University of California
Retention Scheduling Project

Laurie Sletten, CRM, CA
Records Manager
UCOP Information Technology Services

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UC San Francisco
Why are records needed?

- Enable business to be conducted efficiently
- Provide continuity by providing a memory of events
- Document the University’s activities
- Provide evidence of how decisions are made
- Protect rights of individuals and the University
Managing Records
Since we need records, they must be managed

WHY?
Everyone creates records
Records seem to outgrow their space overnight
Private information can accidentally be released
It costs money to maintain records
Out-of-date records jeopardize efficiency
Obsolete records can be a legal liability
We used to have the records in (paper or microfilm/fiche) but we had them scanned and then we destroyed the other records. Now we are finding out that no one checked the scans to make sure they were legible.
Persistence and Proliferation

Volume

- Hypothetical email system
  - 100 employees
  - 25 messages/employee/day
  - 250 full working days/year

625,000 messages

- 12 monthly backups

7,500,000 total messages

Records Management

- **Records Management**: Ensures records can be easily retrieved when required and disposed of in accordance with policy, law, and contracts. (RMP 1 – University Records Management Program)
Active/Inactive records
LIFE CYCLE

Creation/Receipt
Active Office use
Inactive use Records Storage Area

Permanent: 2 - 5%
Temporary: 95 - 98%
Records Disposition – Records Retention

- Most Records Management programs will have this component.
- A major key to managing records is determining how long to keep them and when they can be destroyed or transferred to a records center or an archives after their active usage has diminished.
Records Appraisal
Determining the value of records

- All records have value to the organization creating or receiving them
- Some records have permanent value and warrant preservation by an archives
- Records appraisal is the process used to determine the value of a record series
Records Appraisal is **NOT**

- Flipping a coin
Records Appraisal is **NOT**

- Flipping a coin
- Using an Ouija Board
Records Appraisal is **NOT**

- Flipping a coin
- Using an Ouija Board
- Holding a Séance
Records Appraisal is **NOT**

- Flipping a coin
- Using an Ouija Board
- Holding a Séance
- Deciding on some arbitrary amount of time, like 7 years
Deuteronomy
Chapter 15:1

“At the end of every seven years you shall grant a release.”
Records Appraisal:

- Administrative value - how long does the office need the records for their day-to-day requirements?
- Fiscal value – are the records needed for any financial audits, what organization is doing the audit, and what is their audit cycle?
- Legal value – what are the possible legal issues, and laws/regulations that govern these issues, such as "causes of actions" for "statutes of limitations"?
- Historical value - Archivists weigh the significance of records in terms of our mission; past, current, and future research interests; and other records found in the archives.
CAUTION!
Records should be retained, regardless of media, for the retention period required by the Records Retention Schedule, or for as long as the records are “Frozen”**

** Records that must be retained for audits, investigations and litigation purposes, regardless of the retention period
Records Retention Schedule

- **Records Retention Schedule**: A document that identifies records and establishes a timetable for their disposition.

- **UC Records Management Committee**: Establishes the University records retention schedule, in consultation with functional managers, senior university management, and the Office of the General Counsel.

- **Membership**: Each campus has a representative on the RMC.
Records Retention Schedule

- UC’s previous schedule was outdated:
  - Included obsolete records and excluded current records
  - Did not address current technology or UC’s interest in security and privacy
  - Kept some records too long and others not long enough
Records Disposition Schedules Manual

The Records Disposition Schedules Manual provides time periods for retaining and disposing of University records. Please contact your local Records Management Coordinator with questions about records disposition.

The Associate Vice President for Information Technology Services has Universitywide policy responsibility for records and information practices, including this disposition schedules manual and the Records Management and Privacy (RMP) series of the Business and Finance Bulletins.

Introduction

University Statement on Ownership of Administrative Records (RMP-1)

UC Records Management Coordinators

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Records Disposition Schedules Manual (Classified by Functions)

- Explanations and Symbols
- Searchable Format

1. Administrative

   A. Agreements

   B. Applications and Requests

   C. Certificates, Licenses, Permits, Registrations, and Warranties

   D. Contracts, Grants, and Agreements (Extramural) for Research, Training, and Public
Search

Enter search parameters in one or more of the search fields, or choose Find All to see all records. To find a single record by its number, enter it in the Record Number field and choose Start Search. To find all record numbers that contain those digits, choose Find All.

Function: Select one
Record Category:
Record Name:
Record Office:
Record Number:

Start Search   Find All   Reset this form

Return to Home Page
Search

Enter search parameters in one or more of the search fields, or choose Find All to see all records. To find a single record by its number, enter it in the Record Number field and choose Start Search. To find all record numbers that contain those digits, choose Find All.

Return to Home Page
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<td>Record Category</td>
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<td>Record Office</td>
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<td>Record Number</td>
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Start Search  Find All  Reset this form
<table>
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<tr>
<th>Record Name</th>
<th>Record Category</th>
<th>Years To Retain</th>
<th>Record Office</th>
<th>Record</th>
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<td>Computer Facilities, Request for</td>
<td>Admin: Applications, Requests</td>
<td>0-5 0-5</td>
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<td>Library Computer Search Worksheet</td>
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Record Detail

Record Name: Revenue from Instructional Use of Computers - 12 month Period

Record Number: 221
Function: Auxiliary & Service Enterprises
Record Category: Enterprise: Computer Center
Record Office: Computer Center

Disposition Record Copy: 0-7
Disposition Other Copy: 0-7
Vital:
CG:
Comments:
Records Disposition Schedules Manual

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I. Administrative

A. Agreements +

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C. Certificates, Licenses, Permits, Registrations, and Warrantees

D. Contracts, Grants, and Agreements (Extramural) for Research, Training, and Public Service Activities
A. AGREEMENTS

Athletic Agreements (See Sec. II.E, Intercolligate Athletics)

<table>
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<tr>
<th>Record Type</th>
<th>Record Title or General Description</th>
<th>Office of</th>
<th>DISPOSITION SCHEDULE IN YEARS</th>
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<td>Broadcasting Agreements (radio, TV, etc.)</td>
<td>Executing</td>
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<td>expiration</td>
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<td>G</td>
<td>Charter &amp; Transportation Agreements (e.g., boats, planes, buses, &amp; bus service)</td>
<td>Executing</td>
<td>3-5 1 following</td>
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<td>Office following expiration</td>
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<td>expiration</td>
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</table>
Update Project

- Updating the schedule was essential to reduce cost, risk, e-discovery burden; and to enhance administrative efficiency.
- The RMC advocated for an update to the schedule and a position at UCOP to work on the update for the committee.
- The RMC’s Executive Committee developed the position description and participated in the selection.
- ITS hired me to lead the update project.
- In May 2012, I started a two-year contract position.
The Plan

- We developed a plan and timeline for the first phase.
The Format

- In June the RMC determined the format for the new schedule, and selected broad buckets for records categories.
- They prioritized work in batches by record type.
- Result: a user friendly schedule that will be easier to update over time
Buckets

- Scheduling at broader aggregates or functions.
- Fewer categories from which to choose.
- Functions rarely change.
- New records and systems will fit into a bucket.
- We will be in a better position to implement electronic recordkeeping in the future.
General Routine Office Transitory Records

Transitory records document routine general office activities. In this context the word “routine” means activities related to the typical internal operation of an office, including staffing, administrative procedures, systems, and communications. They do not serve as documentation of the establishment of unique programs, functions, units, or a campus, nor record fiscal obligations to demonstrate accountability or document important historical decisions of the University. Transitory records, found in all formats (paper, electronic, or otherwise) may include but are not limited to:

- internal information records, such as office and travel schedules, memoranda, and routine internal reports, reviews and plans, used to disseminate information or for other administrative purposes;
- ordinary, commonplace communications found in letters, acknowledgements, memos, notes, postcards, transmittals, voice-mail messages, e-mail messages and other routine messages, regardless of media;
- office support records, such as procedures to operate routine office equipment e.g. phones, fax machines, photocopiers, and logs and internal requests for the use of office/facilities space and equipment;
- administrative committees’ members’ records when the member is not the official record keeper for the committee;
- unsolicited job applications and resumes;
- documentation of the day-to-day administration and training of office personnel;
- records of supplies and office services;
- records and documentation of unit activity relating to specific and defined short-term administrative projects;
- source documents used for data input, after input has been verified; and
- source documents that have been scanned, after the record created from the scan has been verified as accurate and stored in a proper recordkeeping system. The scanning process must meet authentication standards to assure the records’ integrity, reliability and trustworthiness. Some source documents may need to be retained, even after scanning if required by law or agency regulations, for example wet-signature promissory notes, oaths, patents, etc. The documentation of the scanning process is not a transitory record and must be retained for as long as the converted record is retained. See the comments section for more information on scanning and recordkeeping systems;

The value (usefulness) of these routine facilitative records is short-lived and therefore their retention period is minimal.

