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Owner Melinda Latas:
Chief
Compliance
OfficerArea Business and
Finance

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Records Retention and Disposition Schedules

I. Policy

It is the policy of the California State University to retain all records based on the CSU'S Systemwide Records Retention Schedules to ensure compliance with legal and regulatory requirements while implementing appropriate operational best practices. Once any such time period is complete, the records are to be disposed of to align with data minimization principles.

Records which must be retained include every means of recording upon any tangible thing in any form of communication or representation, including letters, words, pictures, sounds, or symbols, any combination of these or other means to engage in business, regardless of media, which is a general term referring to the material onto which business information has been recorded and may subsequently be used for business purposes. Records include, but are not limited to:

- Electronic communication such as e-mail content and attachments, voicemail, instant messages, and data on a contactless integrated circuit;
- Content on web sites, mobile devices, desktops, and servers;
- Information/data captured in various databases;
- Physical paper in files, such as memos, contracts, reports, photographs and architectural drawings;
- Licenses, certificates, registration, identification cards, or other means;
- Handwriting, typewriting, printing, photographing, photocopying, transmitting by electronic mail or facsimile;
- Video or screen recordings or transcripts of proceedings whose substance is required to be retained
- Any record thereby created, regardless of the manner or media in which the record has been stored and/or created; and
- Backups of electronic information.

II. Procedures

A. Campus Responsibilities

1. *Designate custodian(s)*

Records custodians are responsible for securing and managing the administration of records in accordance with the California State University records retention and disposition schedules and the [CSU Information Security Policy and Standards](#). Each campus president must designate an official campus custodian(s) for each type of record.

Every campus custodian is responsible for ensuring that records managers and other end users in campus department(s) are made aware of their responsibilities and receive training as appropriate to their role and responsibility for records security, release, and management.

2. *Records Retention*

Each campus must retain records in accordance with the time periods set forth within retention and disposition schedules issued in conjunction with this policy. Where more than one retention period applies to a single record, the longer period should be followed. For Research and Sponsored Program activities, if sponsor guidelines require a different retention period, the longer retention requirement shall prevail.

Retention periods apply to the official record for the University. Reference or convenience copies of a record should never be retained longer than the official record and should be destroyed when reference value has ended.

Any Record recommended for permanent retention should be retained in a medium that takes into consideration the nature of the document and its need for retrieval

It is the responsibility of each records custodian to preserve records as long as required to resolve an open audit or legal hold, even where that means preserving the record for longer than the retention period defined in the schedule.

When a court order is made to destroy, expunge, or seal a record, the record shall be disposed of pursuant to the court order, even where sooner than the retention period defined in the schedule.

When an employee leaves a department or the University, the department is responsible for identifying an appropriate person to take over as custodian of that employee's records, including their electronic records, to ensure they are appropriately secured and retained for the duration of the applicable retention period, and disposed of at the appropriate time, pursuant to the requirements of the retention and disposition schedules.

3. *Records Disposition*

Records Disposition refers to a range of processes associated with implementing destruction or transfer decisions that are required by the records/information retention and disposition schedule or other authority. Each Campus must develop and implement a process to review records and information for appropriate and timely disposal in accordance with retention and disposition schedules, and to document disposal of records. All University records approved for disposal which are of a confidential or sensitive nature may be disposed of by any method of destruction making record recognition impossible. IT services should be consulted to determine appropriate and secure ways to dispose of sensitive electronic records. Aggregating data and disposing of the individual component records may also be a valid means of disposition.

Returning a document to the person who submitted it may also be a valid means of disposition, and may be preferable in situations where the document is difficult or impossible for the individual to replace, such as student or applicant documents from institutions in other countries.

B. Records Schedule

The California State University (CSU) maintains a Systemwide Records Retention Schedule. The schedule will be periodically reviewed and updated as appropriate. A Campus may create their own versions of the schedule, but if they do, campus schedules must mirror the retention periods in the Systemwide Records Retention Schedule. The campus may otherwise modify these schedules as needed, e.g., to specify custodians, update record/information value according to campus needs, and incorporate additional or more specific records types.

A record schedule is a document identifying a group of related records associated with a university process or function and evaluated as a unit for retention purposes. For each record listed, the schedule will include a retention period, and citation to any applicable authority that governs the length of time a particular record must be retained.

1. Value of University Records

a. Operational

Required by a campus/department to perform its primary function.

b. Legal

Required to be kept by law or may be needed for litigation or a government investigation.

c. Fiscal

Related to the financial transactions of the campus, especially those required for audit or tax purposes. This includes records related to projects funded with debt by the State and the Trustees, for example, the Systemwide Revenue Bond program and the CSU's Commercial Paper Program, and the campus use and operations of these facilities.

d. Historical

Of long-term value to document past events. This may arise from exceptional age and/or connection with some significant historical event or person associated with the CSU. The record custodian is responsible for identifying records that may have historic value for the campus.

e. Vital

Critical to maintain to ensure operational continuity for the CSU after a disruption or disaster. Vital records or information may fall into any one of the above value categories. The Campus Custodian is responsible for identifying records that may have vital value for the campus and should ensure that the designation of a vital record/information is consistent with the campus' continuity plans. See [CSU System Continuity Program](#) for more information.

III. References

Keywords: record retention; payroll retention

IV. Authority

This policy is issued pursuant to California Education Code 89043 and [Section II of the Standing Orders of the Board of Trustees of the California State University](#) as further delegated by the [Standing Delegations of Administrative Authority](#). The president may delegate authority and responsibility described in this policy to other campus officials pursuant to [Section VI of the Standing Orders of the Board of Trustees of the California State University](#).

V. Appendix A: Records Retention Schedules

Custodian	Record Title	Authority	Start of Retention	Dispose After	Notes	Sub
Record Series 1.0 Personnel/Payroll						
Campus Personnel file	1.1.a Employment application	29 U.S.C. Section 201-219 29 C.F.R. Section 1627.3 28 U.S.C. Section 1658	Separation from CSU	10 Years	CSU's Record Retention policy of 10 years exceeds the record retention periods required by statutes identified in the Retention Source Authority	And aal
Campus Personnel file	1.1.b Resume or faculty biography	29 U.S.C. Section 201-219 29 C.F.R. Section 1627.3 28 U.S.C. Section 1658	Separation from CSU	10 Years		And aal
Campus Personnel file	1.1.c Appointment letter	29 U.S.C. Section 201-219 29 C.F.R. Section 1627.3 28 U.S.C. Section 1658	Separation from CSU	10 Years		And aal
Campus Personnel file	1.1.d Required state forms	29 U.S.C. Section 201-219 29 C.F.R. Section 1627.3 28 U.S.C. Section 1658	Separation from CSU	10 Years	e.g., Oath of Allegiance, Designation of Person Authorized to Receive Warrants.	And aal
Campus Personnel file	1.1.e Other new hire paperwork	29 U.S.C. Section 201-219 29 C.F.R. Section 1627.3 28 U.S.C. Section 1658	Separation from CSU	10 Years		And aal
Campus Personnel file	1.1.f Position description	29 U.S.C. Section 201-219 29 C.F.R. Section 1627.3 28 U.S.C. Section 1658	Separation from CSU	10 Years		And aal
Campus Personnel file	1.1.g Personal data information and changes	29 U.S.C. Section 201-219 29 C.F.R. Section 1627.3 28 U.S.C. Section 1658	Separation from CSU	10 Years	Including name, address, education level (e.g., Request for Nondisclosure of Employee Address)	And aal
Campus Personnel file	1.1.h Employee personnel transaction forms	29 U.S.C. Section 201-219 29 C.F.R. Section 1627.3 28 U.S.C. Section 1658	Separation from CSU	10 Years	For actions such as reclassification, reassignment,	And aal

	and supporting documentation				promotion/demotion, timebase changes, etc. (e.g., Employee Transaction forms, including CSU Personnel/Payroll Transaction and Student Employment Payroll Transaction forms)	
Campus & Chancellor's Office, Personnel file	1.1.i Court procedures	29 U.S.C. Section 201-219 29 C.F.R. Section 1627.3 28 U.S.C. Section 1658	Separation from CSU	10 Years	e.g., Notice of Judgment Against Wages	And aal
Campus Personnel file	1.1.j Employee benefit enrollment and change documentation	29 U.S.C. Section 201-219 29 C.F.R. Section 1627.3 28 U.S.C. Section 1658	Separation from CSU	10 Years	Benefits include health and welfare programs, voluntary programs, retirement programs, and tax savings programs.	And aal
Campus Personnel file	1.1.k Permanent status letter	29 U.S.C. Section 201-219 29 C.F.R. Section 1627.3 28 U.S.C. Section 1658	Separation from CSU	10 Years		And aal
Campus Personnel file	1.1.l Memoranda or letters of praise, counseling or reprimand	29 U.S.C. Section 201-219 29 C.F.R. Section 1627.3 28 U.S.C. Section 1658	Separation from CSU	10 Years		And aal
Campus Personnel file	1.1.m Notices of training completed	29 U.S.C. Section 201-219 29 C.F.R. Section 1627.3 28 U.S.C. Section 1658	Separation from CSU	10 Years	Many of these records are kept in CSYou LMS, owned by the Chancellor's Office.	And aal
Campus & Chancellor's Office, Personnel file	1.1.n Performance evaluation	29 U.S.C. Section 201-219 29 C.F.R. Section 1627.3 28 U.S.C. Section 1658	Separation from CSU	10 Years	Does not include evaluations of Presidents	And aal
Chancellor's Office, Personnel File	1.1.o Performance evaluations of president	29 U.S.C. Section 201-219 29 C.F.R. Section 1627.3 28 U.S.C. Section 1658	Separation from CSU	10 Years		And aal
Campus Personnel file	1.1.p Salary adjustment and payment documentation	29 U.S.C. Section 201-219 29 C.F.R. Section 1627.3 28 U.S.C. Section 1658	Separation from CSU	10 Years	Including, but not limited to: Pay separation forms and resignation letters (including FERP/ Rehired Annuitant).	And aal
Campus Personnel file	1.1.q Emergency contact information	29 U.S.C. Section 201-219 29 C.F.R. Section 1627.3 28 U.S.C. Section 1658	Separation from CSU	10 Years		And aal
Campus	1.1.r Other job-	29 U.S.C. Section 201-219	Separation	10 Years		And

Personnel file	related personnel record	29 C.F.R. Section 1627.3 28 U.S.C. Section 1658	from CSU			aal
Campus Personnel file	1.1.s Final disciplinary records in accordance with collective bargaining agreement	29 U.S.C. Section 201-219 29 C.F.R. Section 1627.3 28 U.S.C. Section 1658	Separation from CSU	10 Years		And aal
Campus (Not in Personnel File)	1.3 Verification of right to work in the U.S.	8 U.S.C. Section 1324a	Termination of Employment	1 year (Or three years after Creation of Record, whichever is later)	e.g., Form I-9, Foreign National Information form	And aal
Campus (Not in Personnel File)	1.4 EEOC charge of discrimination and related documents	29 C.F.R. Section 1602.14	Separation from CSU	10 Years		And aal
Campus (Not in Personnel File)	1.5 DFEH charge of discrimination and related documents	29 C.F.R. Section 1602.14	Separation from CSU	10 Years		And aal
Campus, Third-Party Administrator (Not in Personnel File)	1.6 Workers' compensation claim and related documents	8 CCR 10102	Date of injury or date on which Workers' Compensation benefits were last provided, whichever occurs later.	5 years*	Cases involving Permanent Disability should be kept Permanently	And aal
Campus, Third-Party Administrator (Not in Personnel File)	1.7 Return to work documentation	28 U.S.C. Section 1658	Date of illness/injury or date on which benefits were last provided, whichever occurs later.	5 years	May be either NDI (Nonindustrial Disability Insurance) or Workers' Compensation related. If NDI converts to a Workers' Compensation claim, defer to Workers' Compensation claims and related documents retention period.	And aal
Campus, Third-Party Administrator (Not in	1.8 Unemployment records held by the campus	26 C.F.R. Section 301.6501(e)-1	Creation of Record	6 years	Excludes files of the Third-Party Administrator, which serves as the official	And aal

Personnel File)					Custodian of Records.	
Campus, State Controller's Office (Not in Personnel File)	1.9 Social Security, and Medicare Tax Records	26 U.S.C. Sections 3101-3128	Date the tax is due or paid, whichever occurs later.	4 years	e.g., deduction records for Social Security and Medicare).	And aal
Campus & Chancellor's Office (Not in Personnel file)	1.10 American with Disabilities Act claim documentation	29 C.F.R. Section 1602.14	Separation from CSU	10 Years		And aal
Campus (Not in Personnel File)	1.11 Medical information protected by the California Confidentiality of Medical Information Act	28 U.S.C. Section 1658	Date of the document	4 Years		And aal
Campus (Not in Personnel File)	1.12 Survey of ethnic or disabled or veteran status for reporting and recordkeeping purposes	28 U.S.C. Section 1658	Date of the document	4 Years	(e.g., data CSU is required to collect from the employee for state/federal agencies).	And aal
Campus & Chancellor's Office (Not in Personnel file)	1.13 Any information that may be alleged to be defamatory	28 U.S.C. Section 1658	Date of the document	4 Years	Campuses should consult with their campus counsel when determining whether a document contains defamatory information.	And aal
Campus (Not in Personnel File)	1.14 Any information that is not job-related	28 U.S.C. Section 1658	Date of the document	4 Years		And aal
Campus & Chancellor's Office (Not in Personnel file)	1.15 Any documents related to grievances, faculty status disputes, litigation or complaints, both formal and informal	28 U.S.C. Section 1658	Separation from CSU	10 Years	e.g., non-litigation settlement agreements.	And aal
Campus & Chancellor's Office (Not in Personnel file)	1.16 Health Insurance Portability and Accountability Act (HIPAA) documentation	45 C.F.R. 164.530(j)(2)	The date the document was created or was last in effect.	6 Years	e.g., forms CSU is required to have employees sign regarding privacy, disclosure of personal health	And aal

					information.	
Campus & Chancellor's Office (Not in Personnel file)	1.17 Whistleblower documentation	By analogy to the provisions of the Sarbanes-Oxley Act of 2002 (Section 802) regarding records retention (17 C.F.R. Section 210)	Conclusion of the investigation	7 years		And aal
Pay Related Records						
Campus (Not in Personnel File)	1.18.1 Records of hours worked	29 U.S.C. Section 201-219 Unemployment Insurance Code Section 1085 22 CCR 1085-2 28 U.S.C. Section 1658	Creation of Record	4 years	e.g., Time and Attendance Report, Monthly Attendance Summary, Student Assistant Attendance Report, Student Time Voucher and timesheets, Student Attendance Reporting Spreadsheet, Miscellaneous Payroll/Leave Actions.	And aal
Campus (Not in Personnel File)	1.18.2 Leave accrual and usage records	29 U.S.C. Section 201-219 Unemployment Insurance Code Section 1085 22 CCR 1085-2 28 U.S.C. Section 1658	Creation of Record	4 years		And aal
Campus (Not in Personnel File)	1.18.3 Employee leave records	29 U.S.C. Section 201-219 Unemployment Insurance Code Section 1085 22 CCR 1085-2 28 U.S.C. Section 1658	Creation of Record	4 years		And aal
Campus (Not in Personnel File)	1.18.4 Authorization for compensating time off	29 U.S.C. Section 201-219 Unemployment Insurance Code Section 1085 22 CCR 1085-2 28 U.S.C. Section 1658	Creation of Record	4 years		And aal
Campus (Not in Personnel File)	1.18.5 Authorization for extra hours or overtime documentation	29 U.S.C. Section 201-219 Unemployment Insurance Code Section 1085 22 CCR 1085-2 28 U.S.C. Section 1658 Business and Profession Code Section 17208	Creation of Record	4 years	e.g., Report of Extra Hours to be Paid.	And aal
Campus (Not in Personnel File)	1.18.6 Records of additions to or deductions from wages	29 U.S.C. Section 201-219 Unemployment Insurance Code Section 1085 22 CCR 1085-2 28 U.S.C. Section 1658	Creation of Record	4 years	e.g., Pay Adjustment Request, Payroll Adjustment Notice, Report of Extra Hours to be Paid, Salary Garnishment, Dock.	And aal

