

**LOKER UNIVERSITY STUDENT UNION, INC.
RECORDS RETENTION & DISPOSITION POLICY**

POLICY

It is the policy of the Loker Student Union (LSU) to own and maintain records/information that have been created or received by the LSU, regardless of their medium and location, even when they are in possession of individuals. Records may be categorized by type, such as corporate, personnel/payroll, facilities, student records, etc. and shall be retained in accordance with the attached prescribed retention schedule. This policy is designed to ensure compliance with legal and regulatory requirements while implementing appropriate operational best practices. The policy consists of procedures to promote sound, efficient, and economical records management in the following areas:

- Creation, organization of, and access to records
- Maintenance and retention of administrative records
- Security and privacy of records
- Protection of records vital to LSU
- Preservation of records of historical importance
- Disposition of administrative records when they no longer serve their purpose
- Other functions LSU may deem necessary for good records management.

Except as superseded by federal laws and regulations, and LSU contracts, this policy applies to all administrative records, regardless of their medium, owned by the LSU. Administration shall be responsible for the coordination of the record retention and disposition at the end of every fiscal year

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.
- **Long-term Retention:** A retention period of more than five years (including permanent retention).
- **Non-record:** Material that is of immediate value only. Non-records are not maintained as administrative records, are not assigned retention periods, and are not subject to records disposition guidelines (e.g. routing slips, worksheets, rough drafts, blank forms, courtesy copies, etc.)

- **Records/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.

- **Record Retention 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.

- **Value:**
 - Records and information may have value in one or more of the following areas:
 - Operational: Required by a campus/department to perform its primary function
 - Legal: Required to be kept by law or may be needed litigation or a government investigation.
 - Fiscal: Related to the financial transactions of the campus, especially those required for audit or tax purposes.
 - 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.

- 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.

RECORD RETENTION PROCEDURES:

- **Standards for Packing:**

- Only standard cartons issued by Administration may be used with the following specifications:
 - Archiving box dimensions are to be 10" Height X 12" Width X 15" Length.
 - DO NOT write or print on the box or lid. This space is reserved for record storage use only.
- Boxes may not contain anything except eligible paper documents in manila folders. No envelopes, hanging folders, samples, etc.
- All folders within the boxes must clearly be labeled. Each folder should be reviewed before storage by area supervisor to determine that all contents are necessary for storage. Throw away any unnecessary correspondence. Be selective about all materials kept.
- All material pertaining to a common subject should be kept together. Place items with the same destruction date together.
- Fill all boxes. However, DO NOT over pack to the extent that the box becomes too heavy or misshapen.
- Refer to the LSU Archiving Retention Schedule to determine when to destroy the documents. If the documents are already past their destruction date, THROW THEM AWAY. It is best to keep up with your files and not let file drawers fill up with unused documents.

- **Storage Content Record:**

- The Storage Content Record prepared by the Department Manager should contain:
 - Cost Center Identification
 - Department Manager Signature
 - Span of time covered by records.
 - Date sent to Administration.
 - List of contents by OFFICIAL NAME of record series and sufficient description for easy retrieval.

- The Storage Content Record (SCR) is initiated by the Department Managers on an approved form distributed by Administration and returned back to Administration with the box. The form should be sent with each box forwarded to Administration.
- Once the Storage Content Record is completed and signed by the Department Managers, it should be submitted with all copies attached to Administration for approval. After Administration has approved the SCR and the contents of the boxes, a copy of the SCR will be returned to the area supervisor for their records.
- Please give sufficient descriptive information on the SCR so that in the future anyone will be able to determine where to locate a specific document. This list will be the only bit of information to locate important documents. If necessary, list all titles of each file.
- Only list one record series (box contents) per Storage Content Record.

- **Electronic Documents and Records:**

Electronic documents will be retained as if they were paper documents. Therefore, any electronic files, including records of donations made online, that fall into one of the document types on the retention & disposition schedule will be maintained for the appropriate amount of time. If a user has sufficient reason to keep an e-mail message, the message should be printed in hard copy and kept in the appropriate file or moved to an “archive” computer file folder. Backup and recovery methods will be tested on a regular basis.

- **Emergency Planning**

The records of the LSU will be stored in a safe, secure, and accessible manner. Documents and financial files that are essential to keeping LSU operating in an emergency will be duplicated or backed up at least every week and maintained off-site.

- **Document Destruction:**

- Administration will send the Department Manager a copy of the SCR for approval. The Department Manager should sign the bottom of the list to approve destruction procedures to begin.
- Should a Department Manager wish to extend the date of destruction, a written memo should be submitted to Administration stating the reason why. “Just-In-Case” will not be accepted as a valid reason why. A new destruction date should then be assigned and marked on the SCR by Administration.
- All or partial contents may be destroyed and/or have extended destruction dates.