Retention:

Record Copy: Retain records for no longer than one year after their administrative use ceases.

All Other Copies: Copies are considered non-records and should be retained only for as long as they are being used, but never any longer than the record copy.

Confidential? Some may be confidential
Vital? No

Justification:
Retaining transitory records longer than necessary consumes resources required to properly manage records of longer term value.

Comments:
Records created from scanned source documents must be verified and documented as accurate following the imaging process. Thereafter, the source records may be destroyed unless prohibited by law or agency regulations. The created records must be retained in a proper recordkeeping system for their retention period. The documentation of the scanning process is not a transitory record and must be retained for as long as the converted record is retained.

Some agencies have very specific requirements for retaining source documents and for how imaging must be done. These agencies include but are not limited to FAR, IRS, FDA, and DHS. If required by law or agency regulations, source documents must be kept, even after having been scanned, for example wet-signature promissory notes, oaths, patents, etc. If records governed by an agency are scanned, agency requirements for imaging processes must be met.

A proper recordkeeping system is one that meets University of California standards for assuring the records are authentic and will retain their integrity, availability, and confidentiality for their lifecycle. Proper recordkeeping includes the collection, organization, and categorization of records to facilitate their preservation, retrieval, use, and disposition, allowing records to be:
- grouped with related records into classifications according to operational needs,
- retrieved easily and in a timely manner,
- retained in a usable format for the required retention period found in an approved records retention schedule, on-going investigation or legal action,
- accessed by individuals who have a need for the records found within the system,
- secured from inappropriate access when the records contain personally identifiable information, restricted or confidential information,
- protected from inappropriate dissemination, modification or destruction, and
- disposed of in accordance with approved retention schedules.

This is a media neutral retention schedule.
Batches

Records are grouped by function to help facilitate the scheduling process.

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<thead>
<tr>
<th>Batch</th>
<th>Function</th>
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<tbody>
<tr>
<td>1</td>
<td>General Routine Office Transitory Records</td>
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<td>2</td>
<td>Program Administration Records</td>
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<td>3</td>
<td>Payroll and Benefits Records</td>
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<td>4</td>
<td>Human Resources</td>
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The Process

- I drafted a schedule for the records batch.
- I sent it out for comment to RMC and stakeholders.
- Based on comments, I revised the schedule and returned it for additional review.
- Another opportunity for revision and comment.
- I finalized the schedule and sent it out for final review/approval.
- An aggressive schedule: Each step was to be 10 working days.
Where we are in the project:

- The following Batches are final and were rolled out for use in a new database available through the web on August 1, 2013.
  - General Routine Office Transitory Records
  - Program Administration Records
  - Payroll and Benefits Records
  - Human Resources
  - Financial and Procurement Records
  - Compliance Records
Where we are in the project:

- The following Batches are final and were rolled on March 21, 2014.
  - Capital Resources Records
  - Public Safety Records
  - Information Technology Records
# Timeline

**Where we have been . . .**

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Graphic adapted from UCSD graphic from March 2013
Timeline

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Where we have been . . .
# Timeline

**Where we are going . . .**

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</table>

Graphic adapted from UCSD graphic from March 2013
The Process continues for more updates

- I draft a schedule for the batch.
- Draft goes out for comment from a core group of RMC & stakeholders involved in the draft.
- Based on comments, I revise, send to RMC, who gather comments from their stakeholders.
- Another opportunity for revision and comment.
- I finalize, send out for final review/approval.
- Aggressive schedule: Each step =10 working days, *when possible*. 
What the updated schedule looks like and why it is different
About the Schedule

Knowing what records to keep and for how long is challenging. A records retention schedule defines the period of time that records should be retained and when they should be destroyed. Various requirements based on law and university policy govern the retention of administrative records. A retention schedule is critical for promoting responsible records management, mitigating risk, and ensuring consistent compliance across UC. The University Records Management Committee (RMUC) is charged with developing and maintaining the universitywide records retention schedule. To gain an understanding on how to use the schedule, review this webinar. Questions regarding the schedule should be directed to the appropriate campus Records Management Coordinator.

It is important for all members of the University community to adhere to the retention periods in the schedule (except in the cases of a records hold). The schedule serves as the lawful authorization for the disposition of records; consequences of not following the schedule may include court-imposed legal sanctions.

Schedule update project
The RMUC currently is conducting a systemwide project to update the records retention schedule. See Schedule Update Project for more information.

Records Included in the schedule
Per University policy, RMP-1, "University Records Management Program," and except as superseded by federal laws and regulations, and university contracts, the retention schedule applies to all administrative records, regardless of their medium, owned by the

- University of California campuses and the Office of the President,
- University of California health sciences centers, and
- Department of Energy laboratories managed by the University of California.

The schedule does not apply to

- Administrative records held by the Principal Officers of The Regents,
- Teaching and research records (e.g., library materials, faculty research and teaching materials, student examinations), or
- Records pertaining to individual patient care (medical records).

Records holds
If pending, foreseeable, or ongoing litigation; an investigation; or an ongoing audit pertaining to the records is taking place, the records cannot be destroyed until these actions have been completed or resolved. For information about records holds, contact your campus records management coordinator.

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**Search Results:**

The items from the existing schedule that have not been superseded are in this database. New items have a * after the number.

324 records found for "*"

<table>
<thead>
<tr>
<th>Records Code</th>
<th>Function</th>
<th>Function Description</th>
<th>Category</th>
<th>Category Description</th>
<th>Sub-Category Title</th>
<th>Keywords</th>
<th>Retention Period</th>
<th>Retention Rule</th>
<th>Comment</th>
</tr>
</thead>
<tbody>
<tr>
<td>0001*</td>
<td>1. General Routine Office Transitory Records</td>
<td>Transitory records document routine general office activities. In this context the word &quot;routine&quot; more...</td>
<td>1. General Routine Office Transitory Records</td>
<td>Transitory records document routine general office activities. In this context the word &quot;routine&quot; more...</td>
<td></td>
<td>routine internal reports, routine internal reviews, routine internal plans, letters, more...</td>
<td>Official Record: Retain records for no longer than one year after their administrative use more...</td>
<td>Delete or destroy after the retention period has lapsed</td>
<td>View</td>
</tr>
<tr>
<td>0002A*</td>
<td>2. Program Administration Records</td>
<td>Program administration records document the activities involved in managing and/or running the more...</td>
<td>A. Program administration records of enduring historical value</td>
<td>A. Program administration records of enduring historical value are those significant records that more...</td>
<td></td>
<td>academic plans, long range development plans, Physical Design Frameworks, policy, policies, more...</td>
<td>Official Record: Permanent, subject to University Archives review. Coordinate the transfer of more...</td>
<td>Permanent records</td>
<td>View</td>
</tr>
<tr>
<td>0002B*</td>
<td>2. Program Administration Records</td>
<td>Program administration records document the activities involved in managing and/or running</td>
<td>B. Operational program administration records</td>
<td>Operational program administration records do not have enduring historical value, but serve</td>
<td></td>
<td>letters, acknowledge, memos, notes, transmittals, e-mail messages, demonstrate more...</td>
<td>Official Record: Retain records 5 years after the end of the fiscal year in which the records are more...</td>
<td>Delete or destroy after the retention period has lapsed</td>
<td>View</td>
</tr>
</tbody>
</table>
Click on hyper-link – specific results

Function:
1. General Routine Office Transitory Records

Function Description:
This category of work includes activities related to the typical internal operation of an office, including: staffing, administrative procedures, systems, and communications. These documents do not pertain to establishment of unique programs, functions, units, or a campus, nor are they records of the accountability or document important historical decisions of the University.

