

University of San Francisco
Document Retention and Destruction Policy

The University of San Francisco retains records for specific periods of time depending upon the type of records being retained, and has designated official repositories for their maintenance. These records must be managed in accordance with the procedures outlined below in order to ensure the University meets its legal obligations, optimizes the use of space, minimizes the cost of record retention, preserves the University's history, and destroys outdated and useless records.

This policy applies to paper records, records stored on hard disks, network servers, and backup tapes.

Following is a list of record categories and the official repository for their maintenance. Appendix A contains a guide to retention periods for specific record types.

Accounting	Business & Finance
Alumni records	Alumni Relations
Auditing	Internal Auditor
Board of Trustees	Corporation Secretary
Budgeting	Appropriate Schools, Colleges, Departments
Construction and renovation	Facilities Management
Environmental safety	Facilities Management
Gifts	University Development
Grants	Office of Contracts and Grants
Historical records	Gleeson Library Archive Room
Investments/endowment	Business & Finance
Law enforcement	Public Safety
Personnel	Human Resources
Public relations	Public Affairs/Media Relations
Real property	Business & Finance
Student administration	University Registrar
Student life	Student Life

When the prescribed retention period for official University records (Appendix A) has passed, a determination of whether to preserve or dispose of the documents must be made. If a particular record may be of historic value to the University, it should be discussed with a representative from the Gleeson Library Archive Room who has authority to designate which records are archival.

If the determination is to dispose of the records, they may be destroyed as follows:

1. Non-confidential paper records may be recycled.
2. Confidential records must be shred or otherwise rendered unreadable.
3. Electronically stored records must be erased or destroyed.

Official repositories that use an outside party to dispose of records must conduct due diligence in hiring a document destruction contractor. Due diligence includes i) reviewing an independent audit of a contractor's operations and/or its compliance with this rule; (ii) obtaining information about the contractor from several references; (iii) requiring that the contractor be certified by a recognized trade association; and (iv) reviewing and evaluating the disposal company's information security policies or procedures.

Departments that are not official repositories and that retain duplicate or multiple copies of University records should dispose of them in the prescribed manner when the records are no longer useful.

Record retention periods may be increased by government regulation, judicial or administrative consent order, private or governmental contract, pending litigation or audit requirements. Such modifications supersede the requirements listed in this policy. Suspension of record destruction required for any of these reasons will be accomplished by a notice sent out to affected units by the Office of the General Counsel, the Internal Audit Office, Business & Finance, or the Office of Contracts and Grants.

No document list can be exhaustive. Questions regarding the retention period for any specific record or class of records not included in Appendix A should be addressed to the Office of the General Counsel.

APPENDIX A

Non-Academic Records	Retention Period
Accident reports	4 years after report date
Account reconciliations (balance sheet)	6 Years
Accounting reports (monthly reports) Schedules of Department Balances, Transaction Statements, Account Analysis Statements, monthly and year-to-date salary and wage statements	6 Years
Accounts Payable Vouchers and attachments	6 Years
Accounts Receivable Statements, centrally generated	6 Years
Accounts Receivable Statements, unit generated	6 Years
Accreditation records	Permanent
Alumni records	Permanent
Annual Conflict of Interest Disclosure Statements	3 Years
Annual financial reports and work papers	Permanent
Annual payment records (W2, Alpha lists, employee transaction lists)	Permanent
Banking records, including deposit and withdrawal records, bank statements and reconciliation, voided and canceled checks	6 Years
Billing records	6 Years
Board of Trustee minutes	Permanent
Bylaws	Permanent
Capital equipment records	Life of asset: records of equipment purchased on federal funds must be retained for three years after final disposition
Cash receipts	6 Years
Cause findings, Permanent	See Human Resources section
Certificates of insurance, indemnification agreements, hold-harmless agreements, contracts	6 years after expiration

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Non-Academic Records	Retention Period
Crime reports	4 years after report date
Depreciation records	Life of Asset
Depreciation schedules	
Documents for leases, licenses, construction contracts and other contracts of a temporary nature, valued at less than \$50,000	6 years after expiration of lease or contract term
Effort Certifications	6 Years
Employee personnel files (including application, resume, payroll, appointment/salary forms)	6 years after termination
Excise tax returns	6 Years
Federal reporting requirements: welfare benefits and other fringe benefit plans (i.e., 5500-s)	Permanent
Gift records	6 years for hard copy records, permanent for electronic records
Grievances	No cause findings: 3 years from determination
I-9 Forms (faculty and staff)	3 Years, or 1 year after termination (whichever is greater)
I-9 Forms (students)	3 Years, or 1 year after termination (whichever is greater)
Imputed income records (auto usage, CCTS)	6 years
Incident Reports, Accident Reports	4 years after report date
Income tax returns	Permanent
Indirect Cost Rate Calculations	6 Years
Individual contracts of employment	6 years after termination
Information returns (990, 1099, 8282, 90.22, etc.)	Permanent
Information returns filed with federal and state authorities (W-2, 941, 1042S, etc.)	6 years
Insurance policies (liability, property, and other policies)	Permanent

