

Trash or Treasure?

Records Compliance Week Starts August 4 -

Learn what to do
with your records

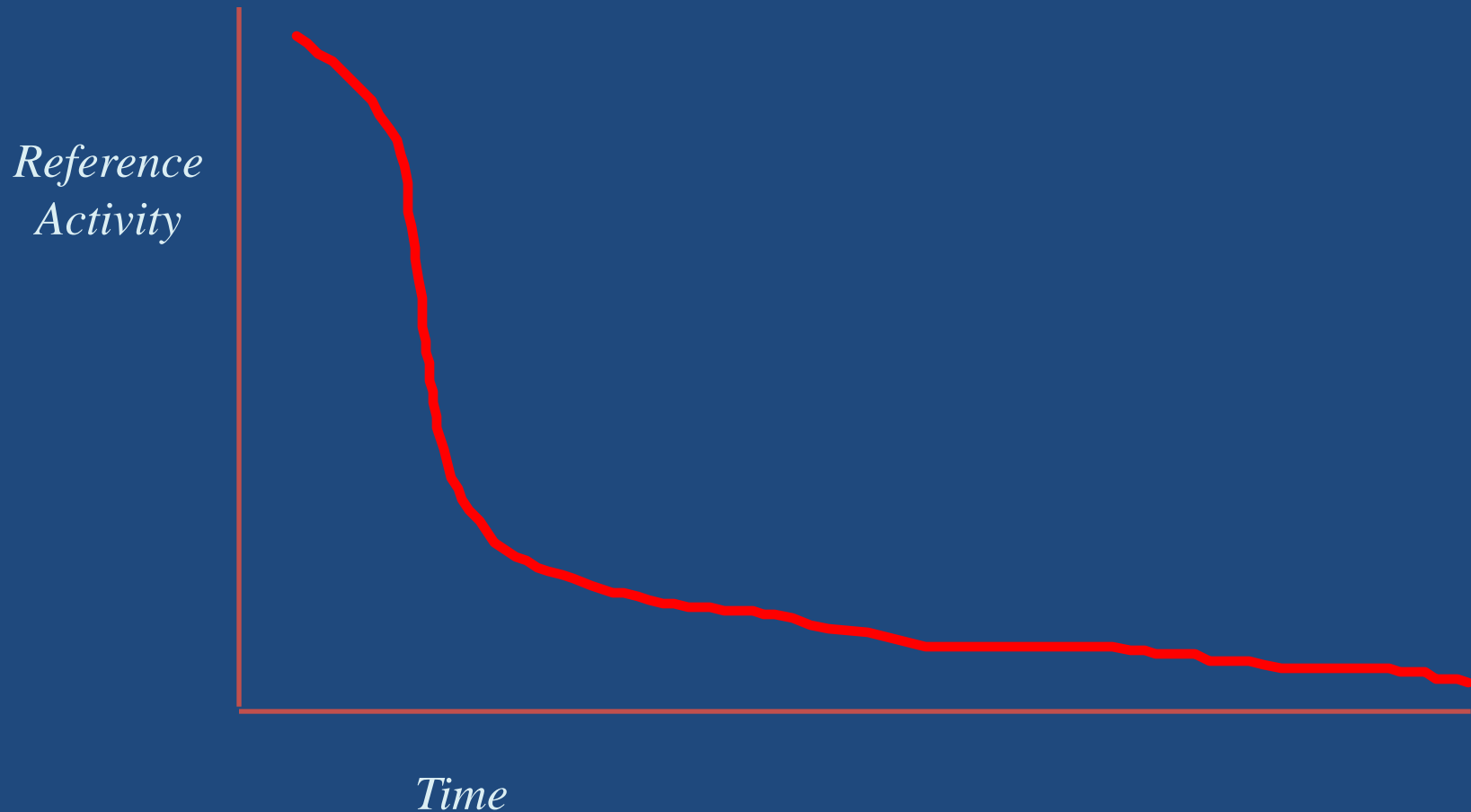
Step 1: Look for Inactive Records.