Category:
1. General Routine Office Transitory Records

Category Description:
This category of work includes activities related to the typical internal operation of an office, including: staffing, administrative procedures, systems, and communications. These documents do not pertain to establishment of unique programs, functions, units, or a campus, nor are they records of the accountability or document important historical decisions of the University.

Record Code:
0001

Functional Category:
1. General Routine Office Transitory Records

Comments:
Records created from scanned source documents must be verified and documented as accurate following the imaging process. Therefore, the source records may be destroyed unless prohibited by law or agency regulations. The created records must be retained in a proper recordkeeping system for their retention period.

A proper recordkeeping system is one that meets University of California standards for assuring the records are authentic and will retain their integrity, availability, and confidentiality for their lifecycle. Proper recordkeeping includes the collection, organization, and categorization of records to facilitate their preservation, retrieval, use, and disposal, allowing records to be:

- grouped with related records into classifications according to operational needs,
- retrieved easily and in a timely manner,
- retained in a usable format for the required retention period found in an approved records retention schedule, ongoing investigation or legal action,
- accessed by individuals who have a need for the records found within the system,
- secured from inappropriate access when the records contain personally identifiable information, protected from improper dissemination, modification or destruction, and
- disposed of in accordance with approved retention schedules.

2013-07-11 18:23:40

Retaining transitory records longer than necessary consumes resources required to properly manage records of longer term value.

2013-07-11 18:23:17

Since some of these records may contain restricted information, creating copies is discouraged. If created, they must be protected from unauthorized access, disclosure and disposition in accordance with University policy and California and Federal laws. Restricted information includes “Notice: Triggering Information” as defined in UC Business and Finance Bulletin Information Systems Policy IS-2: (Name plus Social Security Number, driver’s license or California Identification card number, financial account number with a security code, medical information or health insurance information).

2013-07-20 11:51:02

Some of these records may have restricted information in them. Records containing restricted information (regardless of media) must be protected from unauthorized access, disclosure and disposition in accordance with University policy and California and Federal laws. Restricted information includes “Notice: Triggering Information” as defined in UC Business and Finance Bulletin Information Systems Policy IS-2: (Name plus Social Security Number, driver’s license or California Identification card number, financial account number with a security code, medical information or health insurance information).

2013-07-28 08:29:34

Since some of these records contain restricted information, creating copies is discouraged. If created, they must be protected from unauthorized access, disclosure and disposition in accordance with University policy and California and Federal laws.
What’s new?

- Functional categories
- No office of record
- Maximum retention
- Confidential and vital listings
- Rationale
- Media neutral
Records included in the schedule

Per University policy, RMP-1, “University Records Management Program,” and except as superseded by federal laws and regulations, and university contracts, the retention schedule applies to all administrative records, regardless of their medium, owned by the

- University of California campuses and the Office of the President,
- University of California health sciences centers, and
- Department of Energy laboratories managed by the University of California.
The schedule does not apply to:

Per University policy, RMP-1, the retention schedule does not apply to all administrative records, regardless of their medium, owned by the

- Administrative records held by the Principal Officers of The Regents,
- Teaching and research records (e.g., library materials, faculty research and teaching materials, student examinations), or
- Records pertaining to individual patient care (medical records).
Are there any circumstances when you should not follow the retention schedule?

Yes, there are several important situations that must be considered:

- If pending, foreseeable, or ongoing litigation; an investigation; or an ongoing audit pertaining to the records is taking place, the records cannot be destroyed until these actions have been completed or resolved.

This is called a “Records Freeze.”
Are there any circumstances when you should not follow the retention schedule?

- If a federal or state statute or regulation specifies a longer retention period for any records, the statute or regulation overrides this schedule. Please notify your campus Records Management Coordinator about the requirement. The Records Management Coordinator will work with the RMC to change the schedule.
Are there any circumstances when you should not follow the retention schedule?

- If there is a legitimate business need to retain records longer than the period identified in the retention schedule, please contact your campus Records Management Coordinator to identify the needs. The Records Management Coordinator can also discuss with the RMC to determine if the schedule should be changed.
How to use the new database

http://recordsretention.ucop.edu/
About the Schedule

Knowing what records to keep and for how long is challenging. A records retention schedule defines the period of time that records should be retained and when they should be destroyed. Various requirements based in law and university policy govern the retention of administrative records. A retention schedule is critical for promoting responsible records management, mitigating risk, and ensuring consistent compliance across UC. The University Records Management Committee (RMC) is charged with developing and maintaining the universitywide records retention schedule. To gain an understanding on how to use the schedule, review this webinar. Questions regarding the schedule should be directed to the appropriate campus Records Management Coordinator.

It is important for all members of the University community to adhere to the retention periods in the schedule (except in the cases of a records hold). The schedule serves as the lawful authorization for the disposition of records; consequences of not following the schedule may include court-imposed legal sanctions.

Schedule update project
The RMC currently is conducting a systemwide project to update the records retention schedule. See Schedule Update Project for more information.

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Type in keyword, then click on Search
## Search Results:

The items from the existing schedule that have not been superseded are in this database. New records have been added, but the number?

6 records found for "travel"

<table>
<thead>
<tr>
<th>Reference Code</th>
<th>Function</th>
<th>Description</th>
<th>Category</th>
<th>Sub-Category</th>
<th>Keywords</th>
<th>Retention Period</th>
<th>Retention Rule</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>0001*</td>
<td>1. General Routine Office Transitory Records</td>
<td>Transitory records document routine general office activities. In this context the word &quot;routine&quot; more...</td>
<td>1. General Routine Office Transitory Records</td>
<td></td>
<td>routine internal reports, routine internal reviews, routine internal plans, letters, more...</td>
<td>Official Record: Retain records for no longer than one year after their administrative use has ceased</td>
<td>Delete or destroy after the retention period has lapsed</td>
<td>View</td>
</tr>
<tr>
<td>0004A*</td>
<td>4. Human Resources Records document the human resources processes and activities of the University, more...</td>
<td>Pre-employment and Recruitment Records, collection of the activities surrounding the selection processes more...</td>
<td>A. Pre-employment and Recruitment Records</td>
<td></td>
<td>Pre-employment Recruitment Records, search records, selection records, announcements records, more...</td>
<td>Official Record: Retain records for 4 years after the end of the fiscal year in which the specific more...</td>
<td>Delete or destroy after the retention period has lapsed</td>
<td>View</td>
</tr>
<tr>
<td>0005A1*</td>
<td>5. Financial and Procurement Records</td>
<td>These are records that document the financial and procurement activities of the University, more...</td>
<td>A. Accounts Payable Recie, Procurement and Banking/Cash Handling Records</td>
<td></td>
<td>Accounts Payable, Procurement and Banking/Cash Handling Records document the payment of more...</td>
<td>Official Record: Retain records for 5 years after the expiration of the sponsored more...</td>
<td>Delete or destroy after the retention period has lapsed</td>
<td>View</td>
</tr>
<tr>
<td>0005A2*</td>
<td>5. Financial and Procurement Records</td>
<td>These are records that document the financial and procurement activities of the University, more...</td>
<td>A. Accounts Payable Recie, Procurement and Banking/Cash Handling Records</td>
<td></td>
<td>Accounts Payable, Procurement and Banking/Cash Handling Records document the payment of more...</td>
<td>Official Record: Retain records for 5 years after the end of the fiscal year in which the sponsored more...</td>
<td>Delete or destroy after the retention period has lapsed</td>
<td>View</td>
</tr>
<tr>
<td>0005A3*</td>
<td>5. Financial and Procurement Records</td>
<td>These are records that document the financial and procurement activities of the University, more...</td>
<td>A. Accounts Payable Recie, Procurement and Banking/Cash Handling Records</td>
<td></td>
<td>Accounts Payable, Procurement and Banking/Cash Handling Records document the payment of more...</td>
<td>Official Record: Retain records for 5 years after the expiration of the sponsored more...</td>
<td>Delete or destroy after the retention period has lapsed</td>
<td>View</td>
</tr>
<tr>
<td>0005A4*</td>
<td>5. Financial and Procurement Records</td>
<td>These are records that document the financial and procurement activities of the University, more...</td>
<td>A. Accounts Payable Recie, Procurement and Banking/Cash Handling Records</td>
<td></td>
<td>Accounts Payable, Procurement and Banking/Cash Handling Records document the payment of more...</td>
<td>Official Record: Retain records for 5 years after the expiration of the sponsored more...</td>
<td>Delete or destroy after the retention period has lapsed</td>
<td>View</td>
</tr>
</tbody>
</table>
Suggestions on Search

