



CALIFORNIA STATE UNIVERSITY  
FULLERTON™

# Records/Information Retention and Disposition

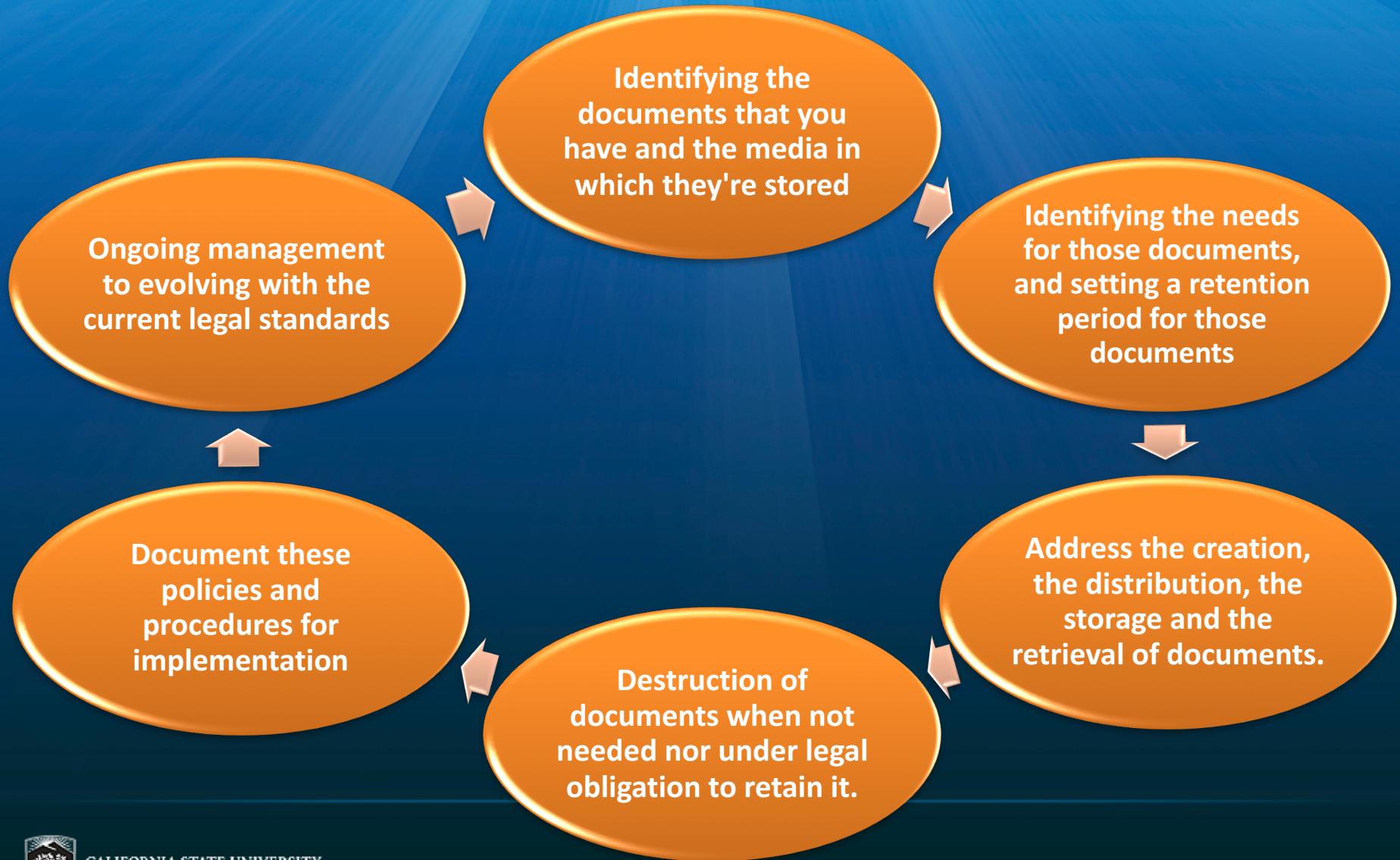
*Information Security Office*

# Purpose

- CSU Executive Order 1031
- Education Code section 89043
- President's Directive 20
- The implementation of the California State University (CSU) system-wide records/information retention schedules
- Practices to meet their commitment to an effective records management program and CSU audit requirements.
- Effective records management program and CSU audit, legal, and regulatory requirements.



