

California State University

**RECORDS/INFORMATION RETENTION AND DISPOSITION SCHEDULE**

<b>Record Series Identifier</b>	<b>Record Series Name</b>						<b>Admission Records for Students who do not enroll shall be retained for 1 year after the application term had concluded.</b>		
<b>4.0</b>	<b>STUDENT RECORDS</b>								
<b>Record Identifier</b>	<b>Record Title</b>	<b>Custodian of Records</b>	<b>Record Value: O - Operational F - Fiscal L - Legal H - Historical V - Vital</b>					<b>Retention Source Authority</b>	<b>Retention Period</b>
			<b>O</b>	<b>F</b>	<b>L</b>	<b>H</b>	<b>V</b>		
<b>4.1</b>	<b>Admissions and Academic Records</b>							Based on "American Association of Collegiate Registrars and Admissions Officers (AACRAO)" ©2000 Edition, unless otherwise indicated.	
<p><b>Notes:</b></p> <ol style="list-style-type: none"> <li>1. The retention periods below are based on the following:             <ol style="list-style-type: none"> <li>a. The forms are maintained in individual student folders and are retained no longer than five years after graduation or date, term, or semester and year of last attendance.</li> <li>b. Uniform retention periods allow for the destruction of the entire folder which will save considerable sorting.</li> </ol> </li> <li>2. The three-year retention periods noted should begin with the date of graduation or the date of last attendance, or the end of the term,</li> <li>3. Some documents from institutions in other countries may be originals and therefore difficult or impossible for the applicant to replace.</li> <li>4. Educational institutions which participate in federal, state, and private programs of low-interest loans to students shall retain student records of admission and placement for five years after graduation or withdrawal. In the event of an open audit, records shall be</li> <li>5. Immigration and Naturalization Service states that the school shall keep a record used to comply with the reporting requirements for at least one year. Since many items included in foreign students' records are to be retained for at least five years, INS</li> <li>6. Although student records created and maintained by medical and dental schools are usually narrative assessments of academic progress or clinical practice, for purposes of this retention schedule, such records are in the same category as the academic</li> </ol>									

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<p>7. 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</p> <p>8. FERPA states that letters of recommendation not accompanied by waivers and retained beyond their intended use may be viewed by the student. Therefore, these letters shall be destroyed after admission of the student. Waivers of rights of access filed with letters of</p> <p>9. Whenever the 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 terminated or 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 and a back-up copy shall be stored</p> <p>10. Records for applicants who do not enter are not covered by FERPA.</p> <p>11. With regard to "records bundling", where individual records/documents are not electronically identifiable within a "file", campuses should adapt the following "interim" practice(s)</p> <p>a. Until such time as retrospective un-bundling can be accomplished, records should be destroyed as soon as the longest non-permanent retention period for any record within the "record/file" has expired.</p> <p>b. Effective no later than January 1, 2010, campuses should index records such that individual records are electronically separable from one another, i.e. files containing more than one record/document should be indexed in a manner that permits the identification, disposition or destruction of individual records/documents independently so that the applicable schedule for each record type can be followed.</p> <p>c. Retrospective indexing of records, which are currently electronically inseparable should be completed as soon as it is possible and cost-effective to do so</p>											
4.1.1	Academic action authorizations (dismissal, etc.)		X					AACRAO	5 years after graduation or date of last attendance		

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4.1.2	Academic records (including narrative evaluations, academic petitions, competency assessments, etc.)		X				X		AACRAO	Permanent 5 years after graduation or date of last attendance	
4.1.3	Acceptance letters		X						AACRAO	Permanent 5 years after graduation or date of last attendance	
4.1.4	Advancement to Candidacy		X				X		CSU Business Practice	Permanent 5 years after graduation or date of last attendance	
4.1.5	Application for Admission (or Readmission)		X						AACRAO	Permanent 5 years after graduation or date of last attendance	
4.1.6	Applications for graduation		X						AACRAO	1 year after graduation or date of last attendance	
4.1.7	Audit authorizations		X						AACRAO	1 year after date submitted	
4.1.8	Change of grade forms (update documents)		X				X		AACRAO	Permanent 1 year after date submitted	
4.1.9	Changes of course (add/drop)		X						AACRAO	Permanent 1 year after date submitted	
4.1.10	Class schedules (students)		X						AACRAO	1 year after graduation or date of last attendance	
4.1.11	Credit/No Credit Approvals (audit, pass/fail, etc.)		X						AACRAO	5 years after graduation or date of last attendance	
4.1.12	Correspondence, relevant		X						AACRAO	5 years after graduation or date of last attendance	

