

ASSOCIATED STUDENTS, INCORPORATED

California State University, San Bernardino

Adopted Per BD 01-10, January 26, 2010

Document Management Policy

Purpose: To establish the policy and procedures for Associated Students, Incorporated (ASI) records disposition in accordance with Chancellor's Office Executive Order 1027 entitled "Document Management".

Scope: This policy applies to all ASI personnel who generate records and information in whatever format in support of ASI operations.

Policy: It is ASI's policy to categorize, retain, dispose of, and maintain records and information in any form that they have been created or received. ASI records may come in many forms, including: correspondence, reports, studies, data, maps, drawings, photographs, email, audio and visual recordings, blueprints, administrative logs or other documents whether on paper, computer (magnetic tape or disk), film or other media. Records may be categorized by type, such as payroll, personnel, timesheets, travel, student, purchasing, etc. Some documents may not be under the control of ASI (e.g. financial and personnel documentation which are held in the Auxiliary Accounting Office. In those cases, that entity shall hold documentation according to their own schedules.

1. Procedures

Definitions:

Custodian: This is the title of the campus-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.

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

Record/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;
- Handwriting, typewriting, printing, Photostatting, photographing, photocopying, transmitting by electronic mail or facsimile;
- Any record thereby created, regardless of the manner or media in which the record has been stored and/or created; and
- Backups of electronic information.

Non-records: Non-records are defined as materials that are of immediate value only. Non-records may share some characteristics with administrative records; however, they are distinguished from administrative records by their transitory usefulness.

Business Continuity/Disaster Recovery: Documented plans and procedures to allow a campus to provide and/or recover services during and after a disaster or other disruption.

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

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.

Series: A group of related records filed/used together and evaluated as a unit for retention purposes.

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

1. Operational: Required by a campus/department to perform its primary function.
2. Legal: Required to be kept by law or may be needed litigation or a government investigation.
3. Fiscal: Related to the financial transactions of the campus, especially those required for audit or tax purposes.

4. 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.
5. 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.
6. Identification of Non-records

Non-records are defined above. Some examples of non-records are:

- Transmittal letters and acknowledgments which do not add any information to the material submitted
 - Requests for printed material after the requests have been filed
 - Informal notes, worksheets, and rough drafts of letters, memoranda or reports that do not represent basic steps in the preparation of documents
 - Shorthand notes, including stenographic notebooks and stenotype tapes, and dictating media which has been transcribed
 - Miscellaneous notices of campus events, employee meetings, or holidays
 - Stocks of publications or unused forms that are kept for supply purposes only
 - Tickler, follow-up or suspense copies of correspondence
 - Library and reference material
7. Non-records shall not be managed under ASI's record management program. They should be disposed of once their period of immediate usefulness has passed. If not disposed of, non-records may be subject to disclosure (e.g. under the California Public Records Act, Information Practices Act, or discovery of evidence in a legal proceeding).

ASI shall maintain records for a set retention period, and stored in specific locations in the office.

8. Retention periods:

Budget and Fiscal Documents:	7 years
Procurement/Bid Processes:	4 years
Inventory:	Perpetual
Board of Directors:	7 years
Originating documents:	Perpetual
Policies:	4 years after the last update
Legal Documents:	7 years (or Statute of Limitations)

9. Disposition of Records:

The officer/director/manager/administrative staff is responsible for the security of all records relating to their respective offices. They will review for any continuing administrative or historical value for document types and/or individual documents. If documents are retained for continuing administrative value, officers/directors/managers/administrative staff have an ongoing responsibility for determining disposition at a subsequent date.

Confidential and private records must be protected from unauthorized access at all times.

Records pertaining to ongoing or pending audits or judicial or public disclosure proceedings must not be destroyed until the issue is resolved.

10. Responsibility for Communication, Training and Enforcement:

Responsibility for communicating policy and procedure regarding records management to all appropriate staff is that of the Executive Director. Training for employees or those who have changed positions, etc. is to be provided by the Executive Director. Enforcement of all matters regarding records management for each program center is the responsibility of the Executive Director.

Individuals leaving administrative positions are to make every attempt to separate their own personal files from ASI records. Persons assuming new administrative positions are to review records newly under their control for appropriate compliance with these policies.

11. Submitting Documents to the appropriate campus and system offices:

It is the responsibility of the individual offices within ASI to submit documents they are responsible for to the appropriate campus office(s) as necessary. It will be the responsibility of the ASI Executive Director to submit documents as required to the Chancellor's Office.