Use a short term rather than a long phrase. Use wildcards.

Examples:
- Search term: lay off
  - Search results: 7 records found for "lay off"
- Search term: lay
  - Search results: 2 records found for "lay"
Suggestions on Search

To match an exact phrase, use quotes around the phrase.
**Suggestions on Search**

Broaden or narrow your search by including NOT, OR, or AND.

---

**Search Results:**

The items from the existing schedule that have not been superseded are in this database. New items have an *a* after the number.

- **157 records found for “tax record”**

<table>
<thead>
<tr>
<th>Records Code</th>
<th>Function</th>
<th>Function Description</th>
<th>Category</th>
<th>Category Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>0001*</td>
<td>1. General</td>
<td>Transitory records</td>
<td>1. General</td>
<td>Transitory records</td>
</tr>
<tr>
<td></td>
<td>Routine Office</td>
<td>document routine</td>
<td></td>
<td>document routine</td>
</tr>
<tr>
<td></td>
<td>Transitory</td>
<td>general office</td>
<td></td>
<td>general office</td>
</tr>
</tbody>
</table>

---

- **9 records found for “tax AND record”**

<table>
<thead>
<tr>
<th>Records Code</th>
<th>Function</th>
<th>Function Description</th>
<th>Category</th>
<th>Category Description</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Benefits Records</td>
<td>Benefits Records</td>
<td></td>
<td>Withholding/Engineer</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Reference Code</td>
<td>Function Description</td>
<td>Category</td>
<td>Category Description</td>
<td>Sub Category Title</td>
</tr>
<tr>
<td>----------------</td>
<td>----------------------</td>
<td>----------</td>
<td>----------------------</td>
<td>--------------------</td>
</tr>
<tr>
<td>0001*</td>
<td>1. General Routine Office Transitory Records</td>
<td>Transitory records</td>
<td>routine general office activities. In this context, the word &quot;routine&quot; means...</td>
<td>1. General Routine Office Transitory Records</td>
</tr>
<tr>
<td>0004A*</td>
<td>4. Human Resources Records</td>
<td>Human Resources Records</td>
<td>document the human resources processes and activities of the University, more...</td>
<td>Pre-employment and Recruitment Records</td>
</tr>
<tr>
<td>0006A1*</td>
<td>5. Financial and Procurement Records</td>
<td>These are records that document the financial and procurement activities of the University. These more...</td>
<td>Accounts Payable/Receivable, Procurement and Banking/Cash Handling Records</td>
<td>A. 1. Records used as supporting documentation for sponsored activities</td>
</tr>
<tr>
<td>0006A2*</td>
<td>5. Financial and Procurement Records</td>
<td>These are records that document the financial and procurement activities of the University. These more...</td>
<td>Accounts Payable/Receivable, Procurement and Banking/Cash Handling Records</td>
<td>A. 2. Records used as supporting documentation for expenses related to bond financing more...</td>
</tr>
<tr>
<td>0005A3*</td>
<td>5. Financial and Procurement Records</td>
<td>These are records that document the financial and procurement activities of the University.</td>
<td>Accounts Payable/Receivable, Procurement and Banking/Cash Handling Records</td>
<td>A. 3. All Other Accounts Payable, Receivable, Procurement, Banking records, Cash Handling Records</td>
</tr>
</tbody>
</table>
**, Now what?**

<table>
<thead>
<tr>
<th>Records Code</th>
<th>Function</th>
<th>Function Description</th>
<th>Category</th>
<th>Category Description</th>
<th>Sub-Category Title</th>
<th>Keywords</th>
<th>Retention Period</th>
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</thead>
<tbody>
<tr>
<td>0001*</td>
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<td>Transitory records document routine office activities, in this context the word &quot;routine&quot; more.</td>
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<td>Transitory records document routine general office activities, In this context the word &quot;routine&quot; more.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>0004A*</td>
<td>4. Human Resources Records</td>
<td>Human Resources Records document the human resources processes and activities of the University, more.</td>
<td>A. Pre-employment and Recruitment Records</td>
<td>Pre-employment and Recruitment Records document the activities surrounding the selection process more.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>View</td>
</tr>
<tr>
<td>0005A1*</td>
<td>5. Financial and Procurement Records</td>
<td>These are records that document the financial and procurement activities of the University. These more...</td>
<td>A. Accounts Payable/Receivables, Procurement and Banking/Cash Handling Records</td>
<td>Accounts Payable/Receivables, Procurement and Banking/Cash Handling Records document the payment of more.</td>
<td>A. 1. Records used as supporting documentation for sponsored activities</td>
<td>Accounts Payable, Accounts Receivable, Procurement, Banking records, Cash Handling Records, more...</td>
<td></td>
<td></td>
<td>View</td>
</tr>
</tbody>
</table>

New items have * after the Records Code, have Function Descriptions, may have Sub-Category Titles, and have Comments.
Ok, Now what?

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<th>Category Description</th>
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</tr>
</thead>
<tbody>
<tr>
<td>1506</td>
<td>Library; Acquisitions</td>
<td>Library Purchase/Lease Agreements</td>
<td>Library</td>
<td>Purchase/Lease Agreements</td>
<td></td>
<td>Library Purchase, Library Lease Agreements</td>
<td>5 after expiration</td>
<td>Delete or destroy after the retention period has lapsed</td>
<td></td>
</tr>
<tr>
<td>1600</td>
<td>Library; Acquisitions</td>
<td>Open Order Cancellation File</td>
<td>Open Order</td>
<td>Cancellation File</td>
<td></td>
<td>Open Order Cancellation File</td>
<td>1-5</td>
<td>Delete or destroy after the retention period has lapsed</td>
<td></td>
</tr>
<tr>
<td>1601</td>
<td>Library; Acquisitions</td>
<td>Library Donor File</td>
<td>Library Donor</td>
<td>File</td>
<td>Library Donor File</td>
<td>Permanent</td>
<td></td>
<td>Permanent records</td>
<td></td>
</tr>
<tr>
<td>1602</td>
<td>Library; Acquisitions</td>
<td>Library Gifts--Exchange File</td>
<td>Library Gifts--Exchange File</td>
<td></td>
<td>Library Gifts, Exchange File</td>
<td>Until superseded</td>
<td></td>
<td>Delete or destroy after the retention period has lapsed</td>
<td></td>
</tr>
<tr>
<td>1344</td>
<td>Phys Plant; Architects &amp; Engineers</td>
<td>Cost Data Sheets, by Project</td>
<td>Cost Data</td>
<td>Sheets, by Project</td>
<td></td>
<td>Cost Data Sheets, project costs</td>
<td>10-25</td>
<td>Delete or destroy after the retention period has lapsed</td>
<td></td>
</tr>
<tr>
<td>1345</td>
<td>Phys Plant; Architects &amp; Engineers</td>
<td>Project Budget Control</td>
<td>Project Budget</td>
<td>Control</td>
<td>Project Budget Control</td>
<td>Following completion of project - see comment section</td>
<td>Delete or destroy after the retention period has lapsed</td>
<td>View</td>
<td></td>
</tr>
<tr>
<td>1346</td>
<td>Phys Plant; Architects &amp; Engineers</td>
<td>Executive</td>
<td>Executive</td>
<td></td>
<td></td>
<td>Executive</td>
<td>10 after project</td>
<td>Permanent</td>
<td>View</td>
</tr>
</tbody>
</table>

Items from the previous schedule do not have * after the Records Code, no Function Descriptions, no Sub-Category Titles, and most do not have Comments.
Ok, Now what?

