



2.2.7 Record Retention Policy

The University of San Diego is committed to effective record retention to comply with applicable law, to preserve its history, to optimize the use of space, and to ensure that university records that are no longer needed are properly discarded.

This policy sets forth the standards and procedures that govern the retention of university records. For the purpose of this policy, a university record includes any record that is made, produced, executed or received by any department, office, or employee of the university in connection with the transaction of university business. This policy applies to all records without regard to format, and includes but is not limited to documents in paper, electronic, microform (e.g. microfilm, microfiche, magnetic tapes, and CD-ROMS), and other traditional media format.

Individual departments or units may establish appropriate procedures that are consistent with and in furtherance of this policy.

Retention Periods

Table A, attached hereto and incorporated herein by reference, identifies the minimum retention period for university records. Record retention periods may be increased by government regulation, judicial or administrative consent order, private or governmental contract, pending litigation, or audit requirements. Any such modifications supersede the requirements identified in this policy. With the advance written approval of the Office of the General Counsel and the President, Table A may be updated as appropriate. The Office of the General Counsel will submit to the University Senate, in a timely manner, any changes that are made to Table A.

Please note that no document list can be exhaustive. The minimum retention period for a university record not identified on Table A shall be the retention period required by applicable law. Questions regarding the retention period for any specific document or class of documents not included in Table A should be addressed to the Office of the General Counsel.

Disposal of University Records

University records may be discarded once the minimum retention period is reached, provided that (1) the disposal of the records complies with all legal, contractual or accreditation obligations; (2) the records to be disposed of do not relate to or contain information regarding a current, pending, or known potential litigation, investigation, or audit involving the university; and (3) records containing student information, employee

personnel information, or sensitive and/or confidential information are shredded or otherwise rendered unreadable prior to disposal.

A vice president, dean, or department head is responsible for ensuring that university records in his or her unit or department are retained or disposed of in a manner consistent with this policy.

(Effective November 4, 2019)

TYPE OF RECORD	RETENTION PERIOD
Academic and Other Student Records	
Academic action authorizations (dismissal, etc.)	*Permanent
Academic integrity code violations (with sanctions)	*Permanent
Academic records (including narrative evaluations, competency assessments, etc.)	Transcripts are retained permanently. Other records are retained for 5 years after graduation or last date of attendance.
Advanced placement and other placement tests	5 years after graduation or last date of attendance
Advisor notes/administrative notes: may consist of advisor copies of student records used to monitor academic progress. May also include but is not limited to: copies of transcripts, grade reports, notes about meetings, various correspondence about financial aid, student accounts, registrar and other campus departments. Excludes sole possession records.	5 years after graduation or last date of attendance
Appeal for unit overload	5 years after graduation or last date of attendance
Applications for graduation	5 years after graduation or last date of attendance
Applications for research, graduate programs	5 years after graduation or last date of attendance
Audit authorizations	5 years after graduation or last date of attendance
Cal Grant Forms	5 years after graduation or last date of attendance
Changes of course (add/drop)	3 semesters after date submitted
Changes of grade forms (update documents)	Permanent
Class lists (original grade sheets)	Permanent
Class schedules (for students)	Permanent (on transcript)
Competency exams (logic, math, English, other languages)	5 years after graduation or last date of attendance
Correspondence, relevant student	5 years after graduation or last date of attendance
Credit by examination reports/scores (e.g. Advanced Placement, CLEP, PEP)	Permanent (transferable credit appears on transcript)
Credit/no credit approvals (audit, pass/fail, etc.)	3 semesters after date submitted
Curriculum change authorizations	5 years after graduation or last date of attendance
Degree audit records	5 years after graduation or last date of attendance
Diploma requests	5 years from date request

