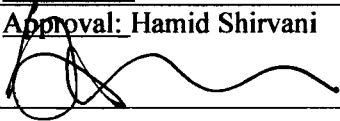


<b>Subject:</b> Records/Information Retention Policy	<b>Department Name:</b> Business & Finance	<b>Effective Date:</b> August 1, 2011
	New Policy	<b>Issue Date:</b> <b>Approval:</b> Hamid Shirvani 

**I. Purpose**

California State University (CSU) Office of the Chancellor Executive Order No. 1031 requires the development of a Records/Information Retention Program that complies with legal and regulatory requirements and implements operational best practices. The purpose of the CSU Systemwide Records/Information Retention and Disposition executive order is to improve operational efficiency and effectiveness while at the same time ensure that legal and regulatory requirements associated with the retention and disposition of CSU records/information are met.

**II. Scope of Policy**

Each campus president is responsible for ensuring that the appropriate campus department(s) implement(s) the records/information retention and disposition schedules for that department. The program established by this policy applies to any CSU Stanislaus department, any CSU Stanislaus auxiliary organization, and CSU Stanislaus contracts or grants (research & sponsored programs), except as may be superseded by state or federal laws and regulations. This program does not apply to Non-Records as defined below or medical records subject to Executive Order 943. University records are the property of the University, and not of the administrators, faculty, or staff who create them or to whom they are entrusted.

**III. Definitions**

*Auxiliary Organizations:* Any non-profit entity which (1) has agreed to comply with applicable requirements of the CSU Board of Trustees and campus; (2) is included in the list of officially recognized auxiliary organization in good standing maintained by the Chancellor; and (3) maintains the status of an auxiliary organization in good standing.

*Custodian:* The title of the campus department-designated individual who maintains the official/original copy of the record/information. Retention schedules should specifically identify the campus designated custodian responsible for identified records/information.

*Disposition:* A range of processes associated with implementing records/information destruction or transfer decisions that are documented in the records retention and disposition schedule or other authority.

*Media:* A general term referring to the material onto which business information has been recorded and may subsequently be used for business purposes.

*Non-records:* The items found on the following list are **not** considered University records.

- Extra copies of documents kept only for convenience or reference
- Blank forms kept for supply purposes
- Personal or private papers neither created nor received in connection with University business
- Reference materials
- Preliminary drafts

*Records/Information:* Every means of recording upon any tangible thing in any form of communication or representation, including letters, words, pictures, sounds, or symbols, any combinations of these or other means to engage in business, regardless of media.

This includes, but is not limited to:

- Physical paper in files, such as memos, contracts, reports, photographs and architectural drawings;

- Electronic communication such as e-mail content and attachments, voicemail, instant messages, and data on a contactless integrated circuit;
- Content on Web sites, PDAs, mobile devices, desktops, and servers;
- Information/data captured in various databases;
- Licenses, certificates, registration, identification cards, or other means;
- Any record, regardless of how it was created, or media in which the record has been stored and/or created, and backups of electronic information.

**Retention Authority:** The statute, code or good business practice that governs the length of time a particular record/information shall/should be kept

**Retention Schedule:** A document identifying the period of time records/information associated with a university process or function must be retained. The schedule will include a unique number/identifier, title, custodian, value, retention authority, and retention period.

**Series:** A group of related records filed/used together and evaluated as a unit for retention purposes (e.g., personnel/payroll, fiscal, environmental health & safety, student records, facilities, university police, facilities, university advancement, curriculum & accreditation, research & sponsored programs, institutional records, etc.). The Series that are required to be part of the Records/Information Retention Program are identified and named by the CSU Chancellor's Office.

**University Archive:** The University Archive is the repository within the University library of the historical records of the University.

**Value:** Records and Information may have value in one or more of the following areas:

- Operational- required by a campus and/or department to perform its primary function.
- Legal-required to be kept by law or may be needed for litigation or a government investigation.
- Fiscal-related to the financial transactions of the campus, especially those required for audit or tax purposes.
- Historical-of long-term value to document past events. This may arise from exceptional age and/or connection with some significant historical event or person associated with the CSU.
- Vital-critical to maintain to ensure operational continuity for the CSU after a disruption or disaster. Vital records or information may fall into any one of the above value categories.

#### IV. **Policy**

**A. Presidential Delegation:** The President delegates responsibility for implementation of a CSU Stanislaus Records/Information Retention program as follows:

1. Each Vice President is to ensure compliance with this policy in their respective organizations;
2. The Associate Vice President for Information Technology is responsible for compliance with this policy as it pertains to electronic communication and information stored digitally; *See Records/Information Retention Program Guidelines for operational details.*
3. The Vice President of Business & Finance is to identify a Records Retention Officer and establish the practices to implement and sustain the CSU Stanislaus Records/Information Retention program.

**B. Records/Information Retention Program Structure:**

1. **Record/Information Retention Officer:** The official steward of University records; has the responsibility and authority for general oversight of the Records/Information Retention Program. The Record/Information Retention Officer will interpret, update, and maintain record retention and disposition schedules and ensure that these requirements are conveyed to the Department Records Custodians and the staff responsible for the centralized record retention repository. The Record/Information Retention Officer will be responsible for training and communicating with Custodians to ensure that the Records/Information Retention Program is being followed. The

Record/Information Retention Officer will prepare and maintain Records/Information Retention reports as required to verify compliance. *See Records/Information Retention Program Guidelines for operational details.* The Record/Information Retention Officer will communicate deficiencies that cause significant risk to the University or related entities and suggest modifications to related guidelines, policy, or procedures to the Vice President of business & Finance or his designee.

2. **Records/Information Custodian:** Campus Departments must comply with the records/information retention and disposition schedules for that area (e.g., personnel/payroll, fiscal, environmental health & safety, student records, facilities, university police, facilities, university advancement, curriculum & accreditation, research & sponsored programs, institutional records, etc.). Departments will designate an official campus custodian(s) for each type of record. Records/Information Custodians are responsible for controlling the administration of records/information in all media forms and for valuing such records/information in accordance with retention authority requirements. *See Records/Information Retention Program Guidelines for operational details.*
3. **Employees:** All CSU Stanislaus employees who handle University records/information are responsible for complying with the Records/Information Retention policy.
4. **University Archivist:** The Library Dean will designate an official Archivist. The Archivist shall conduct periodic inspection to ensure proper storage and retention and will provide archive information to the Records/Information Retention Officer as requested.
5. **Records/Information Schedule:** The retention and disposition of records/information are to conform to standards set forth within retention and disposition schedules issued by Executive Order 1031 as reported by the CSU Chancellor's Office. These schedules are not to be abridged or altered except to add specific guidance regarding the retention and disposition of unique, campus-specific records/information. *See Records/Information Retention Program Guidelines for operational details.*
6. **Records/Information Retention Program Guidelines:** The Guidelines document will set forth the details of the Records/Information Retention Program structure and implementation, to include but not be limited to, the following:
  - Delegations of authority
  - Responsibilities of the Record/Information Retention Officer
  - Responsibilities of the Record/Information Retention Custodian
  - Record/Information retention schedules
  - Record/Information disposition processes
  - Reporting requirements

#### **Laws, State Codes, Regulations and Mandates**

Executive Order No. 1031 (February 27, 2008) - Systemwide Records/Information Retention and Disposition Schedules Implementation