

# University of California Retention Scheduling Project

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Records Manager  
UCOP Information Technology Services

May 9, 2014  
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Out-of-date records jeopardize efficiency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



- +... [Folder Icon] General
- +... [Folder Icon] Outreach & Training
- +... [Folder Icon] Records Management
- +... [Folder Icon] Special Projects
- ... [Folder Icon] Stuff
- ... [Folder Icon] Things
- +... [Folder Icon] Marks - KEEP OUT



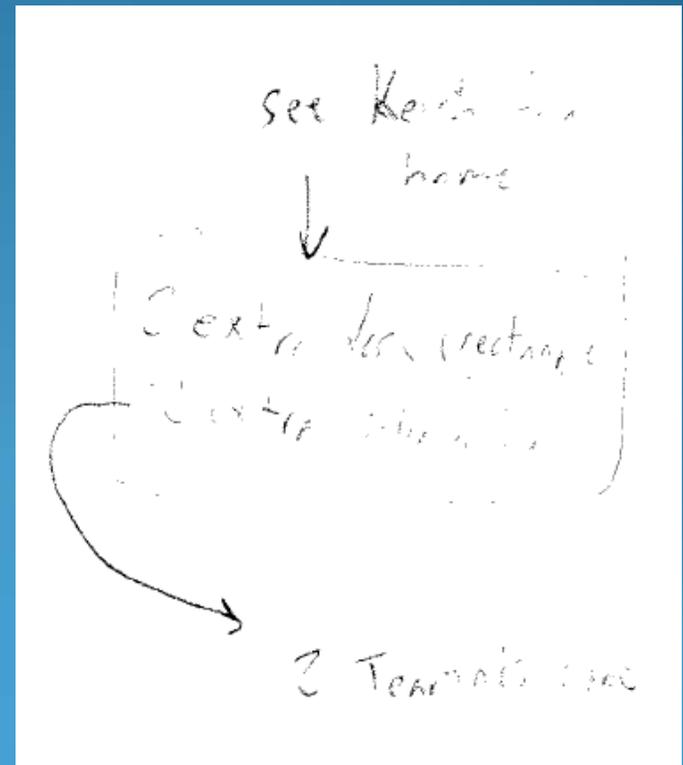
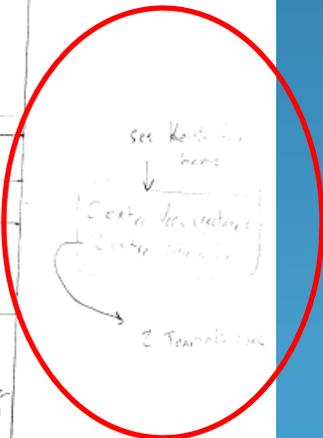
All Items

From	Subject	Date	
Steve Schwader	Instructions on mast email text...	Tuesday, February 12, 2002 2:13:12 PM	
Steve Schwader		Tuesday, April 30, 2002 1:23:14 PM	
SteveGillheany@WORL	3 Day Course in Doc	Tuesday, April 09, 2002 11:39:20 AM	
SteveGillheany@WORL	3 Day Course in Doc	Tuesday, April 09, 2002 11:39:24 AM	
survivi@OPTONLINE.NE	Re: Computer Forens	Friday, April 05, 2002 5:39:57 PM	
susan@HAMILTONPARK	Re: Intranets	Wednesday, March 27, 2002 2:23:52 PM	
suzannekenny@MAIL	Educational resource	Monday, April 15, 2002 10:41:32 AM	
tchernikoff@HOTMAIL.C	Here is a RAINdrop	Wednesday, January 30, 2002 7:39:14 AM	
tchernikoff@HUI1MAIL.C	Re: RECORDS MAN/	Thursday, February 07, 2002 8:34:34 AM	Cabinet
tchernikoff@HUI1MAIL.C	Re: How to destroy l	Wednesday, April 03, 2002 6:20:07 AM	Cabinet
telesales <telemarketing	Vulgar Models Do Ev	Tuesday, April 16, 2002 8:55:22 AM	Cabinet
telesales <telemarketing	Vulgar Models Do Ev	Monday, April 15, 2002 7:44:21 PM	Cabinet
lew_tew@HOTMAIL.CO	Privacy stories on NF	Wednesday, April 17, 2002 6:37:53 AM	Cabinet
tswoir@CS.COM	Re: RAINDrop: ARM	Tuesday, April 16, 2002 12:10:44 PM	Cabinet
Thomas Howard@AIG	SEC ruling-NY Times	Friday, April 19, 2002 9:35:53 AM	Cabinet
TLAWRENCE@KMG.CO	Re: Computer Forens	Friday, April 05, 2002 8:43:37 AM	Cabinet
tobin <cranchlobin@clo	Free XXX Pics and V	Wednesday, March 27, 2002 7:51:30 PM	Cabinet
lush_broad@SHELLIM	Re: Moving Day	Wednesday, April 17, 2002 11:35:43 AM	Cabinet
tbaeki@XTRA.CO.NZ	Re: E-mail retention	Thursday, April 11, 2002 1:38:41 AM	Cabinet
tbaeki@XTRA.CO.NZ	Re: E-mail retention	Thursday, April 11, 2002 1:15:03 AM	Cabinet
WBenediton@YOL.COM	It is getting closer!	Sunday, February 10, 2002 11:09:55 AM	Cabinet
WDP@Y12.DOE.GOV	Non-RM...Safety Rel	Thursday, November 15, 2001 8:32:43 AM	Cabinet
Whitaker@13.HF.NI.NV	Re: Haberman Esq	Thursday, February 28, 2002 5:26:37 PM	Cabinet
Whitaker@CL.RENO.NV	Re: SEC ruling-NY Ti	Friday, April 19, 2002 12:08:36 PM	Cabinet



Selected: 1 Total: 1431

*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

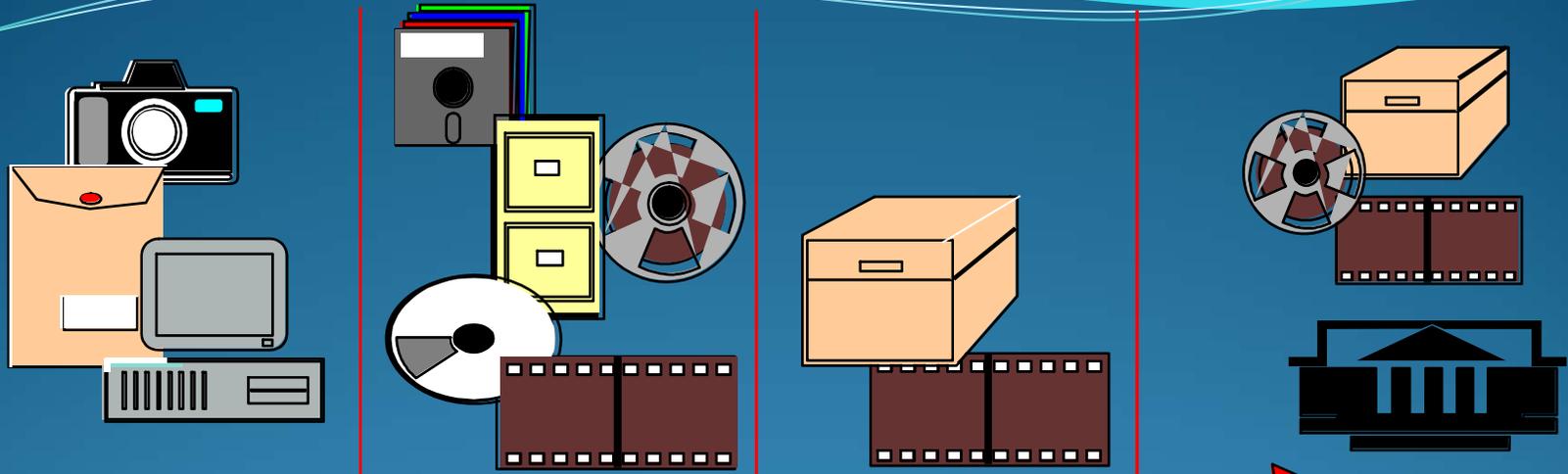
- **Records Management:** Ensures records can be easily retrieved when required and disposed of in accordance with policy, law, and contracts. (RMP 1 – University Records Management Program)