TYPE OF RECORD	RETENTION PERIOD
Disciplinary files (including academic integrity memos)	7 years after graduation or last date of attendance (where the sanction included university probation, suspension, or removal from university housing) Permanent (where the sanction included expulsion or withdrawal pending a disciplinary action) 1 year after graduation or last date of attendance (where the sanction did not include expulsion, university probation, suspension, removal from university housing, or withdrawal pending a disciplinary action)
Dissertation/Thesis	*Permanent
Enrollment verification/status request	5 years after graduation or last date of attendance
Enrollment verification/status certification	5 years after graduation or last date of attendance
FERPA requests	5 years after graduation or last date of attendance
Grade reports (distributed to student)	Not retained unless permanent transcript
Grade submissions sheets/data	*Permanent
Graduation date changes	5 years after graduation or last date of attendance
Graduation lists	*Permanent
Leave of Absence/Withdrawal memos	5 years after graduation or last date of attendance
Hold or encumbrance authorizations	Until released
Military documents	Permanent
Name change authorizations	5 years after graduation or last date of attendance
Pass/fail request	3 semesters after date submitted
Petition for transfer of credit	5 years after graduation or last date of attendance
Personal data information forms	5 years after graduation or last date of attendance
Registration forms	3 semesters after date submitted
Request for removal of advanced placement credit	5 years after graduation or last date of attendance
Scholarship letters to Embassy	5 years after graduation or last date of attendance

TYPE OF RECORD	RETENTION PERIOD
Student health records (student health center, counseling center, disability services)	7 years after graduation or last date of attendance
Student-athlete medical records (maintained by the Department of Athletics)	5 years after last date of participation
Substitution waiver records	5 years after graduation or last date of attendance
Transcripts	*Permanent
Transcript requests	5 years after graduation or last date of attendance
Transfer credit evaluations	5 years after graduation or last date of attendance
Tuition charges, fee charges, and refunds	5 years after graduation or last date of attendance
Unaffiliated transfer evaluation form	5 years after graduation or last date of attendance
Waiver of residency	5 years after graduation or last date of attendance
Admissions Records For Applicants Who Do Not Enroll	
Admission Letters - denied/declined admission/not registered/waitlisted not registered	18 months from the date of the start of application term
Acceptance letters	18 months from the date of start of application term
Admission Applications, including supplemental documents, essay, personal statement, research interest statement, fee payment, fee waiver, family information, disciplinary explanation, cover letters, secondary school report	18 months from the date of start of application term
Admission Evaluation Form	18 months from the date of start of application term
Alien registration card	18 months from the date of start of application term
Athletic Form	18 months from the date of start of application term
Certification of finance, bank statement, affidavit of support, embassy sponsorship letter, contract for USD paid sponsor, government scholarship letter, USD scholarship letter, misc. financial documents	18 months from the date of start of application term
Correspondence, relevant student	18 months from the date of start of application term
Credentials, misc.	18 months from the date of start of application term
Deny appeal letter	18 months from the date of start of application term
Deferment forms	18 months from the date of start of application term

TYPE OF RECORD	RETENTION PERIOD
English language documents	18 months from the date of start of application term
Enrollment deposit form (resident, commuter)	18 months from the date of start of application term
High School Profile	18 months from the date of start of application term
1-20 form, I-94, DS-2019 forms	18 months from the date of start of application term
Immigration documents	18 months from the date of start of application term
International documentation translation	18 months from the date of start of application term
Entrance exams and placement scores	18 months from the date of start of application term
Interview Notes	18 months from the date of start of application term
Letters of recommendation (official and unofficial)	18 months from the date of start of application term
Merit appeal/merit response	18 months from the date of start of application term
Name/address changes	18 months from the date of start of application term
Passport	18 months from the date of start of application term
Proof of citizenship	18 months from the date of start of application term
Resume/cv	18 months from the date of start of application term
Test scores (SAT, ACT, GRE, GMAT, English proficiency, etc.)	18 months from the date of start of application term
Letters of recommendation	18 months from the date of start of application term
Transcripts (from institutions other than USD, high school college)	18 months from the date of start of application term
Transfer evaluation	18 months from the date of start of application term
Transfer verification advisor form	18 months from the date of start of application term
Unofficial letter of Recommendation	18 months from the date of start of application term
Unofficial Letter of Transcript	18 months from the date of start of application term
Withdrawal form	18 months from the date of start of application term

