



Records Retention Compliance Plan (EO 1031)

Effective Date: 7/28/2015

1.0 Objective

The objective of this plan is to assure the implementation of Executive Order 1031 to ensure compliance with legal and regulatory requirements regarding records retention while implementing appropriate operational best practices.

Implements: CSU Executive Order 1031 Systemwide Records/Information Retention and Disposition Schedules Implementation
Policy Reference: <http://www.calstate.edu/EO/EO-1031.html>

2.0 Campus Record Custodians

The following official campus custodians are identified for each record series covered by EO 1031. The attached spreadsheet *CSU, Chico Records Retention/EO 1031 Compliance* specifies the record custodian for each record within the record series.

Schedule Series	Record Series Custodian	Current Name
1.0 Personnel/Payroll	AVP for Staff Human Resources	Sheryl Woodward
1.5 EMEDC Records	Provost	Susan Elrod
2.0 Fiscal	AVP of Financial Services and University Budget	Stacie Corona
3.0 Environmental Health & Safety	Director, Environmental Health & Safety	Marvin Pratt
4.0 Student Records	University Registrar	Jean Irving
5.0 Facilities	Director, Facilities Management and Services	Kevin Doyle
6.0 University Police	Chief of Police	John Feeney
7.0 University Advancement	Director of Advancement Services and Annual Fund	Dwight Seuser
8.0 Academic Personnel	Associate Vice President for Faculty Affairs	Wenshu Lee
9.0 Curriculum & Accreditation	Dean of Undergraduate Education	Bill Loker
10.0 Grants & Sponsored Programs	Vice Provost for Research	Provost
11.0 Institutional Records	Chief of Staff	Karla Zimmerlee



The following lists the campus “Vital” Records Series and the identified custodians.

Records Series	Official Campus Custodian
Associated Students	AS Executive Director
Information Technology	Chief Information Officer
Research Foundation	RF Executive Director
Risk Management	Vice President for Business & Finance

3.0 EO 1031 Introduction and Training

The Information Security Officer will hold an orientation training to discuss record custodian responsibilities and requirements. These requirements are to:

- Ensure that the designation of a vital record/information is consistent with the campus’ business continuity plans (per Executive Order 1014 <http://www.calstate.edu/EO/EO-1014.html>).
- Establish procedures regarding the modification of retention and disposition schedules, as needed, to incorporate records unique to each campus.
- Continue to secure its records/information in accordance with applicable campus and CSU policy.
- Ensure appropriate and timely disposal of records/information in accordance with retention and disposition schedule timeframes. Institute a process for reviewing their records/information as listed on the schedules to determine if they should be destroyed or maintained.

4.0 ANNUAL DISPOSITION SCHEDULE REVIEW

The Information Security Officer will send a notification to records series custodians that the annual certification is to be completed by August 1st. CSU disposition schedules are published at <http://www.calstate.edu/recordsretention/>



5.0 ANNUAL RETENTION CERTIFICATION EO 1031

The Information Security Officer will send a reminder to campus custodians regarding the implementation and requirements of EO 1031. The Information Security Officer will maintain a file of the signed certificates (as described in section below) received from the records/information custodians.

These certificates will be provided to the Office of the Chancellor, upon request. Custodians will be responsible for:

1. Assuring that their subject area is operating in compliance with the California State University Records/Information Retention and Disposition schedules.
2. Identifying records/information that may have historic or vital value for their subject area.
3. Ensuring that the designation of a vital record/information is consistent with the campus' business continuity plans (per Executive Order 1014 www.calstate.edu/EO/EO-1014.html).
4. Establishing procedures regarding the modification of retention and disposition schedules, as needed, to incorporate records unique to their subject area.
5. Continuing to secure records/information in accordance with applicable campus and CSU policy.
6. Ensuring appropriate and timely disposal of records/information in accordance with retention and disposition schedule timeframes.
7. Reviewing records/information as listed on the schedules to determine if they should be destroyed or maintained.
8. Publishing their subject area Records/Information Retention and Disposition schedule.
9. Certifying annually, by July 31, that their subject area Records/Information Retention and Disposition schedule is up to date and records are in compliance with the policy, by sending to the Information Security Officer:
 - a copy of the subject area Records/Information Retention and Disposition Schedule.
 - a signed copy of the *Records/Information Retention and Disposition Schedule Certificate* (below).



CSU CHICO RECORDS RETENTION AND DISPOSITION SCHEDULE CERTIFICATE

I am the record/information custodian for _____ subject area. I understand the directive of Executive Order 1031, "System-wide Records/Information Retention and Disposition Schedules" and my responsibilities as the records/information custodian for the designated subject area. I certify that I have attached a current copy of the Records/Information Retention and Disposition schedule.

I certify that electronic records/information in my subject are _____ /are not _____ in compliance with system wide policy.

I certify that paper records/information in my subject are _____ /are not _____ in compliance with system wide policy.

Printed Custodian Name

Custodian Signature

Date



Documentation Review & Approval

Review / Approval History

Review Date	Reviewed By	Action (Reviewed, Recommended or Approved)	Version
4/13/2015	Policies and Standards Group	Reviewed / Recommended	V1.0
7/21/2015	Information Technology Executive Committee (ITEC)	Approved	V1.0