Records Code – Helps you identify what you are looking at when talking with someone else.
Updated items end with *.
**Function** – This is the broad category or batch for updated items. For the other items, it is the function and category.

<table>
<thead>
<tr>
<th>Records Code</th>
<th>Function</th>
</tr>
</thead>
<tbody>
<tr>
<td>0001**</td>
<td>1. General Routine Office Transitory Records</td>
</tr>
<tr>
<td>0004A**</td>
<td>4. Human Resources Records</td>
</tr>
<tr>
<td>0005A1**</td>
<td>5. Financial and Procurement Records</td>
</tr>
<tr>
<td>0005A2**</td>
<td>5. Financial and Procurement Records</td>
</tr>
<tr>
<td>0005A3**</td>
<td>5. Financial and Procurement Records</td>
</tr>
</tbody>
</table>

**Ok, Now what?**
Record Detail

Record Name: Revenue from Instructional Use of Computers - 12 month Period

Record Number: 221

Function: Auxiliary & Service Enterprises
Record Category: Enterprise: Computer Center
Record Office: Computer Center

Disposition Record Copy: 0-7
Disposition Other Copy: 0-7

Vital:
CG:
Comments:
Function Description – provides you with a description of the function/batch.

<table>
<thead>
<tr>
<th>Records Code</th>
<th>Function</th>
<th>Function Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>0001*</td>
<td>1. General Routine Office Records</td>
<td>Transitory records document routine general office activities. In this context the word &quot;routine&quot; more...</td>
</tr>
<tr>
<td>0004A*</td>
<td>4. Human Resources Records</td>
<td>Human Resources Records document the human resources processes and activities of the University. These more...</td>
</tr>
<tr>
<td>0005A1*</td>
<td>5. Financial and Procurement Records</td>
<td>These are records that document the financial and procurement activities of the University. These more...</td>
</tr>
<tr>
<td>0005A2*</td>
<td>5. Financial and Procurement Records</td>
<td>These are records that document the financial and procurement activities of the University. These more...</td>
</tr>
<tr>
<td>0005A3*</td>
<td>5. Financial and Procurement Records</td>
<td>These are records that document the financial and procurement activities of the University.</td>
</tr>
</tbody>
</table>
Ok, Now what?

Category – For updated items, this drills down into the batch to a sub-function. For the other items this is the record name.

<table>
<thead>
<tr>
<th>Records Code</th>
<th>Function</th>
<th>Function Description</th>
<th>Category</th>
</tr>
</thead>
<tbody>
<tr>
<td>0001*</td>
<td>1. General Office Transitory Records</td>
<td>Transitory records document routine office activities. In this context the word &quot;routine&quot; more.</td>
<td>1. General Routine Office Transitory Records</td>
</tr>
<tr>
<td>0004A*</td>
<td>4. Human Resources Records</td>
<td>Human Resources Records document the human resources processes and activities of the University, etc…</td>
<td>A. Pre-employment and Recruitment Records</td>
</tr>
<tr>
<td>0005A1*</td>
<td>5. Financial and Procurement Records</td>
<td>These are records that document the financial and procurement activities of the University. These more…</td>
<td>A. Accounts Payable/Rece… Procurement and Banking/Cash Handling Records</td>
</tr>
<tr>
<td>0005A2*</td>
<td>5. Financial and Procurement Records</td>
<td>These are records that document the financial and procurement activities of the University. These more…</td>
<td>A. Accounts Payable/Rece… Procurement and Banking/Cash Handling Records</td>
</tr>
<tr>
<td>0005A3*</td>
<td>5. Financial and Procurement Records</td>
<td>These are records that document the financial and procurement activities of the University. These more…</td>
<td>A. Accounts Payable/Rece… Procurement and Banking/Cash Handling Records</td>
</tr>
<tr>
<td>Records Code</td>
<td>Function</td>
<td>Function Description</td>
<td>Category</td>
</tr>
<tr>
<td>--------------</td>
<td>----------</td>
<td>----------------------</td>
<td>----------</td>
</tr>
<tr>
<td>0001*</td>
<td>General Routine Office Transitory Records</td>
<td>Transitory records document routine general office activities. In this context the word &quot;routine&quot; more...</td>
<td>Category Description</td>
</tr>
<tr>
<td>0004A*</td>
<td>Human Resources Records</td>
<td>Human Resources Records document the human resources processes and activities of the University, more...</td>
<td>Pre-employment and Recruitment Records document the activities surrounding the selection processes more...</td>
</tr>
<tr>
<td>0005A1*</td>
<td>Financial and Procurement Records</td>
<td>These are records that document the financial and procurement activities of the University. These more...</td>
<td>Accounts Payable/Receipts, Procurement and Banking/Cash Handling Records document the payment of more...</td>
</tr>
<tr>
<td>0005A2*</td>
<td>Financial and Procurement Records</td>
<td>These are records that document the financial and procurement activities of the University. These more...</td>
<td>Accounts Payable/Receipts, Procurement and Banking/Cash Handling Records document the payment of more...</td>
</tr>
<tr>
<td>0005A3*</td>
<td>Financial and Procurement Records</td>
<td>These are records that document the financial and procurement activities of the University.</td>
<td>Accounts Payable/Receipts, Procurement and Banking/Cash Handling Records</td>
</tr>
</tbody>
</table>

Ok, Now what?

Category Description – For updated items, this describes the sub-function. For the other items it is the record name again.
<table>
<thead>
<tr>
<th>Records Code</th>
<th>Function</th>
<th>Function Description</th>
<th>Category</th>
<th>Category Description</th>
<th>Sub-Category Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>0001*</td>
<td>1. General Routine Office Transitory Records</td>
<td>Transitory records document routine general office activities. In this context the word &quot;routine&quot; means...</td>
<td>1. General Routine Office Transitory Records</td>
<td>Transitory records document routine general office activities. In this context the word &quot;routine&quot; means...</td>
<td>Sub-Category Title</td>
</tr>
<tr>
<td>0004A*</td>
<td>4. Human Resources Records</td>
<td>Human Resources Records document the human resources processes and activities of the University, etc...</td>
<td>A. Pre-employment and Recruitment Records</td>
<td>Pre-employment and Recruitment Records document the activities surrounding the selection process more...</td>
<td></td>
</tr>
<tr>
<td>0005A1*</td>
<td>5. Financial and Procurement Records</td>
<td>These are records that document the financial and procurement activities of the University. These more...</td>
<td>A. Accounts Payable/Receivable, Procurement and Banking/Cash Handling Records</td>
<td>Accounts Payable/Receivable, Procurement and Banking/Cash Handling Records document the payment of more...</td>
<td>A. 1. Records used as supporting documentation for sponsored activities</td>
</tr>
<tr>
<td>0005A2*</td>
<td>5. Financial and Procurement Records</td>
<td>These are records that document the financial and procurement activities of the University. These more...</td>
<td>A. Accounts Payable/Receivable, Procurement and Banking/Cash Handling Records</td>
<td>Accounts Payable/Receivable, Procurement and Banking/Cash Handling Records document the payment of more...</td>
<td>A. 2. Records used as supporting documentation for expenditures related to bond financing more...</td>
</tr>
<tr>
<td>0005A3*</td>
<td>5. Financial and Procurement Records</td>
<td>These are records that document the financial and procurement activities of the University.</td>
<td>A. Accounts Payable/Receivable, Procurement and Banking/Cash Handling Records</td>
<td>Accounts Payable/Receivable, Procurement and Banking/Cash Handling Records</td>
<td>A. 3. All Other Accounts Payable/Receivable, Procurement and Banking/Cash Handling Records</td>
</tr>
</tbody>
</table>
Keywords – We have added keywords to help you search for the records. We can add more when needed.
Retention Period – This will give the retention period for the Official Record and All Other Copies.
Ok, Now what?