Admissions Records for Applicants Who Enroll	
Admission Letters – registered for classes, waitlisted, registered	5 years after graduation or last date of attendance
Admission applications, including supplemental documents, essay, personal statement, research interest statement, fee payment, fee waiver, family information, disciplinary explanation, cover letters, secondary school report.	5 years after graduation or last date of attendance
Admission Evaluation form	Destroy after the original purpose of the document has been served
Alien registration card	5 years after graduation or last date of attendance
Athletic form	Destroy after the original purpose of the document has been served
Application Info	Destroy after the original purpose of the document has been served
Certification of finance, bank statement, affidavit of support, embassy sponsorship letter, contract for USD paid sponsor, government scholarship letter, USD scholarship letter, misc. financial documents	5 years after graduation or last date of attendance
Correspondence, student email	Destroy after the original purpose of the document has been served
Credentials, misc.	Destroy after the original purpose of the document has been served
Deferment forms	Destroy after the original purpose of the document has been served
Deny appeal letter	Destroy after the original purpose of the document has been served
English language documents	5 years after graduation or last date of attendance
Enrollment deposit form (resident, commuter)	5 years after graduation or last date of attendance
Entrance exams and placement scores	5 years after graduation or last date of attendance
I-20, I-94, DS-2019 forms	5 years after graduation or last date of attendance
Immigration documents	5 years after graduation or last date of attendance
International document translation	5 years after graduation or last date of attendance
Interview Notes	Destroy after the original purpose of the document has been served
Letters of recommendation (official and unofficial)	Destroy after the original purpose of the document has been served

Merit appeal/merit response	5 years after graduation or last date of attendance
Name/address change	5 years after graduation or last date of attendance
Passport	5 years after graduation or last date of attendance
Proof of citizenship	5 years after graduation or last date of attendance
Resume/cv	5 years after graduation or last date of attendance
Test scores (SAT, ACT, GRE, GMAT, English proficiency, etc.)	5 years after graduation or last date of attendance
Letters of recommendation	5 years after graduation or last date of attendance
Transcripts (from institutions other than USD, high school college)	5 years after graduation or last date of attendance
Transfer evaluation	Destroy after the original purpose of the document has been served
Transfer verification advisor form	5 years after graduation or last date of attendance
Unofficial Letter of Recommendation	Destroy after the original purpose of the document has been served
Unofficial Letter of Transcript	Destroy after the original purpose of the document has been served
Withdrawal form	5 years after graduation or last date of attendance
Corporate Records	
Articles of Incorporation and any amendments	Permanent
Accreditation records	Permanent
Board of Trustee meeting notices, agendas, minutes, membership lists, resolutions, completed conflict of interest forms	Permanent
Board of Trustee committee meeting notices, agendas, minutes	Permanent
Institutional policies and manuals	Permanent
Merger documents	Permanent
Mission statement and strategic plan	Permanent
Faculty	
Application materials for individuals not hired (resumes, letters of recommendation, search committee records)	2 years after position is filled
Application materials for individuals hired (resumes, letters of recommendation)	7 years after last date of employment
Complaints, grievances, investigations and findings	7 years after last date of employment

Letters regarding appointment, reappointment, promotion, tenure	7 years after last date of employment
Performance evaluations	7 years after last date of employment
Personnel files	7 years after last date of employment
Rank and tenure files	7 years after last date of employment