Campus (Not in Personnel File)	1.18.7 Work schedules	29 U.S.C. Section 201-219 Unemployment Insurance Code Section 1085 22 CCR 1085-2 28 U.S.C. Section 1658	Creation of Record	4 years		And aah
Campus (Not in Personnel File)	1.18.8 Withholding documentation	29 U.S.C. Section 201-219 Unemployment Insurance Code Section 1085 22 CCR 1085-2 28 U.S.C. Section 1658	Creation of Record	4 years	e.g., Employee Action Request form, Student Payroll Action Request form, Statement Concerning Your Employment in a Job Not Covered by Social Security.	And aah
Campus (Not in Personnel File)	1.18.9 W-4 forms	Section 8.77 26 C.F.R. Sections 31.6001-1 to 31.6001-6	Date document is no longer in effect	4 years		And aah
Campus (Not in Personnel File)	1.18.10 W-2 forms returned by post office	Revenue and Taxation Code Section 19704	Date of receipt by CSU	6 years	Can also order from the State Controller's Office	And aah
Campus, State Controller's Office (Not in Personnel File)	1.18.11 Income tax records	Revenue and Taxation Code Section 19704 26 C.F.R. Section 301.6501	Date of filing	6 years (15 Years in cases where the Internal Revenue Service will undertake a collection action)	e.g., fee waiver tax liability and domestic tax liability forms, including Nonresident Alien Employee Federal Income Tax Withholding Authorization.	Ric rma
Campus, State Controller's Office (Not in Personnel File)	1.18.12 Miscellaneous pay related documents	Miscellaneous statutes including, but not limited to: 29 U.S.C. Section 201-219 Unemployment Insurance Code Section 1085 22 CCR 1085-2 28 U.S.C. Section 1658	Creation of Record	4 years	e.g., Proof of Lost or Destroyed Payroll Warrant and Request for Issuance of Duplicate Warrant, Request for Duplicate Controller's Warrant/ Stop Payment, Request for University Check (State Revolving Fund), Payroll Exceptions Report.	And aah
Miscellaneous Personnel Records						
Campus & Chancellor's Office (Not in Personnel File)	1.19 Conflict of Interest Statements (Form 700)	Government Code Section 81009	Creation of Record	7 years		And aah
Campus	1.20 Family	29 C.F.R. Section 825.500	Date of the	3 years		And

(Not in Personnel File)	Medical Leave Act (FMLA) Records		document or the event, whichever is later.			aal
Campus (Not in Personnel File)	1.21 Recruitment Records-all applicants/candidates	Government Code Section 12946	Date records are created/ received, or from the date of the hiring decision, if the successful candidate	10 years	Appropriate recruitment documents for the applicant/candidate hired should be transitioned to the Personnel File. Typically includes, but is not limited to, applications and resumes considered for the position, employment tests, reference checks, writing samples, and advertising records, rating sheets and recommendations.	And aal
Campus & Chancellor's Office (Not in Personnel File)	1.22 Fee waiver records	28 U.S.C. Section 1658	Completion of the classes for which the fee is waived	5 years		And aal
Campus (Not in Personnel File)	1.23 Employment Retirement Income Security Act Records (ERISA)	29 U.S.C. Section 1001-1381 29 U.S.C. Section 1059	Creation of Record	6 years (indefinitely as subsequently noted)	e.g., Qualified Medical Child Support Orders. Records sufficient in detail to determine benefits due, or that may become due to employees, must be held an indefinite period of time.	And aal
Campus (Not in Personnel File)	1.24 Background checks	California Government Code Section 12946	Date of separation, or Creation or Record (for candidates not hired)	4 Years	Includes, but is not limited to, employment verification, education verification, reference checks, and -- ONLY AFTER A CONDITIONAL JOB OFFER HAS BEEN MADE -- criminal records checks. If job related, DEPENDING UPON THE POSITION,	And aal

					additional checks may include credit history checks, motor vehicle records/ licensing, sex offender registry checks, and/or professional licensing/credential verification.	
Campus (Not in Personnel File)	1.25 Volunteer records		End of FY in which volunteer relationship ended	3 Years		And aal
<u>Custodian</u>	<u>Record Title</u>	<u>Authority</u>	<u>Start of Retention</u>	<u>Dispose After</u>	<u>Notes</u>	<u>Sub</u>

Record Series 2.0 Fiscal

Accounts Payable

VP/CFO	2.1.b Documents related to the creation of a vendor record such as vendor data form; W-9; ACH authorization.	Best practice to fulfill IRS Requirements, and Scope of audits under Ed Code 89045	Last Financial event with the vendor	4 years	For activity whose funding source is a bond, see schedule entries pertaining to Bond retention requirements. For Assistance contact Rosa Renaud at rrenaud@calstate.edu in Capital Planning, Design and Construction for Guidance. See also Financing and Treasury Webpage for Tax-Exempt Bond requirements	Ker khe
VP/CFO	2.1.c Documents related to the payment for goods and services, regardless of payment method (check; wire; ACH): Source document; evidence of approval; pertinent backup. Examples: Invoice, fee refund,	Best practice to fulfill IRS Requirements, and Scope of audits under Ed Code 89045	End of the fiscal year of the record item (transaction, reconciliation, etc.)	4 years	For activity whose funding source is a bond, see schedule entries pertaining to Bond retention requirements. For Assistance contact Rosa Renaud at rrenaud@calstate.edu in Capital Planning, Design and Construction for Guidance. See also	Ker khe

	travel expense reports, check request, wire request; disbursement journals; check registers.				Financing and Treasury Webpage for Tax-Exempt Bond requirements	
VP/CFO	2.1.d Workpapers supporting non-cash debit adjustments to vendor transactions.	Best practice to fulfill IRS Requirements, and Scope of audits under Ed Code 89045	End of the fiscal year of the record item (transaction, reconciliation, etc.)	4 years	For activity whose funding source is a bond, see schedule entries pertaining to Bond retention requirements. For Assistance contact Rosa Renaud at rrenaud@calstate.edu in Capital Planning, Design and Construction for Guidance. See also Financing and Treasury Webpage for Tax-Exempt Bond requirements	Ker khe
Accounts Receivable						
VP/CFO	2.2.a Documents supporting the creation of a customer record: set-up forms; billing terms; Loan Agreement.	Best practice to fulfill IRS Requirements, and Scope of audits under Ed Code 89045	Last Financial event with the customer	4 years	For activity whose funding source is a bond, see schedule entries pertaining to Bond retention requirements. For Assistance contact Rosa Renaud at rrenaud@calstate.edu in Capital Planning, Design and Construction for Guidance. See also Financing and Treasury Webpage for Tax-Exempt Bond requirements	Ker khe
VP/CFO	2.2.b Documents related to the collection of payments due to the campus; copies of invoices; correspondence.	Best practice to fulfill IRS Requirements, and Scope of audits under Ed Code 89045	End of the fiscal year of the record item (transaction, reconciliation, etc.)	4 years	For activity whose funding source is a bond, see schedule entries pertaining to Bond retention requirements. For Assistance contact Rosa Renaud at rrenaud@calstate.edu	Ker khe

					in Capital Planning, Design and Construction for Guidance. See also Financing and Treasury Webpage for Tax-Exempt Bond requirements	
VP/CFO	2.2.c Analyses supporting Allowance for Doubtful accounts, write-offs.	Best practice to fulfill IRS Requirements, and Scope of audits under Ed Code 89045	End of the fiscal year of the record item (transaction, reconciliation, etc.)	4 years	For activity whose funding source is a bond, see schedule entries pertaining to Bond retention requirements. For Assistance contact Rosa Renaud at rrenaud@calstate.edu in Capital Planning, Design and Construction for Guidance. See also Financing and Treasury Webpage for Tax-Exempt Bond requirements	Ker khe
VP/CFO	2.2.d Workpapers supporting non-cash credit adjustments to Customer transactions.	Best practice to fulfill IRS Requirements, and Scope of audits under Ed Code 89045	End of the fiscal year of the record item (transaction, reconciliation, etc.)	4 years	For activity whose funding source is a bond, see schedule entries pertaining to Bond retention requirements. For Assistance contact Rosa Renaud at rrenaud@calstate.edu in Capital Planning, Design and Construction for Guidance. See also Financing and Treasury Webpage for Tax-Exempt Bond requirements	Ker khe
VP/CFO	2.2.e Credit card receipts resulting from sales of goods or services.	Best practice to fulfill IRS Requirements, and Scope of audits under Ed Code 89045	End of the fiscal year of the record item (transaction, reconciliation, etc.)	4 years	For activity whose funding source is a bond, see schedule entries pertaining to Bond retention requirements. For Assistance contact Rosa Renaud at rrenaud@calstate.edu	Ker khe

					in Capital Planning, Design and Construction for Guidance. See also Financing and Treasury Webpage for Tax-Exempt Bond requirements	
Audits						
VP/CFO	2.3.a Documents related to financial or operational audits (GAAP; BSA); Campus' workpapers generated during the audits.	Best practice to fulfill IRS Requirements, and Scope of audits under Ed Code 89045	End of the fiscal year of the record item (transaction, reconciliation, etc.)	4 years		Ker khe
VP/CFO	2.3.b Audit reports; annual audited financial statements.	Best practice to fulfill IRS Requirements, and Scope of audits under Ed Code 89045	Creation of Record	Permanent		Ker khe
VP/CFO	2.3.c Documents related to work performed under Campus Reporting of Fiscal Improprieties policy; reports filed under the EO and related workpapers.	Best practice to fulfill IRS Requirements, and Scope of audits under Ed Code 89045	End of the fiscal year of the record item (transaction, reconciliation, etc.)	4 years	Reports filed under the Policy, and related workpapers.	Ker khe
Auxiliary Organization Records						
VP/CFO	2.4.a Resident records such as signed license agreements; meningitis informed consent releases.		End of the fiscal year of the record item (transaction, reconciliation, etc.)	4 years		Ker khe
VP/CFO	2.4.b Parking permit records, such as applications; guest pass requests; temporary ADA requests; permit reconciliation reports.		End of the fiscal year of the record item (transaction, reconciliation, etc.)	4 years		Ker khe
VP/CFO	2.4.c Parking		End of the	4 years		Ker

	citation records, including appeals; administrative hearings; DMV reports.		fiscal year of the record item (transaction, reconciliation, etc.)			khe
VP/CFO	2.4.d Receipts and cashing reconciliation reports		End of the fiscal year of the record item (transaction, reconciliation, etc.)	4 years	For activity whose funding source is a bond, see schedule entries pertaining to Bond retention requirements. For Assistance contact Rosa Renaud at rrenaud@calstate.edu in Capital Planning, Design and Construction for Guidance. See also Financing and Treasury Webpage for Tax-Exempt Bond requirements	Ker khe
VP/CFO	2.4.e Pertinent reports such as Lost and Stolen Permits.		End of the fiscal year of the record item (transaction, reconciliation, etc.)	4 years		Ker khe
University President or designee	2.4.f Pertinent reports such as the Annual Review of Auxiliary Financial Standards and Control Self-Assessment		End of the fiscal year of the record item	4 years		Ker khe
Miscellaneous Fiscal Records						
VP/CFO	2.5.a Banking and Investing: Bank statements, canceled checks; bank charges; bank reconciliations; remittance advices.	Best practice to fulfill IRS Requirements, and Scope of audits under Ed Code 89045	End of the fiscal year of the record item (transaction, reconciliation, etc.)	4 years		Ker khe
VP/CFO	2.5.b Banking and Investing: Cash	Best practice to fulfill IRS Requirements, and	End of the fiscal year of	4 years		Ker khe

	adjustments/ corrections	Scope of audits under Ed Code 89045	the record item (transaction, reconciliation, etc.)			
VP/CFO	2.6.a Budget Documents: Documents used in the preparation of the campus' annual budget, such as working files and spreadsheets; correspondence.	Best practice to fulfill IRS Requirements, and Scope of audits under Ed Code 89045	End of the fiscal year of the record item (transaction, reconciliation, etc.)	4 years		Ker khe
VP/CFO	2.6.b Budget Documents: Final Budget Submission; Allocations; Annual Plan.	Best practice to fulfill IRS Requirements, and Scope of audits under Ed Code 89045	End of the fiscal year of the record item (transaction, reconciliation, etc.)	4 years		Ker khe
VP/CFO	2.7 Business Procurement Card Records: Documents related to purchases made by the Campus using a p-card, such as original statements, receipts, reconciliations.	Best practice to fulfill IRS Requirements, and Scope of audits under Ed Code 89045	End of the fiscal year of the record item (transaction, reconciliation, etc.)	4 years		Ker khe
VP/CFO	2.8 Cash Receipts: Documentation for payments received (including fees, permits, etc) such as cash register records, deposit slips; courier records; ticket records; cash journals or logs; cash reconciliations.	Best practice to fulfill IRS Requirements, and Scope of audits under Ed Code 89045	End of the fiscal year of the record item (transaction, reconciliation, etc.)	4 years		Ker khe
VP/CFO	2.9 Closing of the Books Records: Documents related to the	Best practice to fulfill IRS Requirements, and Scope of audits under Ed Code 89045	End of the fiscal year of the record item	4 years		Ker khe

	monthly, quarterly and annual analysis of accounts including reconciliations, journal entries, transaction journals; workpapers.		(transaction, reconciliation, etc.)			
Contracts and Procurement VP/CFO	2.10 Contracts and Procurement: Documents related to the acquisition of supplies, services, IT resources, space and facilities, and leasing of real property, such as requisitions; bids and proposals; purchase orders; contracts; leases; receiving reports; MOU's; licenses.	Vital Record	End of the fiscal year of the record item (transaction, reconciliation, etc.)	4 years	For activity whose funding source is a bond, see schedule entries pertaining to Bond retention requirements. For Assistance contact Rosa Renaud at rrenaud@calstate.edu in Capital Planning, Design and Construction for Guidance. See also Financing and Treasury Webpage for Tax-Exempt Bond requirements	Ker khe
VP/CFO	2.11 Debt: Documents related to non-State funding (CSU-issued bonds, equipment financing) such as official statements; debt service schedules; loan agreements.	Education Code 90010 and Bond Indenture. Vital and Historical	End of the fiscal year of the record item (transaction, reconciliation, etc.)	4 years	Bond indenture requires records to be avail for inspection while bonds are outstanding.	Ros rren
VP/CFO	2.12 Financial Reports: Documents that relate to the status of accounts at month, quarter or year-end such as FIRMS submissions, IPEDS financial reports; SCO tab runs; general ledgers; A/R, A/P	Best practice to fulfill IRS Requirements, and Scope of audits under Ed Code 89045	End of the fiscal year of the record item (transaction, reconciliation, etc.)	4 years	For activity whose funding source is a bond, see schedule entries pertaining to Bond retention requirements. For Assistance contact Rosa Renaud at rrenaud@calstate.edu in Capital Planning, Design and Construction for Guidance. See also	Ker khe

	and fixed asset sub-ledgers.				Financing and Treasury Webpage for Tax-Exempt Bond requirements	
VP/CFO	2.13 Internal Control Compliance: Non-financial records that show compliance with internal control procedures, such as Delegations of Authority; signature authorizations; electronic banking rights; PeopleSoft user rights; Trust Agreements.	Vital Record	End of the fiscal year of the record item (transaction, reconciliation, etc.)	4 years		Ker khe
VP/CFO	2.14 Records associated with Cal Vet Disabled Veteran Business Enterprise Program (DVBE) transactions	Military and Veterans Code section 999.55	Creation of Record	6 years	Includes certification records, utilization reports, and proof of payments to DVBE	Ker khe
VP/CFO	2.15 Methodologies: Documents that illustrate the reasoning and argumentation behind decisions made or actions taken, such as cost allocation methodologies; interest earnings allocations; Reserve Justifications.	Best practice to fulfill IRS Requirements, and Scope of audits under Ed Code 89045 Historical, Vital	End of the fiscal year of the record item (transaction, reconciliation, etc.)	4 years		Ker khe
VP/CFO	2.16 Peoplesoft documentation: relating to Finance Application such as configuration/setup; requests to create chartfield elements; user manuals.	Best practice to fulfill IRS Requirements, and Scope of audits under Ed Code 89045 Historical, Vital	End of the fiscal year of the record item (transaction, reconciliation, etc.)	4 years		Ker khe