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4.1.13	Curriculum Change Authorizations		X					AACRAO	5 years after graduation or date of last attendance
4.1.14	Degree audit records		X					AACRAO	5 years after graduation or date of last attendance
4.1.15	Documentation for Credit by examination reports/scores (e.g., Advanced Placements, CLEP, PEP)		X					AACRAO	5 years after graduation or date of last attendance
4.1.16	Documentation for Credit for demonstrated prior learning, knowledge, or skills based on experience.		X					AACRAO	5 years after graduation or date of last attendance
4.1.17	Documentation for Credit for formal instruction in non-collegial settings (military learning and ACE recommended credits)		X					AACRAO	5 years after graduation or date of last attendance
4.1.18	Enrollment verifications		X					AACRAO	1 year after verification
4.1.19	Entrance examination, placement test, and other test scores (e.g., ASSET, Compass, Accuplacer, GRE/MAT, etc.)		X					AACRAO	5 years after graduation or date of last attendance
4.1.20	Fee assessment forms		X					AACRAO	5 years after graduation or date of last attendance

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4.1.21	FERPA documents		X			X		AACRAO	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
4.1.22	Grade reports (registrar's copies)		X					AACRAO	1 year after date submitted
4.1.23	Graduation authorizations		X					AACRAO	5 years after graduation or date of last attendance
4.1.24	Hold or encumbrance authorizations		X			X		AACRAO	Until released
4.1.25	Letters of recommendation		X					AACRAO	Until admitted (See Note 8)

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4.1.26	Medical records		X					AACRAO	5 years after graduation or date of last attendance		
4.1.27	Medical records (Academically based)		X					AACRAO	1 year after graduation or date of last attendance		
4.1.28	Military Documents		X					AACRAO	5 years after graduation or date of last attendance		
4.1.29	Name change authorizations		X					AACRAO	10 years after graduation or date of last attendance		
4.1.30	Pass/fail requests		X					AACRAO	1 year after date submitted		
4.1.31	Personal data information forms		X					AACRAO	1 year after graduation or date of last attendance		
4.1.32	Program Proposal/Adjustment Request (Graduate, Post-Graduate & Certificate Programs)		X				X	CSU Business Practice	Permanent		
4.1.33	Readmission forms		X					AACRAO	5 years after graduation or date of last attendance		
4.1.34	Recruitment materials		X					AACRAO	May dispose of materials after enrollment		
4.1.35	Registration forms		X					AACRAO	1 year after date submitted		
4.1.36	Requests and disclosures of personally identifiable information		X				X	AACRAO	Permanent		

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4.1.37	Residency classification forms				X			34 CFR 668.24	3 years from end of award year
4.1.38	Social security certifications		X					AACRAO	1 year after certification
4.1.39	Student requests for nondisclosure of directory information		X			X		AACRAO	Until terminated by the student or permanent
4.1.40	Student waivers for rights of access to see letters of recommendation for admission		X			X		AACRAO	Until terminated
4.1.41	Student's written consent for records disclosure		X			X		AACRAO	Until terminated by the student or permanent
4.1.42	Teacher credential certification records		X					State of California, Commission on Teacher Credentialing	7 Years from date of certification
4.1.43	Teacher credential program records		X					State of California, Commission on Teacher Credentialing	7 Years from date of last attendance
4.1.44	Thesis/Dissertation/Graduate Comprehensive Exam Records (i.e. Committee Assignment, Extensions, Clearance, etc.)		X			X		CSU Business Practice	Permanent
4.1.45	Transcript requests (student)		X					AACRAO	1 year after date submitted

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4.1.46	Transcripts - high school		X					AACRAO	5 years after graduation or date of last attendance (See Note 3)
4.1.47	Transcripts - other colleges		X					AACRAO	5 years after graduation or date of last attendance (See Note 3)
4.1.48	Transfer credit evaluations		X					AACRAO	5 years after graduation or date of last attendance
4.1.49	Tuition and fee charges		X					AACRAO	5 years after graduation or date of last attendance
4.1.50	Waivers for rights of access		X			X		AACRAO	Until terminated by the student or permanent
4.1.51	Withdrawal authorizations		X					AACRAO	2 years after graduation or date of last attendance
<b>4.2</b>	<b>Financial Aid Records</b>								
<p><b>Notes:</b></p> <ol style="list-style-type: none"> <li>1. The three-year retention periods noted shall begin with the date of graduation or the date of last attendance, or the term, semester and</li> <li>2. Educational institutions which participate in federal, state, and private programs of low-interest loans to students shall retain for three years after graduation or withdrawal students' records of academic progress, attendance, and courses studied according to an amendment of the General Education Provisions Act amended by the Improving America's Schools Act of 1994 (Public Law 103-382).</li> </ol>									