# *Active/Inactive records*

*Reference  
Activity*



*Time*



**Creation/  
Receipt**

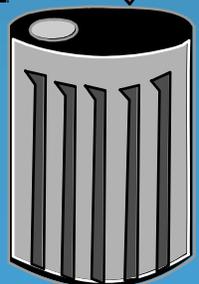
**Active  
Office use**

**Inactive use  
Records  
Storage Area**

**Permanent:  
2 - 5%**

**Temporary:  
95 - 98%**

# *LIFE CYCLE*



# 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



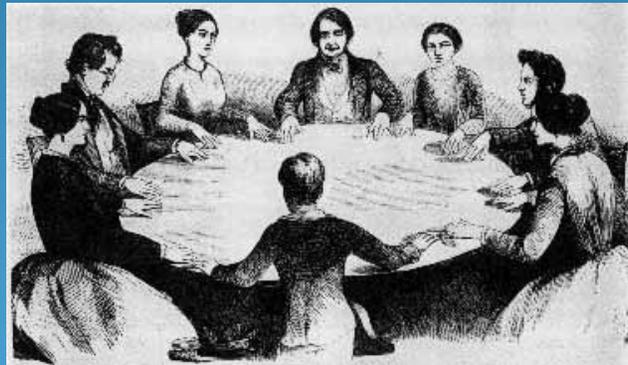
# Records Appraisal is NOT

- 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

# Records Appraisal is NOT

*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](#)

## **I. Administrative**

**A. Agreements +**

**B. Applications and Requests**

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

**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.

<b>Function:</b>	<input type="text" value="Select one"/>
<b>Record Category:</b>	<input type="text"/>
<b>Record Name:</b>	<input type="text"/>
<b>Record Office:</b>	<input type="text"/>
<b>Record Number:</b>	<input type="text"/>

[Return to Home Page](#)



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<b>Function:</b>	Select one
<b>Record Category:</b>	Select one
<b>Record Name:</b>	Administrative
<b>Record Office:</b>	Auxiliary & Service Enterprises
<b>Record Number:</b>	Fiscal
	Library
	Medical
	Payroll/Personnel/Benefits
	Physical Plant
	Police
	Student & Applicant

[Return to Home Page](#)

*University of California  
Records Disposition Schedules Manual*



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<b>Function:</b>	Select one <input type="button" value="v"/>
<b>Record Category:</b>	<input type="text"/>
<b>Record Name:</b>	Computer
<b>Record Office:</b>	<input type="text"/>
<b>Record Number:</b>	<input type="text"/>

Start Search

Find All

Reset this form

[Return to Home Page](#)

Displaying 0 to 12 of 12 records found.

Record Name	Record Category	Years To Retain		Record Office	Record
		Record Copy	Other Copy		
Computer Facilities, Request for	Admin: Applications, Requests	0-5	0-5	Department	<a href="#">24</a>
Computerized Printout of Alumni & Donor Profile	Admin: Gifts, Endowments, Private Grants	Until superseded	0-1	Development & Alumni Office	<a href="#">78</a>
Campus Computer Center Computer Utilization Report	Enterprise: Computer Center	0-7 then to Archives	0-7	Computer Center	<a href="#">218</a>
Campus Computer Center Personnel Report	Enterprise: Computer Center	0-5	0-5	Computer Center	<a href="#">219</a>
Revenue from Instructional Use of Computers - 12 month Period	Enterprise: Computer Center	0-7	0-7	Computer Center	<a href="#">221</a>
Budget Reports - Computer Generated Control/Master Files and Edit	Fiscal: Budget and Budget Control	0-1	---	Campus Budget; Accounting	<a href="#">361</a>
Budget Reports - Computer Generated Control/Master Files and Edit-Transaction Lists	Fiscal: Budget and Budget Control	0-5	---	Campus Budget; Accounting	<a href="#">362</a>
Financial Aid - Status Reports (computer generated)	Student & Applicant: Financial Aid	1	---	Financial Aid	<a href="#">1543</a>
Fund Summary Reports (computer generated)	Student & Applicant: Financial Aid	1	---	Financial Aid	<a href="#">1544</a>
Financial Aid Award Reports (computer generated)	Student & Applicant: Financial Aid	1	---	Financial Aid	<a href="#">1545</a>
Library Computer Request Form	Library: Circulation	1	---	Library	<a href="#">1607</a>
Library Computer Search Worksheet	Library: Circulation	1	---	Library	<a href="#">1608</a>



# *University of California Records Disposition Schedules Manual*

## **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:**

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- [Searchable Format](#)

### **I. Administrative**

**A. Agreements +**

**B. Applications and Requests**

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

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

Record

Type or

Number	Record Title or General Description	Office of		DISPOSITION SCHEDULE IN YEARS
		Record	Record Copy Other Copy	

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 I. ADMINISTRATIVE
 

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**A. AGREEMENTS**

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

G	Broadcasting Agreements (radio, TV, etc.)	Executing Office	3-5 following	1 following expiration
			expiration	