# Document / Record Life Cycle



# Record / Information Definition

- Physical papers in files;
- Electronic communications, including emails;
- Content on Web sites, PDAs, mobile devices, desktops, and servers;
- Information/data captured in various databases;
- Licenses, certificates, registrations;
- Handwriting, typewriting, and printing;
- Any record created including backups;
- Copy or print of any of the data above.



# Record Types

## Vital

- Vital records are critical to maintain to ensure operational continuity for the campus after a disruption or disaster. Vital records or information may fall into any one of the above value categories.

## Historical

- Historical records are of long-term value to document past events.

## Operational

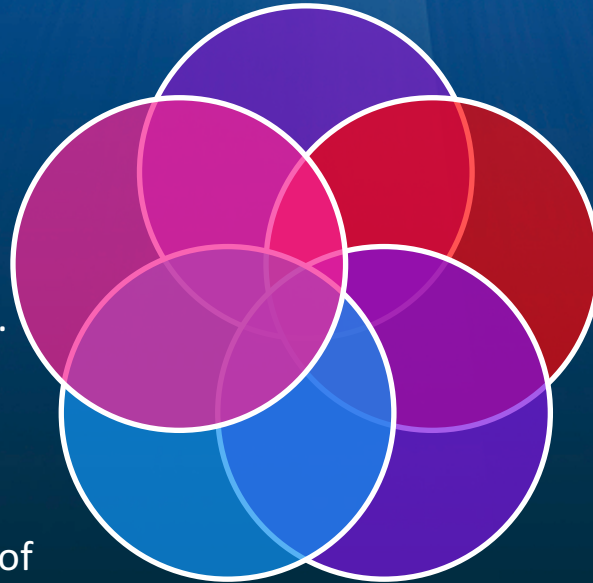
- Operational records are required by a campus/department to perform its primary function.

## 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.



# Destruction Hold

- The University is frequently the defendant or plaintiff in lawsuits and in the course of preparing for trial; records created by University offices are requested. The University also frequently receives public record requests and undergoes audits.
- All records pertaining to ongoing or pending audits, lawsuits (or even reasonably anticipated lawsuits), or public disclosure proceedings must not be destroyed, damaged or altered until the issue is resolved and you are specifically advised that such records may be destroyed.



# Custodian

This is the title of the CSUF designated department head who maintains the official/original copy of the record/information.

Retention schedules should specifically identify the campus designated custodian responsible for identified records/information.

# RECORDS DISPOSAL Schedule

A document identifying a series of unique records/information associated with a university process or function.

For each record/information listed, the schedule will include a unique number/identifier, title, custodian, value, retention authority, and retention period.

The basic schedules are to be modified by each campus as needed,

e.g., to specify custodians, incorporate additional records, etc.