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STORAGE CONTENT RECORD

Operational Area: _____

Supervisors Name:

Span of Time Covered by Records (Month/Year):

Date Submitted to Administration:

List of Contents:

Approved for Destruction: _____

Date: _____

Administration

Approved for Destruction: _____

Date: _____

Department Manager

OFFICE USE ONLY

Original Copy – Storage

Yellow Copy – Administration

Pink Copy – Cost Center Manager

Control Number _____

Cage Letter _____

Date Archived _____

Destruction Date _____

 Permanent Records

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RETENTION & DISPOSITION SCHEDULE

Title	Retention Period
CORPORATE	
Correspondence	
General	2 Years
Legal & Tax	Permanently
Staff & BOD Notebooks	1 Year
Administration	
Annuity Gift Agreements	Permanently
Articles of Incorporation	Permanently
Bylaws	Permanently
Codes of Committees and Commissions	Permanently
Constitutions	Permanently
Contracts and Agreements	Permanently
Copyrights and Trademarks Registrations	Permanently
Deeds, Easements, Titles & Abstracts	Permanently
Labor Contracts	Permanently
Licenses	Permanently
Life Income Agreements	Permanently
Minute Books	Permanently
Mortgages, Deeds, Notes, Contracts & Leases (Expired)	8 Years
Patents	Permanently
Retirements	Permanently
FISCAL	
Accounting	
Capital Asset Records (Including costs, depreciation reserves, year-end trial balance, depreciation reserves, blueprints & plans)	8 Years
Charts of Accounts (One Copy)	Permanently
Depreciation Schedules	Permanently
Expense Analyses and Expense Distributions Schedules	8 Years
General Ledgers and Journals (Including cash receipts, cash disbursements, general & payroll)	Permanently
Inventories of Products, Materials & Supplies	3 Years
Inventory Records	8 Years
Invoices of Customers	4 Years
Petty Cash Vouchers	3 Years
Plant Cost Ledgers	Permanently
Purchase Orders	8 Years
Scrap and Salvage Records	4 Years
Subsidiary Ledgers (Including accounts payable and accounts receivable ledgers)	8 Years
Support for Endowment Contribution	Permanently

Trial Balance (Monthly)	6 Years
Unrestricted Contribution Notification Letters	3 Years after restriction release
Vouchers (For payments to vendors, employees and others)	8 Years
Audit	
Operations Audits, Work Reports & Management Letters – 1 Copy	Permanently
Operations Audits, Work Reports & Management Letters – Extras	2 Years
Revenue Fund Audit	Permanently
Financial Statements	Permanently
Internal Audit Reports	3 Years
Property Appraisals	Permanently
Bank Records	
Bank Statements and Reconciliations	3 Years
Canceled Checks (Payroll and General)	7 Years
Checks (Taxes, property and fulfillment of important contracts should be filled with the papers pertaining to the underlying transaction)	Permanently
Deposits Slips and Receipts	3 Years
Signature cards	4 Years
Cash Records	
Cash Recaps and Records	3 Years
Cash Register Tapes	3 Years
Cash Refund Vouchers	3 Years
Cash Books	Permanently
Insurance	
Accident Reports	Permanently
Claims (after settlement)	Permanently
Fire Inspections Reports	Permanently
Group Disability Records	Permanently
Policies (all types-expired) with no residual value	4 Years
Safety Reports	Permanently
PERSONNEL /PAYROLL	
Contracts (Expired)	7 Years
Daily Time Reports	4 Years
Disability and Sick-Benefit Records	Permanently
Earning Records	4 Years
Employment Applications (Not-Hired) – Full Time	2 years
Employment Applications (Not-Hired) – Part Time	1 Year
Federal and State Tax Returns (Including working papers & reports to support carrybacks & carryovers)	Permanently
Form 941	4 Years
Form W-2	4 Years
Form W-4	4 Years
Individual Time Reports	4 Years
Payroll Tax Records	4 Years
Pensioners Records	6 Years

Personnel Files (Terminated)	Permanently
Sales Tax Returns	Permanently
Timecards	4 Years
Withholding Tax Statements	6 Years
OPERATIONS	
Purchase Orders	8 Years
Requisitions	3 Years
Sales Contracts	8 Years
Sales Invoices	8 Years
Shipping and Receiving	4 Years
Bills of Lading	4 Years
SPECIAL ITEMS:	
Unsold Tickets and Ticket Stubs	1 Year
Lost and Found Report	1 Year
Saving Bond Registrations Records of Employees	3 Years