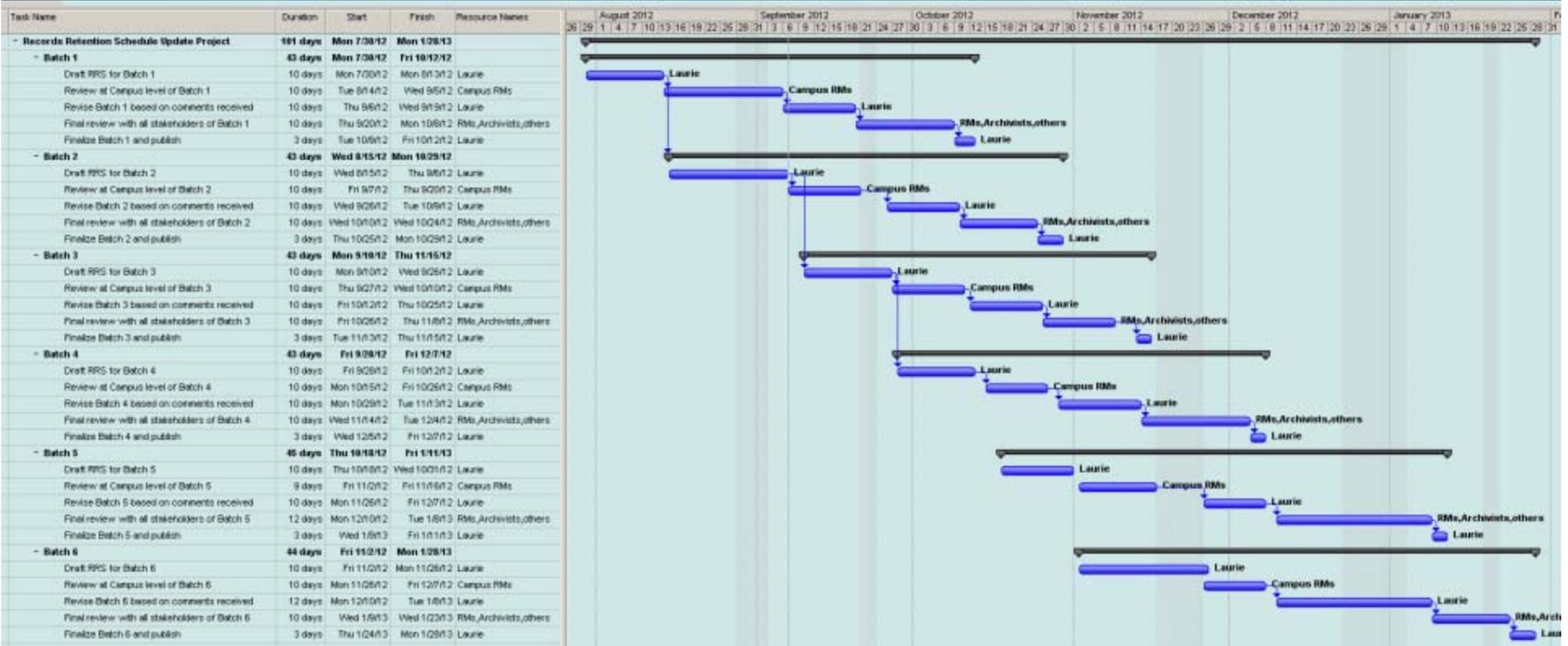
G	Charter & Transportation Agreements (e.g., boats, planes, buses, & bus service)	Executing Office	3-5 following expiration	1 following expiration
---	---------------------------------------------------------------------------------------	---------------------	--------------------------------	---------------------------

# 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.

Batch	Function
1	General Routine Office Transitory Records
2	Program Administration Records
3	Payroll and Benefits Records
4	Human Resources

# 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

REVIEW PERIOD												
Batch/Function	12-Jul	12-Aug	12-Sep	12-Oct	12-Nov	12-Dec	13-Jan	13-Feb	13-Mar	13-Apr	13-May	13-Jun
General Routine Office Transitory	Green											
Program Administration Records		Blue										
Payroll and Benefits Records			Red									
Human Resources			Yellow									
Financial Records							Purple	Purple	Purple	Purple	Purple	Purple
Capital Resources Records									Green	Green	Green	Green
Compliance Records										Blue	Blue	Blue
Public Safety Records												Red

**Where we have been . . .**

# Timeline

Batch/Function	REVIEW PERIOD									
	13-Jul	13-Aug	13-Sep	13-Oct	13-Nov	13-Dec	14-Jan	14-Feb	14-Mar	14-Apr
Human Resources	Yellow									
Financial Records										
Capital Resources Records	Green	Green	Green	Green	Green					
Compliance Records										
Public Safety Records	Red	Red	Red	Red	Red					
Academic Personnel Records	Orange	Orange	Orange	Orange	Orange	Orange	Orange	Orange	Orange	Orange
IT Records			Purple	Purple	Purple	Purple	Purple	Purple		
Academic Department Records						Teal	Teal	Teal	Teal	
Student Records						Blue	Blue	Blue	Blue	Blue

**Where we have been . . .**

# Timeline

REVIEW PERIOD								
Batch/Function	14-May	14-Jun	14-Jul	14-Aug	14-Sep	14-Oct	14-Nov	14-Dec
Academic Personnel Records	Yellow	Yellow	Yellow					
IT Records								
Academic Department Records	Teal	Teal	Teal					
Student Records	Blue	Blue	Blue					
Development Records	Red	Red	Red	Red				
Technology Transfer Records		Yellow	Yellow	Yellow	Yellow			
Risk Management Records			Purple	Purple	Purple	Purple		
Environmental Health and Safety Records				Light Green	Light Green	Light Green	Light Green	
Research and Lab Records					Dark Blue	Dark Blue	Dark Blue	Dark Blue

**Where we are going . . .**

# 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

# http://recordsretention.ucop.edu/

UNIVERSITY OF CALIFORNIA  
Records Retention Schedule

## SEARCH THE SCHEDULE

## BROWSE THE SCHEDULE

[Browse by Category](#)

## ACCESS THE FULL SCHEDULE

[Full Schedule](#)

[Print Full Schedule](#)

## RESOURCES

[Retention Schedule FAQs \(PDF\)](#)

[Retention Schedule Glossary \(PDF\)](#)

[Contact](#)

[Home](#)

## ANNOUNCEMENTS

[3/21/2014 \(PDF\)](#)

[8/1/2013 \(PDF\)](#)

## 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.

### 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](#).

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 records retention schedule. See <http://library1.du.edu/site/about/urmp/recordsAuthority.php> and <http://code.google.com/p/records-authority/> for more information.

[Records Management](#) | [Information Technology Services](#) | [UCOP](#)

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Best viewed with Mozilla Firefox, Google Chrome, Safari and IE9

## 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 ""

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



# What's new?

- Functional categories
- No office of record
- Maximum retention
- Confidential and vital listings
- Rationale
- Media neutral

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- 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/>

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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 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](#).