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<p>3. Educational institutions which participate in federal, state, and private programs of low-interest loans to students shall retain student records of admission and placement for five years after graduation or withdrawal. In the event of an open audit, records shall be replaced.</p> <p>4. Some documents from institutions in other countries may be originals and therefore difficult or impossible for the applicant to replace.</p>											
4.2.1	Application data submitted to the Dept. of Education or lender by the school on behalf of the student				X			34 CFR 668.24	3 years from end of award year		
4.2.2	Audit and review reports				X			34 CFR 668.24	Until audit/review questions are resolved or until the end of the retention period applicable to the records, whichever is later.		
4.2.3	Bank statements for accounts containing Student Financial Aid funds				X			34 CFR 668.24	3 years from end of award year		
4.2.4	Campus-based aid (Perkins loan, SEOG, and Federal Work Study)				X			34 CFR 668.24	3 years from end of award year		
4.2.5	Data used to establish student's admission, enrollment status, period of enrollment				X			34 CFR 668.24	3 years from end of award year		
4.2.6	Date and amount of disbursements				X			34 CFR 668.24	3 years from end of award year		
4.2.7	Documentation of initial or exit loan counseling				X			34 CFR 668.24	3 years from end of award year		

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4.2.8	Documentation of students eligibility				X			34 CFR 668.24	3 years from end of award year		
4.2.9	Documentation of student's program of study and courses enrolled in				X			34 CFR 668.24	3 years from end of award year		
4.2.10	Documentation of student's satisfactory academic progress				X			34 CFR 668.24	3 years from end of award year		
4.2.11	Documentation related to the receipt of aid, such as: amount of grant, loan, Federal Work Study award; and calculations used to determine aid amounts				X			34 CFR 668.24	3 years from end of award year		
4.2.12	Documentation supporting the school's calculation of its completion/graduation or transfer-out rate				X			34 CFR 668.24	3 years from end of award year		
4.2.13	Documents used to verify applicant's data				X			34 CFR 668.24	3 years from end of award year		
4.2.14	Federal work-study payroll records				X			34 CFR 668.24	3 years from end of award year		
4.2.15	FFEL and Direct Loans:										
4.2.16	-Borrower's eligibility records				X			34 CFR 668.24	3 years from end of award year or year student last attended, whichever is later		

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4.2.17	-All other records/reports				X			34 CFR 668.24	3 years from end of award year or award year report submitted, whichever is later	
4.2.18	Fiscal Operation Report (FISAP)				X			34 CFR 668.24	3 years from end of award year	
4.2.19	Ledgers identifying Student Financial Aid transactions				X			34 CFR 668.24	3 years from end of award year	
4.2.20	Other records pertaining to financial responsibility and standards of administrative capability				X			34 CFR 668.24	3 years from end of award year	
4.2.21	Pell Grant				X			34 CFR 668.24	3 years from end of award year	
4.2.22	Perkins promissory notes and repayment schedules				X			34 CFR 674.19	Until loan is satisfied	
4.2.23	Perkins repayment records				X			34 CFR 674.19	3 years from date loan assigned, cancelled, or repaid	
4.2.24	Program Participation Agreement				X			34 CFR 668.24	3 years from end of award year	
4.2.25	Records of student accounts				X			34 CFR 668.24	3 years from end of award year	

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4.2.26	Records of Student Financial Aid program transactions				X			34 CFR 668.24	3 years from end of award year
4.2.27	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				X			34 CFR 668.24	3 years from end of award year
4.2.28	Reports and forms used for participation in the Student Financial Aid program				X			34 CFR 668.24	3 years from end of award year
4.2.29	Self-evaluation reports				X			34 CFR 668.24	3 years from end of award year
4.2.30	State agency reports				X			34 CFR 668.24	3 years from end of award year
4.2.31	The Student Aid Report or Institutional Student Information Record (ISIR)				X			34 CFR 668.24	3 years from end of award year
<b>4.3</b>	<b>International Student Education</b>								
<b>Notes:</b>	1. Some documents from institutions in other countries may be difficult or impossible for the applicant to replace. Records custodians 2. Records for applicants who do not enter are not covered by FERPA.								
4.3.1	Acceptance Letter		X					AACRAO	5 years after graduation or date of last attendance