Finance and Accounting	
Accounts payable (statements, ledgers, invoices, purchase requisitions, purchase orders, payment/disbursement records, expense reports, insurance payments, Form 1099s, petty cash reports, procurement card reports)	7 years
Audit reports	Permanent
Bank statements and deposit slips (custodial accounts, investment reports, etc.)	7 years
Budget appropriations	3 years
Budget books and worksheets	3 years
Cash receipts	5 years
Checks	7 years
Conflict of interest disclosure forms	7 years
Contracts	7 years after expiration or termination
Expense reports	7 years
Financial statements (audited)	Permanent
General ledgers	7 years
Investment reports	7 years
IRS determination letter	Permanent
Journal entries and AJE's	7 years
Leases, agreements, and other contracts	Term plus 5 years
Reconciliation	7 years
Sales tax records	7 years
Stock gift records	7 years
Support for endowment contributions	Permanent
Federal, state and local tax returns	7 years
Unclaimed property records	7 years
Financial Aid-General Documents	
Applications for financial aid	5 years from date of graduation or last date of attendance
Financial aid individual records	5 years from date of graduation or last date of attendance
Financial aid program records	5 years from the end of the award year for which the record was submitted or created
Job placement	5 years from date of graduation or last date of attendance
Lender's name and address	5 years from date of graduation or last date of attendance
Promissory notes	5 years after outstanding loan(s) are paid in full

Repayment history	5 years after outstanding loan(s) are paid in full
Financial Aid – SFA Program Records	
Accrediting and licensing agency review, approvals and reports	5 years after graduation or last date of attendance
Audit reports and school responses	5 years after graduation or last date of attendance
Records pertaining to financial responsibility and standards of administrative capability	5 years after graduation or last date of attendance
Program participation agreement	5 years after graduation or last date of attendance
Self-evaluation reports	5 years after graduation or last date of attendance
State agency reports	5 years after graduation or last date of attendance
Financial Aid – SFA Fiscal Records	
Bank statement for accounts containing SFA funds	5 years after graduation or last date of attendance
Federal work-study payroll records	5 years after graduation or last date of attendance
Ledgers identifying SFA transactions	5 years after graduation or last date of attendance
Records of SFA program transactions	5 years after graduation or last date of attendance
Records of student accounts	5 years after graduation or last date of attendance
Records supporting data on required reports (SFA program reconciliation reports, audit reports, and school responses, Pell Grant statements of accounts, accrediting and licensing agency reports)	5 years after graduation or last date of attendance
Financial Aid – SFA Recipient Records	
Application data submitted to the Dept. of Education or lender by the school on behalf of the student	5 years after graduation or last date of attendance
Data used to establish student's admission, enrollment status, and period of enrollment	5 years after graduation or last date of attendance
Date and amount of disbursements	5 years after graduation or last date of attendance
Documentation of student's satisfactory academic progress	5 years after graduation or last date of attendance
Documentation of student's program of study and enrolled courses	5 years after graduation or last date of attendance
Documentation related to the receipt of aid, such as the amount of grant, loan, or FWS award, and calculations used to determine	5 years after graduation or last date of attendance

aid amounts	
Documentation of initial or exit loan counseling	5 years after graduation or last date of attendance
Documentation supporting USD's calculation of its completion/graduation or transfer-out rate	5 years after graduation or last date of attendance
Documents used to verify applicant's data	5 years after graduation or last date of attendance
Financial aid history for transfer students	5 years after graduation or last date of attendance
Reports and forms used for participation in the SFA program	5 years after graduation or last date of attendance
Student Aid Report (SAR) or Institutional Student Information Record (ISIR)	5 years after graduation or last date of attendance
Financial Aid – SFA Requirements for Specific Aid	
Borrowers eligibility records	5 years after graduation or last date of attendance
Campus-based aid (Perkins loan, SEOG, and Federal Work Study)	5 years after graduation or last date of attendance
FFEL and Direct Loans	5 years after graduation or last date of attendance
Fiscal Operations Report and Application to Participate (FISAP)	5 years after graduation or last date of attendance
Pell Grant	5 years after graduation or last date of attendance
Perkins repayment records	5 years after graduation or last date of attendance
Perkins original promissory notes	Until loan is satisfied or documents are needed to enforce obligation
All other records/reports	5 years after graduation or last date of attendance