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### Schedule update project

The RMC 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

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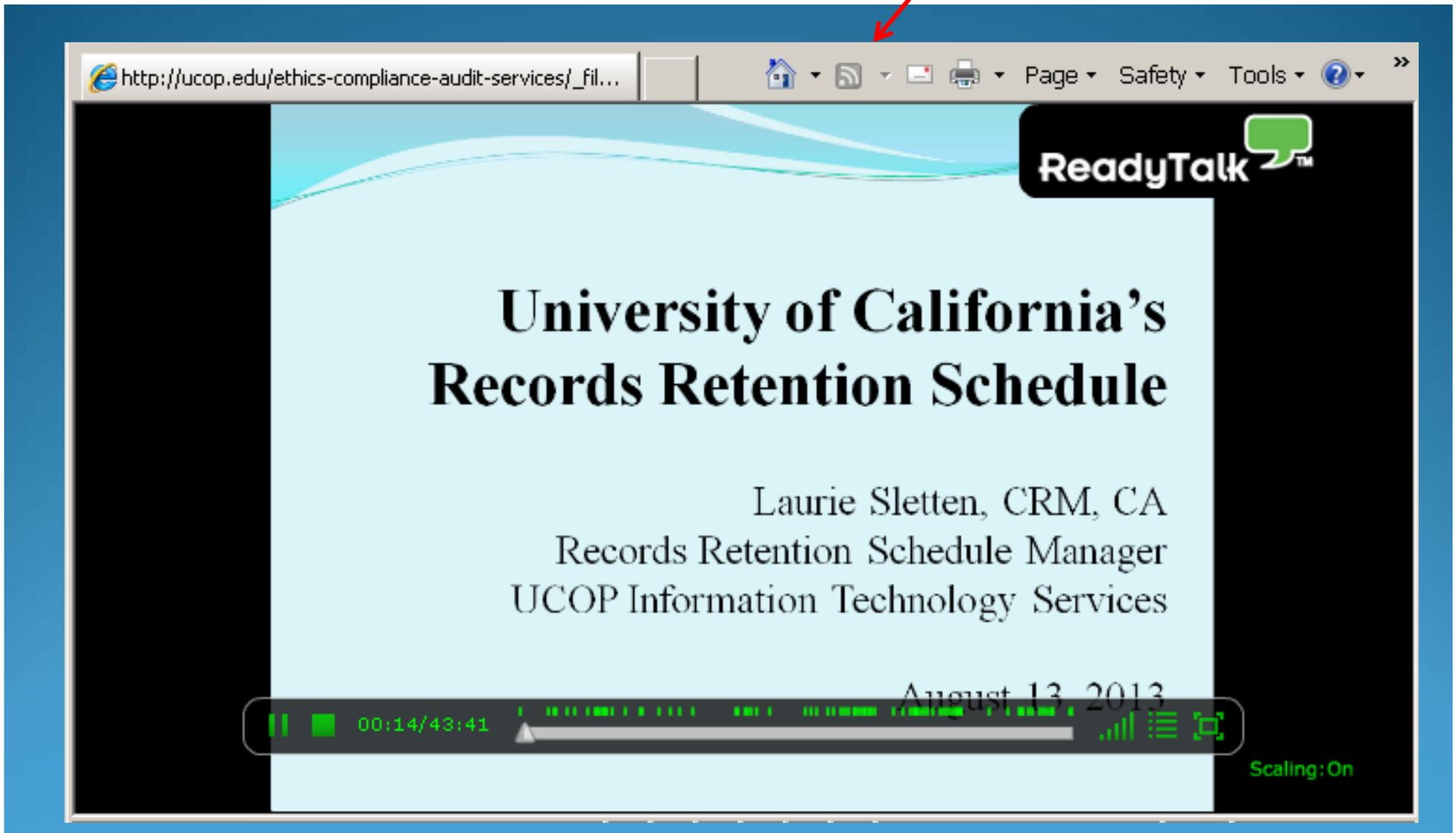
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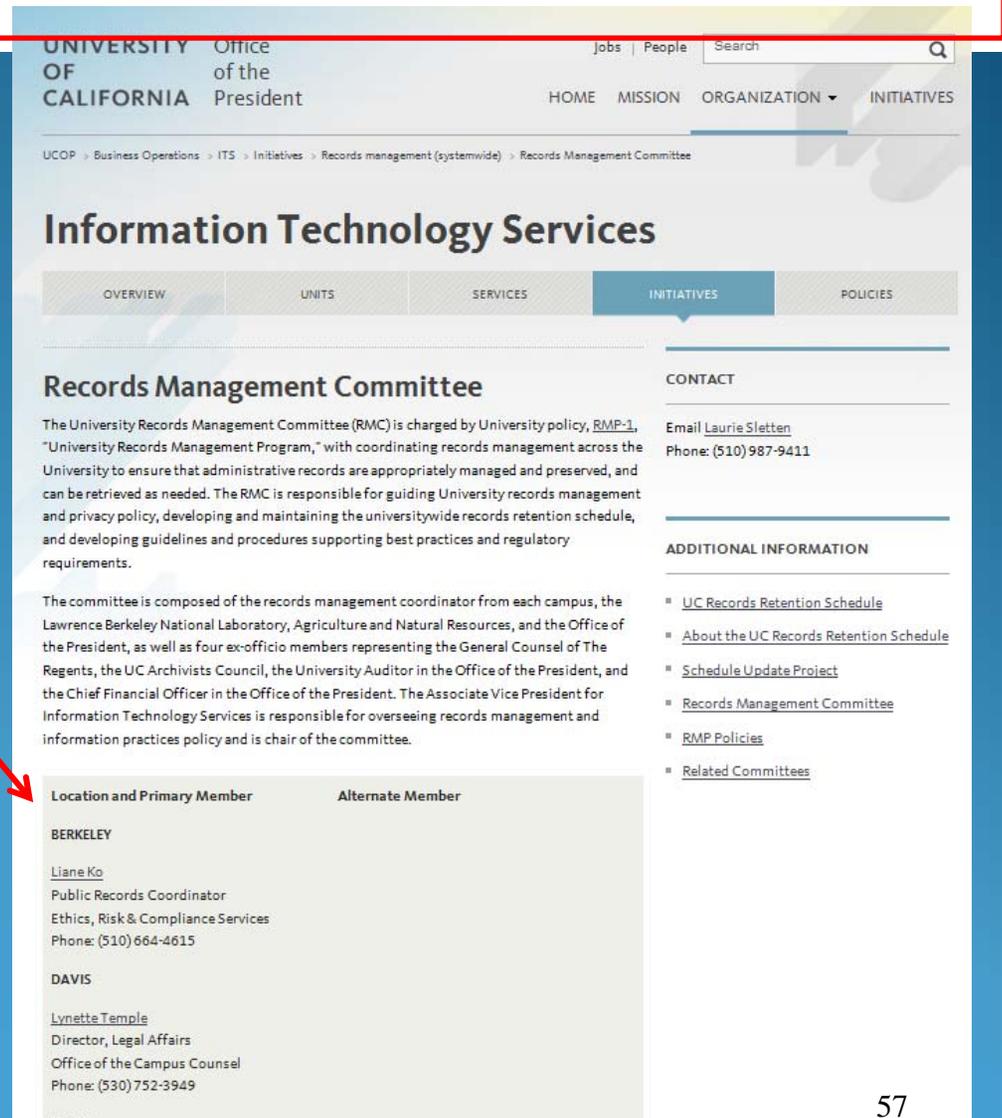
The image shows a screenshot of a video player displaying a presentation slide. The browser address bar at the top shows the URL: [http://ucop.edu/ethics-compliance-audit-services/\\_fil...](http://ucop.edu/ethics-compliance-audit-services/_fil...). The slide content includes:

- ReadyTalk** logo in the top right corner.
- University of California's Records Retention Schedule** as the main title.
- Laurie Sletten, CRM, CA  
Records Retention Schedule Manager  
UCOP Information Technology Services
- August 13, 2013
- A video player control bar at the bottom with a progress indicator showing 00:14/43:41.
- A "Scaling: On" status indicator in the bottom right corner.

A red arrow points from the text "review this webinar." in the paragraph above to the video player interface.

## About the Schedule

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UCOP > Business Operations > ITS > Initiatives > Records management (systemwide) > Records Management Committee

### Information Technology Services

OVERVIEW UNITS SERVICES INITIATIVES POLICIES

#### Records Management Committee

The University Records Management Committee (RMC) is charged by University policy, [RMP-1](#), "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 universitywide 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 Counsel of The Regents, the UC Archivists 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.

**CONTACT**

Email [Laurie Sletten](mailto:Laurie.Sletten@ucop.edu)  
Phone: (510) 987-9411

**ADDITIONAL INFORMATION**

- [UC Records Retention Schedule](#)
- [About the UC Records Retention Schedule](#)
- [Schedule Update Project](#)
- [Records Management Committee](#)
- [RMP Policies](#)
- [Related Committees](#)

Location and Primary Member	Alternate Member
<b>BERKELEY</b> <a href="#">Liane Ko</a> Public Records Coordinator Ethics, Risk & Compliance Services Phone: (510) 664-4615	
<b>DAVIS</b> <a href="#">Lynette Temple</a> Director, Legal Affairs Office of the Campus Counsel Phone: (530) 752-3949	

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### Schedule update project

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The screenshot shows a web browser window displaying the UCOP website page for the Schedule Update Project. The page header includes the University of California logo and the text 'UNIVERSITY OF CALIFORNIA Office of the President'. The breadcrumb trail is 'UCOP > Business Operations > ITS > Initiatives > Records management > Schedule Update Project'. The main heading is 'Information Technology Services' with a navigation menu containing 'OVERVIEW', 'UNITS', 'SERVICES', 'INITIATIVES', and 'POLICIES'. The 'INITIATIVES' tab is selected. The main content area is titled 'Schedule Update Project' and contains several paragraphs of text, a 'CONTACT' section with email and phone information, and an 'ADDITIONAL INFORMATION' section with a list of links. A red circle highlights the link 'See Schedule Update Project for more information.' in the text above the screenshot, and a red arrow points from this circle to the 'INITIATIVES' tab in the website's navigation menu.