Student Financial Records VP/CFO	2.18.a Student Financial Records: Documents relating to enrollment or registration (such as disenrollment listing; registration refund petitions)	"AACRAO"; see Retention Schedule 4	Creation of Record	2 Years		Ker khe
Student Financial Records VP/CFO	2.18.b Student Financial Records: Documents relating to Tuition and Fee charges (such as dishonored checks; promissory notes; aging and balancing reports; collection attempts)	"AACRAO"; see Retention Schedule 4	Graduation or Date of Last Attendance	5 Years		Ker khe
Student Financial Records VP/CFO	2.18.c Student Financial Records: Documents relating to financial aid (such as stop payment requests; direct deposit / ACH transmissions; authorizations for educational line of credit loans)	"34 CFR 668.24"; see Retention Schedule 4	Award date	3 Years		Ker khe
Student Financial Records VP/CFO	2.18.d Student Financial Records: Documents relating to Student Athletes (such as scholarship payment authorizations for athletic Grant in Aid and ASI checks)	"Best Practice"; see Retention Schedule 4	Initial CSU Enrollment	6 Years (or 2 years from last enrollment, whichever is longer)		Ker khe
VP/CFO	2.19 Tax: documents related to the filing of information with taxing authorities such as the IRS	IRC Section 6501(e)(1)(A);	Date of filing	6 Years	For activity whose funding source is a bond, see schedule entries pertaining to Bond retention requirements. For	Ric rma

	and State Franchise Tax Board.				Assistance contact Rosa Renaud at rrenaud@calstate.edu in Capital Planning, Design and Construction for Guidance. See also Financing and Treasury Webpage for Tax-Exempt Bond requirements	
VP/CFO	Grants: All financial records, documentation, reports, supporting documents and statistical records pertinent to a federal, state or private award	2 CFR 200.334	Submission of the final expenditure report	3 years	<ul style="list-style-type: none"> Financial records in 10.1.1 includes all records related to expenditures (including effort certifications and cost match), revenue and cash receipts. Refer also to the CSU Retention Schedule, Section 2 regarding fiscal records. For federal research contracts 48 CFR 4.7 may be applicable, which requires retention for 3-years after final payment is received. If sponsor guidelines require a different retention period, the longer retention requirement shall prevail. When records are transferred to or maintained by the Federal awarding agency, the 3-year retention requirement is not applicable to the recipient. 	Me mm
Campus	Property & Equipment Records	Best practice to fulfill IRS Requirements, and Scope of audits under Ed Code 89045	Date Property is no longer in use and subsequently disposed	4 years	Note that vehicles are kept for 7 years, per Facilities Schedule 5.8 Generally, expensed items will be accounted for in 2.01 A/P;	Ker khe (56

					Capitalized items and depreciation will be accounted for in 2.03 Audits.	
Bond Records						
Campus	Leases to third parties of space in the facility for food sales, book shops, gift shops, banking services, cell phones, etc.	Fiscal Resources for Campus Construction and Physical Development Policy	Bond final maturity date	5 years (Not to exceed 35 years for 30 year bonds)	For activity whose funding source is a bond, see also Financing and Treasury Webpage for Tax-Exempt Bond requirements	Ros rren
Campus	Leases of athletic or residential facilities for conferences or summer use or use by private entities in their trades or businesses.	Fiscal Resources for Campus Construction and Physical Development Policy	Bond final maturity date	5 years (Not to exceed 35 years for 30 year bonds)	For activity whose funding source is a bond, see also Financing and Treasury Webpage for Tax-Exempt Bond requirements	Ros rren
Campus	Franchise and Vendor contracts for operations within the facility, including any concessions and gift shops.	Fiscal Resources for Campus Construction and Physical Development Policy	Bond final maturity date	5 years (Not to exceed 35 years for 30 year bonds)	For activity whose funding source is a bond, see also Financing and Treasury Webpage for Tax-Exempt Bond requirements	Ros rren
Campus	Management or service contracts (dining services contracts or vivarium management contracts) involving control or operation of any substantial or distinct portion of the facility. Do not include contracts for services that are incidental to the operation of the facility	Fiscal Resources for Campus Construction and Physical Development Policy	Bond final maturity date	5 years (Not to exceed 35 years for 30 year bonds)	For activity whose funding source is a bond, see also Financing and Treasury Webpage for Tax-Exempt Bond requirements	Ros rren
Campus	Research projects sponsored by external entities, including but not limited to those	Fiscal Resources for Campus Construction and Physical Development Policy	Bond final maturity date	5 years (Not to exceed 35 years for 30 year bonds)	For activity whose funding source is a bond, see also Financing and Treasury Webpage for	Ros rren

	sponsored by Federal agencies (NIH, NSF, DOD, etc.), non-profit foundations, and for-profit industry. Include a copy of the grant, contract or agreement, license rights to IP, etc.				Tax-Exempt Bond requirements	
Campus	Research equipment located at the facility which has been provided by an industry research sponsor on loan or provided exclusively for purposes of a research project funded by the sponsor.	Fiscal Resources for Campus Construction and Physical Development Policy	Bond final maturity date	5 years (Not to exceed 35 years for 30 year bonds)	For activity whose funding source is a bond, see also Financing and Treasury Webpage for Tax-Exempt Bond requirements	Ros rren
Campus	Joint purchasing or shared-service arrangements or agreements relating to the facility with a third party, including cooperatives.	Fiscal Resources for Campus Construction and Physical Development Policy	Bond final maturity date	5 years (Not to exceed 35 years for 30 year bonds)	For activity whose funding source is a bond, see also Financing and Treasury Webpage for Tax-Exempt Bond requirements	Ros rren
Campus and Chancellor's Office	Private Use Check List when bond financing is used.	Fiscal Resources for Campus Construction and Physical Development Policy	Bond final maturity date	5 years (Not to exceed 35 years for 30 year bonds)	For activity whose funding source is a bond, see also Financing and Treasury Webpage for Tax-Exempt Bond requirements	Ros rren
Campus	Account Reconciliations (SAM99) & General Ledger Detail Report for all bond project expenditures	Fiscal Resources for Campus Construction and Physical Development Policy	Bond final maturity date	5 years (Not to exceed 35 years for 30 year bonds)	For activity whose funding source is a bond, see also Financing and Treasury Webpage for Tax-Exempt Bond requirements	Ros rren
Campus	Construction Contracts & Agreements including Schedule of	Fiscal Resources for Campus Construction and Physical Development Policy	Bond final maturity date	5 years (Not to exceed 35 years for 30 year bonds)	For activity whose funding source is a bond, see also Financing and Treasury Webpage for	Ros rren

	Values, tracking project budget, change orders, Notice to Proceed (NTP), & Notice of Completion (NOC)				Tax-Exempt Bond requirements	
Campus	All invoices and supporting documentation for all project expenditures whose funding source is a bond	Fiscal Resources for Campus Construction and Physical Development Policy	Bond final maturity date	5 years (Not to exceed 35 years for 30 year bonds)	For activity whose funding source is a bond, see also Financing and Treasury Webpage for Tax-Exempt Bond requirements	Ros rer
Campus	Certificate of Completion & Certificate of Occupancy for projects whose funding source is a bond	Fiscal Resources for Campus Construction and Physical Development Policy	Bond final maturity date	5 years (Not to exceed 35 years for 30 year bonds)	For activity whose funding source is a bond, see also Financing and Treasury Webpage for Tax-Exempt Bond requirements	Ros rer
Campus	Final Project Cashflows (with monthly Actuals of Expenditures) for SRB-Self-Support only	Fiscal Resources for Campus Construction and Physical Development Policy	Bond final maturity date	5 years (Not to exceed 35 years for 30 year bonds)	For activity whose funding source is a bond, see also Financing and Treasury Webpage for Tax-Exempt Bond requirements	Ros rer
Chancellor's Office	General Obligation & Lease Revenue Bond State Budget Appropriations	Fiscal Resources for Campus Construction and Physical Development Policy	Bond final maturity date	5 years (Not to exceed 35 years for 30 year bonds)	For activity whose funding source is a bond, see also Financing and Treasury Webpage for Tax-Exempt Bond requirements	Ros rer
Chancellor's Office	Bond Flow of Funds Memo	Fiscal Resources for Campus Construction and Physical Development Policy	Bond final maturity date	5 years (Not to exceed 35 years for 30 year bonds)	For activity whose funding source is a bond, see also Financing and Treasury Webpage for Tax-Exempt Bond requirements	Ros rer
Campus and Chancellor's Office	Allocation of Bond Proceeds Forms	Fiscal Resources for Campus Construction and Physical Development Policy	Bond final maturity date	5 years (Not to exceed 35 years for 30 year bonds)	For activity whose funding source is a bond, see also Financing and Treasury Webpage for Tax-Exempt Bond requirements	Ros rer
Campus and Chancellor's	Board of Trustees Agenda Items,	Fiscal Resources for Campus Construction	Bond final maturity date	5 years (Not to exceed 35	For activity whose funding source is a	Ros rer

Office	Resolutions, and Delegated Approvals involving bond activity	and Physical Development Policy		years for 30 year bonds)	bond, see also Financing and Treasury Webpage for Tax-Exempt Bond requirements	
Chancellor's Office	Bond Issue Transcripts	Fiscal Resources for Campus Construction and Physical Development Policy	Bond final maturity date	5 years (Not to exceed 35 years for 30 year bonds)	For activity whose funding source is a bond, see also Financing and Treasury Webpage for Tax-Exempt Bond requirements	Ros rren
Chancellor's Office	Costs of Issuance Schedule	Fiscal Resources for Campus Construction and Physical Development Policy	Bond final maturity date	5 years (Not to exceed 35 years for 30 year bonds)	For activity whose funding source is a bond, see also Financing and Treasury Webpage for Tax-Exempt Bond requirements	Ros rren
<u>Custodian</u>	<u>Record Title</u>	<u>Authority</u>	<u>Start of Retention</u>	<u>Dispose After</u>	<u>Notes</u>	<u>Sub</u>

Record Series 3.0 Environmental Health and Safety

Environmental Health and Safety	3.1 Hazardous Materials Shipping Papers - Shipper requirements	49 CFR §§ 172.201(e), 174.24, 176.24, 177.817(f)	Creation of Record	3 years		Sc sbo
Environmental Health and Safety	3.2 Hazardous Materials Shipping Papers - Receiver requirements	49 CFR §§ 172.201(e), 174.24, 176.24, 177.817(f)	Creation of Record	3 years		Sc sbo
Environmental Health and Safety	3.3 Hazardous Waste Shipping papers	49 CFR §§ 172.201(e), 174.24, 176.24, 177.817(f)	Creation of Record	3 years		Sc sbo
Environmental Health and Safety	3.4 Hazardous Waste Facility Inspections	22 CCR 66364.15 (d)	Creation of Record	3 years	While no new citation exist, EPA Publication Number: 305-K-17-001 provides additional information for maintaining reports concerning inspections.	Sc sbo
Environmental Health and Safety	3.5 Hazardous Waste Manifests	CCR Title 22 §66262.40(a), 66264.71(b)(6)	Creation of Record	3 Years		Sc sbo
Environmental	3.6 & 3.7 Medical	CA_HSC 117943 and CA	Creation of	3 years		Sc

Health and Safety	Waste Generator Records - Small Quantity Generators	HSC 117975	Record		For small quantity generators, see CA_HSC 117943 For large quantity generators, see CA HSC 117975	sbo
Environmental Health and Safety	3.8 Environmental Remediation Records	40 CFR, CCR Title 22, 23, 25, 27	Creation of Record	10 Years		Scob
Environmental Health and Safety	3.9 IH Equipment Records: purchase, repair, and calibration	CSU Best Practice	End of the fiscal year in which the repair or calibration occurred	1 year		Scob
Environmental Health and Safety	3.10 Exposure Monitoring Data	CCR Title 8 §3204 (b)(2) & (d)(1)(b)	Creation of Record	Permanent		Scob
Environmental Health and Safety	3.11 Medical Monitoring, such as those required for the hearing conservation program, respiratory protection, and asbestos and lead specific requirements. Typically comes as a confirmation/permission from a doctor.	CCR Title 8 §3204 (d)(1)(a)	Separation of Employee	30 years		Scob
Environmental Health and Safety	3.12 Personal Exposure Monitoring (Associated with employee exposure to toxic substances or harmful physical agents).	CCR Title 8 §3204 (d)(1)(b)	Separation of Employee	30 years		Scob
Environmental Health and Safety	3.13 Radiation & Dosimetry Exposure Reports. Typically comes as a confirmation/permission from a	10 CFR 20.2106	Separation of Employee	30 years		Scob

	doctor.					
Environmental Health and Safety	3.14 Radioactive Material historical inventories; storage and use locations	17 CCR 30293	Transfer or disposal of radioactive source	3 Years		Scob
Environmental Health and Safety	3.15 Radioactive Material License and Amendments	17 CCR 30194	Expiration of license	30 days		Scob
Environmental Health and Safety	3.16 Radioactive Material, Laser, and Controlled Substance Use Authorizations	ANSI Z 136.1	Creation of Record	Permanent		Scob
Environmental Health and Safety	3.17 Agency Inspection Records	40 CFR, CCR Title 22, 23, 25, 27	Creation of Record	5 years		Scob
Environmental Health and Safety	3.18 Confined Space Entry Permits	CCR Title 8 §5157(e)(6)	Creation of Record	1 year		Scob
Environmental Health and Safety	3.19 Pesticide Monthly Use Reports	CCR Title 3 §6624 (f)	Creation of Record	2 years		Scob
Environmental Health and Safety	3.21 Defensive Driver Training	SAM MM07-05	Date of Training	4 years	See Use of University and Private Vehicles Policy Guidelines pp4-5	Scob
Environmental Health and Safety	3.22 First Aid training records	29 CFR 1910.1030	Date Superseded	3 years		Scob
Environmental Health and Safety	3.24 Employee training records	CCR Title 8 CCR Lab. § 6401.9. CCR Title 22 §66264.16 €	Separation of Employee	3 years	For hazardous waste training, see CCR Title 22 §66264.16 (e)	Scob
Environmental Health and Safety	3.25 Student training records	CSU Best Practice	Creation of Record	3 years		Scob
Environmental Health and Safety	3.26 Injury Reports (OSHA 300, 301, 300A)	CCR Title 8 §14300.33(a)	End of Calendar year	5 years		Scob
Environmental Health and Safety	3.27 Workplace Violence Incident Logs, investigations, hazard identification, evaluation, and/or correction	CCR Lab. § 6401.9.	Creation of Record	5 years		Scob
Environmental	3.28 Air Pollution	Local APCD rules - citation	Creation of	5 years		Scob

Health and Safety	Control District requirements	numbers are dependent on the district	Record			sbo
Environmental Health and Safety	3.29 Respirator Fit Test Records	CCR Title 8 §5144(m)(2)(B)	Creation of Record	1 year	Until next fit test is administered. Fit tests are required annually.	Sc sbo
Environmental Health and Safety	3.30 Employee Tenant Asbestos Notifications (annual notification)	CCR Title 8 §1529(n)(6)	Date of Notice	After Asbestos Containing Material is remediated from building	Retain as long as the Asbestos Containing Material (ACM) is in the building	Sc sbo
Environmental Health and Safety	3.31 Water quality data under Sanitary Sewer Permit	Non-industrial wastewater discharge permit issued by city	Creation of Record	3 years		Sc sbo
Environmental Health and Safety	3.32 Water quality data under Regional Water Quality Control Board Orders	Public Task	Creation of Record	3 Years	3 Years for monitoring purpose only	Sc sbo
Environmental Health and Safety	3.33 Hazardous Waste Exception Report	Title 22, CCR § 66262.40(b)	Creation of Record	3 years		Sc sbo
Environmental Health and Safety	3.34 Biennial Report	Title 22, CCR § 66262.40(b)	Creation of Record	3 years		Sc sbo
Environmental Health and Safety	3.35 Laboratory analysis results for hazardous waste determinations	Title 22, CCR § 66262.40(c)	Creation of Record	3 years		Sc sbo
Environmental Health and Safety	3.36 Employee "pull" notices (DMV Reports)	CVC 1808.1	Creation of Record	4 years		Sc sbo
Environmental Health and Safety	3.37 Regulatory Agency required plans	40 CFR, CCR Title 22, 23, 25, 27	Creation of Record	3 years		Sc sbo
Environmental Health and Safety	3.38 Regulatory Agency permits	Title 25: 40510 & 44344; Title 22, 23, 27	Creation of Record	3 years		Sc sbo
Environmental Health and Safety	3.39 IIPP periodic inspection records	CCR, Title 8, 3202 (b)(1)	Creation of Record	1 year		Sc sbo
Environmental Health and Safety	3.40 Asbestos survey records	40 CFR, Part 763	Demolition of building	3 years	US_40 CFR 763.94	Sc sbo
Environmental Health and	3.41 Lead inspection/risk	CCR, Title 17, 36000 (b)	Creation of Record	Demolition of building	CCR, Title 17, 36000 (b) requires 3 years	Sc sbo

Safety	assessment records				but industry good practice is to preserve for the life of the building	
Custodian	Record Title	Authority	Start of Retention	Dispose After	Notes	Sub

