	Term + 7 years	
<ul style="list-style-type: none"> <li>Employee personnel files</li> </ul>	7 years after the last date of employment	
<ul style="list-style-type: none"> <li>Employee Benefit Plans: <ul style="list-style-type: none"> <li>Pension and insurance plans</li> <li>Seniority and merit system</li> </ul> </li> </ul>	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"> <li>Employee Personnel Records Required Under the Family &amp; Medical Leave Act (FMLA) <ul style="list-style-type: none"> <li>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 paid, additions and deductions from wages)</li> <li>Dates FMLA leave is taken</li> </ul> </li> </ul>	3 years	29 CFR § 825.500



<ul style="list-style-type: none"> <li>• Documents related to employee benefits, copies of FMLA notices given to employees</li> <li>• Records of any disputes with employees regarding FMLA leave</li> </ul>		
<ul style="list-style-type: none"> <li>• Employee Personnel Records Required Under Title VII and the Americans with Disabilities Act (ADA): <ul style="list-style-type: none"> <li>• Requests for reasonable accommodation</li> <li>• Application forms submitted by applicants requesting accommodation</li> <li>• Name, address, date of birth, rate of pay, weekly compensation</li> <li>• Records having to do with hiring, promotion, layoff, termination, rates of pay or other terms of compensation and selection for training</li> </ul> </li> </ul>	2 years from making the personnel action or the record or 2 years after the date of involuntary termination, whichever is later	29 CFR § 1602.49
<ul style="list-style-type: none"> <li>• Employment Development Department Records Requirement: <ul style="list-style-type: none"> <li>• Period of pay, name, social security number, date hired, place of work, remuneration paid to each worker, and disbursement records</li> </ul> </li> </ul>	8 years	22 CCR § 1085-2
<ul style="list-style-type: none"> <li>• Employment Tax-related Records <ul style="list-style-type: none"> <li>• Returns, schedules, statements indicating taxes withheld, refund claims, forms: W-2, W-4, 1099</li> </ul> </li> </ul>	4 years	26 CFR §§ 31.6001-1, 31.6001-2
<ul style="list-style-type: none"> <li>• Faculty Peer Review Materials, letters regarding appointment, reappointment, Performance Evaluations (excluding student evaluations), Tenure and Promotion Records, Merit Increases, Teaching Awards</li> </ul>	Keep during employment and then 7 years after termination	
<ul style="list-style-type: none"> <li>• Faculty and Course Evaluations by Students</li> </ul>	7 years	

(if not otherwise returned to faculty member)		
<ul style="list-style-type: none"> <li>Grievance proceedings, complaints, investigations, and findings</li> </ul>	7 years after the last date of employment	
<ul style="list-style-type: none"> <li>Higher Education Staff Information Report EEO-6 Records and Information</li> </ul>	3 years	29 CFR § 1602.48
<ul style="list-style-type: none"> <li>I-9 Employment Eligibility Verification Forms</li> </ul>	3 years after hiring; 1 year after termination, whichever is later	8 CFR § 274A.2
<ul style="list-style-type: none"> <li>Insurance Claims</li> </ul>	7 years after claim is resolved	
<ul style="list-style-type: none"> <li>Medical records – Employees exposed to toxic substances or harmful physical agents</li> </ul>	Maintain during employment and then for 30 years thereafter, except if the employee worked for less than one year give the employee records upon termination or keep for 30 years	29 CFR § 1910.1020(d)(1)(i)
<ul style="list-style-type: none"> <li>Medical records – Employees not exposed to toxic substances or harmful physical agents</li> </ul>	3 years after termination	
<ul style="list-style-type: none"> <li>Personal actions (including all disciplinary actions and terminations)</li> </ul>	7 years after the last date of employment	
<ul style="list-style-type: none"> <li>Policy Records</li> </ul>	Permanent	
<ul style="list-style-type: none"> <li>Payroll &amp; Related Personnel Records: <ul style="list-style-type: none"> <li>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)</li> </ul> </li> </ul>	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"> <li>Records regarding claims of discrimination or a civil suit, including all personnel records of the individual(s) involved and all employees holding positions similar to that held or sought by the plaintiff</li> </ul>	Retain until final disposition of the matter	29 CFR § 1602.49
<ul style="list-style-type: none"> <li>Retirement records: <ul style="list-style-type: none"> <li>Annual report for benefit plan, welfare, vouchers, worksheets, receipts and applicable resolutions, etc.</li> </ul> </li> </ul>	6 years after death of employee or beneficiary	29 USC § 1027
<ul style="list-style-type: none"> <li>Worker's Compensation: Open and Closed Files</li> </ul>	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"> <li>Worker's Compensation Claim Logs</li> </ul>	5 years from the end of the year covered	8 CCR § 10103.1
<b>Insurance</b>		
<ul style="list-style-type: none"> <li>Active and expired policies, certificates of insurance, indemnification and hold harmless agreements, and other similar documents</li> </ul>	Permanent	
<ul style="list-style-type: none"> <li>Insurance claim records, incident, accident and medical reports</li> </ul>	7 years after conclusion of claim	
<b>Legal Records</b>		
<ul style="list-style-type: none"> <li>Litigation – Active and inactive files</li> </ul>	Permanent	
<ul style="list-style-type: none"> <li>Settlement agreements and releases</li> </ul>	Permanent	

