

Record  
Series  
Identifier

Record Series Name

7.0	<b>University Advancement</b>																			
Record Identifier	Record Title					Custodian of Record					Record Value: O - Operational F - Fiscal L - Legal H - Historical V - Vital					Retention Authority				
						O	F	L	H	V										
7.1	<b>Policies and Procedures</b>					Advancement														
7.1.1	Alumni Association Memorandum of Understanding					Advancement					X					Title 5, California Code of Regulations, Division 5, Subchapter 5, Article 15				
7.1.2	Delegation of Authority to Accept Gifts					Advancement					X					CSU Executive Order 676				
7.1.3	Fundraising Event Policy and Procedure					Advancement					X					ICSUAM 15701.00; IRS Form 990				
7.1.4	Gift Acceptance Policy and Procedure (including in-kind and real estate)					Advancement					X					Good Business Practice				
7.1.5	Matching Gift Policy and Procedure					Advancement					X					ICSUAM 15401.00				
7.1.6	Namings Facilities and Properties, documents supporting approval by the Board of Trustees					Advancement					X		X	X		ICSUAM 15501.00				
7.1.7	Namings of Colleges, Schools and other Academic Entities, documents supporting approval by the Board of Trustees					Advancement					X		X	X		ICSUAM 15502.00				
7.1.8	Pledge Guidelines including documentation, collection and write-off procedures					Advancement					X	X				Good Business Practice				
7.2	<b>Charitable Contributions</b>					Advancement														
7.2.1	Amount and date					Advancement					X	X	X			California Government Section 12596; California Education Code 89916				

7.2.2	Donor designated use or purpose (including gift agreements, wills, trust documents and estate settlement agreements)	Advancement	X	X	X				California Government Section 12596; California Education Code 89916
7.2.3	Donor imposed restrictions	Advancement	X	X	X				California Government Section 12596; California Education Code 89916
7.2.4	Donor charitable contribution receipt	Advancement	X	X	X				IRS publication 4221
7.2.5	Donor quid pro quo benefits exceeding \$3,000 in the calendar year a gift was made.	Advancement	X	X	X				California Government Section 12596; California Education Code 89916
7.2.6	Donor awarded a no-bid contract within five (5) years of a gift.	Advancement	X	X	X				California Government Section 12596; California Education Code 89916
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.	Advancement	X		X				Good business practice
7.2.8	Legally enforceable pledge commitments or write offs	Advancement	X	X	X				Good business practice
<b>7.3</b>	<b>Solicitation Registrations</b>								
7.3.1	Charitable Solicitation Registration	Advancement	X		X				California Government Section 12596
7.3.2	Raffle and Gaming Registration	Advancement	X		X				California Government Section 12596
7.3.3	Department of Insurance Licenses	Advancement	X	X	X			<b>X</b>	California Government Section 12596
7.3.3.1	Department of Insurance Reports	Advancement	X	X	X				Good business practice

7.3.4	Commercial Fundraisers and Fundraising Counsel Contracts	Advancement	X		X			California Government Section 12599.7(a)
7.3.4.1	<i>Name and Address of each employee or agent involved</i>	Advancement	X		X			California Government Section 12599.7(a)
7.3.4.2	<i>Documentation of all revenue received and expenses incurred.</i>	Advancement	X		X			California Government Section 12599.7(a)
7.3.4.3	<i>The account number, name and location of bank or financial institution in which accounts were maintained.</i>	Advancement	X		X			California Government Section 12599.7(a)
7.3.5	Gifts from Foreign Entities over \$250,000 in calendar year report to US Department of Education	Advancement	X	X	X			Section 117 of the Higher Education Act
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)	Advancement	X	X				IRS publication 4221; IRS Form 990
<b>7.4</b>	<b>Constituent Record Management</b>							
7.4.1	Affinity Solicitation Opt-Out	Advancement	X		X			California Education Section 89090
7.4.2	FERPA Opt-Out	Advancement	X		X			Federal Public Law 93-380

Updated 06-17-2019

**Retention Period**

Maintain most current in force. Historical policies and procedures should be retained until university internal audit or three (3) years whichever comes first.

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Maintain most current in force. Historical written delegations of authority should be retained until university internal audit or three (3) years whichever comes first.

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Permanent for endowments. A minimum of ten (10) years from final disposition of other charitable funds. 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.

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A minimum of three (3) years which is the IRS period of limitation for amending tax records.
Until death of individual.
Until death of individual.
Until death of individual.
Minimum of three (3) years from fulfillment or write off which is the standard audit review period.
Maintain most current registrations or exemptions in force. Ten (10) year retention of prior registrations which is the period the Attorney General may investigate.
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A minimum of ten (10) years from final disposition of other charitable funds. 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.
Minimum of three (3) years which is a standard audit review period.

Ten (10) year retention from date of contract. 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.

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Minimum of three (3) years which is the period of limitation to amend a Form 990.

Until revoked or death of individual

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