**Schedule Update Project**

The University Records Management Committee (RMC) is leading an initiative to revise the existing schedule to better address the types of administrative records currently in use, to support University compliance with legal and other regulatory retention requirements, and to promote adherence to UC best practices. Questions about the schedule should be directed to the appropriate [campus records manager](#).

**Schedule update process**

The project was launched in May 2012. A records manager was hired by the Office of the President to lead the project under the RMC's direction.

To determine updated retention periods, the project lead reviews University policies and procedures, researches relevant legal requirements, and meets with functional area experts both to validate the proposed retention period and to determine if other types of records exist that should be included.

The RMC reviews the draft record category descriptions and retention periods, seeks input from campus functional experts, and suggests revisions as appropriate. After several iterations, the RMC approves the text and retention period for a particular category of records, and turns to the next category for discussion and review.

**Why update the schedule**

The existing records retention schedule is out-of-date. It was developed in the 1980s and includes now-obsolete records yet lacks many new records. It does not appropriately reflect the current business environment, advances in technology and records management practice, or current data privacy and security standards.

In addition, the format of the existing schedule is cumbersome to use. It lists specific records, such as the title of a form, rather than broad categories of

**CONTACT**

Email [Laurie Sletten](#)  
Phone: (510) 987-9411

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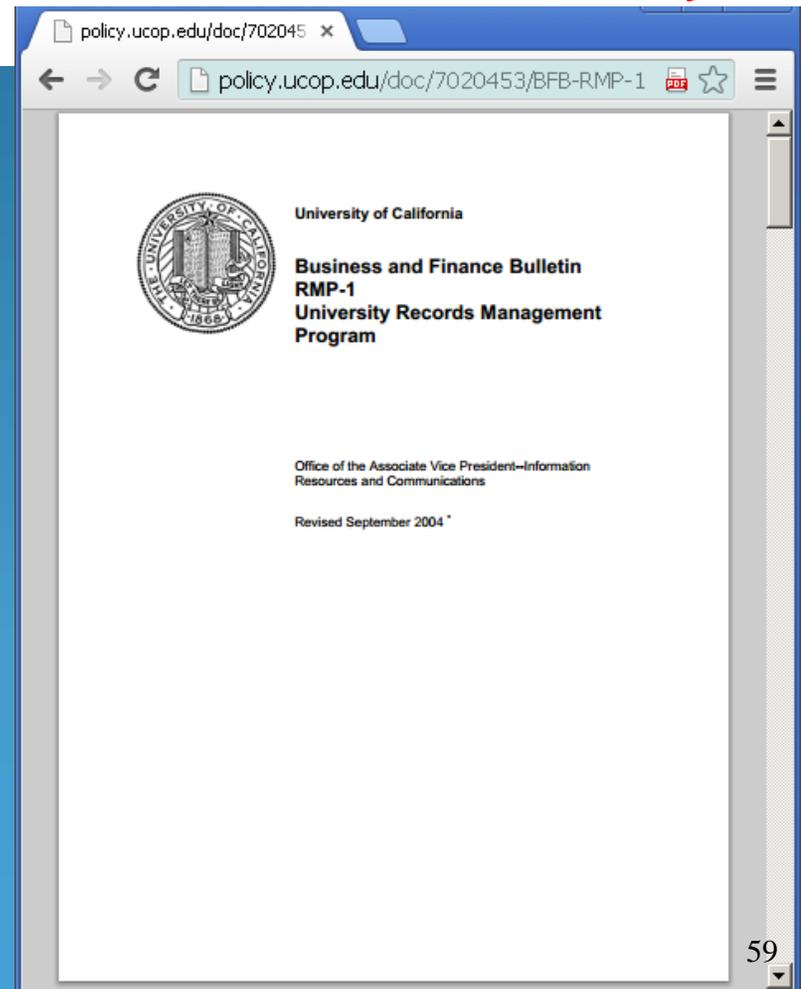
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# Results here

## Search Results:

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

5 records found for "travel"

Records Code	Function	Function Description	Category	Category Description	Sub-Category Title	Keywords	Retention Period	Retention Rule	Comments
0001*	1. General Routine Office Transitory Records	Transitory records document routine general office activities. In this context the word "routine" more...	1. General Routine Office Transitory Records	Transitory records document routine general office activities. In this context the word "routine" more...		routine internal reports, routine internal reviews, routine internal plans, letters, more...	Official Record: Retain records for no longer than one year after their administrative use more...	Delete or destroy after the retention period has lapsed	<a href="#">View</a>
0004A*	4. Human Resources Records	Human Resources Records document the human resources processes and activities of the University, mo...	A. Pre-employment and Recruitment Records	Pre-employment and Recruitment Records document the activities surrounding the selection processes more...		Pre-employment, Recruitment Records, search records, selection records, announcements records, more...	Official Record: Retain records 4 years after the end of the fiscal year in which the specific more...	Delete or destroy after the retention period has lapsed	<a href="#">View</a>
0005A1*	5. Financial and Procurement Records	These are records that document the financial and procurement activities of the University. These more...	A. Accounts Payable/Receivable and Procurement and Banking/Cash Handling Records	Accounts Payable/Receivable and Procurement and Banking/Cash Handling Records document the payment of more...	A. 1. Records used as supporting documentation for sponsored activities	Accounts Payable, Accounts Receivable, Procurement, Banking records, Cash Handling Records, more...	Official Record: Retain records for 6 years after the expiration/term of the sponsored m...	Delete or destroy after the retention period has lapsed	<a href="#">View</a>
0005A2*	5. Financial and Procurement Records	These are records that document the financial and procurement activities of the University. These more...	A. Accounts Payable/Receivable and Procurement and Banking/Cash Handling Records	Accounts Payable/Receivable and Procurement and Banking/Cash Handling Records document the payment of more...	A. 2. Records used as supporting documentation for expenditures related to bond financing more...	Accounts Payable, Accounts Receivable, Procurement, Banking records, Cash Handling Records, more...	Official Record: Retain records for 5 years after the end of the fiscal year in which the bond more...	Delete or destroy after the retention period has lapsed	<a href="#">View</a>
0005A3*	5. Financial and Procurement Records	These are records that document the financial and procurement activities of the University.	A. Accounts Payable/Receivable and Procurement and Banking/Cash Handling Records	Accounts Payable/Receivable and Procurement and Banking/Cash Handling Records	A. 3. All Other Accounts Payable/Receivable and Procurement and Banking/Cash Handling	Accounts Payable, Accounts Receivable, Procurement, Banking records, Cash	Official Record: Retain records for 4 years after the end of the fiscal year in which all activity more...	Delete or destroy after the retention period has lapsed	<a href="#">View</a>

## Suggestions on Search

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

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CALIFORNIA

Records Retention  
Schedule

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#### Search Results:

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7 records found for "lay off"

Records Code	Function	Function Description	Category	Category Description	Sub-Category Title	Keywords
0003A1*	3. Payroll and Benefits Records	Payroll and Benefits Records	A. Employee Withholding/D	Employee Withholding/D	A. 1. Non-Retirement	employee's withholding

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2 records found for "lay\*"

Records Code	Function	Function Description	Category	Category Description	Sub-Category Title	Keywords
0004C1*	4. Human Resources	Human Resources	C. Employment Related Claims	Employment Related Claims	C. 1. Employee	Claims Record

Suggestions on Search

To match an exact phrase, use quotes around the phrase

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tax record Search

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Search Results:

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157 records found for "tax record"

Records Code	Function	Function Description	Category	Category Description
0001*	1. General Routine Office Transitory	Transitory records document routine general office	1. General Routine Office Transitory	Transitory records document routine general office

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"tax record" Search

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Records Code	Function	Function Description	Category	Category Description
0003A1*	3. Payroll and Benefits Records	Payroll and Benefits Records document the	A. Employee Withholding/De... Authorizations	Employee Withholding/De... Authorizations

Suggestions on Search

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

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9 records found for "tax AND record"

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0003A1*	3. Payroll and Benefits Records	Payroll and Benefits Records	A. Employee Withholding/D	Employee Withholding/D

# Results here

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# Ok, Now what?

