DOCUMENTS, DOCUMENTS, AND MORE DOCUMENTS

Records Retention and Requests for Information

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Records Retention and Management

What is a record?

A record is any document, in any format, used to engage in CSU business, regardless of media. This includes, but is not limited to:

- Correspondence
- Emails and attachments
- Faxes
- Instant Messages
- Videos
- Photographs
- Audio Recordings
- Content on mobile devices, laptops, desktops, websites, servers, databases, social media, etc.
- Physical paper in files, such as memos, contracts, reports, and architectural drawings
- Licenses, certificates, registration, identification cards, etc.

A record is not:

a duplicate or convenience copy or a draft

Types of Records

Vital - ensure operational continuity for the campus after a disruption or disaster (can be operational, legal, historical, or fiscal).

Operational - 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.
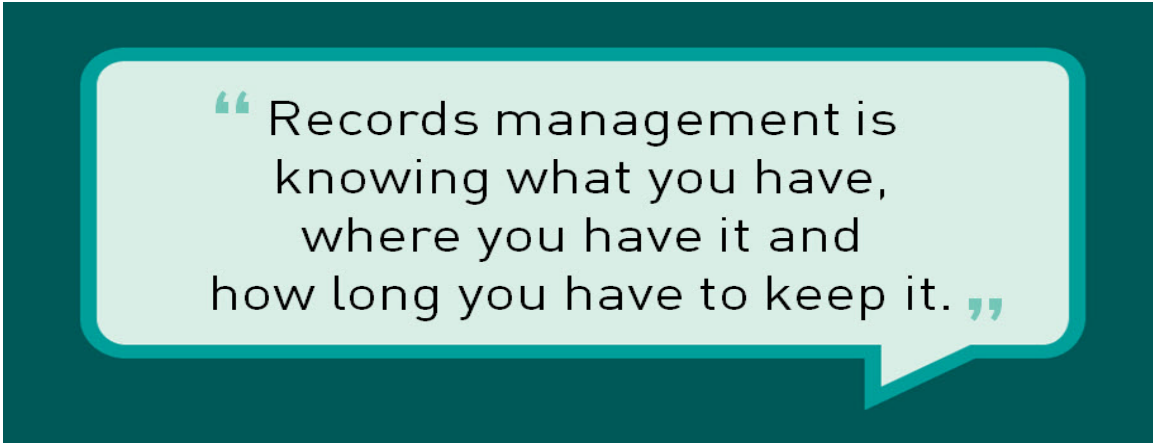
Historical - Historical records are of long-term value in documenting past events.

Archival - Archival records are any of the above records with permanent value. They should be transferred to the University Archives at end of their retention period.

Life Cycle of a Record

Record retention and management is the maintenance of records for a prescribed period of time, which is called the retention period.

" Records management is knowing what you have, where you have it and how long you have to keep it. "

[CSU Records Retention Schedule](#)

Lists and governs the retention period of records that are common across the CSU.

California State University
RECORDS/INFORMATION RETENTION AND DISPOSITION SCHEDULE

Record Series Identifier	Record Series Name	
1	PERSONNEL/PAYROLL	

Record Identifier	Record Title	Custodian of Records	Record Value: O - Operational F - Fiscal L - Legal H - Historical V - Vital					Retention Source Authority	Retention Period
			O	F	L	H	V		
1.1	Personnel Files - Typical Documents*:							29 U.S.C. Section 201-219 29 CFR Section 1627.3 or 28 U.S.C. Section 1658	10 years after separation from CSU
	Employment Applications**	Campus	X		X			29 U.S.C. Section 201-219 29 CFR Section 1627.3 or 28 U.S.C. Section 1658	10 years after separation from CSU
	Resume/faculty biography	Campus	X		X			29 U.S.C. Section 201-219 29 CFR Section 1627.3 or 28 U.S.C. Section 1658	10 years after separation from CSU
	Appointment letters	Campus	X		X			29 U.S.C. Section 201-219 29 CFR Section 1627.3 or 28 U.S.C. Section 1658	10 years after separation from CSU
	Required state forms (e.g., Oath of Allegiance, Designation of Person Authorized to Receive Warrants).	Campus	X		X			29 U.S.C. Section 201-219 29 CFR Section 1627.3 or 28 U.S.C. Section 1658	10 years after separation from CSU
	Other new hire paperwork	Campus	X		X			29 U.S.C. Section 201-219 29 CFR Section 1627.3 or 28 U.S.C. Section 1658	10 years after separation from CSU
	Position descriptions	Campus	X		X			29 U.S.C. Section 201-219 29 CFR Section 1627.3 or 28 U.S.C. Section 1658	10 years after separation from CSU

Authority

[Executive Order 1031](#) and [President's Directive 20](#) direct the campus to create and implement a policy for Records/Information Retention and Disposition

Objective

- Compliance with legal and regulatory requirements.

- Implement operational practices and processes to properly and securely manage, replace, dispose of, preserve, and/or archive records.

Benefits

- Improves office efficiency
- Facilitates access to records
- Ensures consistency
- Decreases operational costs
- Increases staff productivity
- Assists the University in meeting legal and regulatory standards

Obsolete records impede access to current records; pose a possible legal liability, and waste valuable space.

Responsibilities

Retain records for the time indicated in records retention and disposition schedules; destroy the records when the retention period has been met; and dispose of records per University standards.

- University Information Security Officer
- Campus Managers
- Records Custodians/Coordinators
- **Campus Users - Collect, use, maintain, and release records according to CSU and campus policies, standards, and procedures.**

Disposal

Retention periods are typically counted from the date of creation of the record and disposal typically occurs following the end of the year that marks the end of the retention period.

Information/records classified at Level 3 can be disposed of via normal waste disposal practices.

Level 1 and Level 2 information must be destroyed securely.

Failure to properly dispose of records can lead to unnecessary expense and subject the records to possible future requests under statute or legal proceedings.

Sometimes, records should not be destroyed even if they have reached or exceeded their retention period:

- State and federal laws or regulation
- University grants or contracts override university retention periods
  Records that have been requested pursuant to statute or legal proceeding
- Records that are deemed likely to be requested
- Investigation Records

ASK YOURSELF:

1. Are you the custodian?
2. Is the record on a legal hold or subject to any other retention requirements?
3. Does the record provide any benefit to me?

Build time into your calendar in December and January to manage your records.

Don't create unnecessary records.
Make phone calls.

Be thoughtful about email.
Manage 'sent' and 'deleted' item folders.
Use resources to gain control of your inbox.

Questions – email or call Risk Management

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RESOURCES

https://www.mindtools.com/pages/article/newHTE_85.htm

https://www.investintech.com/resources/blog/archives/5525-document-management.html

https://www.liveabout.com/computer-file-management-tips-2948083

LinkedIn Learning

Outlook: Efficient Email Management

How to Get (and Stay) On Top of Your Inbox

Questions?