Foreign Visitors	
Foreign student or scholar (J and F) files	3 years after last date of attendance
Other foreign worker (H, O, P, PR, etc.) files	7 years after last date of employment
Human Resources	
Application materials for individuals not hired (applications, resumes, letters of recommendation, background investigation results, search committee records)	2 years after position is filled
Application materials for individuals hired (applications, resumes, letters of recommendation, background investigation results, medical examinations)	7 years after last date of employment
Beneficiary designation	7 years after last date of employment
Complaints, investigations, and findings	7 years after last date of employment
Disciplinary records	7 years after last date of employment
Emergency contacts	7 years after last date of employment
Employee personnel files	7 years after last date of employment
Employment history records	7 years after last date of employment
Individual contracts of employment	7 years after last date of employment
I-9 Forms	1 year after last date of employment or 3 years after date of hire, whichever is later
Leave of absence records	7 years after last date of employment
Medical records	7 years after last date of employment
Performance reviews	7 years after last date of employment
Personnel actions	7 years after last date of employment
Termination records	7 years after last date of employment

Insurance and Risk Management	
Certificates of insurance, indemnification agreements, hold harmless agreements, and other contracts	7 years after expiration
Insurance policies (liability, property, and other policies)	Permanent
Incident, accident and medical reports	7 years after report date
Insurance claim records	7 years after conclusion of claim
Intellectual Property	
Copyrights (applications, registrations)	Permanent
License agreements	7 years from expiration or termination of agreement
Patents (invention disclosure forms, assignments, filing papers, applications, original patents, correspondence papers)	Permanent
Royalty records	Life of copyright, trademark, patent, plus 7 years
Trademarks (applications, registrations)	Permanent
Internal Audit	
Audit reports and work papers	5 years
Legal	
Court orders	Permanent
Judgments	Permanent
Litigation records (e.g. deposition transcripts, discovery materials, court documents and records, litigation files)	5 years after conclusion of litigation
Settlement agreements and releases	Permanent
Payroll	
Garnishments	5 years
Information returns filed with federal or state authorities (e.g. W-2, 941, etc.)	5 years
Payroll deductions	5 years
Time records	5 years
Wage and earning records	5 years
Public Safety	
Accident reports	7 years after report date
Clery Act compliance records	7 years after report date
Crime reports	7 years after report date
Medical reports	7 years after report date
Parking citation records	3 years after date of citation
Property damage reports	7 years after report date

Real Property and Construction	
Property deeds, leases, title reports, easements, rights of first refusal, options to purchase, mortgages, remainder interests	Permanent
Title insurance policies	10 years after disposal of property
Property tax returns filed with taxing jurisdiction	Permanent
Building plans, blueprints, and design plans	Permanent
Contracts and agreements	10 years after completion of term and construction project
Licenses and permits	Permanent
Management engineering studies and reports	Permanent
Research and Sponsored Programs	
A-133 audits	Permanent
Animal research and welfare records	8 years after close of grant or contract
Grant and contract applications, proposals, awards, and other supporting documents	8 years after close of grant or contract
Institutional Review Board compliance records (agendas, minutes, proposals, correspondence, etc.)	8 years from the creation of the record or 8 years after the close of the matter considered, whichever is later
Retirement Plan	
Employee eligibility records	6 years after death of employee or beneficiary
Form 5500	Permanent
Individual employee pension and benefit files	6 years after death of employee or beneficiary
Retirement plans and summary plan descriptions	Permanent
Retirement plan enrollment records	6 years after death of employee or beneficiary
Retirement plan benefits accrued	6 years after death of employee or beneficiary
Retirement plan distribution records	6 years after death of employee or beneficiary
Retirement plan change records	6 years after death of employee or beneficiary
Salary reduction agreements	6 years after death of employee or beneficiary
Student Accounts Records	
Title IV form	3 years from the date the account balance is canceled, repaid, or otherwise satisfied