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New items have \* after the Records Code, have Function Descriptions, may have Sub-Category Titles, and have Comments.

Search

The items  
New items

43 records found

# Ok, Now what?

Records Code	Function	Function Description	Category	Category Description	Sub-Category Title	Keywords	Retention Period	Retention Rule	Comments
1596	Library: Acquisitions		Library Purchase/Lease Agreements	Library Purchase/Lease Agreements		Library Purchase, Library Lease Agreements	5 after expiration	Delete or destroy after the retention period has lapsed	
1600	Library: Acquisitions		Open Order Cancellation File	Open Order Cancellation File		Open Order Cancellation File	1-5	Delete or destroy after the retention period has lapsed	
1601	Library: Acquisitions		Library Donor File	Library Donor File		Library Donor File	Permanent	Permanent records	
1602	Library: Acquisitions		Library Gifts--Exchange File	Library Gifts--Exchange File		Library Gifts, Exchange File	Until superseded	Delete or destroy after the retention period has lapsed	
1344	Phys Plant: Architects & Engineers		Cost Data Sheets, by Project	Cost Data Sheets, by Project		Cost Data Sheets, project costs	10-25	Delete or destroy after the retention period has lapsed	
1345	Phys Plant: Architects & Engineers		Project Budget Control	Project Budget Control		Project Budget Control	Following completion of project - see comment section	Delete or destroy after the retention period has lapsed	<a href="#">View</a>
1346	Phys Plant:		Executive	Executive		Executive	10 after project	Permanent	<a href="#">View</a>

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. <sup>68</sup>

# Ok, Now what?

5 records found for

Records Code
0001*
0004A*
0005A1*
0005A2*
0005A3*

Records Code –  
Helps you identify  
what you are looking  
at when talking with  
someone else.  
Updated items end  
with \*.

# Ok, Now what?

5 records found for "travel"

Records Code	Function
0001*	1. General Routine Office Transitory Records
0004A*	4. Human Resources Records
0005A1*	5. Financial and Procurement Records
0005A2*	5. Financial and Procurement Records
0005A3*	5. Financial and Procurement Records

Function – This is the broad category or batch for updated items. For the other items, it is the function and category.



# *University of California Records Disposition Schedules Manual*

## **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:**

Ok, Now what?

Search

The items  
New items

5 records found for travel

Records Code	Function	Function Description
0001*	1. General Routine Office Transitory Records	Transitory records document routine general office activities. In this context the word "routine" <a href="#">more...</a>
0004A*	4. Human Resources Records	Human Resources Records document the human resources processes and activities of the University, mo...
0005A1*	5. Financial and Procurement Records	These are records that document the financial and procurement activities of the University. These <a href="#">more...</a>
0005A2*	5. Financial and Procurement Records	These are records that document the financial and procurement activities of the University. These <a href="#">more...</a>
0005A3*	5. Financial and Procurement Records	These are records that document the financial and procurement activities of the University.

Function Description – provides you with a description of the function/batch.

# Ok, Now what?

## Search Results

The items from the  
New items have

5 records found for "travel"

Records Code	Function	Function Description	Category
0001*	1. General Routine Office Transitory Records	Transitory records document routine general office activities. In this context the word "routine" more...	1. General Routine Office Transitory Records
0004A*	4. Human Resources Records	Human Resources Records document the human resources processes and activities of the University, mo...	A. Pre-employment and Recruitment Records
0005A1*	5. Financial and Procurement Records	These are records that document the financial and procurement activities of the University. These more...	A. Accounts Payable/Receivable Procurement and Banking/Cash Handling Records
0005A2*	5. Financial and Procurement Records	These are records that document the financial and procurement activities of the University. These more...	A. Accounts Payable/Receivable Procurement and Banking/Cash Handling Records
0005A3*	5. Financial and Procurement Records	These are records that document the financial and procurement activities of the University.	A. Accounts Payable/Receivable Procurement and Banking/Cash Handling Records

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

# Ok, Now what?

## Search Results

The items from the  
New items have

5 records found for "travel"

Records Code	Function	Function Description	Category	Category Description
0001*	1. General Routine Office Transitory Records	Transitory records document routine general office activities. In this context the word "routine" <a href="#">more...</a>	1. General Routine Office Transitory Records	Transitory records document routine general office activities. In this context the word "routine" <a href="#">more...</a>
0004A*	4. Human Resources Records	Human Resources Records document the human resources processes and activities of the University, <a href="#">mo...</a>	A. Pre-employment and Recruitment Records	Pre-employment and Recruitment Records document the activities surrounding the selection processes <a href="#">more...</a>
0005A1*	5. Financial and Procurement Records	These are records that document the financial and procurement activities of the University. <a href="#">These more...</a>	A. Accounts Payable/Receivable Procurement and Banking/Cash Handling Records	Accounts Payable/Receivable Procurement and Banking/Cash Handling Records document the payment of <a href="#">more...</a>
0005A2*	5. Financial and Procurement Records	These are records that document the financial and procurement activities of the University. <a href="#">These more...</a>	A. Accounts Payable/Receivable Procurement and Banking/Cash Handling Records	Accounts Payable/Receivable Procurement and Banking/Cash Handling Records document the payment of <a href="#">more...</a>
0005A3*	5. Financial and Procurement Records	These are records that document the financial and procurement activities of the University.	A. Accounts Payable/Receivable Procurement and Banking/Cash Handling Records	Accounts Payable/Receivable Procurement and Banking/Cash Handling Records

Category Description – For updated items, this describes the sub-function. For the other items it is the record name again.

# Ok, Now what?

## Search Results

The items from the  
New items have

5 records found for "travel"

Records Code	Function	Function Description	Category	Category Description	Sub-Category Title
0001*	1. General Routine Office Transitory Records	Transitory records document routine general office activities. In this context the word "routine" <a href="#">more...</a>	1. General Routine Office Transitory Records	Transitory records document routine general office activities. In this context the word "routine" <a href="#">more...</a>	
0004A*	4. Human Resources Records	Human Resources Records document the human resources processes and activities of the University, mo...	A. Pre-employment and Recruitment Records	Pre-employment and Recruitment Records document the activities surrounding the selection processes <a href="#">more...</a>	
0005A1*	5. Financial and Procurement Records	These are records that document the financial and procurement activities of the University. <a href="#">These more...</a>	A. Accounts Payable/Receivable Procurement and Banking/Cash Handling Records	Accounts Payable/Receivable Procurement and Banking/Cash Handling Records document the payment of <a href="#">more...</a>	A. 1. Records used as supporting documentation for sponsored activities
0005A2*	5. Financial and Procurement Records	These are records that document the financial and procurement activities of the University. <a href="#">These more...</a>	A. Accounts Payable/Receivable Procurement and Banking/Cash Handling Records	Accounts Payable/Receivable Procurement and Banking/Cash Handling Records document the payment of <a href="#">more...</a>	A. 2. Records used as supporting documentation for expenditure-related to bond financing <a href="#">more...</a>
0005A3*	5. Financial and Procurement Records	These are records that document the financial and procurement activities of the University.	A. Accounts Payable/Receivable Procurement and Banking/Cash Handling Records	Accounts Payable/Receivable Procurement and Banking/Cash Handling Records	A. 3. All Other Accounts Payable/Receivable Procurement and Banking/Cash Handling

Sub-Category Title – When needed, this drills down into the sub-function to the specific records.