Retention Rule – This will tell you whether the record will need to be retained permanently or not.
Ok, Now what?

Comments – This will provide you with more detail about the records, the justification for the retention, whether they are confidential, vital or any other requirements.
<table>
<thead>
<tr>
<th>Records Code</th>
<th>Function</th>
<th>Function Description</th>
<th>Category</th>
<th>Category Description</th>
<th>Sub-Category Title</th>
<th>Keywords</th>
<th>Retention Period</th>
<th>Retention Rule</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>0001*</td>
<td>1. General Routine Office</td>
<td>Transitory records document routine general office activities. In this context, the word &quot;routine&quot;</td>
<td>A. General Routine Office Transitory Records</td>
<td>Transitory records document routine general office activities. In this context, the word &quot;routine&quot;</td>
<td>more...</td>
<td>routine internal reports, routine internal reviews, routine internal plans</td>
<td>Official Record: Retain records for no longer than one year after their administrative use.</td>
<td>Delete or destroy after the retention period has lapsed</td>
<td>View</td>
</tr>
<tr>
<td></td>
<td>Transitory Records</td>
<td></td>
<td></td>
<td>more...</td>
<td>more...</td>
<td>more...</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>0002A*</td>
<td>2. Program Administration</td>
<td>Program administration records document the activities involved in managing and/or running the more...</td>
<td>A. Program Administration</td>
<td>Program administration records of enduring historical value</td>
<td>more...</td>
<td>academic plans, long range development plans, policy, policies, letters, acknowledge...</td>
<td>Permanent Records</td>
<td>Deletions or destroy after the retention period has lapsed</td>
<td>View</td>
</tr>
<tr>
<td></td>
<td>Records</td>
<td></td>
<td>records of enduring historical value</td>
<td>more...</td>
<td>more...</td>
<td>more...</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>0002B*</td>
<td>2. Program Administration</td>
<td>Program administration records document the activities involved in managing and/or running the more...</td>
<td>B. Operational program administration records</td>
<td>Operational program administration records do not have enduring historical value, but serve to more...</td>
<td>more...</td>
<td>letters, acknowledge... memos, notes, transmittals, e-mail messages, demonstrate...</td>
<td>Official Record: Retain records 5 years after the end of the fiscal year in which the records are more...</td>
<td>Delete or destroy after the retention period has lapsed</td>
<td>View</td>
</tr>
<tr>
<td></td>
<td>Records</td>
<td></td>
<td>records of enduring historical value</td>
<td>more...</td>
<td>more...</td>
<td>more...</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>0003A*</td>
<td>3. Payroll and Benefits</td>
<td>Payroll and Benefits Records document the payroll and non-scored payroll obligation...</td>
<td>A. Employee Withholding/...</td>
<td>Employee withholding/... Authorization and Individual Payroll Earnings</td>
<td>more...</td>
<td>employee's withholding allowance certificate, W-4, tax forms, non...</td>
<td>Official Record: Retain records for 50 years after the end of the fiscal year in which the more...</td>
<td>Delete or destroy after the retention period has lapsed</td>
<td>View</td>
</tr>
<tr>
<td></td>
<td>Records</td>
<td></td>
<td>Authorizations and Individual Payroll Earnings</td>
<td>more...</td>
<td>more...</td>
<td>more...</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Click on hyper-links – get extended results
Click on these hyperlinks – all get the same extended results

Function:
1. General Routine Office Transitory Records

Function Description:
Transitory records document routine general office activities. In this context the word “routine” means activities related to the typical internal operation of an office, including: staffing, administrative procedures, systems, and communications. They do not serve as documentation of the establishment of unique programs, functions, units, or a campus, nor record fiscal obligations to demonstrate accountability or document important historical decisions of the University.

Category:
1. General Routine Office Transitory Records

Category Description:
Transitory records document routine general office activities. In this context the word “routine” means activities related to the typical internal operation of an office, including: staffing, administrative procedures, systems, and communications. They do not serve as documentation of the establishment of unique programs, functions, units, or a campus, nor record fiscal obligations to demonstrate accountability or document important historical decisions of the University. Transitory records, found in all formats (paper, electronic, or otherwise) may include but are not limited to:

- internal information records, such as office and travel schedules, memoranda, and routine internal reports, reviews and plans, used to disseminate information or for other administrative purposes;
- ordinary, commonplace communications found in letters, acknowledgements, memos, notes, postcards, transmittals, voice-mail messages, e-mail messages and other routine messages, regardless of media;
- office support records, such as procedures to operate routine office equipment e.g. phones, fax machines, photocopiers, and logs and internal requests for the use of office/facilities space and equipment;
- administrative committees’ members’ records when the member is not the official record keeper for the committee;
- unsolicited job applications and resumes;
- documentation of the day-to-day administration and training of office personnel;
- records of supplies and office services;
- records and documentation of unit activity relating to specific and defined short-term administrative projects;
- source documents used for data input only, after input has been verified; and
- source documents that have been scanned, after the record created from the scan has been verified as accurate and stored in a proper recordkeeping system. The scanning process must meet authentication standards to assure the records’ integrity, reliability and trustworthiness. Some source documents may need to be retained, even after scanning if required by law or agency regulations, for example wet-signature promissory notes, caths, patents, etc.

The documentation of the scanning process is not a transitory record and must be retained for as long as the converted record is retained. See the comments section for more information on scanning and recordkeeping systems.

The value (usefulness) of these routine facilitative records is short-lived and therefore their retention period is minimal.

Sub-Category Title:

Keywords:
routine internal reports, routine internal reviews, routine internal plans, letters, acknowledgements, e-mail messages, routine messages, office support records, logs, internal requests, administrative committee members records, unsolicited job
Record Code: 0001*

Functional Category:
1. General Routine Office Transitory Records

Comments:
Records created from scanned source documents must be verified and documented as accurate following the imaging process. Thereafter, the source records may be destroyed unless prohibited by law or agency regulations. The created records must be retained in a proper recordkeeping system for their retention period. The documentation of the scanning process is not a transitory record and must be retained for as long as the converted record is retained.

Some agencies have very specific requirements for retaining source documents and for how imaging must be done. These agencies include but are not limited to FAR, IRS, FDA, and DHS. If required by law or agency regulations, source documents must be kept, even after having been scanned, for example wet-signature promissory notes, oaths, patents, etc. If records governed by an agency are scanned, agency requirements for imaging processes must be met.

A proper recordkeeping system is one that meets University of California standards for assuring the records are authentic and will retain their integrity, availability, and confidentiality for their lifecycle. Proper recordkeeping includes the collection, organization, and categorization of records to facilitate their preservation, retrieval, use, and disposition, allowing records to be:
- grouped with related records into classifications according to operational needs,
- retrieved easily and in a timely manner,
- retained in a usable format for the required retention period found in an approved records retention schedule, on-going investigation or legal action,
- accessed by individuals who have a need for the records found within the system,
- secured from inappropriate access when the records contain personally identifiable information, restricted or confidential information,
- protected from inappropriate dissemination, modification or destruction, and
- disposed of in accordance with approved retention schedules.