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4.3.2	Application for Admission (or Readmission)		X					AACRAO	5 years after graduation or date of last attendance
4.3.3	Copy of Alien Registration Receipt Card (evidence of admissibility as a permanent resident)		X					AACRAO	No upper limit for international students on student visas. For exchange visitor visas, 3 years after graduation or date of last attendance.
4.3.4	Copy of Employment Authorization (Work Permit), if granted		X					AACRAO	No upper limit for international students on student visas. For exchange visitor visas, 3 years after graduation or date of last attendance.
4.3.5	Copy of I-94 Card (document issued to non-immigrants; also known as Arrival-Departure Record)		X					AACRAO	No upper limit for international students on student visas. For exchange visitor visas, 3 years after graduation or date of last attendance.
4.3.6	Correspondence, relevant		X					AACRAO	5 years after graduation or date of last attendance
4.3.7	Entrance examination reports/test scores, Placement test scores and reports, and Other test scores		X					AACRAO	5 years after graduation or date of last attendance

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4.3.8	I-20 (certificate of eligibility for F-1 visa status)		X					AACRAO	No upper limit for international students on student visas. For exchange visitor visas, 3 years after graduation or date of last attendance.
4.3.9	Passport number		X					AACRAO	No upper limit for international students on student visas. For exchange visitor visas, 3 years after graduation or date of last attendance.
4.3.10	Statement of Educational Costs (shows estimate of total school year costs)		X					AACRAO	No upper limit for international students on student visas. For exchange visitor visas, 3 years after graduation or date of last attendance.
4.3.11	Statement of Financial Responsibility (shows evidence of adequate financial resources)		X					AACRAO	No upper limit for international students on student visas. For exchange visitor visas, 3 years after graduation or date of last attendance.

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4.3.12	Transcripts - high school		X					AACRAO	5 years after graduation or date of last attendance (See Note 1)
4.3.13	Transcripts - other colleges		X					AACRAO	5 years after graduation or date of last attendance (See Note 1)
<b>4.4</b>	<b>Student Athlete Records</b>								
4.4.1	Academic Eligibility Review Forms		X					Best Practice	6 Years after initial CSU enrollment or 2 years from last enrollment, whichever is longer
4.4.2	Air Travel - Informed Consent		X					Best Practice	6 Years after initial CSU enrollment or 2 years from last enrollment, whichever is longer
4.4.3	Athlete Physicals/Athletic Injury Report		X					Best Practice	6 Years after initial CSU enrollment or 2 years from last enrollment, whichever is longer
4.4.4	Athletic Grant-In-Aid Agreements		X					Best Practice	6 Years after initial CSU enrollment or 2 years from last enrollment, whichever is longer

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4.4.5	Conference Student-Athlete Sportsmanship Agreement		X					Best Practice	6 Years after initial CSU enrollment or 2 years from last enrollment, whichever is longer		
4.4.6	Complimentary Admissions for Student-Athletes		X					Best Practice	6 Years after initial CSU enrollment or 2 years from last enrollment, whichever is longer		
4.4.7	Drug-Testing Consent/Results		X					Best Practice	6 Years after initial CSU enrollment or 2 years from last enrollment, whichever is longer		
4.4.8	Historical Report		X					Best Practice	6 Years after initial CSU enrollment or 2 years from last enrollment, whichever is longer		
4.4.9	Letter of Intent - Conference		X					Best Practice	6 Years after initial CSU enrollment or 2 years from last enrollment, whichever is longer		
4.4.10	Letter of Intent - National		X					Best Practice	6 Years after initial CSU enrollment or 2 years from last enrollment, whichever is longer		



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4.4.11	NCAA Student Athlete Statement		X					Best Practice	6 Years after initial CSU enrollment or 2 years from last enrollment, whichever is longer	
4.4.12	Promotional Activities & Community Service		X					Best Practice	6 Years after initial CSU enrollment or 2 years from last enrollment, whichever is longer	
4.4.13	Student Host Instructions		X					Best Practice	6 Years after initial CSU enrollment or 2 years from last enrollment, whichever is longer	
4.4.14	Student-Athlete Code of Conduct		X					Best Practice	6 Years after initial CSU enrollment or 2 years from last enrollment, whichever is longer	
4.4.15	Student-Athlete Employment Approval		X					Best Practice	6 Years after initial CSU enrollment or 2 years from last enrollment, whichever is longer	
4.4.16	Student-Athlete Financial Aid Report		X					Best Practice	6 Years after initial CSU enrollment or 2 years from last enrollment, whichever is longer	

