Agenda

- Who Should Care
- Definitions
- Goals of a program
- CSU’s rules
Who Cares about Records?
• “Information is one of the world’s most important resources. It is needed daily to complete transactions, solve problems and make decisions affecting the future.”

• “Information is competitive intelligence – a strategic asset of the enterprise.”

Source: *Information and Records Management* by Robek, Brown, Stephens
Protect Rights of the Organization

- Show dollars were spent wisely
- Document personnel actions
- Remain accountable to parties affected by the organization
- Protect intellectual and physical property
- Enforce laws and provide evidence of compliance
Definitions
• Evidence of what the organization does, that capture its activities and transactions:
  • Physical paper such as memos, contracts, reports, transcripts
  • Electronic messages such as e-mail content and attachments, pictures and instant messages
  • Content on websites, material on PDAs, flash drives, laptops, servers and document management systems
  • Information in databases
  • Blueprints, photos, certificates, etc.
Records = Information
E-mail

• Is increasingly prevalent in conducting business
• Information that may have existed in hard copy now often only exists as part of an e-mail message
• E-mail systems create electronic records but do not manage them well
• Danger that important organizational records may be lost if they are not properly manage
• CONTENT OF THE E-MAIL DETERMINES IF IT IS AN OFFICIAL RECORD
- Operational
- Legal
- Fiscal
- Historical
- Vital
Schedule Series: Subject Matter Experts

1.0 Personnel/Payroll
Direct Questions to: 1.0 Contact

2.0 Fiscal
Direct Questions to: 2.0 Contact

3.0 Environmental Health & Safety
Direct Questions to: 3.0 Contact

4.0 Student Records
Direct Questions to: 4.0 Contact

5.0 Facilities
Direct Questions to: 5.0 Contact

6.0 University Police
Direct Questions to: 6.0 Contact

7.0 University Advancement
Direct Questions to: 7.0 Contact

8.0 Academic Personnel
Direct Questions to: 8.0 Contact

9.0 Curriculum & Accreditation
Direct Questions to: 9.0 Contact

10.0 Research & Sponsored Programs
Direct Questions to: 10.0 Contact

11.0 Institutional Records
Direct Questions to: 11.0 Contact
<table>
<thead>
<tr>
<th>Record Series Identifier</th>
<th>Record Series Name</th>
<th>Record Value:</th>
<th>Custodian of Records</th>
<th>Retention Source Authority</th>
<th>Retention Period</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.0 ENVIRONMENTAL HEALTH &amp; SAFETY</td>
<td></td>
<td>O - Operational</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>F - Fiscal</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>L - Legal</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>H - Historical</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>V - Vital</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Record Identifier</td>
<td>Record Title</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.1</td>
<td>Hazardous Materials Shipping Papers - Shipper requirements</td>
<td>O</td>
<td>X</td>
<td>49 CFR §§ 172.201(e), 174.24, 176.24, 177.817(f)</td>
<td>2 years after the material is accepted by the initial carrier</td>
</tr>
<tr>
<td>3.2</td>
<td>Hazardous Materials Shipping Papers - Receiver requirements</td>
<td>O</td>
<td>X</td>
<td>49 CFR §§ 172.201(e), 174.24, 176.24, 177.817(f)</td>
<td>1 year</td>
</tr>
<tr>
<td>3.3</td>
<td>Hazardous Waste Shipping papers</td>
<td>O</td>
<td>X</td>
<td>49 CFR §§ 172.201(e), 174.24, 176.24, 177.817(f)</td>
<td>3 years per 22 CCR 66262.40(9), 66264.71 (b) (CSUF)</td>
</tr>
<tr>
<td>3.4</td>
<td>Hazardous Waste Facility Inspections</td>
<td>O</td>
<td>X</td>
<td>22 CCR 66364.15 (d) (CSUF)</td>
<td>3 years</td>
</tr>
</tbody>
</table>
Goals of a Program
• Why not just keep everything?
  • Where do you keep it all?
  • It’s hard to know where everything is
  • Different people/departments file/store things differently
  • People leave and their information stays behind
  • You assume you have it all but you might not
  • Important information gets lost in extraneous data
• If you *toss* everything
  • You lose information you may need in the future
  • You may violate the law
  • You can’t conduct business
  • You have no history for those new to your organization
  • You can’t make a claim because you have no evidence
Benefits

• Improved operational efficiency
• Consistency in disposition
• Compliance with legal and regulatory retention requirements
• Protection during litigation or government investigation
• Reduced space requirements
• Cost containment
• Business continuity
• Responding to information requests
  • CSU and now its auxiliary organizations are subject to PRA
  • Investigations and/or audits

If the information requested has been destroyed, per the established schedule your campus is on solid ground!
CSU Rules
• Goals:
  • Provide direction on disposition of information
  • Identify custodians/owners of records
  • Ensure regulatory compliance
  • Minimize litigation risks
  • Preserve corporate memory

• Imaging/workflow management project
• EO 1031
• [Link: www.calstate.edu/recordsretention]

• Campus must:
  • Designate a custodian for each schedule
  • Ensure designation of vital records/data is consistent with campus business continuity plans
  • Establish procedures to modify schedules to reflect unique campus records
  • Ensure appropriate and timely disposition in accordance with the schedules
Advice and Guidance

- Subject matter experts for each schedule identified on the webpage
- Campus CIOs and ISOs have reviewed retention for electronic server backups and log files (networks, firewalls, etc.)
- Many professional organizations devoted to this topic: ARMA, AIIM, ACRC, BFMA, OASI, Institute of Certified Records Managers, etc.