Record Series 4.0 Student Records

Admissions Records for Applicants who Enroll

Registrar	4.1.1 Admission letters (including admission, denial, or waitlist)	AACRAO	Graduation or date of last attendance	3 years	For Veterans, the regulations state that longer retention will not be required unless a written request is received from the General Accounting Office or the VA no later than 30 days prior to the end of the three-year period	Apr agr
Registrar	4.1.2 Admission letters (Special Programs)	AACRAO	Graduation or date of last attendance	3 years	For Veterans, the regulations state that longer retention will not be required unless a written request is received from the General Accounting Office or the VA no later than 30 days prior to the end of the three-year period	Apr agr
Campus & Chancellor's Office	4.1.3 Correspondence, relevant	AACRAO	Graduation or date of last attendance	3 years	FERPA states that letters of recommendation not accompanied by waivers and retained beyond their intended use may be viewed by the student. As a consequence, it is recommended that these letters be destroyed after admission of the student. Waivers of rights of access filed with letters of recommendations	Apr agr

					should be retained as long as the file is retained. Students who revoke their waivers of rights access may not see letters of recommendation submitted during the time the waivers were in force.	
Registrar	4.1.4 Waivers of rights of access (admissions) Waiving right to access to admission letters of recommendation	AACRAO	Graduation or date of last attendance	3 years	Waivers of rights of access filed with letters of recommendations should be retained as long as the file is retained. Students who revoke their waivers of rights access may not see letters of recommendation submitted during the time the waivers were in force.	Apr agr
Registrar	4.1.5 Application for admission (or Readmission)	AACRAO	First term of enrollment	1 year	1.FERPA states that letters of recommendation not accompanied by waivers and retained beyond their intended use may be viewed by the student. As a consequence, it is recommended that these letters be destroyed after admission of the student. Waivers of rights of access filed with letters of recommendations should be retained as long as the file is retained. Students who revoke their waivers of rights access may not see letters of recommendation submitted during the	Apr agr

					time the waivers were in force. 2. For Veteran applicants-see "Veterans Administration Requirements and Student Veterans"	
Registrar	4.1.6 Credit by examination (Reports/scores on Advanced Placement, CLEP, etc.)	AACRAO	First term of enrollment	1 year	For Veterans-see "Veterans Administration Requirements and Student Veterans"	Apr agr
Registrar	4.1.7 Entrance examination (Standardized test scores, such as ACT/SAT, LSAT, MCAT, GRE, TOEFL, etc.)	AACRAO	Graduation or date of last attendance	3 years		Apr agr
Student Affairs	4.1.8 Medical records (immunization records)	AACRAO	Graduation or date of last attendance	3 years		Apr agr
Registrar	4.1.9 Letters of recommendation (admissions)	AACRAO	Receipt of Record	Until Admitted	1.FERPA states that letters of recommendation not accompanied by waivers and retained beyond their intended use may be viewed by the student. As a consequence, it is recommended that these letters be destroyed after admission of the student. Waivers of rights of access filed with letters of recommendations should be retained as long as the file is retained. Students who revoke their waivers of rights access may not see letters of recommendation submitted during the	Apr agr

					time the waivers were in force. 2. For Veterans-see "Veterans Administration Requirements and Student Veterans"	
Veteran's Affairs	4.1.10 Military Documents	AACRAO	Graduation or date of last attendance	3 years		Apr agr
Registrar	4.1.11 Placement test scores/ reports	AACRAO	Graduation or date of last attendance	3 years		Apr agr
Registrar	4.1.12 Release from high school or Dual Enrollment forms	AACRAO	Graduation or date of last attendance	3 years		Apr agr
Registrar	4.1.13 Residency classification forms	AACRAO	Graduation or date of last attendance	3 years		Apr agr
Registrar	4.1.14 Transcripts (high school)	AACRAO	Graduation or date of last attendance	3 years		Apr agr
Registrar	4.1.15 Transcripts (other colleges)	AACRAO	Graduation or date of last attendance	3 years		Apr agr
Registrar	4.1.16 Admissions Records for Students who do not enroll	AACRAO	Conclusion of application term	1 year	Admission Records for Students who do not enroll shall be retained for 1 year after the application term had concluded.	Apr agr
Student Academic Records						
Provost	4.2.1 Academic advisement records (includes records from Academic Advisement Centers, Career Services, Educational Opportunity Programs, Learning Centers and Services to Students with Disabilities	Best Practice	Graduation or Date of Last Attendance	5 Years		Apr agr

	Centers)					
Provost	4.2.2 Academic warning (notice of academic action related to academic non-performance/ deficiency)	Best Practice	Graduation or Date of Last Attendance	5 Years		Apr agr
Provost	4.2.3 Academic suspension (notice of academic action related to academic non-performance/ deficiency)	AACRAO	Creation of Record	Permanent		Apr agr
Provost	4.2.4 Academic integrity code violations - with sanctions (notice of violation of academic integrity policies including sanctions , if any)	AACRAO	Creation of Record	Permanent		Apr agr
Provost	4.2.5 Academic Records - miscellaneous (narrative evaluations, competency assessments, etc.)	AACRAO	Creation of Record	Permanent		Apr agr
Provost	4.2.6 Correspondence, student (Related to academic records, inquiries)	Best Practice	Graduation or Date of Last Attendance	5 Years	Email regarding student records that are transitory in nature can be discarded when no longer needed. Email and electronic communication that contains important information or that forms the basis or the result of an academic or administrative decisions may need longer retention. Example: email containing approval for a change of major would be retained	Apr agr

					according to the retention schedule for Major Changes.	
Provost	4.2.7 Grievance/ complaint by student (various course/exam related issues, not grade or FERPA disputes)	AACRAO 2023 Handbook of Accreditation Revised WSCUC, Guideline with Criterion for Review 1.4	Creation of Record	Retain until the next scheduled comprehensive review so as to allow the review team an opportunity to review the records, as appropriate.	For Veterans-see "Veterans Administration Requirements and Student Veterans"	Apr agr
Provost	4.2.8 Leave of absence	AACRAO	Creation of Record	Until administrative need satisfied	For Veterans-see "Veterans Administration Requirements and Student Veterans"	Apr agr
Provost	4.2.9 Major changes, certification of 2nd majors, minors	AACRAO	Creation of Record	Until administrative need satisfied	For Veterans-see "Veterans Administration Requirements and Student Veterans"	Apr agr
Provost	4.2.10 Petitions (exceptions to academic rules)	AACRAO	Creation of Record	Until administrative need satisfied	For Veterans-see "Veterans Administration Requirements and Student Veterans"	Apr agr
Provost	4.2.11 Thesis/ Dissertation	AACRAO	Creation of Record	Permanent		Apr agr
Provost	4.2.12 Transcripts	AACRAO	Creation of Record	Permanent		Apr agr
Provost	4.2.13 Enrollment verifications (verifications of enrollment, graduation, GPA, and other related academics)	AACRAO	Creation of Record	Until administrative need satisfied	For Veterans-see "Veterans Administration Requirements and Student Veterans"	Apr agr
Provost	4.2.14 Residency verification records (Documents in support of verifying residency in state for tuition purposes)	AACRAO	Creation of Record	Until administrative need satisfied	For Veterans-see "Veterans Administration Requirements and Student Veterans"	Apr agr
Provost	4.2.15 Teacher Certifications	AACRAO	Creation of Record	Until administrative	For Veterans-see "Veterans	Apr agr

				need satisfied	Administration Requirements and Student Veterans"	
Provost	4.2.16 Transcript requests (Official transcript requests by student)	AACRAO	Creation of Record	Until administrative need satisfied		Apr agr
Provost	4.2.17 Application for degree or other credential (degree application, record of degree name, etc.	Best Practice	Graduation or date of last attendance	5 years or Until no longer of administrative value		Apr agr
Provost	4.2.18 Graduation lists (lists of graduates for graduating class)	AACRAO	Creation of Record	Permanent		Apr agr
Provost	4.2.19 Substitutions/ waivers (approval to meet program requirements with administrative action)	AACRAO	Creation of Record	Until administrative need satisfied	For Veterans-see "Veterans Administration Requirements and Student Veterans"	Apr agr
Provost	4.2.20 Exams (final)/graded coursework	AACRAO	Course Completion	1 Year	For Veterans-see "Veterans Administration Requirements and Student Veterans"	Apr agr
Provost	4.2.21 Grade appeal/complaint (student final grade dispute)	AACRAO	Course Completion	1 Year	For Veterans-see "Veterans Administration Requirements and Student Veterans"	Apr agr
Provost	4.2.22 Grade book - faculty (record of students in course and work completed)	AACRAO	Course Completion	5 years		Apr agr
Provost	4.2.23 Grade change forms (Record of authorization to change grades)	AACRAO	Creation of Record	Until administrative need satisfied	For Veterans-see "Veterans Administration Requirements and Student Veterans"	Apr agr
Provost	4.2.24 Grade reports (midterm)	AACRAO	Creation of Record	End of term	For Veterans-see "Veterans Administration Requirements and	Apr agr

					Student Veterans"	
Provost	4.2.25 Grade submission sheets/data (original records of grades submitted at end of term)	AACRAO	Creation of Record	Permanent		Apr agr
Provost	4.2.26 Name change authorizations	AACRAO	Creation of Record	Until administrative need satisfied	For Veterans-see "Veterans Administration Requirements and Student Veterans"	Apr agr
Provost	4.2.27 Personal data information forms (change of address, race/ethnicity questionnaires, and other demographic data)	AACRAO	Creation of Record	Until administrative need satisfied	For Veterans-see "Veterans Administration Requirements and Student Veterans"	Apr agr
Provost	4.2.28 Transfer credit evaluations	Best Practice	Creation of Record	5 years after graduation or date of last attendance		Apr agr
Provost	4.2.29 Class schedules (student schedules for each term)	AACRAO	Creation of Record	Until administrative need satisfied	For Veterans-see "Veterans Administration Requirements and Student Veterans"	Apr agr
Provost	4.2.30 Class lists (record of class rosters for each term)	AACRAO	Creation of Record	Until administrative need satisfied	For Veterans-see "Veterans Administration Requirements and Student Veterans"	Apr agr
Provost	4.2.31 Course repeat form/ approval	AACRAO	Creation of Record	Until administrative need satisfied	For Veterans-see "Veterans Administration Requirements and Student Veterans"	Apr agr
Provost	4.2.32 Credit/no credit, audit, or pass/no pass approvals (authorization from various enrollment options)	AACRAO	Creation of Record	Until administrative need satisfied	For Veterans-see "Veterans Administration Requirements and Student Veterans"	Apr agr

Provost	4.2.33 Enrollment changes (record of student add/drop/withdraw from class)	AACRAO	Creation of Record	Until administrative need satisfied	For Veterans-see "Veterans Administration Requirements and Student Veterans"	Apr agr
Provost	4.2.34 Hold or encumbrance authorizations (Registration and transcript holds)	AACRAO	Creation of Record	Until administrative need satisfied	For Veterans-see "Veterans Administration Requirements and Student Veterans"	Apr agr
Provost	4.2.35 Registration/enrollment records (initial registration forms, current enrollment records)	AACRAO	Creation of Record	Until administrative need satisfied	For Veterans-see "Veterans Administration Requirements and Student Veterans"	Apr agr
Provost	4.2.36 Withdrawal/cancellation of enrollment records (record of request to withdraw from all classes)	AACRAO	Creation of Record	Until administrative need satisfied	For Veterans-see "Veterans Administration Requirements and Student Veterans"	Apr agr
Provost	4.2.37 Data change logs (electronic log of changes to enrollment and other data, including date/time stamp information and user that changed data if that data is maintained separately in system)	AACRAO	Creation of Record	10 years	For Student Demographic Data see Student Demographic Information	Apr agr
Provost	4.2.38 Emails and other electronic communications that authorize academic/enrollment actions and /or provide directory/non directory information about a student.	AACRAO	Date of graduation or the date, term , semester and year of attendance.	Until administrative need satisfied	For Veterans-see "Veterans Administration Requirements and Student Veterans"	Apr agr

Provost	4.2.39 Enrollment data (Electronic records of enrollment is classes, including records of drop, add and enrollment change activity.	AACRAO	Creation of Record	10 years		Apr agr
Provost	4.2.40 Grade data (Electronic record of submitted grades and grade changes, including date/time stamp and user data)	AACRAO	Creation of Record	Permanent		Apr agr
Provost	4.2.41 Student Demographic Information	AACRAO	Creation of Record	50 years	Including but not limited to electronic student data including student characteristics, date of birth, former names, address information, photo ID and ethnic information, etc. See also Student Demographic Statistics (IPEDS)	Apr agr
Provost	4.2.42 Catalogs (Published annually or bi-annually, record of courses, degrees, and programs of study offered)	AACRAO	Creation of Record	Permanent		Apr agr
Provost	4.2.43 Commencement programs (Published record of graduates for public distribution)	AACRAO	End of academic year	Permanent		Apr agr
Provost	4.2.44 Degree Statistics (record of degrees granted by institution per graduation term and/or annually)	AACRAO	End of academic year	Permanent		Apr agr

Provost	4.2.45 Enrollment Statistics (Per term report of enrolled by students, e.g. by class, by course, totals, headcount, and FTE)	AACRAO	End of academic year	Permanent		Apr agr
Provost	4.2.46 Grade distribution and other grade statistics (Report of grades given, including summary grade point statistics by class)	AACRAO	End of academic year	Permanent		Apr agr
Provost	4.2.47 Instructor evaluations (by students)	AACRAO	End of semester	1 semester or Until no longer of administrative value	For Veterans-see "Veterans Administration Requirements and Student Veterans"	Apr agr
Chancellor's Office	4.2.48 Race/ethnicity reporting (report of student enrollment, graduation, and other metrics by race and ethnic origin)	AACRAO	End of academic year	Permanent		Apr agr
Registrar	4.2.49 Records of disclosures and requests for disclosures of student information	FERPA (For more information on this requirement, see the latest AACRAO FERPA Guide. Records for applicants who do not enroll are not covered by FERPA.)	Date of request	Date requested records are eligible for disposal	FERPA specifically requires institutions to maintain records of requests and disclosures of personally identifiable information except for defined "directory information" and requests from students for their own records. The records of disclosures and requests for disclosures are considered part of the students' educational records; therefore, they shall be retained as long as the education records	Apr agr

					to which they refer are retained by the institution. While disclosures with student consent and disclosures to other school officials are exempt from this requirements, many disclosures under the exceptions requiring student consent must be recorded. This list of disclosures must be provided to students upon request.	
Financial Aid Records						
Financial Aid Office	4.3.1 Application data submitted to the Dept. of Education or lender by the school on behalf of the student	34 CFR 668.24	End of award year in which student graduated	3 Years	For non-graduates, use the date of last attendance, or the term, semester and year of last attendance	Apr
Financial Aid Office	4.3.3 Bank statements for accounts containing Student Financial Aid funds	34 CFR 668.24	End of award year in which student graduated	3 Years	For non-graduates, use the date of last attendance, or the term, semester and year of last attendance	Apr
Financial Aid Office	4.3.4 Campus-based aid (Perkins loan, SEOG, and Federal Work Study)	34 CFR 668.24	End of award year in which student graduated	3 Years	For non-graduates, use the date of last attendance, or the term, semester and year of last attendance	Apr
Financial Aid Office	4.3.5 Data used to establish student's admission, enrollment status, period of enrollment	34 CFR 668.24	End of award year	3 Years		Apr
Financial Aid Office	4.3.6 Date and amount of disbursements	34 CFR 668.24	End of award year in which student graduated	3 Years	For non-graduates, use the date of last attendance, or the term, semester and year of last attendance	Apr
Financial Aid	4.3.7	34 CFR 668.24	End of award	3 Years	For non-graduates,	Apr

