

# RECORDS RETENTION POLICY

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## BACKGROUND AND PURPOSE

The purpose is to establish a policy and standardized procedures for the effective management of records and information for Associated Students (AS).

## POLICY STATEMENT

This policy covers all records and documents, regardless of physical form and contains guidelines for how long certain documents shall be kept. The policy is designed to ensure compliance with all Reference/Authority laws and regulations, to reduce accidental or innocent destruction of records.

## APPLICABILITY TO THE POLICY

This policy applies to all areas of Associated Students. It is the shared responsibility of all areas to maintain and ensure the archiving of documents in accordance with California law herein simplified in the form of the record

retention and destruction schedule. Specific knowledge of this policy and its maintenance is responsibility of the Board of Directors, Business Administration and Finance (BAF), and Human Resources (HR).

**DEFINITIONS**

<b>Term</b>	<b>Definition</b>
<b>University Corporation at San Francisco State University (UCorp)</b>	Maintains the “original” accounting/financial records on the behalf of Associated Students.
<b>Board of Directors</b>	The student body of elected or appointed members who oversee and approve the activities of Associated Students at San Francisco State University.
<b>Custodian</b>	The custodian of records for Associated Students shall be the Administrative Services Manager. The custodian maintains the official copy of the record or information.
<b>Record</b>	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.
<b>Active Record</b>	A record which is currently in active use by employees in a department/ program of AS.
<b>Inactive Record</b>	A record which currently has no business related use within the department/ program which generated or received it.
<b>Archival Record</b>	A record which is no longer required by AS but has legal, institutional, or historical value and should therefore be preserved.
<b>Electronic Record/ Image</b>	The electronically stored version of an original record
<b>Record Retention Schedule</b>	A written statement of actions to be taken with respect to all records maintained by Associated Students (AS); such a schedule should be used as purging instructions, and as a reference to track workload, changes in procedures and reorganizations. The schedule is a planning device that provides the legal basis of departmental records treatment and destruction.

## **CUSTODIAL RESPONSIBILITY**

The custodian for the organization will be the Administrative Services Manager of Business Administration and Finance. The custodian will retain the documents either physically or electronically within designated areas or off-site storage that is determined suitable for long-term document preservation. Boxes or binders that contain physical records for storage will be marked with the name of their contents, the retention period, and the destruction date consistent with the retention schedule listed. In addition, the custodian will keep a list of the stored physical and electronic documents, their location, description, and destruction date to be reviewed annually, destroyed in accordance to their schedule, and per the approval of the Executive Director or the Associate Executive Director Business Administration and Finance.

## **STORAGE**

Storage areas for archived records must be physically secure and environmentally controlled in order to protect the records from unauthorized access and damage or loss from severe temperature fluctuations, fire, water damage, pests, and other hazards. Furthermore, when using off-site storage facility for archived records, it must be approved by the Executive Director.

## **DIGITALIZATION OF ORIGINAL RECORDS**

Compact storage methods provide a space saving and often cost efficient means of storing records originally in paper form. Extreme care will be used when transferring information to a storage medium, such as electronic records. Digitalized records must be reviewed to verify readability and accuracy before paper copies are destroyed. The stored electronic records will be maintained for the retention period specified in this policy.

## **RECORDS DESTRUCTION**

In the ordinary course of business and in compliance with this policy, all records containing sensitive or confidential information shall be destroyed by shredding, burning, or by some other means that will render them completely unreadable.

If the record is the subject of, or related to, an anticipated or pending investigation, audit, lawsuit, litigation hold, or statutory records request, the pertinent record(s) shall not be destroyed under any circumstance. When a lawsuit has been filed or is known to be imminent, or when a litigation hold notice or records request has been issued, all destruction of potentially relevant records must cease immediately. The Executive Director may suspend this policy in order to ensure that records relating to these events are retained and organized.

**RECORD RETENTION AND DESTRUCTION SCHEDULE**

General categories of records subject to specific retention periods are described in the following section. The attached table lists financial and other documents and their recommended minimum retention periods. The table is not to be considered an all-inclusive listing for retention purposes, and describes the more commonly used records that need to be retained. If specific records are not listed, it does not mean they can or should be thrown out without first considering the general requirements in this policy. Additional information and pertinent retention schedules can be found at [www.calstate.edu/recordsretention](http://www.calstate.edu/recordsretention). Records that are schedule as PERM in the retention schedule will be kept in its original form for a minimum of 4 years and can thereafter be digitalized and kept permanently.