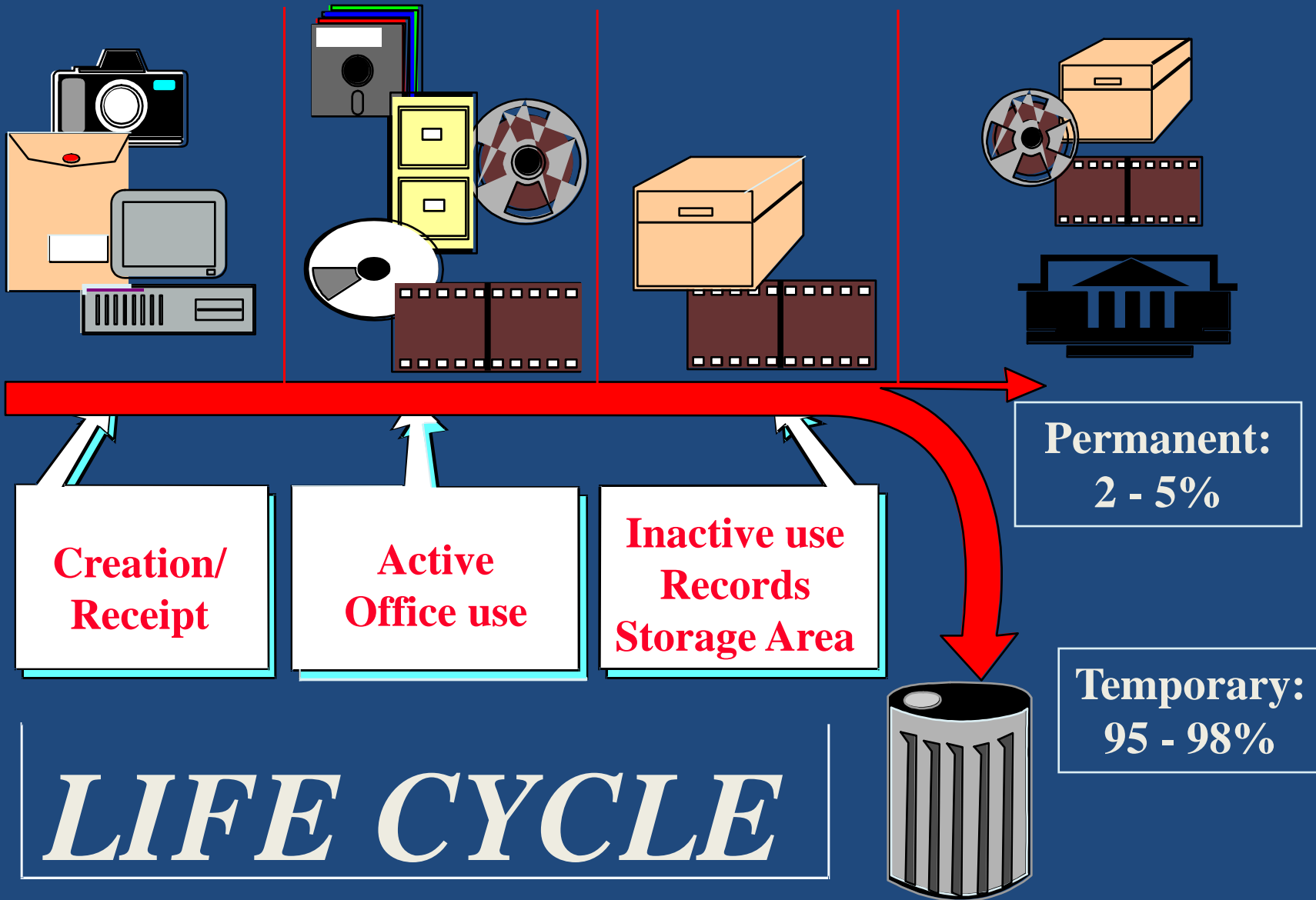
What is an Inactive Record?

Inactive Record: A record that is no longer necessary for the conduct of current business, but has not yet reached the end of its retention period.

Business and Finance Bulletin RMP-2 Records retention and disposition: principles, processes, and guidelines

Active/Inactive records





Step 2: You have found your inactive records.

- Find the retention period for the records on the UC Records Retention Schedule.

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Per University policy, RMP-1, "University Records Management Program," and except as superseded by federal laws and regulations, and university contracts, the retention schedule applies to all administrative records, regardless of their medium, owned by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