Office	Documentation of initial or exit loan counseling		year in which student graduated		use the date of last attendance, or the term, semester and year of last attendance	agr
Financial Aid Office	4.3.8 Documentation of students eligibility	34 CFR 668.24	End of award year in which student graduated	3 Years	For non-graduates, use the date of last attendance, or the term, semester and year of last attendance	Apr agr
Financial Aid Office	4.3.9 Documentation of student's program of study and courses enrolled in	34 CFR 668.24	End of award year in which student graduated	3 Years	For non-graduates, use the date of last attendance, or the term, semester and year of last attendance	Apr agr
Financial Aid Office	4.3.10 Documentation of student's satisfactory academic progress	34 CFR 668.24	End of award year in which student graduated	3 Years	For non-graduates, use the date of last attendance, or the term, semester and year of last attendance	Apr agr
Financial Aid Office	4.3.11 Documentation related to the receipt of aid, such as: amount of grant, loan, Federal Work Study award; and calculations used to determine aid amounts	34 CFR 668.24	End of award year in which student graduated	3 Years	For non-graduates, use the date of last attendance, or the term, semester and year of last attendance	Apr agr
Financial Aid Office	4.3.12 Documentation supporting the school's calculation of its completion/ graduation or transfer-out rate	34 CFR 668.24	End of award year in which student graduated	3 Years	For non-graduates, use the date of last attendance, or the term, semester and year of last attendance	Apr agr
Financial Aid Office	4.3.13 Documents used to verify applicant's data	34 CFR 668.24	End of award year in which student graduated	3 Years	For non-graduates, use the date of last attendance, or the term, semester and year of last attendance	Apr agr
Financial Aid Office	4.3.14 Federal work-study payroll	34 CFR 668.24	End of award year in which	3 Years	For non-graduates, use the date of last	Apr agr

	records		student graduated		attendance, or the term, semester and year of last attendance	
Financial Aid Office	4.3.15 FFEL and Direct Loans:		End of award year in which student graduated or award year report submitted, whichever is later	3 Years	For non-graduates, use the date of last attendance, or the term, semester and year of last attendance	Apr
Financial Aid Office	4.3.16 -Borrower's eligibility records	34 CFR 668.24	End of award year in which student graduated or award year report submitted, whichever is later	3 Years	For non-graduates, use the date of last attendance, or the term, semester and year of last attendance	Apr
Financial Aid Office	4.3.17 -All other records/reports	34 CFR 668.24	End of award year in which student graduated or award year report submitted, whichever is later	3 Years	For non-graduates, use the date of last attendance, or the term, semester and year of last attendance	Apr
Financial Aid Office	4.3.18 Fiscal Operation Report (FISAP)	34 CFR 668.24	End of award year in which student graduated	3 Years	For non-graduates, use the date of last attendance, or the term, semester and year of last attendance	Apr
Financial Aid Office	4.3.19 Ledgers identifying Student Financial Aid transactions	34 CFR 668.24	End of award year in which student graduated	3 Years	For non-graduates, use the date of last attendance, or the term, semester and year of last attendance	Apr
Financial Aid Office	4.3.20 Other records pertaining to financial responsibility and standards of administrative capability	34 CFR 668.24	End of award year in which student graduated	3 Years	For non-graduates, use the date of last attendance, or the term, semester and year of last attendance	Apr

Financial Aid Office	4.3.21 Pell Grant	34 CFR 668.24	End of award year in which student graduated	3 Years	For non-graduates, use the date of last attendance, or the term, semester and year of last attendance	Apr agr
Financial Aid Office	4.3.22 Perkins promissory notes and repayment schedules	34 CFR 674.19	Date loan is satisfied	Until loan is satisfied		Apr agr
Financial Aid Office	4.3.23 Perkins repayment records	34 CFR 674.19	Date loan assigned, cancelled, or repaid	3 years		Apr agr
Financial Aid Office	4.3.24 Program Participation Agreement	34 CFR 668.24	End of award year	3 Years		Apr agr
Financial Aid Office	4.3.25 Records of student accounts	34 CFR 668.24	End of award year in which student graduated	3 Years	For non-graduates, use the date of last attendance, or the term, semester and year of last attendance	Apr agr
Financial Aid Office	4.3.26 Records of Student Financial Aid program transactions	34 CFR 668.24	End of award year	3 Years		Apr agr
Financial Aid Office	4.3.27 Records supporting data on required reports, such as: -Student Financial Aid program reconciliation reports, -Audit reports and school responses, -Pell grant statements of accounts, -Accrediting and licensing agency reports	34 CFR 668.24	End of award year	3 Years		Apr agr
Financial Aid Office	4.3.28 Reports and forms used for participation in the Student Financial Aid program	34 CFR 668.24	End of award year	3 Years		Apr agr
Financial Aid Office	4.3.29 Self-evaluation reports	34 CFR 668.24	End of award year	3 Years		Apr agr

Financial Aid Office	4.3.30 State agency reports	34 CFR 668.24	End of award year	3 Years		Apr
Financial Aid Office	4.3.31 The Student Aid Report or Institutional Student Information Record (ISIR)	34 CFR 668.24	End of award year in which student graduated	3 Years	For non-graduates, use the date of last attendance, or the term, semester and year of last attendance	Apr
International Student Documents						
Student Affairs	4.4.1 Alien Registration Receipt Card (Evidence of admissibility as a permanent resident)	AACRAO	Graduation or date of last attendance	3 years	Records for applicants who do not enter are not covered by FERPA.	Apr
Student Affairs	4.4.2 DS-2019 (certificate of eligibility for J1 visa status)	AACRAO	Graduation or date of last attendance	3 years	Records for applicants who do not enter are not covered by FERPA.	Apr
Student Affairs	4.4.3 Employment Authorization (work permit) if granted	AACRAO	Graduation or date of last attendance	3 years	Records for applicants who do not enter are not covered by FERPA.	Apr
Student Affairs	4.4.4 I-20 (Certificate of eligibility for F-1 visa)	AACRAO	Graduation or date of last attendance	3 years	Records for applicants who do not enter are not covered by FERPA.	Apr
Student Affairs	4.4.5 I94 Card (copy)	AACRAO	Graduation or date of last attendance	3 years	Records for applicants who do not enter are not covered by FERPA.	Apr
Student Affairs	4.4.6 Passport Number	AACRAO	Graduation or date of last attendance	3 years	Records for applicants who do not enter are not covered by FERPA.	Apr
Student Affairs	4.4.7 Statement of Educational Costs (estimate of total school year costs)	AACRAO	Graduation or date of last attendance	3 years	Records for applicants who do not enter are not covered by FERPA.	Apr
Student Affairs	4.4.8 Statement of Financial Responsibility (evidence of adequate financial resources)	AACRAO	Graduation or date of last attendance	3 years	Records for applicants who do not enter are not covered by FERPA.	Apr
Student Affairs	4.4.9 Transcripts -	AACRAO	Graduation or	3 years	Records for	Apr

	high school		date of last attendance		applicants who do not enter are not covered by FERPA.	agr
Student Affairs	4.4.10 Transcripts - other colleges	AACRAO	Graduation or date of last attendance	3 years	Records for applicants who do not enter are not covered by FERPA.	Apr agr
Student Athlete Records						
Student Affairs	4.5.1 Academic Eligibility Review Forms	Best Practice	Initial CSU enrollment	6 Years (or 2 years from last enrollment, whichever is longer)		Apr agr
Student Affairs	4.5.2 Air Travel - Informed Consent	Best Practice	Initial CSU enrollment	6 Years (or 2 years from last enrollment, whichever is longer)		Apr agr
Student Affairs	4.5.3 Athlete Physicals/Athletic Injury Report	Best Practice	Initial CSU enrollment	6 Years (or 2 years from last enrollment, whichever is longer)		Apr agr
Student Affairs	4.5.4 Athletic Grant-In-Aid Agreements	Best Practice	Initial CSU enrollment	6 Years (or 2 years from last enrollment, whichever is longer)		Apr agr
Student Affairs	4.5.5 Conference Student-Athlete Sportsmanship Agreement	Best Practice	Initial CSU enrollment	6 Years (or 2 years from last enrollment, whichever is longer)		Apr agr
Student Affairs	4.5.6 Complimentary Admissions for Student-Athletes	Best Practice	Initial CSU enrollment	6 Years (or 2 years from last enrollment, whichever is longer)		Apr agr
Student Affairs	4.5.7 Drug-Testing Consent/Results	Best Practice	Initial CSU enrollment	6 Years (or 2 years from last enrollment, whichever is longer)		Apr agr
Student Affairs	4.5.8 Historical Report	Best Practice	Initial CSU enrollment	6 Years (or 2 years from last enrollment, whichever is longer)		Apr agr

Student Affairs	4.5.9 Letter of Intent - Conference	Best Practice	Initial CSU enrollment	6 Years (or 2 years from last enrollment, whichever is longer)		Apr agr
Student Affairs	4.5.10 Letter of Intent - National	Best Practice	Initial CSU enrollment	6 Years (or 2 years from last enrollment, whichever is longer)		Apr agr
Student Affairs	4.5.11 NCAA Student Athlete Statement	Best Practice	Initial CSU enrollment	6 Years (or 2 years from last enrollment, whichever is longer)		Apr agr
Student Affairs	4.5.12 Promotional Activities & Community Service	Best Practice	Initial CSU enrollment	6 Years (or 2 years from last enrollment, whichever is longer)		Apr agr
Student Affairs	4.5.13 Student Host Instructions	Best Practice	Initial CSU enrollment	6 Years (or 2 years from last enrollment, whichever is longer)		Apr agr
Student Affairs	4.5.14 Student-Athlete Code of Conduct	Best Practice	Initial CSU enrollment	6 Years (or 2 years from last enrollment, whichever is longer)		Apr agr
Student Affairs	4.5.15 Student-Athlete Employment Approval	Best Practice	Initial CSU enrollment	6 Years (or 2 years from last enrollment, whichever is longer)		Apr agr
Student Affairs	4.5.16 Student-Athlete Financial Aid Report	Best Practice	Initial CSU enrollment	6 Years (or 2 years from last enrollment, whichever is longer)		Apr agr
Student Affairs	4.5.17 Student-Athlete Insurance information/ claims/ correspondence	Best Practice	Initial CSU enrollment	6 Years (or 2 years from last enrollment, whichever is longer)		Apr agr
Student Conduct Records						
Student Affairs	4.6.1 Actions warranting Clery Reporting	20 USC § 1092(f), 34 CFR 668.24(e) and the Federal Student Aid	Final publication of the incident in	3 Years	For example, statistics from Jan 1, 2021 to December 31,	Me mla

		Handbook	the Clery Act Crime statistics		2021, will be published for the final time on or before October 1st, 2024. Thus, reports substantiating statistics from 2021 can be disposed of on October 1st, 2027	
Student Affairs	4.6.2 Judicial Case records leading to Disciplinary Expulsion	Student Conduct Process Policy	Date the matter was resolved	Permanent	Expulsion is also permanently noted on transcript	Apr agr
Student Affairs	4.6.3 Judicial Case records leading to Disciplinary Probation	Student Conduct Process Policy	Date the sanction was imposed, extending the period of retention in cases where the student is involved in a subsequent offense.	7 years	<p>Exceptions:</p> <ol style="list-style-type: none"> 1. Agreement (e.g. settlement, waiver, contract) with student not to sue in place. Seal records, permanently retain. 2. Records to be retained according to a court order for a specified amount of time. 3. Records were frozen with registration hold. Records retention requirements will restart once registration hold is lifted. 4. Student agrees not to return to campus or grounds, freeze on records and registration. Permanently retain records. 5. Student is found to be a threat to life, has been found with, or used force with deadly weapons. Permanently retain records. 6. Student agrees not to enroll as part of an agreement or resolution. 	Apr agr

					<p>Permanently retain records.</p> <p>7. Student accesses their conduct records, restarts the retention requirement period.</p>	
Student Affairs	4.6.4 Judicial Case records leading to Disciplinary Suspension, longer than one Academic Year	Student Conduct Process Policy	Date the matter was resolved	Permanent		Apr agr
Student Affairs	4.6.5 Judicial Case records leading to Disciplinary Suspension, up to one Academic Year	Student Conduct Process Policy	Date the sanction was imposed, extending the period of retention in cases where the student is involved in a subsequent offense.	7 years	<p>1. Agreement (e.g. settlement, waiver, contract) with student not to sue in place. Seal records, permanently retain.</p> <p>2. Records to be retained according to a court order for a specified amount of time.</p> <p>3. Records were frozen with registration hold. Records retention requirements will restart once registration hold is lifted.</p> <p>4. Student agrees not to return to campus or grounds, freeze on records and registration. Permanently retain records.</p> <p>5. Student is found to be a threat to life, has been found with, or used force with deadly weapons. Permanently retain records.</p> <p>6. Student agrees not to enroll as part of an agreement or resolution. Permanently retain records.</p>	Apr agr

					<p>7. Student accesses their conduct records, restarts the retention requirement period.</p> <p>8. Beginning and end date for the period of time that the probation is in effect is entered on student's transcript.</p>	
Student Affairs	4.6.6 Discipline resulting in less severe resolutions than "Disciplinary Probation" and/or do not require notation to student transcript	CSU Business Practice	Date the matter was resolved	5 years (or for the remainder of the student's enrollment at the university, whichever is shorter)	<p>1. Agreement (e.g. settlement, waiver, contract) with student not to sue in place. Seal records, permanently retain.</p> <p>2. Records to be retained according to a court order for a specified amount of time.</p> <p>3. Records were frozen with registration hold. Records retention requirements will restart once registration hold is lifted.</p> <p>4. Student agrees not to return to campus or grounds, freeze on records and registration. Permanently retain records.</p> <p>5. Student is found to be a threat to life, has been found with, or used force with deadly weapons. Permanently retain records.</p> <p>6. Student agrees not to enroll as part of an agreement or resolution. Permanently retain records.</p> <p>7. Student accesses their conduct records, restarts the retention</p>	Apr agr

					requirement period.	
Student Affairs	4.6.7 Campus Hazing Transparency reports	Stop Campus Hazing Act in California Education Code 66305 – 66309	Date the matter was resolved	5 years		Jea
Student Health Records						
Student Affairs	4.7.1 Medical records	Medical Board of California	graduation or date of last visit, whichever is later	10 years		Apr agr
Student Affairs	4.7.2 Mental Health records	Cal. Bus. & Prof. Code § 4980.49, 4989.51, 4993, 4999.75; increased from 7 to 10 years to coincide w/ integrated medical records	graduation or date of last visit, whichever is later	10 years		Apr agr
Student Affairs	4.7.3 Learning Disability Assessment performed by campus providers	Cal. Bus. & Prof. Code § 4980.49, 4989.51, 4993, 4999.75	graduation or date of last attendance	7 years		Apr agr
Student Affairs	4.7.4 Personal data information forms	AACRAO	graduation or date of last attendance	1 year		Apr agr
Veteran Records						
Veteran's Affairs	4.8.1 Veterans administration requirements and Student Veterans	AACRAO Code of Federal Regulations (38 CFR 21.4209(f)) https://www.benefits.va.gov/GIBILL/docs/job_aids/SCO_Handbook.pdf	graduation or date of last attendance certifications	3 years	Veteran's Administration (VA) regulations require three year retention of all of the following: -all recruitment materials -Previous education or training (transcripts from other colleges and source documents for other nontraditional credit). -Evidence of formal admission. -Grade reports and/or statements of progress (academic records) -Change of course forms -Transfer credit evaluations	Apr agr

					-Degree audit records -all advertising, sales, and enrollment materials (e.g. catalogs) used by or on behalf of the institution during the previous 12 months -records of tuition and fees charged to and collected from students Records need to be kept longer than 3 years only if a written request to keep the records longer is received from the Department of Veterans Affairs or the General Accounting Office 30 or more days before the end of the 3-year period.
Family Educational Rights and Privacy Act (FERPA)					
Registrar	4.9.1 Requests for formal hearings (Student-initiated request for formal hearing regarding amendment of education record)	AACRAO	Date of request	Permanent, as long as the record is maintained	Whenever the recommended retention period is the life of the affected record, the retention period of the FERPA document is meant to be the same as that of the student records to which it pertains: students' waivers of rights to access to letters of recommendation for example, should be retained until the letters themselves are destroyed. If the retention period for a record to which a FERPA document pertains is permanent, the FERPA document should also be

					permanently retained.	
Registrar	4.9.2 Requests for and disclosures of personally identifiable information (Necessary for compliance with recordkeeping requirements in FERPA)	AACRAO	Date of request	Date requested records are eligible for disposal	Requests for disclosure of personally identifiable information by the institution must be maintained with the records that were disclosed as long as the records are retained. While disclosures with student consent and disclosures to other school officials are exempt from this requirements, many disclosures under the exceptions requiring student consent must be recorded. This list of disclosures must be provided to students upon request. For more information on this requirement, see the latest AACRAO FERPA Guide	Apr agr
Registrar	4.9.3 Requests for nondisclosure of directory information (Student request to opt-out of directory information disclosure)	AACRAO	Date of request	Permanent, or until terminated by the student	FERPA requires that requests to "opt-out" of disclosing directory information must be honored for former students no longer in attendance unless terminated by the student.	Apr agr
Registrar	4.9.4 Statements on consent of records regarding hearing panel decisions (If student request for amendment of record is not granted, then student statement must be maintained in the record, and	AACRAO	Creation of Record	Permanent, as long as the record is maintained	Whenever the recommended retention period is the life of the affected record, the retention period of the FERPA document is meant to be the same as that of the student records to which it pertains: students' waivers of rights to access to letters of	Apr agr

	disclosed whenever the record is disclosed)				recommendation for example, should be retained until the letters themselves are destroyed. If the retention period for a record to which a FERPA document pertains is permanent, the FERPA document should also be permanently retained.	
Registrar	4.9.5 Written consent for records disclosure (Student signed, electronic or paper, authorization for disclosure of education record)	AACRAO	Creation of Record	Permanent, or 180 days for one-time disclosure consents	FERPA specifically requires institutions to maintain records of requests and disclosures of personally identifiable information except for defined "directory information" and requests from students for their own records. The records of disclosures and requests for disclosures are considered part of the students' educational records; therefore, they shall be retained as long as the education records to which they refer are retained by the institution.	Apr agr
Registrar	4.9.6 Waivers for rights of access (Covers confidential letter and statements of recommendations related to the student's admission, application for employment, or receipt of an honor or honorary recognition)	AACRAO	Creation of Record	Permanent, or 180 days for one-time disclosure consents	Whenever the recommended retention period is the life of the affected record, the retention period of the FERPA document is meant to be the same as that of the student records to which it pertains: students' waivers of rights to access to letters of recommendation for example, should be	Apr agr

					retained until the letters themselves are destroyed. If the retention period for a record to which a FERPA document pertains is permanent, the FERPA document should also be permanently retained.	
Registrar	4.9.7 Written decisions of hearing panels (Decisions resulting from formal hearings regarding amendment of education records)	AACRAO	Creation of Record	Permanent, as long as the record is maintained		Apr agr
Federal Disclosure Records						
Registrar	4.10.1 Athletic Participation/ EADA documents	AACRAO	Date of required disclosure	3 years	Athletic Participation/ EADA Records should be established and disclosed annually to students and other required parties. Rules regarding the Higher Education Opportunity Act of 2008 can be found at www.ed.gov/policy/highered/leg/hea08/index.html	Apr agr
Registrar	4.10.2 College Costs, deamidation, textbook information, transfer credit policy (Complies with the Higher Education Opportunity Act)	AACRAO	Date of required disclosure	3 years	Types of institutional information that must be disclosed to students annually are listed below. The records should minimally be retained for three years from the date of disclosure. They include: 1) requirements and procedures for withdrawing from the institution, 2) cost of attendance (tuition/	Apr agr