2013-07-11 18:23:40

Retaining transitory records longer than necessary consumes resources required to properly manage records of longer term value.
2013-07-11 18:25:17

Some of these records may have restricted information in them. Records containing restricted information (regardless of media) must be protected from unauthorized access, disclosure and disposition, in accordance with University policy and California and Federal laws. Restricted information includes “Notice-Triggering Information” as defined in UC Business and Finance Bulletin Information Series Policy IS-2: (name plus Social Security Number, driver’s license or California identification card number, financial account number with a security code, medical
Record Code: 0006C*

Functional Category: 6. Compliance Records

Comments:

47 CFR § 14.31
2013-09-24 08:46:53

Records that document a requirement has been met enhance accountability and aid compliance auditing in a decentralized environment.
2013-09-24 08:47:06

This is a media neutral retention schedule.
2013-09-24 08:47:22
Click on the category or categories you want.

Click on Search.
### Search Results:

The items from the existing schedule that have not been superseded are in this database. New items have an * after the number.

12 records found

<table>
<thead>
<tr>
<th>Records Code</th>
<th>Function</th>
<th>Function Description</th>
<th>Category</th>
<th>Category Description</th>
<th>Sub-Category Title</th>
<th>Keywords</th>
<th>Retention Period</th>
<th>Retention Rule</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>0004A*</td>
<td>4. Human Resources Records</td>
<td>Human Resources Records document the human resources processes and activities of the University, mo...</td>
<td>A. Pre-employment and Recruitment Records</td>
<td>Pre-employment and Recruitment Records document the activities surrounding the selection process...</td>
<td>Pre-employment, Recruitment Records, search records, selection records, announcements records, more...</td>
<td>Official Record: Retain records 4 years after the end of the fiscal year in which the specific...</td>
<td>Delete or destroy after the retention period has lapsed</td>
<td>View</td>
<td></td>
</tr>
<tr>
<td>0004B1*</td>
<td>4. Human Resources Records</td>
<td>Human Resources Records document the human resources processes and activities of the University, mo...</td>
<td>B. Individual Employee Employment and Interns, Volunteers and Contingent Workers Records</td>
<td>Individual Employee Employment and Interns, Volunteers and Contingent Workers Records document mo...</td>
<td>B. 1. Mandatory training and other professional development records</td>
<td>Training, professional development, staff development, Employee Training, Faculty Training, more...</td>
<td>Official Record: Retain records for 5 years after the end of the fiscal year in which the training...</td>
<td>Delete or destroy after the retention period has lapsed</td>
<td>View</td>
</tr>
<tr>
<td>0004B2*</td>
<td>4. Human Resources Records</td>
<td>Human Resources Records document the human resources processes and activities of the University, mo...</td>
<td>B. Individual Employee Employment and Interns, Volunteers and Contingent Workers Records</td>
<td>Individual Employee Employment and Interns, Volunteers and Contingent Workers Records document mo...</td>
<td>B. 2. Background Check Records</td>
<td>Candidate Background Check, background check records, on-boarding records, Background check more...</td>
<td>Official Record: Retain records for 5 years after the end of the fiscal year in which more...</td>
<td>Delete or destroy after the retention period has lapsed</td>
<td>View</td>
</tr>
<tr>
<td>0004B3*</td>
<td>4. Human Resources Records</td>
<td>Human Resources Records</td>
<td>B. Individual Employee Employment</td>
<td>Individual Employee Employment</td>
<td>B. 3. Intern, Volunteer and Contingent Interns, Volunteers, Contingent</td>
<td>Official Record: Retain records for 3 years after...</td>
<td>Delete or destroy after the retention period</td>
<td>View</td>
<td></td>
</tr>
</tbody>
</table>
You will see all items in the schedule.
<table>
<thead>
<tr>
<th>Records</th>
<th>Function</th>
<th>Function Description</th>
<th>Category</th>
<th>Category Description</th>
<th>Sub-Category Title</th>
<th>Keywords</th>
<th>Retention Period</th>
</tr>
</thead>
<tbody>
<tr>
<td>0001*</td>
<td>1. General Routine Office Transitory Records</td>
<td>Transitory records document routine general office activities. In this context the word &quot;routine&quot; means activities related to the typical internal operation of an office, including: staffing, administrative procedures, systems, and communications. They do not serve as documentation of the establishment of unique programs, functions, units, or a campus, nor record fiscal obligations to demonstrate accountability or document important historical decisions of the University.</td>
<td>1. General Routine Office Transitory Records</td>
<td>Transitory records document routine general office activities. In this context the word &quot;routine&quot; means activities related to the typical internal operation of an office, including: staffing, administrative procedures, systems, and communications. They do not serve as documentation of the establishment of unique programs, functions, units, or a campus, nor record fiscal obligations to demonstrate accountability or document important historical decisions of the University.</td>
<td></td>
<td></td>
<td>Official Record; Retains records for longer than one year after their administrative use ceases. All Other Copies: Copies are considered non-records and should be retained only as long as they are being used, but no longer than the official record.</td>
</tr>
<tr>
<td>0002A*</td>
<td>2. Program Administration Records</td>
<td>Program administration records document the activities involved in managing and/or running the University, a University department or program. There are two categories of program administration records: A. Program Administration Records of enduring historical value, and B. Operational Program Administration Records. The descriptions below and the campus records management coordinator or campus archivist can assist you in distinguishing between the two categories.</td>
<td>A. Program administration records of enduring historical value</td>
<td>A. Program administration records of enduring historical value are those significant records that document the university's development, decision-making process, and the essential cultural history of each campus. Because of their historical importance, they are considered archival records and should be offered to the campus archives when they are no longer required for the day to day activities of the University. These transfers must be coordinated with the archivist.</td>
<td></td>
<td></td>
<td>Official Record: Permanent, subject University Archives review. Coordination of these records to the University Archives is required. All Other Copies: If the records are the records extension schedule, if the copies identified above in the records extension schedule, they must be included in the records extension schedule.</td>
</tr>
</tbody>
</table>
UC Records Retention Schedule FAQs

Is the UC Records Retention Schedule a new requirement?
No, this is an extensive update of the existing retention schedule (Records Disposition Schedules Manual). The schedule is established by the University Records Management Committee in accordance with Business and Finance Bulletin RMP-1, “University Records Management Program.”

Who has to use the UC Records Retention Schedule?
Everyone at UC who handles administrative records. Per Business and Finance Bulletin RMP-2, “Records Retention and Disposition: Principles, Processes, and Guidelines,” the UC Records Retention Schedule governs the retention of records universitywide. It is to be accessible to any university employee with record-keeping responsibilities and is to be followed by all university units. The policy further states that “All employees who handle administrative records are responsible for applying the guidelines contained in this Bulletin.”

Per RMP-1, the schedule does not apply to
• Administrative records held by the Principal Officers of The Regents,
• Teaching and research records (e.g., library materials, faculty research and teaching materials, student examinations), or
• Records pertaining to individual patient care (medical records).

How do I use the UC Records Retention Schedule?
Search by typing into the search box keywords related to the type of records you are looking for, or browse one of the following options:
• Full schedule
• Category
The record items have hyperlinks that you can click on to view the entry in its entirety.

Can I obtain a schedule of just the records that pertain to my office?
You can click on Print Full Schedule and download an Excel spreadsheet of the retention schedule. Then you can delete the sections that do not apply to your area. However, be sure to regularly check the on-line database for any updates.

Will UC continue to update its retention schedule?
Yes. UC is in a phased project to update its retention schedule. It is reformatting the structure of the schedule, updating retention periods, and replacing the application in which the schedule is presented to users. Once an updated section of the schedule is published, it is immediately effective and the new retention period supersedes any previously published periods.

The University Records Management Committee will continually update the schedule as legislative, regulatory, or business practices change occurs.
UC Records Retention Schedule Glossary

Administrative use – is a retention period assigned to records that are no longer needed to support on-going administrative activities and that become valueless on an unscheduled basis.

Case – records, regardless of media, that documents a specific action, event, person, place, project, or other matter.

Claims – is a type of case that documents the conducting of negotiations, business matters, and the like to a particular conclusion or settlement.