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

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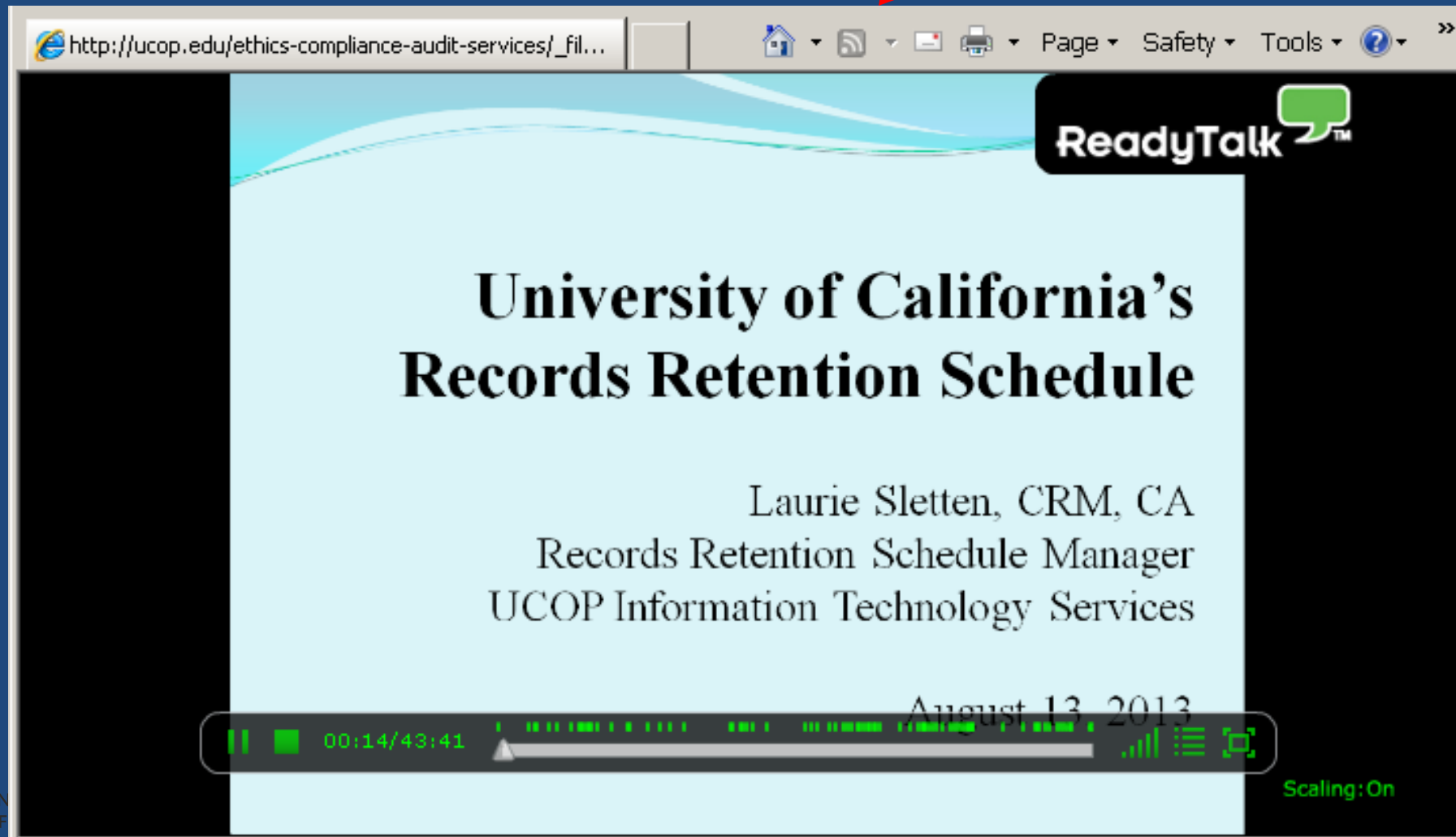
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The screenshot shows a web browser window with the address bar displaying http://ucop.edu/ethics-compliance-audit-services/_fil.... The browser's toolbar includes icons for home, RSS, email, and print, along with dropdown menus for Page, Safety, and Tools. The video player content features a light blue background with a white wave graphic at the top. In the top right corner of the video area, there is a 'ReadyTalk' logo. The main title of the video is 'University of California's Records Retention Schedule' in a large, bold, black serif font. Below the title, the presenter's name and title are listed: 'Laurie Sletten, CRM, CA', 'Records Retention Schedule Manager', and 'UCOP Information Technology Services'. At the bottom right of the video area, the date 'August 13, 2013' is displayed. A video control bar is visible at the bottom of the player, showing a play button, a progress bar with the time '00:14/43:41', and various control icons. The text 'Scaling: On' is visible in the bottom right corner of the browser window.