					<p>fees charges, books/ supplies costs, room and board charges, and related charges), 3) refund policy, 4) summary of requirements for return of Title IV grants or loans, 5) current academic programs of the institution (current degree programs, educational/training programs, and faculty), 6) names of associations and agencies accrediting the institution, 7) description of special facilities and services for disabled students, 8) the school's policy on enrollment in study abroad programs, and 9) titles of persons to contact for information. Rules regarding the Higher Education Opportunity Act of 2008 can be found at www.ed.gov/policy/highered/leg/hea08/index.html</p>	
Campus Clery Director	4.10.3 Crime Statistics/Security Reports (Records substantiating Clery Act reporting requirements)	20 USC § 1092(f), 34 CFR 668.24(e) and the Federal Student Aid Handbook	Date of required disclosure	3 years	<p>Campus Crime/ Security Records and Reports must be established and disclosed annually to students and employees. Supporting documentaiton including crime records should be retained for a three-year period following the date of disclosure, i.e. institutions are</p>	Me mla

					required to retain records to substantiate information in the reports released for three years.	
Registrar	4.10.4 Graduation/ completion, Transfer Out Data (Complies with Student Right to Know legislation)	AACRAO	Date of required disclosure	3 years	Graduation/ Completion and Transfer out rates/ SRK Disclosure Records should be established and disclosed annually to students and other required parties. Records should be retained for three years from the annual July 1st required disclosure date. Rules regarding the Higher Education Opportunity Act of 2008 can be found at www.ed.gov/policy/highered/leg/hea08/index.html	Apr agr
Custodian	Record Title	Authority	Start of Retention	Dispose After	Notes	Sub

Record Series 5.0 Capital Planning, Construction and Facilities Management

Campus	5.1.a Project Design & Architectural agreements, amendments, extra services	Construction Management for Public Works Contracts Policy ; Latent Defects - "CA CCP 337.15"	Issuance of Notice of Completion (of project); Latent Defects	10 Years		Sc sro
Campus	5.1.b Other Project Design Agreements	Construction Management for Public Works Contracts Policy ; Latent Defects - "CA CCP 337.15"	Issuance of Notice of Completion (of project)	10 Years		Sc sro
Campus	5.2.a Construction Contract Documents, Other construction agreements	Construction Management for Public Works Contracts Policy ; SUAM Section XII 9832	Issuance of Notice of Completion (of project)	10 Years		Sc sro
Campus	5.2.b AS-BUILTS	Legitimate Interest-	Creation of	Termination of		Sc

	and Operating & Maintenance Manuals	Operational	Record	Ownership		sro
Chancellor's Office	5.3.a Easements, Supporting Correspondence	Legitimate Interest-Operational	Creation of Record	Termination of Ownership		Scd sro
Chancellor's Office	5.3.b Deeds, title policy, PWB resolution authorizing the acquisition; transfer of jurisdiction from DGS to CSU	Legitimate Interest-Operational	Creation of Record	Termination of Ownership		Scd sro
Chancellor's Office	5.4 Environmental Planning, CEQA Documents	Statute for 30-day limitation: PRC 21080.5(g) and Section 15075(f) of CEQA guidelines in CCR title 14, Ch. 3; title 14, Ch. 3, Art. 8 (time limits), section 15112 (Statutes of Limitation)	BOT Approval	5 years	Any records associated with Cal Vet Disabled Veteran Business Enterprise Program (DVBE) transactions must be retained a minimum of six years, regardless of other retention periods	Scd sro
Campus	5.5.a Energy Contracts	Contract	Effective Date	10 years		Scd sro
Campus	5.5.b Monthly Energy Reports	Legitimate Interest-Operational	Creation of Record	Termination of Ownership		Scd sro
Campus	5.5.c Energy Efficiency Partnership Agreements (04/05 and 06/08) and project files	Contract	Contract End date (As determined by CPUC Ruling)	10 Years		Scd sro
Campus	5.6 Utility Bills	Public Utilities Comission standards	Creation of Record	10 Years		Scd sro
Campus	5.7.a Federal Disaster Assistance Records	OMB A133; 44CFR 14.1, 14.2 and 206, 207(c); Stafford Act 318 and 705. See also: FEMA 322 "Public Assistance Guide" and FEMA Policy Digest	OES Letter Transmitting FEMA's letter stating project is Closed	3 years		Scd sro
Campus	5.7.b As-Builts associated with repairs and/or changes made with federal disaster	Legitimate Interest-Operational		Termination of Ownership		Scd sro

	assistance funds					
Campus	5.7.c Federal EPA, State CEQA, Costal Community, etc. documents associated with Federal Disaster Assistance	Statute for 30-day limitation: PRC 21080.5(g) and Section 15075(f) of CEQA guidelines in CCR title 14, Ch. 3; title 14, Ch. 3, Art. 8 (time limits), section 15112 (Statutes of Limitation)	BOT Approval	5 years		Scro
Campus	5.8.a Vehicle Acquisition - Includes requisitions leases, purchase orders, contracts, quotes	Ed Code 89048 / CSU Policy #207 (Contracting and Procurement Model)	Closing of the Vehicle Purchase file	5 years		Scro
Campus	5.8.b Vehicle Maintenance Records - Includes campus and external maintenance, vehicle inspection, equipment modification and accessory purchases	Ed Code 89031.5	Disposal of Vehicle	7 years		Scro
Campus	5.8.c Vehicle Operations Records - Includes trip logs, mileage logs, driver approvals, driver usage logs, accident and incident records	Vehicle Code 24007	Disposal of Vehicle	7 years		Scro
Campus	5.8.d Vehicle Disposition - Includes transfer documents, notices to state, sales records, survey records	Ed Code 89048 / CSU Policy #601 / 603 (Contracting and Procurement Model)	Disposal of Vehicle	7 years		Scro
Campus	5.9.a Documentation evidencing the expenditure of all GO bond funds- Includes timing and amount of	2008 State Treasurer's Office memorandum	Bond final maturity date	5 years (Not to exceed 35 years for 30 year bonds)	For activity whose funding source is a bond, see schedule entries in Record Series 2.0 pertaining to Bond retention requirements. For	Ros

	expenditures, person to whom the payment was made, whether the transfer of funds was a grant, loan, or direct expenditure, the asset financed by the transfer of funds and expected useful life, and the amount and timing of any grant repaid to the department.				Assistance contact Rosa Renaud at rrenaud@calstate.edu in Capital Planning, Design and Construction for Guidance. See also Financing and Treasury Webpage for Tax-Exempt Bond requirements	
Campus	5.9.b Documentation evidencing private activity use of bond-financed assets - Includes private ownership, leasing, or other private use contracts relating to the financed assets, private payments received, and the amount loaned to a non-governmental entity.	2008 State Treasurer's Office memorandum	Bond final maturity date	5 years (Not to exceed 35 years for 30 year bonds)	For activity whose funding source is a bond, see schedule entries in Record Series 2.0 pertaining to Bond retention requirements. For Assistance contact Rosa Renaud at rrenaud@calstate.edu in Capital Planning, Design and Construction for Guidance. See also Financing and Treasury Webpage for Tax-Exempt Bond requirements	Ros rer
<u>Custodian</u>	<u>Record Title</u>	<u>Authority</u>	<u>Start of Retention</u>	<u>Dispose After</u>	<u>Notes</u>	<u>Sub</u>

Record Series 6.0, University Police

UPD Records Coordinator	Administrative Reviews (non-misconduct related)		Creation of Record	3 years		Me mla
UPD Records Coordinator	Alarm History Files		Creation of Record	3 years		Me mla
UPD Records Coordinator	Alarm Received Records		Creation of Record	1 year		Me mla
UPD Records Coordinator	Body Worn Camera video	PC 832.18(5)(a)	Creation of Record	60 days	<u>Camera footage includes Body Worn</u>	Me mla

	(nonevidentiary data)				camera, Vehicle cameras, and Interview room cameras	
UPD Records Coordinator	Body Worn Camera video (evidentiary data). Includes evidentiary videos from Police Vehicle Cameras and Interview Room Cameras	PC 832.18(5)(b) and (5)(c), and other authority in this schedule as relevant to the circumstance	Creation of Record	Minimum 2 years*	*Longer period noted elsewhere if their evidentiary value is with respect to a matter with a longer retention period (i.e. 15 years for sustained finding of officer misconduct).	Me mla
UPD Records Coordinator	Citation Transmittals, Adult and Juvenile		Creation of Record	3 years	Receipts, logs, or other documents created to record submission of traffic, drug, or other similar infractions &/or misdemeanors to the court	Me mla
UPD Records Coordinator	Citizen Academy Classes		Creation of Record	3 years	Includes RAD classes	Me mla
UPD Records Coordinator	Citizen complaint report, misconduct investigations, internal affairs	PC 832.5(b)	Date received	5 years	If the matter is ongoing five years later, continue to retain	Me mla
UPD Records Coordinator	Sustained finding of misconduct resulting from citizen complaint report, misconduct investigations, POST Affidavit of Separation form, internal affairs	PC 832.5(b)	Date received	15 Years		Me mla
UPD Records Coordinator	Court Order(s)	Penal Code 166		Retain as directed by court order		Me mla
UPD Records Coordinator	Criminal History Inquiry Log		Creation of Record	3 years	Synonymous with Criminal Offender Record Information (CORI) Log	Me mla
UPD Records Coordinator	Dispatch Logs		Creation of Record	3 years		Me mla
UPD Records Coordinator	Evidence Room Log		Creation of Record	Permanent		Me mla

UPD Records Coordinator	Evidence Disposal Records		Creation of Record	Permanent record		Me mla
UPD Records Coordinator	Fingerprint Applications		Creation of Record	3 years		Me mla
UPD Records Coordinator	Live Scan		Creation of Record	1 year		Me mla
UPD Records Coordinator	NCIC Validation		Creation of Record	2 years		Me mla
UPD Records Coordinator	Officer Involved Shooting Report		Creation of Record	Permanent record		Me mla
UPD Records Coordinator	Parking Citations		Creation of Record	5 years	Listing of citations forwarded to court, filed for reference	Me mla
UPD Records Coordinator	Payroll Records		Creation of Record	3 years		Me mla
UPD Records Coordinator	Prisoner Detention Logs		Creation of Record	3 years		Me mla
UPD Records Coordinator	Property Records		Creation of Record	7 years		Me mla
UPD Records Coordinator	Radar Calibration		Creation of Record	1 year		Me mla
UPD Records Coordinator	Restraining Orders		Creation of Record	Expiration of Order		Me mla
UPD Records Coordinator	Ride-along waivers		Creation of Record	1 year		Me mla
UPD Records Coordinator	Telephone calls associated with Clery related calls	20 USC § 1092(f), 34 CFR 668.24(e) and the Federal Student Aid Handbook	Final publication of the applicable calendar year's Clery Act Crime statistics	3 Years	Statistics from Jan 1, 2021 to December 31, 2021, will be published for the final time on or before October 1st, 2024. Thus, the phone records substantiating the crime statistics from 2021 can be disposed of on October 1st, 2027	Me mla
UPD Records Coordinator	Telephone calls associated events with evidentiary value	Gov. Code 26202	Final adjudication and resolution of all related matters	2 Years	Preserve all audio and video recordings of known evidentiary value (criminal or civil) permanently or; alternately, for a period no less than 2 years following final adjudication and resolution of all	Me mla

					related matters.	
UPD Records Coordinator	Telephone calls associated with non-Clery events without evidentiary value	20 USC § 1092(f), 34 CFR 668.24(e) and the Federal Student Aid Handbook	After it is determined the recordings are of no further value	100 days	Preserve all audio and video recordings of historical value, vital value, risk management value, and/or other organizational value (including substantiating Clery Act Compliance) for a period of no less than 100 days	Me mla
UPD Records Coordinator	Training lesson plans		Creation of Record	2 years		Me mla
UPD Records Coordinator	Training records (Individual)		Termination of Employment	5 years		Me mla
UPD Records Coordinator	Weapons Records		Creation of Record	Permanent record		Me mla
UPD Records Coordinator, &/or Campus Clery Director	Clery Act Daily Crime Log	20 USC § 1092(f), 34 CFR 668.24(e) and the Federal Student Aid Handbook	Final publication of the applicable calendar year's Clery Act Crime statistics	3 Years	Statistics from Jan 1, 2021 to December 31, 2021, will be published for the final time on or before October 1st, 2024. Thus, the Crime Log data from 2021 can be disposed of on October 1st, 2027	Me mla
UPD Records Coordinator, &/or Campus Clery Director	Records substantiating Clery Act Compliance	20 USC § 1092(f), 34 CFR 668.24(e) and the Federal Student Aid Handbook	Final publication of the applicable calendar year's Clery Act Crime statistics	3 Years	Statistics from Jan 1, 2021 to December 31, 2021, will be published for the final time on or before October 1st, 2024. Thus, the supporting documentation from 2021 can be disposed of on October 1st, 2027	Me mla
Police Reports						
UPD Records Coordinator	Crime Report or Investigation Related Public Safety Record regarding the arrest or conviction of any person for violation of	Health and Safety code 11361.5	Date of the conviction, or from the date of the arrest if there was no conviction.	2 Years	11357 (b), (c), (d), (e) or H&S Section 11360(b) violations. 11361.5 H&S imposes an obligation to purge certain records. It must be read carefully for timeline	Me mla

	possession of marijuana laws: Health and Safety Code 11357-11362.9				requirements and rule exceptions that must be checked before record destruction. For Juveniles violating 11357(e), destroy when the juvenile attains the age of 18 years old	
UPD Records Coordinator	Crime Report or Investigation Related Public Safety Record-No Arrest		Expiration of Statute of Limitations for offense, OR case is closed, whichever is later	3 years (If no statute of limitations on prosecution, keep permanently)	If no statute of Limitations on prosecution, keep permanently	Me mla
UPD Records Coordinator	Arrests/Detention - misdemeanor, no prosecution	PC 851.8	Creation of Record	3 years, or sooner if ordered by the Court	Including "Detention only" defined by 849(b) PC. Includes 647(f) Drunk Basis for court order finding them factually innocent can be found in PC 851.8	Me mla
UPD Records Coordinator	Arrest - misdemeanor with prosecution	California Penal Code	Creation of Record	7 years, or sooner if ordered by the Court	Mandatory destruction upon and pursuant to Court Order, under PC 1203.45 If suspect was a juvenile at the time of the report, destroy upon and pursuant to any court order requiring destruction. (WIC 826 and 781)	Me mla
UPD Records Coordinator	Arrest - felony (with or without prosecution)	California Penal Code	Expiration of Statute of Limitations for offense, OR case is closed, whichever is later	3 years (If no statute of limitations on prosecution, keep permanently)	Must preserve beyond statute of limitations if there are ongoing criminal or civil court proceedings, including appeals or eligibility for appeal.	Me mla
UPD Records Coordinator	Police records substantiating Clery Crime statistics	20 USC § 1092(f), 34 CFR 668.24(e) and the Federal Student Aid Handbook	Final publication of the applicable calendar year's Clery	3 Years	For example, statistics from Jan 1, 2021 to December 31, 2021, will be published for the final	Me mla