Determining the  
Disposal Date

Timely Disposal

Cautions Regarding  
Disposal

Record Disposal  
Measures

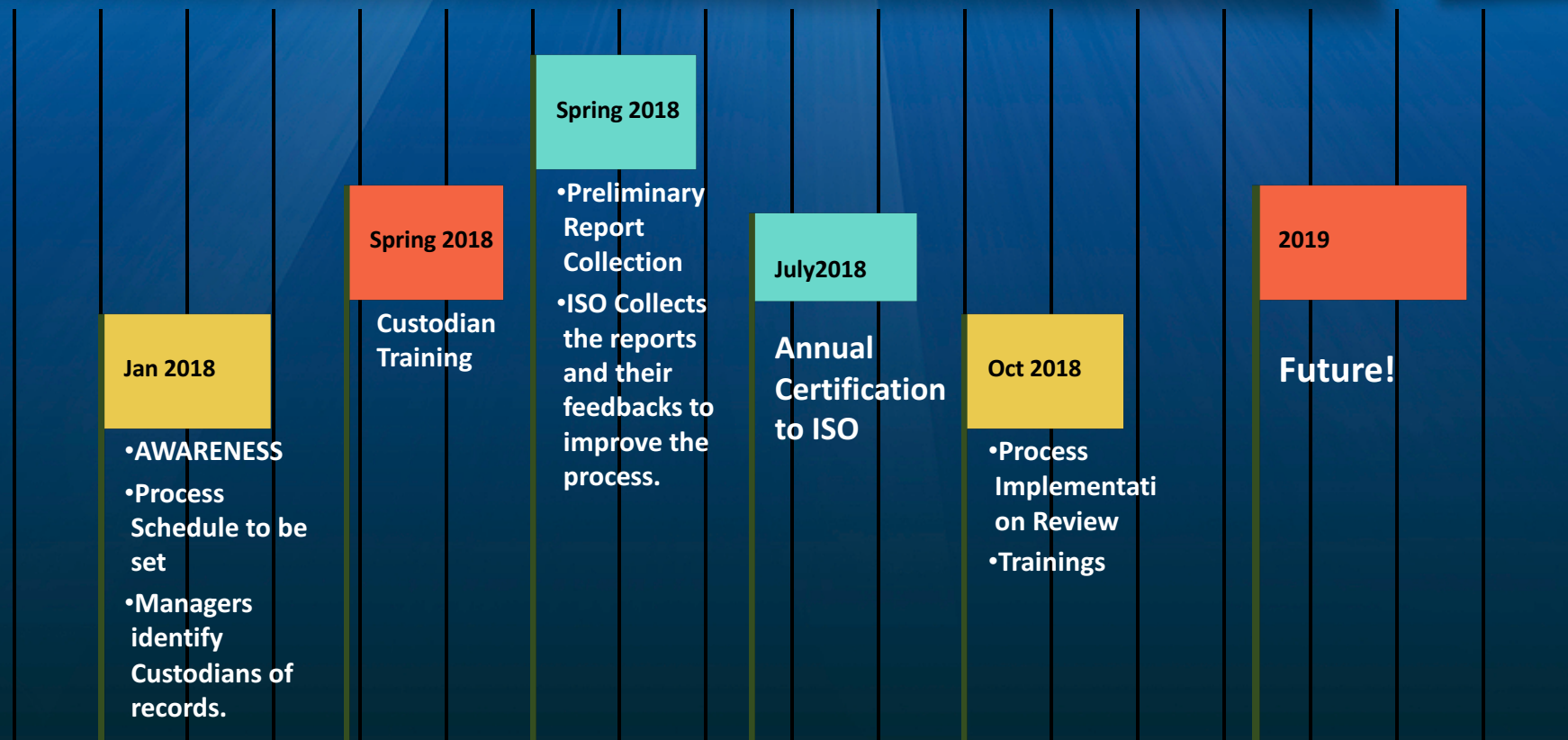


# Implementation Process

## FULLERTON PROPOSED POLICY TO IMPLEMENT THE SYSTEM-WIDE RECORDS /INFORMATION RETENTION AND DISPOSITION SCHEDULE

- 1** Purpose Of the project would be initiated at CSUF.
- 2** Managers choose their departments ' information custodian.
- 3** Training Custodians provided with the schedule and their additional roles as defined in the record retention policy.
- 4** The process and the requirements of the process gets Reviewed by ISO. New procedures may be put in place.
- 5** Annual Reports by custodians by July 31st.

# Implementation Timeline



2018

2019



# Information Security Officer

- The Information Security Office is responsible for the security of records collected, used, maintained, or released by the University.
- Information regarding campus-specific records shall be provided to the campus Information Security Office. Information shall include the record title and the records series to which the record shall be added (e.g., University Police, Personnel/Payroll).
- Information shall also include the identification of the custodian of records, record value, retention source authority, and the retention period.

# CSUF Responsibility

- Compliance with the California State University Records/Information Retention and Disposition schedules
- Identifying historic or vital records/information
- Consistency with the campus' Business Continuity Plan
- Modification of retention and disposition schedules
- Timely disposal of records/information
- Publishing Records/Information Retention and Disposition schedule
- July 31<sup>st</sup> Review of the schedules and reports



# Schedule Series – Custodian

#	Subject Area	Custodian
1	Personnel / Payroll	
2	Fiscal	
3	Environmental Health and Safety	
4	Student Records	
5	Facilities	
6	University Police	
7	University Advancement	
8	Academic Personnel	
9	Curriculum & Accreditation	
10	Research & Sponsored Programs	
11	Institutional Records	