Parent authorization to pay miscellaneous charges	3 years from the date the account balance is canceled, repaid, or otherwise satisfied
Parent authorization to release fund to student	3 years from the date the account balance is canceled, repaid, or otherwise satisfied
Loan disbursement cancellation – student	3 years from the date the account balance is canceled, repaid, or otherwise satisfied
Loan disbursement cancellation – parent	3 years from the date the account balance is canceled, repaid, or otherwise satisfied
Billing address changes	1 year after student pays account AND loan balance in full
Account adjustment	3 years from the date the account balance is canceled, repaid, or otherwise satisfied
General correspondence	3 years from the date the account balance is canceled, repaid, or otherwise satisfied
Deferment contacts	3 years from the date the account balance is canceled, repaid, or otherwise satisfied
Payment plan worksheet	3 years from the date the account balance is canceled, repaid, or otherwise satisfied
Pre-payment plan worksheet	3 years from the date the account balance is canceled, repaid, or otherwise satisfied
Third party billing statement	3 years from the date the account balance is canceled, repaid, or otherwise satisfied
Third party billing contract	3 years from the date the account balance is canceled, repaid, or otherwise satisfied
Canadian tax form	3 years from the date the account balance is canceled, repaid, or otherwise satisfied
Refund requests	3 years from the date the account balance is canceled, repaid, or otherwise satisfied
Embassy financial guarantees	3 years from the date the account balance is canceled, repaid, or otherwise satisfied

Traffic account adjustment	3 years from the date the account balance is canceled, repaid, or otherwise satisfied
College cab adjustment	3 years from the date the account balance is canceled, repaid, or otherwise satisfied
Library fine adjustment	3 years from the date the account balance is canceled, repaid, or otherwise satisfied
Discipline fine adjustment	3 years from the date the account balance is canceled, repaid, or otherwise satisfied
Primary source of funds	3 years from the date the account balance is canceled, repaid, or otherwise satisfied
Paralegal installment contract	3 years from the date the account balance is canceled, repaid, or otherwise satisfied
Refund List	1 year from date of refund
Loan disbursement notice	14 days from loan disbursement
Audit report	3 years from the date the account balance is canceled, repaid, or otherwise satisfied
Stipend report	3 years from the date the account balance is canceled, repaid, or otherwise satisfied
Deposit forfeiture report	3 years from the date the account balance is canceled, repaid, or otherwise satisfied
Enrollment deposit report	Until account is cleared
WD/LOA/COP/MLOA	Until student has graduated and account is paid in full
Create 1098-T	3 years from the date the account balance is canceled, repaid, or otherwise satisfied
Create Canadian tax forms	Until graduation or 4 years
Deceased students	3 years from the date the account balance is canceled, repaid, or otherwise satisfied
Short term repayment agreement	Until agreement has been met
Clep billing	3 years from the date the account balance is canceled, repaid, or otherwise satisfied
Adjust health insurance	3 years from the date the account balance is canceled, repaid, or otherwise satisfied

Study abroad tuition adjustment	3 years from the date the account balance is canceled, repaid, or otherwise satisfied
Bill fines	3 years from the date the account balance is canceled, repaid, or otherwise satisfied
Special program 2016 and current	Permanent
Returned ACH payment	1 year from date of return
Returned direct deposit funds	1 year from date of return
Payment plan activity report	Permanent
Daily changes to MACC courses	Permanent
Daily changes tuition: law-overload-JD/MBAs	Permanent
VA recipient student roster	Permanent
ROTC Recipient student rosters	Permanent
Bankruptcy	Permanent

University Publications and Reports	
Degree, grade, enrollment, and application statistics	Permanent
Bulletins and course catalogs	Permanent
Institutional newsletters or publications	Permanent
Student newspapers	Permanent
University Relations	
Alumni records	Permanent
Donor records	Permanent
Gift records	Permanent
Workers' Compensation	
Employee injury reports (not resulting in a claim)	7 years
Workers' compensation claim files	7 years after claim is closed