# Ok, Now what?

Keywords – We have added keywords to help you search for the records. We can add more when needed.

Keywords	Retention Period	Retention Rule	Comments
routine internal reports, routine internal reviews, routine internal plans, letters, <a href="#">more...</a>	Official Record: Retain records for no longer than one year after their administrative use <a href="#">more...</a>	Delete or destroy after the retention period has lapsed	<a href="#">View</a>
Pre-employment, Recruitment Records, search records, selection records, announcements records, <a href="#">more...</a>	Official Record: Retain records 4 years after the end of the fiscal year in which the specific <a href="#">more...</a>	Delete or destroy after the retention period has lapsed	<a href="#">View</a>
Accounts Payable, Accounts Receivable, Procurement, Banking records, Cash Handling Records, <a href="#">more...</a>	Official Record: Retain records for 6 years after the expiration/ter... of the sponsored m...	Delete or destroy after the retention period has lapsed	<a href="#">View</a>
Accounts Payable, Accounts Receivable, Procurement, Banking records, Cash Handling Records, <a href="#">more...</a>	Official Record: Retain records for 5 years after the end of the fiscal year in which the bond <a href="#">more...</a>	Delete or destroy after the retention period has lapsed	<a href="#">View</a>
Accounts Payable, Accounts Receivable, Procurement, Banking records, Cash	Official Record: Retain records for 4 years after the end of the fiscal year in which all activity <a href="#">more...</a>	Delete or destroy after the retention period has lapsed	<a href="#">View</a>

# Ok, Now what?

Retention Period –  
This will give the  
retention period  
for the Official  
Record and All  
Other Copies.

Retention Period	Retention Rule	Comments
Official Record: Retain records for no longer than one year after their administrative use <a href="#">more...</a>	Delete or destroy after the retention period has lapsed	<a href="#">View</a>
Official Record: Retain records 4 years after the end of the fiscal year in which the specific <a href="#">more...</a>	Delete or destroy after the retention period has lapsed	<a href="#">View</a>
Official Record: Retain records for 6 years after the expiration/ter... of the sponsored m...	Delete or destroy after the retention period has lapsed	<a href="#">View</a>
Official Record: Retain records for 5 years after the end of the fiscal year in which the bond <a href="#">more...</a>	Delete or destroy after the retention period has lapsed	<a href="#">View</a>
Official Record: Retain records for 4 years after the end of the fiscal year in which all activity <a href="#">more...</a>	Delete or destroy after the retention period has lapsed	<a href="#">View</a>

# Ok, Now what?

Retention Rule –  
This will tell you  
whether the record  
will need to be  
retained  
permanently or not.

Retention Rule	Comments
Delete or destroy after the retention period has lapsed	<a href="#">View</a>
Delete or destroy after the retention period has lapsed	<a href="#">View</a>
Delete or destroy after the retention period has lapsed	<a href="#">View</a>
Delete or destroy after the retention period has lapsed	<a href="#">View</a>
Delete or destroy after the retention period has lapsed	<a href="#">View</a>

# 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.

Keywords

Retention  
Period

Retention Rule

Comments

[View](#)

[View](#)

[View](#)

[View](#)

Records Code	Function	Function Description	Category	Category Description	Sub-Category Title	Keywords	Retention Period	Retention Rule	Comments
0001*	1. General Routine Office Transitory Records	Transitory records document routine general office activities. In this context the word "routine" <a href="#">more...</a>	<a href="#">1. General Routine Office Transitory Records</a>	Transitory records document routine general office activities. In this context the word "routine" <a href="#">more...</a>		routine internal reports, routine internal reviews, routine internal plans, letters, <a href="#">more...</a>	Official Record: Retain records for no longer than one year after their administrative use <a href="#">more...</a>	Delete or destroy after the retention period has lapsed	<a href="#">View</a>
0002A*	2. Program Administration Records	Program administration records document the activities involved in managing and/or running the <a href="#">more...</a>	<a href="#">A. Program administration records of enduring historical value</a>	A. Program administration records of enduring historical value are those significant records that <a href="#">more...</a>		academic plans, long range development plans, policy, policies, letters, acknowledge...	Official Record: Permanent, subject to University Archives review. Coordinate the transfer of <a href="#">more...</a>	Permanent records	<a href="#">View</a>
0002B*	2. Program Administration Records	Program administration records document the activities involved in managing and/or running the <a href="#">more...</a>	<a href="#">B. Operational program administration records</a>	Operational program administration records do not have enduring historical value, but serve to <a href="#">more...</a>		letters, acknowledge... memos, notes, transmittals, e-mail messages, demonstrate ...	Official Record: Retain records 5 years after the end of the fiscal year in which the records are <a href="#">more...</a>	Delete or destroy after the retention period has lapsed	<a href="#">View</a>
0003A1*	3. Payroll and Benefits Records	Payroll and Benefits Records document the payroll and non-	<a href="#">A. Employee Withholding/D... Authorizations and Individual Payroll Earnings</a>	Employee Withholding/D... Authorizations and Individual Payroll Earnings	A. 1. Non-Retirement Benefit Election or Enrollment Records	employee's withholding allowance certificates, W-4, tax forms, non-	Official Record: Retain records for 50 years after the end of fiscal year in which the	Delete or destroy after the retention period has lapsed	<a href="#">View</a>

Click on hyper-links – get extended results

Records Code	Function	Function Description	Category	Category Description	Sub-Category Title	Keywords	Retention Period
0001*	1. General Routine Office Transitory Records	Transitory records document routine general office activities. In this context the word "routine" <a href="#">more...</a>	<a href="#">1. General Routine Office Transitory Records</a>	Transitory records document routine general office activities. In this context the word "routine" <a href="#">more...</a>		routine internal reports, routine internal reviews, routine internal plans, letters, <a href="#">more...</a>	Official Record Retain record for no longer than one year after their administrative use <a href="#">more...</a>
0002A*	2. Program Administration Records	Program administration records document the activities involved in managing	<a href="#">A. Program administration records of enduring historical value</a>	A. Program administration records of enduring historical value are those significant		academic plans, long range development plans, policy, policies, letters, acknowledge...	Official Record Permanent, subject to University Archives review Coordinate transfer

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, 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.