<b>Safety/Environmental/Security Records</b>		
<ul style="list-style-type: none"> <li>Accident, crime, and property damage reports and claims</li> </ul>	7 years	
<ul style="list-style-type: none"> <li>Annual Security Reports</li> </ul>	3 years from the date the data is first available	20 USC § 1092(f)(I)(F)
<ul style="list-style-type: none"> <li>Parking permits and citations</li> </ul>	7 years	
<ul style="list-style-type: none"> <li>Asbestos records regarding hazardous exposure</li> </ul>	30 years	29 CFR §§ 1910.19; 1910.1001(m)(1)(iii); 1915.1001
<ul style="list-style-type: none"> <li>California Occupational Safety and Health Act (Cal/OSHA) Records: <ul style="list-style-type: none"> <li>Log and summary of occupational injuries and illnesses</li> <li>Forms, Cal/OSHA Form 300, privacy case list(if one exists), Cal/OSHA form 300A, and Cal/OSHA form 301 incident reports</li> </ul> </li> </ul>	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"> <li>OSHA Records – General: <ul style="list-style-type: none"> <li>Records verifying information sent to Secretary such as vouchers, worksheets, receipts, applicable resolutions</li> </ul> </li> </ul>	5 years	29 USC §§ 436, 651 <i>et seq.</i>
<b>Student Records<sup>2</sup></b>		
<ul style="list-style-type: none"> <li>Acceptance letters, advanced placement records, applications for admission or readmission, entrance examination reports/test scores, transcripts from other colleges or high schools</li> </ul>	5 years after graduation	
<ul style="list-style-type: none"> <li>Admissions records for applicants who do not enroll</li> </ul>	18 months from the date of start of application term	
<ul style="list-style-type: none"> <li>Academic catalogs, class schedules, syllabi</li> </ul>	Permanent	
<ul style="list-style-type: none"> <li>Admissions records</li> </ul>	Recommended permanent or as determined by the needs	

<sup>2</sup> 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.

	of the University	
• Counseling/Medical Records	7 years after last visit	
• Departmental Files	5 years after graduation	
• Disciplinary Records (General) and Grievance Proceedings	7 years after graduation	
• Disciplinary Records Resulting in Expulsion or Dismissal	Permanent	
• 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	
• 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	
• Grade records, academic records (narrative evaluations and competency assessments), professional credentialing documents and change of grade forms	Permanent	
• Graduation lists	Permanent	
• Residential Housing Contracts	Permanent	
• 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"> <li>Records of Immigrant Students (those with F-1 &amp; M-1 visas)</li> </ul>	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"> <li>Student Requests for non-disclosure of directory information or student written consent for records disclosure</li> </ul>	Until terminated by student or permanent	
<ul style="list-style-type: none"> <li>Student clinical training files and teacher portfolios</li> </ul>	5 years after graduation	
<ul style="list-style-type: none"> <li>Student created placement files</li> </ul>	Retain in accordance with GSEP Career Center "Placement File Maintenance"	
<ul style="list-style-type: none"> <li>Third party requests for disclosure of student personally identifiable information</li> </ul>	Permanent	
<ul style="list-style-type: none"> <li>Thesis and Dissertations (final, accepted copies)</li> </ul>	Permanent	
<ul style="list-style-type: none"> <li>Transcripts</li> </ul>	Permanent	
<ul style="list-style-type: none"> <li>Timesheets for Student Employees</li> </ul>	3 years after end of employment	34 CFR § 668.24(e)
<b>Tax Records</b>		
<ul style="list-style-type: none"> <li>CA Sales and Use Tax Liability Records: <ul style="list-style-type: none"> <li>Normal book accounts, bills, receipts, invoices, cash register tapes, schedules or working papers used in tax preparation, etc.</li> </ul> </li> </ul>	Permanent	
<ul style="list-style-type: none"> <li>Form 990T &amp; CA 109 &amp; 199 Return of Organization Exempt From Income Tax</li> </ul>	Permanent	

<ul style="list-style-type: none"> <li>• Notice of disallowance of taxpayers claim by Secretary</li> </ul>	Permanent	
<ul style="list-style-type: none"> <li>• Property tax records</li> </ul>	Permanent	
<ul style="list-style-type: none"> <li>• Returns – Return &amp; Assessment Dates for Many Different Taxes: <ul style="list-style-type: none"> <li>• Gift taxes, estate taxes, excise taxes, income taxes, personal holding company, constructive dividends etc.</li> </ul> </li> </ul>	Permanent	
<ul style="list-style-type: none"> <li>• Records related to overpayment of any tax for application of a tax refund or credit claim</li> </ul>	Permanent	

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