			Act Crime statistics		time on or before October 1st, 2024. Thus, reports substantiating statistics from 2021 can be disposed of on October 1st, 2027	
UPD Records Coordinator	Traffic accident - fatal	CSU Police Departments Systemwide Operational Guidelines, Chapter 5	Creation of Record	Permanent record		Me mla
UPD Records Coordinator	Traffic accident report involving felony arrest (ex. Vehicular assault or hit and run)	POST Recommendation	Creation of Record	7 years	Ex. Vehicular assault or hit and run	Me mla
UPD Records Coordinator	Traffic accident reports - all others		Creation of Record	3 years		Me mla
UPD Records Coordinator	Traffic Citations		Creation of Record	3 years	Original is forwarded to court, after three years dispose of both electronically created copies of original, and triplicate in officer's cite book.	Me mla
UPD Records Coordinator	Traffic - Stored/ Impounded Vehicle Reports (not associated with arrests)		Creation of Record	2 years		Me mla
UPD Records Coordinator	Child abuse & Neglect Reports	PC 11170(a)(3)	Date of last incident documented within the report	10 Years		Me mla
UPD Records Coordinator	Field Interview Records		Creation of Record	3 years		Me mla
UPD Records Coordinator	Incident Reports		Creation of Record	3 years	If the report type "Informational report" or "Incident report" is used for a criminal offense, but without involved parties, retain according to statute of limitations for the crime committed.	Me mla
UPD Records Coordinator	Stolen Property Records		Creation of Record	Date Property is recovered,	If, during the recovery of the property, the	Me mla

				OR until no longer reported in CLETS	activities indicate a crime took place, then the records will become part of the records involving the investigation of the crime and retained for the appropriate amount of time indicated in other parts of this schedule.	
<u>Custodian</u>	<u>Record Title</u>	<u>Authority</u>	<u>Start of Retention</u>	<u>Dispose After</u>	<u>Notes</u>	<u>Sub</u>

Record Series 7.0, Advancement

Advancement Policies and Procedures

Advancement	7.1.1 Alumni Association Memorandum of Understanding	Title 5, California Code of Regulations, Division 5, Subchapter 5, Article 15	Date superseded	3 years	Maintain most current in force. Historical policies and procedures should be retained until university internal audit or three (3) years whichever comes first.	Aar am
Advancement	7.1.2 Delegation of Authority to Accept Gifts	Delegation of Authority for Gift Evaluation and Acceptance	Date superseded	3 years	Maintain most current in force. Historical policies and procedures should be retained until university internal audit or three (3) years whichever comes first.	Aar am
Advancement	7.1.3 Fundraising Event Policy and Procedure	Fundraising Events Policy; IRS Form 990	Date superseded	3 years	Maintain most current in force. Historical policies and procedures should be retained until university internal audit or three (3) years whichever comes first.	Aar am
Advancement	7.1.4 Gift Acceptance Policy and Procedure (including in-kind and real estate)	Good Business Practice	Date superseded	3 years	Maintain most current in force. Historical policies and procedures should be retained	Aar am

					until university internal audit or three (3) years whichever comes first.	
Advancement	7.1.5 Matching Gift Policy and Procedure	Fundraising - Matching Gifts Policy	Date superseded	3 years	Maintain most current in force. Historical policies and procedures should be retained until university internal audit or three (3) years whichever comes first.	Aar am
Advancement	7.1.6 Namings Facilities and Properties, documents supporting approval by the Board of Trustees	Naming of California State University Facilities and Properties	Creation of Record	Permanent	Maintain most current in force. Historical policies and procedures should be retained until university internal audit or three (3) years whichever comes first.	Aar am
Advancement	7.1.7 Namings of Colleges, Schools and other Academic Entities, documents supporting approval by the Board of Trustees	Naming of California State University Academic and Athletic Programs	Creation of Record	Permanent	Maintain most current in force. Historical policies and procedures should be retained until university internal audit or three (3) years whichever comes first.	Aar am
Advancement	7.1.8 Pledge Guidelines including documentation, collection and write-off procedures	Good Business Practice	Date superseded	3 years	Maintain most current in force. Historical policies and procedures should be retained until university internal audit or three (3) years whichever comes first.	Aar am
Charitable Contributions						
Advancement	7.2.1 Amount and date	California Government Section 12596; California Education Code 89916	Final disposition of charitable funds	10 years, permanent for endowments	Attorney General may bring an action against trustees or other persons holding property in trust for charitable purposes at any time within ten (10) years after the cause of action.	Aar am

Advancement	7.2.2 Donor designated use or purpose (including gift agreements, wills, trust documents and estate settlement agreements)	California Government Section 12596; California Education Code 89916	Final disposition of charitable funds	10 years, permanent for endowments	Attorney General may bring an action against trustees or other persons holding property in trust for charitable purposes at any time within ten (10) years after the cause of action.	Aar am
Advancement	7.2.3 Donor imposed restrictions	California Government Section 12596; California Education Code 89916	Final disposition of charitable funds	10 years, permanent for endowments	Attorney General may bring an action against trustees or other persons holding property in trust for charitable purposes at any time within ten (10) years after the cause of action.	Aar am
Advancement	7.2.4 Donor charitable contribution receipt	IRS publication 4221	Date of tax filing	3 years	IRS period of limitation for amending tax records.	Aar am
Advancement	7.2.5 Donor quid pro quo benefits exceeding \$3,000 in the calendar year a gift was made.	California Government Section 12596; California Education Code 89916	Creation of Record	Until death of individual.		Aar am
Advancement	7.2.6 Donor awarded a no-bid contract within five (5) years of a gift.	California Government Section 12596; California Education Code 89916	Creation of Record	Until death of individual.		Aar am
Advancement	7.2.7 Donor privilege, benefit, employment, program admission, or other special consideration from the auxiliary or university in exchange for a pledge or donation.	Good business practice	Creation of Record	Until death of individual.		Aar am
Advancement	7.2.8 Legally enforceable pledge commitments or write offs	Good business practice	Fulfillment or write off	3 years	Standard Audit Review Period	Aar am

Solicitation Registrations						
Advancement	7.3.1 Charitable Solicitation Registration	California Government Section 12596	Date superseded	10 years	Maintain most current registrations or exemptions in force. Ten (10) year retention of prior registrations which is the period the Attorney General may investigate.	Aar
Advancement	7.3.2 Raffle and Gaming Registration	California Government Section 12596	Date superseded	10 years	Maintain most current registrations or exemptions in force. Ten (10) year retention of prior registrations which is the period the Attorney General may investigate.	Aar
Advancement	7.3.3 Department of Insurance Licenses	California Government Section 12596	Final disposition of charitable funds	10 years	Attorney General may bring an action against trustees or other persons holding property in trust for charitable purposes at any time within ten (10) years after the last cause of action.	Aar
Advancement	7.3.3.1 Department of Insurance Reports	Good business practice	Creation of Record	3 Years	Standard Audit Review Period	Aar
Advancement	7.3.4 Commercial Fundraisers and Fundraising Counsel Contracts	California Government Section 12599.7(a)	Date of Contract	10 Years	Law applies to commercial fundraisers and fundraising counsel. It is a good business practice for the university to maintain the record for the same period.	Aar
Advancement	7.3.4.1 Name and Address of each employee or agent involved	California Government Section 12599.7(a)	Date of Contract	10 Years	Law applies to commercial fundraisers and fundraising counsel. It is a good business practice for the university to maintain the record for the same period.	Aar
Advancement	7.3.4.2	California Government	Date of	10 Years	Law applies to	Aar

	Documentation of all revenue received and expenses incurred.	Section 12599.7(a)	Contract		commercial fundraisers and fundraising counsel. It is a good business practice for the university to maintain the record for the same period.	am
Advancement	7.3.4.3 The account number, name and location of bank or financial institution in which accounts were maintained.	California Government Section 12599.7(a)	Date of Contract	10 Years	Law applies to commercial fundraisers and fundraising counsel. It is a good business practice for the university to maintain the record for the same period.	Aar am
Advancement	7.3.5 Gifts from Foreign Entities over \$250,000 in calendar year report to US Department of Education	Section 117 of the Higher Education Act	Creation of Record	3 Years	Standard Audit Review Period	Aar am
Advancement	7.3.6 Fundraising Event documentation for events with gross receipts of \$5,000 or more (gift income, non-gift income, cash prize expenditures, facility expenditures, food and beverage expenditures, entertainment expenditures, other direct expenditures)	IRS publication 4221; IRS Form 990	Creation of Record	3 Years	Period of limitation to amend a Form 990.	Aar am
Constituent Record Management						
Advancement	7.4.1 Affinity Solicitation Opt-Out	California Education Section 89090	Creation of Record	Until revoked or death of individual		Aar am
Advancement	7.4.2 FERPA Opt-Out	Federal Public Law 93-380	Creation of Record	Until revoked or death of individual.	Follows student record transition	Aar am
<u>Custodian</u>	<u>Record Title</u>	<u>Authority</u>	<u>Start of Retention</u>	<u>Dispose After</u>	<u>Notes</u>	<u>Sub</u>

Record Series 8.0, Academic Personnel

Campus	8.1 Difference-in-Pay Applications & Responses	28 U.S.C. Section 1658	Separation from CSU	5 years		San sfr gin
Campus	8.2 Chancellor's Doctoral Incentive Program/ Forgivable Loan Program Applications		Loan repayment	6 years		San sfr gin
Chancellor's Office	8.3 Faculty Early Retirement Program Applications and Assignments	28 U.S.C. Section 1658	Separation from CSU (as a FERP participant)	5 years	To sign up for participation in these programs, the tenured faculty member needs to request participation. So any applications to request participation must be retained as well as a description of what the faculty member is doing for the term and the WTUs (Weighted Teaching Units) for the assignment(s). An assignment can be a course or other assigned service.	San sfr gin
Campus	8.4 Faculty Exchange	28 U.S.C. Section 1658	Separation from CSU	5 years		San sfr gin
Campus	8.5 Faculty grant records	28 U.S.C. Section 2415(b)	End of Grant	6 Years		San sfr gin
Campus	8.6 Faculty Merit Increase records	28 U.S.C. Section 1658	Separation from CSU	5 years		San sfr gin
Campus	8.7 Faculty non-reappointments & tenure denials	28 U.S.C. Section 1658	Separation from CSU	5 years		San sfr gin
Campus	8.8 Intergovernmental Personnel Act Records	28 U.S.C. Section 1658	Separation from CSU	5 years	Provision 25.1 in the CFA CBA identifies that professional development opportunities include "faculty exchange programs within and	San sfr gin

					outside the CSU". Example: visiting faculty programs, etc. The Intergovernmental Personnel Act Mobility Program provides for the temporary assignment of personnel between the Federal Government and state and local governments, colleges and universities, Indian tribal governments, federally funded research and development centers, and other eligible organizations.	
Campus	8.9 Pre-Retirement Reduction in Timebase Applications and Assignments	28 U.S.C. Section 1658	Separation from CSU	5 years	To sign up for participation in these programs, the tenured faculty member needs to request participation. So any applications to request participation must be retained as well as a description of what the faculty member is doing for the term and the WTUs (Weighted Teaching Units) for the assignment(s). An assignment can be a course or other assigned service.	Sar sfri gin
Campus	8.10 Range elevation appeals	28 U.S.C. Section 1658	Separation from CSU	5 years		Sar sfri gin
Campus	8.11 Retention, Tenure and Promotion Records	28 U.S.C. Section 1658	Separation from CSU	5 years		Sar sfri gin
Campus	8.12 Sabbatical Leave	28 U.S.C. Section 1658	Separation from CSU	5 years		Sar sfri

	Applications & Responses					gin
Campus	8.13 Service Salary Increase records	28 U.S.C. Section 1658	Separation from CSU	5 years		Sar sfri gin
Campus	8.14 Student Evaluations of Teaching	28 U.S.C. Section 1658	Separation from CSU	5 years		Sar sfri gin
Campus	8.15 Summer Quarter Triad Records	28 U.S.C. Section 1658	Separation from CSU	5 years	Any information in the personnel file about a current faculty member's previous participation in a summer quarter triad (while on the quarter system) should be retained as specified.	Sar sfri gin
Chancellor's Office	8.16 Union assigned time records	28 U.S.C. Section 1658	Separation from CSU	5 years		Sar sfri gin
Campus	8.17 Visa and permanent records	Public Law 106-313	Date of issuance	10 years		Sar sfri gin
<u>Custodian</u>	<u>Record Title</u>	<u>Authority</u>	<u>Start of Retention</u>	<u>Dispose After</u>	<u>Notes</u>	<u>Sub</u>

Record Series 9.0, Curriculum and Accreditation

Catalogs

Campus	9.1.1 General Catalog	Historical	Creation of Record	Permanent		Bre bfo
Campus	9.1.2 Supplemental Catalogs	Historical	Creation of Record	Permanent		Bre bfo

Class Schedules

Campus	9.2.1 Class schedule by term, final version	Historical	Creation of Record	Permanent		Bre bfo
Campus	9.2.2 Class Schedule Periodic reports		Creation of Record	7 Years		Bre bfo
Campus	9.2.3 Academic Planning Database (APDB) reports	Historical	Creation of Record	Permanent		Bre bfo
Campus	9.2.4 Faculty Assignment by		Creation of Record	Permanent		Bre bfo

	Department (FAD) reports					
Course Related UG/GRAD/DOC						
Campus	9.3.1 Proposals: new degrees programs, courses, and changes	Historical	Creation of Record	Permanent		Before
Campus	9.3.2 Course Syllabi		Creation of Record	7 Years		Before
Academic Department	9.3.3 Student portfolios (culminating experience project)--held by departments; project)--held by departments.		Creation of Record	2 Years		Before
Campus	9.3.34 Certificates issued by certificate programs (credit-bearing and non-credit bearing programs)	Historical	Creation of Record	2 Years		Before
Course and Program Proposals (New And Modifications)						
Campus	9.4.1 Proposal documents	Historical	Creation of Record	Permanent		Before
Campus	9.4.2 Authorization documents	Historical	Creation of Record	Permanent		Before
Course and Program Review						
Campus	9.5.1 Program Review documents	Historical	Creation of Record	Upon completion of second subsequent Review	Retain two review cycles of documentation	Before
Campus	9.5.2 Outcomes Assessment	Historical	Creation of Record	Upon completion of second subsequent Review	Retain two review cycles of documentation	Before
Chancellor's Office	9.5.3 Academic Master Plan	Historical	Creation of Record	permanent		Before
Accreditation						
Campus	9.8.1 WSCUC accreditation	Historical	Creation of Record	Permanent		Before

	records					
Department	9.8.2 Department accreditation	Historical	Creation of Record	permanent		Bre bfo
Department	9.8.2 Program accreditation	Historical	Creation of Record	permanent		Bre bfo
<u>Custodian</u>	<u>Record Title</u>	<u>Authority</u>	<u>Start of Retention</u>	<u>Dispose After</u>	<u>Notes</u>	<u>Sub</u>