Description of Records	Retention Period
<b>BOARD AND ADMINISTRATIVE RECORDS</b>	
Board/Committee Meeting Agendas and Minutes	PERM
Articles of Incorporation	PERM
Bylaws (and amendments)	PERM
Policies and Charters	PERM
Organizational Charts	PERM
Inventory Records	4 years
Receiving Records	10 years
Plans and Blueprints	PERM
<b>FINANCIAL RECORDS</b>	
Invoice/Payment Document	4 years
Contract/Leases in effect	PERM
Contract	4 years
Purchase Order	4 years
Travel	4 years
W-9 Form	4 years, cannot destroy while vendor is active
Check Register Journal	4 years



Deposit Record	4 years
Expenditure Journal for department and program	4 years
Expenditure Journal for student organization's funding	4 years
Invoice/Correspondence Document	4 years, cannot destroy while vendor is active
Invoicing/Billing Journal	4 years
Credit Card Receipts from resulting sale of services	4 years
Cash Receipt Ledger	4 years
Gift Records/ Agreements	PERM
Grant/ Contract Effort Certification	4 years
Deposit/Withdraw Journal	4 years, cannot destroy while vendor is active
Supporting Document (fundraise, ticket sales)	4 years, cannot destroy while vendor is active
Correspondence (canceled check, adjustment/correction)	4 years, cannot destroy while vendor is active
*Bank Statement	4 years
*Investment Statement	4 years, cannot destroy while vendor is active
Mid-year Adjustment	4 years
Year-end Adjustment	4 years
Monthly Financial Report	4 years
Quarter Report	4 years
Audit Reports	PERM
Budget; supporting doc, working files	4 years
Final Budget Submission; Annual Plan	4 years
Insurance Policies	4 years
<b>PAY RELATED RECORD:</b>	
Payroll Register	4 years



W-4 Form	As long as the documents are in effect plus 4 years
W-2 Form	6 years
Form 941	4 years
Records of hours worked	4 years
Leave accrual & usage record	4 years
Employee leave request	4 years
Authorization for compensating time-off	4 years
Authorization of overtime	4 years
Records of addition/deduction to wages	4 years
Conflict of Interest Statement (Form 700)	7-yrs
Recruitment Records (application, resume, reference checks, writing samples, advertising records, rating sheets & recommendation)	3 years, if applicant is hired, documents should be transitioned to the personnel file
<b>PERSONNEL FILE:</b>	
Employment Application	3 years
Resume	3 years
Appointment/ Offer Letter	3 years
Other New Hire Paperwork	3 years
Job Description	3 years
Employee Benefit Enrollment	3 years
Performance Evaluation	3 years
Emergency Contact Info.	3 years
Salary Adjustment Documents	3 years
Letter of praise, counseling or reprimand	3 years
Separation form & resignation letter (including FERP/Rehired	3 years



Annuitant)	
Deceased	3 years after separation
Voluntary Resignation	3 years after separation
Voluntary Retirement	3 years after separation
Rejection During Probation	3 years after separation
End of Temporary Employment	3 years after separation
Disability Retirement	5 years after separation
Disability Separation	5 years after separation
AWOL	5 years after separation
Layoff	5 years after separation
Non-retention (MPP Only)	5 years after separation
Resignation	5 years after separation
Termination/Dismissal	5 years after separation
Return to Work Doc (NDI/Disability Insurance)	5 years after date of illness/injury or date on which benefits were last provided, whichever occurs later
Unemployment Tax Records	6 years
Social Security/Medicare Tax Record	4 years after tax is due or paid, whichever occurs later
American with Disabilities Act Claim	5 years after separation
Medical Info protected by CA Confidentiality of Medical Info Act	4 years from date of document
Any info that is not job-related	4 years from date of document
Any doc relating to grievances, disputes, litigation or complaints	5 years after separation or after resolution of the matter
Health insurance portability & accountability act doc-forms for employee to sign regarding privacy, disclosure of personal health info.	6 years from date of document
Whistleblower documentation	7 years after the conclusion of the investigation

\*Revenue & Taxation Code Sec.19704

\*\*29 USC Sec.201-219 Unemployment Insurance Code Sec.1085 (22 California Code of Regulation Sec.1085-2, 28 USC Sec.1658

## REFERENCES AND AUTHORITY

*CSU Executive Order 1031.* It's a system-wide records/information retention and disposition schedules implementation. In details, E.O. 1031 on information disposition directs campuses toward the correct E.O. on business continuity plans, and the vital records needed to ensure the campus will be able to recreate critical information following a disaster.

*Federal and state laws* require that AS maintain various kinds of records for specified periods.

## POLICY MAINTENANCE

Since the retention periods may change due to government regulations, judicial or administrative orders, private or government contracts, suspected or pending litigation or audit requirements, AS Business Administration and Finance will assume the responsibility for maintaining the policy and is herein given the authority to amend the retention schedule as needed.

## AUTHORITY OF APPROVAL AND AMENDMENT

The Records Retention Policy may be amended by a majority vote by the Board of Directors.

## FORMS

None.

## RECORDS RETENTION POLICY APPROVAL AND REVISION HISTORY

Records Retention was Approved by the AS Board of Directors on

10/31/2018