Confidential Information – applies broadly to information for which disclosure or access may be assigned some degree of sensitivity, and therefore, for which some degree of protection or restricted access may be identified. Unauthorized access to or disclosure of information in this category could seriously or adversely affect the University and cause financial loss, damage to the University’s reputation, loss of confidence or public standing, or adversely affect a partner, e.g., a business or agency working with the University. Information in this category may have limited, moderate, or severe impact on University functions, which must be determined through risk assessment or business impact analysis. (UC Business & Financial Bulletin IS-2: Inventory, Classification, and Release of University Electronic Information §III.A.1.a)

Logistical Records – records that document all arrangements that are made in order to organize and deliver a conference, seminar, symposia or other professional education event.

Notice-triggering Information – Section 1798.29 of the California Civil Code, which enacts the security breach notification requirement of the Information Practices Act (IPA), defines the specific personal information that is subject to that section of the IPA. This “notice-triggering information” (name plus Social Security Number, driver’s license or California identification card number, financial account number, with a security code, medical information or health insurance information) should be classified as restricted information (see Restricted Information) (UC Business & Financial Bulletin IS-2: Inventory, Classification, and Release of University Electronic §III.A.1.b)

Preservation hold – see Records freeze.

Procurement – refers to contracting with firms to provide goods and services in support of the university’s mission, sourcing the highest quality of products and services at the least total cost. At UC procurement includes leveraging university buying power through strategic and collaborative sourcing, adoption of proven technologies, and supplier performance management.
Information Technology Services

Records Management Committee

The University Records Management Committee (RMC) is charged by University policy, RMP-3, “University Records Management Program,” with coordinating records management across the University to ensure that administrative records are appropriately managed and preserved, and can be retrieved as needed. The RMC is responsible for guiding University records management and privacy policy, developing and maintaining the University-wide records retention schedule, and developing guidelines and procedures supporting best practices and regulatory requirements.

The committee is composed of the records management coordinator from each campus, the Lawrence Berkeley National Laboratory, Agriculture and Natural Resources, and the Office of the President, as well as four ex-officio members representing the General Council of the Regents, the UC Archivist’s Council, the University Auditor in the Office of the President, and the Chief Financial Officer in the Office of the President. The Associate Vice President for Information Technology Services is responsible for overseeing records management and information practices policy and is chair of the committee.

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<tr>
<th>Location and Primary Member</th>
<th>Alternate Member</th>
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<tr>
<td>BERKELEY</td>
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<td>Liane Ko</td>
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<td>Public Records Coordinator</td>
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<td>Ethics, Risk &amp; Compliance Services</td>
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<td>Phone: (510) 664-4615</td>
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<td>Lynette Temple</td>
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<tr>
<td>Director, Legal Affairs</td>
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<tr>
<td>Office of the Campus Counsel</td>
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<td>Phone: (530) 752-3969</td>
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About the Schedule

Knowing what records to keep and for how long is challenging. A records retention schedule defines the period of time that records should be retained and when they should be destroyed. Various requirements based on law and university policy govern the retention of administrative records. A retention schedule is critical for promoting responsible records management, mitigating risk, and ensuring consistent compliance across UC. The University Records Management Committee (URMC) is charged with developing and maintaining the universitywide records retention schedule. To gain an understanding on how to use the schedule, review this webinar. Questions regarding the schedule should be directed to the appropriate campus Records Management Coordinator.

It is important for all members of the University community to adhere to the retention periods in the schedule (except in the cases of a records hold). The schedule serves as the lawful authority for the disposition of records; consequences of not following the schedule may include court-imposed legal sanctions.

Schedule update project

The URMC is currently conducting a systemwide project to update the records retention schedule. See Schedule Update Project for more information.

Records included in the schedule

Per University policy, RMP-1, “University Records Management Program,” and except as superseded by federal laws and regulations, and university contracts, the retention schedule applies to all administrative records, regardless of their medium, owned by the

- University of California campuses and the Office of the President,
- University of California health sciences centers, and
- Department of Energy laboratories managed by the University of California.

The schedule does not apply to

- Administrative records held by the Principal Officers of The Regents,
- Teaching and research records (e.g., library materials, faculty research and teaching materials, student examinations), or
- Records pertaining to individual patient care (medical records).

Records holds

If pending, foreseeable, or ongoing litigation; an investigation; or an ongoing audit pertaining to the records is taking place, the records cannot be destroyed until these actions have been completed or resolved. For information about records holds, contact your campus records management coordinator.

Regarding records to be transferred to other agencies, departments, or other public universities, contact your campus records management coordinator.

Appreciation goes to the University of Denver, the National Historical Publications and Records Commission, and Harvard University for their free, open-source, web-based software tool, which UC enhanced to use for managing, and distributing the UC's records retention schedule. See http://brody.ucdenver.edu/aboutumarchiveauthority.php and http://code.google.com/p/records-authority/ for more information.
Important Websites

- UC Records Retention Schedule (http://recordsretention.ucop.edu/)
- UC-Office of the President Records Retention Management (http://www.ucop.edu/information-technology-services/initiatives/records-retention-management/index.html)
- UC-Wide Records Management (http://www.ucop.edu/information-technology-services/initiatives/records-management/index.html)
Managing your records may seem overwhelming, but it is essential. Everyone has a responsibility to properly create, maintain, and dispose of their university records. Information in all media must be readily available, understandable, and usable to support decisionmaking and programs, clarify obligations, and protect rights and privileges. When the records' retention period has elapsed, the records need to be disposed of in a way that is appropriate for the content. The UCOP records manager is available to provide advice and information, as well as training on a limited basis.

An important resource is the UCOP Central Records Collection, which holds many of the permanent records of the Office of the President. Departments should submit appropriate documents for inclusion in the collection. These include reports, policy issuance letters, systemwide committee charge letters, correspondence, and other significant documents.

Records management resources
- Tips and training materials

UCOP Central Records Collection
- Availability: UCOP
- Permanent collection of documents reflecting UCOP corporate history

UC Records Retention Schedule
- Applicable: Systemwide
- Searchable systemwide records retention schedule

Records management
- Systemwide information and initiatives
Records management resources

Per University policy RMP-1, University Records Management Program, “All university employees who handle administrative records are responsible for knowing and following laws and universities policies and guidelines that govern those records.” Resources are provided here to assist UCOP departments with their records management responsibilities.

The UCOP records manager convenes the UCOP Records Management Committee. The committee raises and discusses UCOP records management issues and needs, promotes shared strategies and solutions, provides education about good records management practices, and publishes tips and guidelines.

- Helpful tips
- Training materials
- Document management solutions
- External topics and resources
Helpful Tips

- Is It a Record? Decision Tree (pdf)
- Getting Started (pdf)
- Permanent Records (pdf)
- Scanning Records - Where do I Start? - Part 2 - Scanning Requirements (pdf)
- Scanning Records - Where do I Start? - Part 2 - Restricted Records (pdf)
Training Materials

ITS provides webinars and other informational materials to support good records management practices at UCOP. For a consultation, contact the UCOP records manager.

Title

Digging Out - How to Reduce Paper in the Workspace, March 18, 2014 recording, pptx

University of California's Records Retention Schedule, August 13, 2013 recording
External topics and resources

A wide range of materials on a variety of records management topics is available. The resources referenced here are compiled from credible sources and are provided to help UCOP personnel handle decision making about their particular recordkeeping needs.

Introduction to Records and Information Management

- Council of State Archivists (CoSA)
- National Association of Government Archives and Records Administrators (NAGARA) and the International Institute of Municipal Clerks (IIMC)

Establishing Records Retention Schedules

- NAGARA/IIMC (pdf)

Managing Electronic Records

- E-Discovery:
  - EDUCAUSE
- Electronic imaging:
  - ARMA International, Inc.
  - National Archives and Records Administration (NARA)
- Electronic signatures in electronic student loan transactions:
For your general records management questions, contact your local member of the Records Management Committee:

Brenda Gee DePeralta
Office of the Executive Vice Chancellor and Provost
(415) 476-4317 desk
bgee@chanoff.ucsf.edu
Questions on this project?

*Laurie Sletten, CRM, CA*
Records Manager
Laurie.Sletten@ucop.edu
Phone: (510) 987-9411