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4.4.17	Student-Athlete Insurance information/claims/correspondence		X					Best Practice	6 Years after initial CSU enrollment or 2 years from last enrollment, whichever is longer
<b>4.5</b>	<b>Student Conduct Records</b>								
<b>Notes:</b>	Student Disciplinary Records Exceptions: 1. If student did not complete terms of sanction to return. Records retention requirements will restart once terms of sanction are completed. 2. Agreement (e.g. settlement, waiver, contract) with student not to sue in place. Seal records, permanently retain. 3. Records to be retained according to a court order for a specified amount of time. 4. Records were frozen with registration hold. Records retention requirements will restart once registration hold is lifted. 5. Student agrees not to return to campus or grounds, freeze on records and registration. Permanently retain records. 6. Student is found to be a threat to life, has been found with, or used force with deadly weapons. Permanently retain records. 7. Student agrees not to enroll as part of an agreement or resolution. Permanently retain records. 8. Student accesses their conduct records, restarts the retention requirement period.								
4.5.1	Actions warranting Clery Reporting		X		X	X		20 USC § 1092(f)	7 years from date of incident
4.5.2	Disciplinary Expulsion		X		X	X		Executive Order 970	Permanently noted on transcript. Permanently retain judicial case records.

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4.5.3	Disciplinary Probation		X		X	X		Executive Order 970	Beginning and end date for the period of time that the probation is in effect is entered on student's transcript. Retain judicial case records seven years from the date the sanction was imposed, extending the period of retention in cases where the student is involved in a subsequent offense.	
4.5.4	Disciplinary Suspension, longer than one Academic Year		X		X	X		Executive Order 970	Permanently noted on transcript. Permanently retain judicial case records.	
4.5.5	Disciplinary Suspension, up to one Academic Year		X		X	X		Executive Order 970	Beginning and end date for the period of time that the suspension is in effect is entered on student's transcript. Retain judicial case records seven years from the date the sanction was imposed, extending the period of retention in cases where the student is involved in a subsequent offense.	

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Record Identifier	Record Title	Custodian of Records	Record Value: O - Operational F - Fiscal L - Legal H - Historical V - Vital					Retention Source Authority	Retention Period
			O	F	L	H	V		
4.5.6	Discipline resulting in less severe resolutions than "Disciplinary Probation" and/or do not require notation to student transcript		X		X	X		CSU Business Practice	Retain for the remainder of the student's enrollment at the university or up to five years from the date the matter was resolved, whichever is shorter.
<b>4.6</b>	<b>Student Health Records</b>								
4.6.1	Medical records		X					AACRAO	5 years after graduation or date of last attendance
4.6.2	Personal data information forms		X					AACRAO	1 year after graduation or date of last attendance
<b>4.7</b>	<b>Veteran Records</b>								
<b>Notes:</b>	<p>1. Veteran's Administration (VA) regulations require that all recruitment materials be retained for three years.</p> <p>2. VA regulations state that the following student records shall be retained for at least three years after termination of enrollment: -Previous education or training (transcripts from other colleges and source documents for other nontraditional credit). -Evidence of formal admission (acceptance letters). 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.</p> <p>3. The VA regulations state that the following records shall be retained for at least three years after termination of enrollment: -Grade reports and/or statements of progress (academic records) -Change of course forms -Transfer credit evaluation -Degree audit records. VA regulations require that all advertising, sales and enrollment materials (e.g., catalogs) used by or on behalf of the institution be retained three years after the termination of a veteran's enrollment. In addition, records of tuition and fees charged to and collected from students, grade reports and statement of progress (academic records), and previous education and training documents (transfer credit evaluations) be retained for three years.</p>								

California State University

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			O	F	L	H	V		
	4. The three-year retention periods noted shall begin with the date of graduation or the date of last attendance, or the term, semester and year of last attendance. 5. The VA requires that all records and computations showing compliance with the requirements of the VA Regulation No. 14201 (the 85-15-percent ration of non-veteran/veteran students for each course) be retained for at least three years. Longer retention will not be required unless a written request is received from the VA not later than 30 dates prior to the end of the three-year period.								
4.7.1	Veterans administration		X					AACRAO	3 years after graduation or date of last attendance certifications