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Non-Academic Records	Retention Period
Inventories	Life of Asset
Journal entries and back-up documentation	6 Years
Leave-reporting documents	4 years
New account records and back-up documentation	6 years after account closing
Occupational injury or illness, Records relating to	5 Years
Original gift letter agreements, signed by the President and the donor	Permanent
Original gift letter agreements, all others	Permanent
Payroll deduction authorization forms (W4, DBD, CFCU, Bonds)	5 years after employment ends
Payroll vouchers	3 years
Performance appraisals	3 years after separation
Planned gifts (trusts, life income, agreements, annuities), real estate gifts	Permanent
Procurement card charge documentation	6 Years
Property damage reports	4 years after report date
Property deeds, easements, licenses, rights of way, leases, rights of first refusal, remainder interests, mortgages	Permanent
Property tax returns filed with taxing jurisdiction	6 Years
Record of payments and deductions (payroll registers, deductions lists, adjustments)	5 years
Sales tax returns	6 Years
Search committee records, including employment applications, resumes, and all applicant search materials	3 Years
Subsidiary ledgers (accounts payable, accounts receivable, etc.)	6 Years
Summary Analysis Reports, end of year (fund, source, function)	6 Years

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Non-Academic Records	Retention Period
Tenure or promotion dossiers	If action approved, 3 years; If tenure denied, 3 years from end of term appointment
Time cards, student	3 years after the date that all student loans are paid
Time cards, other	3 years
Title insurance policies	10 years after disposal of property
Transaction Authority cards	6 Years
Travel Reimbursements and attachments	6 Years
Trial Balances	6 Years
Trustee decisions	Permanent
Union agreements	Permanent
University Audit work papers	6 Years
Volunteer registration forms, parental consent forms, and agreements	3 Years
Wage assignment orders	5 years after closed
Workers' compensation claims and insurance policies	18 Years

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Academic-Student	Retention Period
Academic actions (dismissal, etc.)	5 years from graduation or date of last attendance
Academic integrity code violations (findings of violation and related case files)	Permanent
Academic records (including narrative evaluations, competency assessments, etc.)	Permanent
Advanced placement records, applications for admission or readmission, correspondence that is relevant, entrance exam reports	5 years from graduation or date of last attendance
Catalogs	Permanent
Change of Grade forms	Permanent
Change to Student ID number	Permanent
Class lists (original)	Permanent
Consent to Release Personally Identifiable Information (requests for non-disclosure)	Kept until next academic year; signatures kept 5 years
Course offerings	Permanent
Curriculum Change Authorizations	5 years from graduation or date of last attendance
Degree, grade, enrollment, and racial/ethnic statistics	Permanent
Disciplinary records (findings of violation and related case files)	Permanent where penalty imposed is probation, suspension or expulsion (dismissal); otherwise in accordance with the record retention policy of the Office of Student Conduct
Enrollment Verifications	1 year from enrollment date
Financial aid records (applicants who do not enroll)	3 years from date of graduation
Financial aid records (applicants who enroll)	5 years from graduation date
Grade sheets	Permanent
Graduation lists	Permanent
Hold or Encumbrance Authorizations	Until released

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Academic-Student	Retention Period
International student forms (visa documentation, etc.)	5 Years
Letters of recommendation	Until date of admission
Name changes	Permanent
Original grade sheets	Permanent
Recruitment materials	Until date of enrollment
Residency certificates	Until date of enrollment
Schedule of classes (institutional)	Permanent
Student class schedules	1 year from graduation date or date of last attendance
Term reports	5-7 Years
Transcript requests	1 year from submission date
Transcripts	Permanent
Transcripts — high school and other college	5 years from graduation or date of last attendance
Transfer Credit Evaluations	5 years from graduation
Veteran Administration Certifications	5 years from graduation or date of last attendance
Withdrawal Authorizations/Leaves of Absence	2 Years