#### 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 committees 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

Keywords	Retention Period	Retention Rule	Comments
routine internal reports, routine internal reviews, routine internal plans, letters, <a href="#">more...</a>	Official Record: Retain records for no longer than one year after their administrative use <a href="#">more...</a>	Delete or destroy after the retention period has lapsed	<a href="#">View</a>
academic plans, long range development plans, policy, policies, letters, acknowledge...	Official Record: Permanent, subject to University Archives review. Coordinate the	Permanent records	<a href="#">View</a>
employee's withholding allowance certificates, W-4, tax forms, non-	Official Record: Retain records for 50 years after the end of fiscal year in which the	Delete or destroy after the retention period has lapsed	<a href="#">View</a>

**Click on the  
comments hyper-link  
–get the comments**

Records Code	Function	Function Description	Category	Category Description	Sub-Category Title	Keywords	Retention Period	Retention Rule	Comments
0006C*	6. Compliance Records	Compliance Records document the compliance processes and activities of the University, such as <a href="#">more...</a>	<a href="#">C. Compliance Certification Records</a>	Compliance Certification Records document when the University has met a regulation or law that more...		Compliance Certification Records, conformity, Child Abuse and Neglect Reporting Act, <a href="#">CANRA, more...</a>	Official Record: Retain records until superseded or 5 years after the end of the fiscal year in more...	Delete or destroy after the retention period has lapsed	<a href="#">View</a>

**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

---



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### Search the Records Retention Schedule

- 1. General Routine Office Transitory Records
- 2. Program Administration Records
- 3. Payroll and Benefits Records
- 4. Human Resources Records
- 5. Financial and Procurement Records
- 6. Compliance Records
- Admin: Agreements
- Admin: Applications, Requests

Click on the category or categories you want.

Click on Search.

SEARCH

## Search Results:

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

12 records found

Records Code	Function	Function Description	Category	Category Description	Sub-Category Title	Keywords	Retention Period	Retention Rule	Comments
0004A*	4. Human Resources Records	Human Resources Records document the human resources processes and activities of the University, mo...	<a href="#">A. Pre-employment and Recruitment Records</a>	Pre-employment and Recruitment Records document the activities surrounding the selection processes <a href="#">more...</a>		Pre-employment, Recruitment Records, search records, selection records, announcements records, <a href="#">more...</a>	Official Record: Retain records 4 years after the end of the fiscal year in which the specific <a href="#">more...</a>	Delete or destroy after the retention period has lapsed	<a href="#">View</a>
0004B1*	4. Human Resources Records	Human Resources Records document the human resources processes and activities of the University, mo...	<a href="#">B. Individual Employee Employment and Interns, Volunteers and Contingent Workers Records</a>	Individual Employee Employment and Interns, Volunteers and Contingent Workers Records document mo...	B. 1. Mandatory training and other professional/s... development records	training, professional development, staff development, Employee Training, Faculty Training, <a href="#">more...</a>	Official Record: Retain records for 5 years after the end of the fiscal year in which the training <a href="#">more...</a>	Delete or destroy after the retention period has lapsed	<a href="#">View</a>
0004B2*	4. Human Resources Records	Human Resources Records document the human resources processes and activities of the University, mo...	<a href="#">B. Individual Employee Employment and Interns, Volunteers and Contingent Workers Records</a>	Individual Employee Employment and Interns, Volunteers and Contingent Workers Records document mo...	B. 2. Background Check Records	Candidate Background Check, background check records, on-boarding records, Background check, <a href="#">more...</a>	Official Record: Retain records for 5 years after the end of the fiscal year in which <a href="#">more...</a>	Delete or destroy after the retention period has lapsed	<a href="#">View</a>
0004B3*	4. Human Resources Records	Human Resources Records document the human resources processes and activities of the University, mo...	<a href="#">B. Individual Employee Employment and Interns, Volunteers and Contingent Workers Records</a>	Individual Employee Employment and Interns, Volunteers and Contingent Workers Records document mo...	B. 3. Intern, Volunteer and Contingent	Interns, Volunteers, Contingent	Official Record: Retain records for 3 years after the end of the fiscal year in which the <a href="#">more...</a>	Delete or destroy after the retention period has lapsed	<a href="#">View</a>

# You will see all items in the schedule

UNIVERSITY  
OF  
CALIFORNIA

Records  
Schedule

## 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 ""

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

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Results here



Management | Information Techno  
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retention\_schedule (43).xls - Microsoft Excel

A	B	C	D	E	F	G	H
Records	Function	Function Description	Category	Category Description	Sub-Category Title	Keywords	Retention Period
0001*	1. 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.	1. 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: <ul style="list-style-type: none"> <li>• 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;</li> <li>• ordinary, commonplace communications found in letters, acknowledgements, memos, notes, postcards, transmittals, voice-mail messages, e-mail messages and other routine messages, regardless of media;</li> <li>• office support records, such as</li> </ul>		routine internal reports, routine internal reviews, routine internal plans, letters, acknowledgements, e-mail messages, routine messages, office support records, logs, internal requests, administrative committees members records, unsolicited job applications, supplies, office services, routine projects, source documents, data input records, scanned documents, acknowledgement, administrative procedures, correspondence, email, e-mail, Fax, general correspondence, informal letter, internal correspondence, internal letter, internal notes, internal plans, internal reports, internal reviews, letter, memo, memoranda, memos, messages, notes, office administration, office equipment, office personnel training, office procedures, Office Schedule, office schedules, office supply, office supply inventory, phone logs, postcards, routine procedures, source documents for data input, source documents for scanning, staffing, supply records, telephone logs, transitory email, transitory records, transmittals, travel	Official Record: Retain 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.
0002A*	2. Program Administration Records	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.	A. Program administration records of enduring historical value	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. Their transfer must be coordinated with the archives.		academic plans, long range development plans, policy, policies, letters, acknowledgements, memos, notes, e-mail messages, procedures, directives, general orders, program case files, strategic plans, organizational charts, functional statements, reorganization, studies, high-profile reports, watershed reports, noteworthy reports, annual reports, special projects records, historical records, official minutes, agendas, final reports, bylaws, official committee	Official Record: Permanent, subject University Archives review. Coord the transfer of these records to the University Archives when no longer needed for current operational business. All Other Copies: Unless found elsewhere in the records retention schedule, the copies identified above in the records, agendas, final reports, bylaws, and historically significant records create all official committees or working groups, including advisory and ad-hoc

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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 engaged 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 changes occur.

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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 a 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.

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Information Technology Services

- OVERVIEW UNITS SERVICES INITIATIVES POLICIES

Records Management Committee

The University Records Management Committee (RMC) is charged by University policy, RMP-1, "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 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 Counsel of The Regents, the UC Archivists Council, the University Auditor in the Office of the President, and the Chief Financial Officer in the Office of the President.

CONTACT

Email Laurie Sletten
Phone: (510) 987-9411

ADDITIONAL INFORMATION

- UC Records Retention Schedule
About the UC Records Retention Schedule
Schedule Update Project
Records Management Committee
RMP Policies
Related Committees

Table with 2 columns: Location and Primary Member, Alternate Member. Rows include Berkeley (Liane Ko) and Davis (Lynette Temple).

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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 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.

### 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](#).

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 records retention schedule. See <http://library1.du.edu/site/about/urmp/recordsAuthority.php> and <http://code.google.com/p/records-authority/> for more information.

These hyper-links work as well

# 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>)

# Information Technology Services

- OVERVIEW
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## INITIATIVES

- Digital copyright
- Electronic accessibility
- IT communications
- Information Technology Leadership Council
- Privacy & information security
- Records management (systemwide)
- Records retention management (UCOP)**
- Sautter Award Program
- Technology Asset Management Program (UCOP)
- UC Information Security

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 useable to support decisionmaking and programs, clarify obligations, and protect rights and privileges. When the records' retention period has lapsed, 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)

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 1 \(pdf\)](#)
- [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](mailto:bgee@chanoff.ucsf.edu)**

# Questions on this project?

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