Record Series 10.0, Research and Sponsored Programs

Administrative and Financial Records

Designated campus or auxiliary sponsored programs, accounting or other office	10.1.1 All financial records, documentation and reports pertinent to an award (Federal, State, Private)	2 CFR 200.334	Submission of the final expenditure report	3 years	Includes all records related to expenditures (including effort certifications and cost match), revenue and cash receipts. Refer also to fiscal records and academic records above.	Me mm
Designated campus or auxiliary sponsored programs, accounting or other office	10.1.2 Supporting documents and statistical records pertinent to a federal, state or private award	2 CFR 200.334	Submission of the final expenditure report	3 years	For federal research contracts 48 CFR 4.7 may be applicable, which requires retention for 3-years after final payment is received. When records are transferred to or maintained by the Federal awarding agency, the 3-year retention requirement is not applicable to the recipient.	Me mm
Campus Research and Sponsored Programs Office	10.1.3 Grants, contracts, and cooperative agreements including funded proposals	2 CFR 200.334	Submission of the final expenditure report	3 years	For additional requirements for research activities in tax-exempt bond-funded facilities, refer to Financing & Treasury CSYou site.	Me mm
Campus Research and Sponsored Programs Office	10.1.4 Unfunded pre-award files including a copy of the proposal and approvals submitted to the	2 CFR 200.334	Notification of decline or Withdrawal	5 years	Applies to electronic records: scan and destroy physical files at the time of notification of decline or withdrawal.	Me mm

	funding agency					
Designated campus or auxiliary sponsored programs, accounting or other office	10.1.5 Records for Real Property and equipment acquired with Federal Funds	2 CFR 200.334	Final disposition of property	3 years	For federal research contracts 48 CFR 4.7 may be applicable, which requires retention for 3-years after final payment is received. When records are transferred to or maintained by the Federal awarding agency, the 3-year retention requirement is not applicable to the recipient.	Me mm
Conflicts of Interest						
Campus Research and Sponsored Programs Office	10.2.1 Conflicts of Interest (NSF-funded Research) Records of all financial disclosures and of all actions taken to resolve conflicts on interest	NSF Proposal and Award Policies and Procedures Guide (PAPPG) Part II, Section A. Conflict of Interest Policies for institutional conflict of interest requirements.	Termination or completion of the grant to which they related or until the resolution of any NSF action involving those records.	3 years	Requirements related to other funding agencies may vary. In all instances, individual agreements should be consulted to determine applicability of special record retention requirements.	Me mm
Campus office responsible for COI compliance	10.2.2 Conflicts of Interest (PHS-funded research which includes all NIH awards) Records of all financial disclosures and all actions taken by the Institution with respect to each conflicting interest	42 CFR 50.604 - Subpart F	Date of submission of the final expenditures report	3 years or, where applicable, from other dates specified in 45 CFR 74.53(b) for different situations.	Requirements related to other funding agencies may vary. In all instances, individual agreements should be consulted to determine applicability of special record retention requirements.	Me mm
Campus office responsible for COI compliance	10.2.3 Conflicts of Interest for research funded by non-governmental sponsors as covered by the California Political Reform Act section 18755,	California Political Reform Act paragraph 18755 and California Government Code 81009(e) and CSU policy HR 2005-38	Creation of Record	7 Years	Requirements related to other funding agencies may vary. In all instances, individual agreements should be consulted to determine applicability of special record	Me mm

	original reports or statements including 700-U forms				retention requirements.	
Institutional Research Board, (IRB)						
Campus office responsible for regulatory compliance	10.3.1 Copies of all research proposals reviewed by the IRB, including: - scientific evaluations, if any, that accompany the proposals; - approved sample consent documents; - progress reports submitted by investigators; and - reports of injuries to subjects	45 CFR 46.115 Protection of Human Subjects, IRB Records	Completion of research activity	3 Years	In accordance with the campus's federal wide assurance (FWA), the retention source authority may also reference 21 CFR 56.115 IRB Records (Food and Drug Administration) - records and retention requirements are virtually identical to those referenced in 45 CFR 46.115.	Me mn
Campus office responsible for regulatory compliance	10.3.2 Minutes of IRB meetings including: - attendance at the meetings; - actions taken by the IRB; - votes on these actions; - basis for requiring changes in or disapproving research; - written summary of the discussions and resolutions	45 CFR 46.115 Protection of Human Subjects, IRB Records	Completion of research activity	3 Years	In accordance with the campus's federal wide assurance (FWA), the retention source authority may also reference 21 CFR 56.115 IRB Records (Food and Drug Administration) - records and retention requirements are virtually identical to those referenced in 45 CFR 46.115.	Me mn
Campus office responsible for regulatory compliance	10.3.3 Institutional Research Board (IRB) Records of continuing review activities	45 CFR 46.115 Protection of Human Subjects, IRB Records	Completion of research activity	3 Years	In accordance with the campus's federal wide assurance (FWA), the retention source authority may also reference 21 CFR 56.115 IRB Records (Food and Drug Administration) - records and retention requirements are virtually identical to those referenced in	Me mn

					45 CFR 46.115.	
Campus office responsible for regulatory compliance	10.3.4 Copies of all correspondence between the IRB and the investigators	45 CFR 46.115 Protection of Human Subjects, IRB Records	Completion of research activity	3 Years	In accordance with the campus's federal wide assurance (FWA), the retention source authority may also reference 21 CFR 56.115 IRB Records (Food and Drug Administration) - records and retention requirements are virtually identical to those referenced in 45 CFR 46.115.	Me mm
Campus office responsible for regulatory compliance	10.3.5 A list of IRB members in the same detail as described is Sec. 46.103(b)(3)	45 CFR 46.115 Protection of Human Subjects, IRB Records	Completion of research activity	3 Years	In accordance with the campus's federal wide assurance (FWA), the retention source authority may also reference 21 CFR 56.115 IRB Records (Food and Drug Administration) - records and retention requirements are virtually identical to those referenced in 45 CFR 46.115.	Me mm
Campus office responsible for regulatory compliance	10.3.6 Written procedures for the IRB in the same detail as described in Sec. 46.103(b)(4) and Sec. 46.103(b)(5)	45 CFR 46.115 Protection of Human Subjects, IRB Records	Completion of research activity	3 Years	In accordance with the campus's federal wide assurance (FWA), the retention source authority may also reference 21 CFR 56.115 IRB Records (Food and Drug Administration) - records and retention requirements are virtually identical to those referenced in 45 CFR 46.115.	Me mm
Campus office responsible for regulatory compliance	10.3.7 Statements of significant new findings provided to subjects, as required by Sec. 46.116(b)(5)	45 CFR 46.115 Protection of Human Subjects, IRB Records	Completion of research activity	3 Years	In accordance with the campus's federal wide assurance (FWA), the retention source authority may also reference 21 CFR 56.115 IRB Records (Food and Drug	Me mm

					Administration) - records and retention requirements are virtually identical to those referenced in 45 CFR 46.115 .	
Institutional Animal Care and Use Committee						
Campus office responsible for regulatory compliance	10.4.1 Institutional Animal Care and Use Committee (IACUC) minutes, including: - records of attendance; - activities of the Committee; - Committee deliberations	Animal Welfare Act, 9 CFR 2.35; NIH/ OLAW 2002, 2nd Edition, Institutional Animal Care and Use Committee Guidebook, Sec E.1.	Creation of Record	3 Years		Me mm
Campus office responsible for regulatory compliance	10.4.2 Institutional Animal Care and Use Committee (IACUC) protocols, including: - proposed activities involving animals; - proposed significant changes in activities involving animals; - approval given or withheld on above	Animal Welfare Act, 9 CFR 2.35; NIH/ OLAW 2002, 2nd Edition, Institutional Animal Care and Use Committee Guidebook, Sec E.1.	Creation of Record	3 Years		Me mm
Campus office responsible for regulatory compliance	10.4.3 IACUC/ other records, including: - semiannual IACUC reports and recommendations; - OLAW Assurance; - reports of accrediting agencies	Animal Welfare Act, 9 CFR 2.35; NIH/ OLAW 2002, 2nd Edition, Institutional Animal Care and Use Committee Guidebook, Sec E.1.	Creation of Record	3 Years		Me mm
Campus office responsible for regulatory compliance	10.4.4 IACUC Information as specified in 9 CFR 2.35(b) concerning each live dog or cat acquired,	Animal Welfare Act, 9 CFR 2.35; NIH/ OLAW 2002, 2nd Edition, Institutional Animal Care and Use Committee Guidebook, Sec	Creation of Record	3 Years		Me mm

	transported, sold or euthanized	E.1.				
Miscellaneous Research Records						
Campus office responsible for regulatory compliance	10.5 Research Misconduct Proceedings	42 CFR 93.317 and campus academic policy and procedures on research scientific misconduct	Completion of the proceeding, or the completion of any PHS proceeding involving the research misconduct allegation, whichever is later	7 Years		Me mm
Principal Investigator or Director of Sponsored Programs Office (in accordance with campus policy)	10.6 Research data defined as the recorded factual material commonly accepted in the scientific community as necessary to validate research findings, but not any of the following: Preliminary analyses, drafts of scientific papers, plans for future research, peer reviews, or communications with colleagues.	2 CFR 200.334	Submission of the final report of the research to the sponsor	3 Years (unless a longer retention period is specified by the sponsor)	This "recorded" material excludes physical objects (e.g. , laboratory samples). When records are transferred to or maintained by the Federal awarding agency, the 3-year retention requirement is not applicable to the recipient.	Me mm
Designated campus sponsored programs, accounting or other office	10.7 F&A (Facilities and Administrative/ Indirect) cost rate proposals (or if not submitted, proposal, plan, or other computation, and its supporting records)	2 CFR 200.334(f)	Date of submission (or if not submitted for negotiation, the end of the fiscal year covered by the proposal, plan, or other computation)	3 Years		Me mm
Campus Research and Sponsored	10.8 Sponsored Programs Policies and Procedures	Historical	Date Superseded	3 Years		Me mm

Programs Office						
Custodian	Record Title	Authority	Start of Retention	Dispose After	Notes	Sub
Record Series 11.0, Institutional Records						
Student Academic Records	11.1 Student Demographic statistics	IPEDS	Creation of Record	Permanent	Examples include but are not limited to statistics on Degrees, Enrollment, Grades, Race/Ethnicity See also Student Demographic Information (AACRAO)	Ed esu
Systemwide and Chancellor's Office Policy Library	11.2 Systemwide Policies and Presidential Executive Orders	Historical	Date superseded	Permanent	Retain as long as the policy is in effect, then transfer to campus archives or the appropriate records management authority	Eri ear
Campus and Chancellor's Office	11.3 Administrative Program Review (Pertains to records associated with campus periodic reviews of administrative units.)	Historical	Creation of Record	1 Cycle (x years)	Depends on the number of years in review cycle	Me mla
Campus	11.4 Campus Presidential Records (Examples include: Delegations of Authority, calendars, schedules, videos, office subject files)	Historical	Creation of Record	Until no longer of administrative value	Retain until no longer of administrative value; then transfer records of historical value, as determined by the record custodian, to campus archives or the appropriate records management authority.	Me mla
Campus and Chancellor's Office	11.5.1 Executive Business Calendars		Creation of Record	3 years		Me mla
Campus	11.5.2 Academic Calendars	Historical	Creation of Record	Permanent		Bre bfo

Campus and Chancellor's Office	11.6 CA Public Records Act Requests		Receipt of request	3 Years		Me mla
Committees						
Committees	11.7.1 University Presidential Advisory Committees (Non-policy setting)		Creation of Record	3 Years	Retain 3 years or less and then transfer to campus archives or the appropriate records management authority to determine if the record(s) have historical value and will be archived.	Me mla
Committees	11.7.2 University Standing Committees (Policy Setting)		Creation of Record	3 Years	<p>A standing committee is a sub-unit of the university that facilitates consideration of the business and governance of the organization.</p> <p>Retain 3 years or less and then transfer to campus archives or the appropriate records management authority to determine if the record(s) have historical value and will be archived.</p>	Me mla
Committees	11.7.3 University Standing Advisory Committees (Non-Policy Setting)		Creation of Record	3 Years	<p>A standing committee is a sub-unit of the university that facilitates consideration of the business and governance of the organization.</p> <p>Retain 3 years or less and then transfer to campus archives or the appropriate records management authority to determine if the record(s) have historical value and</p>	Me mla

					will be archived.	
Committees	11.7.4 University Adhoc Committees (Non-policy setting)		Creation of Record	Until no longer of administrative value	Retain until no longer of administrative value and then transfer to campus archives or the appropriate records management authority to determine if the record(s) have historical value and will be archived.	Me mla
Committees	11.8 Academic Senate Agendas & Minutes		Creation of Record	Until no longer of administrative value	Retain until no longer of administrative value and then transfer to campus archives or the appropriate records management authority to determine if the record(s) have historical value and will be archived.	Me mla
Legal, Regulatory, and Compliance						
Campus and Chancellor's Office	11.9.1 Internal Reports related to Policy Setting		Creation of Record	Until no longer of administrative value	Retain until no longer of administrative value and then transfer to campus archives or the appropriate records management authority to determine if the record(s) have historical value and will be archived.	Me mla
Civil Rights Programming and Services	11.9.2 Documentation substantiating compliance with Systemwide Nondiscrimination Policy	34 CFR § 106.9(f)	Creation of Record	7 Years	Records documenting the actions the recipient took to meet its obligations, including but not limited to intake, supportive measures, investigations, hearings, appeals, and training records	Me mla
Campus Clery Director	11.9.3 Crime Statistics/Security	20 USC § 1092(f), 34 CFR 668.24(e) and the	Date of required	3 years	Campus Crime/ Security Records and	Me mla

	Reports (Records substantiating Clery Act reporting requirements)	Federal Student Aid Handbook	disclosure		Reports must be established and disclosed annually to students and employees. Supporting documentaiton including crime records should be retained for a three-year period following the date of disclosure, i.e. institutions are required to retain records to substantiate information in the reports released for three years.	
Campus and Chancellor's Office	11.9.4 Risk Mitigation Plans	Best Practice	Creation of Record	3 Years		
Campus	11.10 Campus Litigation Files		Date litigation concluded	5 Years		Me mla
Campus and Chancellor's Office	11.11 Original litigation settlement agreements		Date of performance of all the terms of the settlement agreement	10 Years	If Litigation pertains to a CSU employee, then refer to the Personnel/Payroll retention periods	Me mla
Campus and Chancellor's Office	11.12 Subpoenas not related to ligation involving CSU policy		Receipt of Subpoena	1 year		Me mla
Correspondence						
Parties to the Correspondence	11.13.1 Ephemeral / Transient communications received or sent which do not contain significant information about an institution's programs, fiscal status or campus operations.			Until read	Ephemeral communications that document the business of the California State University shall be preserved according to the substance of the message or record	Me mla
Parties to the Correspondence	11.13.2 General - Correspondence received or sent		Creation of Record	2 Years	Retain until no longer of administrative value, but no longer	Me mla

	<p>which do not contain significant information about an institution's programs. Records include, but are not limited to, letters sent and received; memoranda; notes; transmittals; acknowledgments; community affair notices; routine requests for information or publications; enclosures and attachments.</p>				than 2 years.	
Parties to the Correspondence	<p>11.13.3 Administrative - Correspondence received or sent which contain significant information about an institution's programs. Records include, but are not limited to, letters sent and received, policy memoranda, notes, enclosures, and attachments.</p>	Historical	Creation of Record	Until no longer of administrative value	Retain until no longer of administrative value, and then transfer to campus archives or the appropriate records management authority to determine if the record(s) have historical value and will be archived.	Me mla
Parties to the Correspondence	<p>11.13.4 Executive - Correspondence regarding significant events and the development of administrative structure, policies, and procedures of this office. It may also record the historical development of the office. Records may include: letters sent and</p>	Historical	Creation of Record	Until no longer of administrative value	Retain until no longer of administrative value; then transfer records of historical value, as determined by the record custodian, to campus archives or the appropriate records management authority.	Me mla

	received; notes; directives; acknowledgments; and memoranda.					
Miscellaneous Institutional Records						
University Archives	11.14 Honorary Degree Records	Historical	Creation of Record	Permanent		Me mla
University Archives	11.15 University Communications Records Examples include: bulletins, publications, annual reports, university newsletters, commencement event records	Historical	Creation of Record	Until no longer of administrative value	Retain until no longer of administrative value and then transfer to the appropriate records management authority to determine if the record(s) have historical value and will be archived.	Me mla
University Archives	11.16 Media/ Public Relations Records Examples include: press releases, student newspapers, public relations materials, commencement publicity.	Historical	Creation of Record	Until no longer of administrative value	Retain until no longer of administrative value and then transfer to the appropriate records management authority to determine if the record(s) have historical value and will be archived.	Am abe sm
Institutional Records	11.17 Trade Marks & Logos	Historical	Creation of Record	Permanent		Me mla
Institutional Records	11.18 Art Inventory Records	Historical	Creation of Record	Permanent		Me mla
Institutional Records	11.19 Campus Managed Child Development Office Files	Manual of Policies and Procedures - COMMUNITY CARE LICENSING DIVISION, CHILD CARE CENTER, Division 12, Chapter 1; STATE OF CALIFORNIA HEALTH AND HUMAN SERVICES AGENCY, DEPARTMENT OF SOCIAL SERVICES, Section 101221, Child's Records, Section 101217, Personnel Records	Creation of Record	3 years		Me mla

Student Records	11.20 Student and Graduate Earnings (Unemployment Insurance Quarterly Wages from CA Employment Development Department)	California Education Code Section 66014.3	Creation of Record	Permanent	State law requires CSU Chancellor's Office to track and publish graduates earnings by program over time. In order to meet this mandate, wage records for graduate cohorts are averaged cumulatively to generate average earnings.	Ed esu
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All Revision Dates

6/12/2025, 4/21/2025, 2/27/2008

Approval Signatures

Step Description	Approver	Date
EVC	Steven Relyea: Executive Vice Chan & CFO	6/12/2025
Area Manager	Eric Andersson: Director, CSU Policy Library	6/10/2025
Owner	Melinda Latas: Chief Compliance Officer	6/10/2025