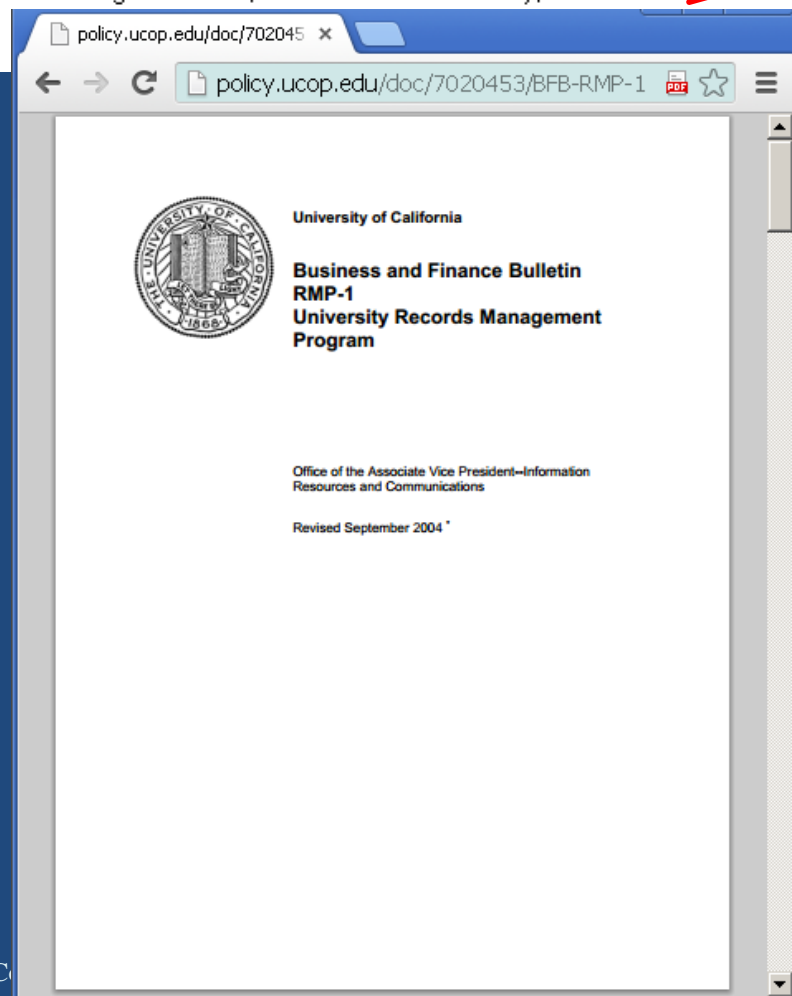
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Results here

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	View
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	View
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	View
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	View
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	View

Suggestions on Search

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

UNIVERSITY OF CALIFORNIA

Records Retention Schedule

SEARCH THE SCHEDULE

Search

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

UNIVERSITY OF CALIFORNIA

Records Retention Schedule

SEARCH THE SCHEDULE

Search

SEARCH RESULTS:

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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	Employment	C. 1. Employee	Claims Record

Suggestions on Search

To match an exact phrase, use quotes around the phrase.

SEARCH THE SCHEDULE

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

SEARCH THE SCHEDULE

"tax record" Search

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7 records found for ""tax record""

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.

SEARCH THE SCHEDULE

tax record Search

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tax AND record Search

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9 records found for "tax AND record"

Records Code	Function	Function Description	Category	Category Description
0003A1*	3. Payroll and Benefits Records	Payroll and Benefits Records	A. Employee Withholding/D	Employee Withholding/D

Results here. You can sort by each column by clicking on it

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5 records found for "travel"

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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	View
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	View
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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 *.

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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.

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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.

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

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

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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...	
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	Accounts Payable/Receivable Procurement and Banking/Cash Handling Records document the payment of more...	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. These more...	A. Accounts Payable/Receivable Procurement and Banking/Cash Handling Records	Accounts Payable/Receivable Procurement and Banking/Cash Handling Records document the payment of more...	A. 2. Records used as supporting documentation for expenditure related to bond financing more...
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.

Search Results:

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

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, 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	View
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	View
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	View
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	View
Accounts Payable, Accounts Receivable, Procurement, Banking records, Cash Handling records, more...	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	View

Search Results:

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

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 more...	Delete or destroy after the retention period has lapsed	View
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	View
Official Record: Retain records for 6 years after the expiration/ter... of the sponsored m...	Delete or destroy after the retention period has lapsed	View
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	View
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	View

Search Results:

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

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	View
Delete or destroy after the retention period has lapsed	View
Delete or destroy after the retention period has lapsed	View
Delete or destroy after the retention period has lapsed	View
Delete or destroy after the retention period has lapsed	View

Sub-Category
Title

Keywords

Retention
Period

Retention Rule

Comments

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.

[View](#)

[View](#)

[View](#)

[View](#)

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

		Description		Description	Title		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	View
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, policy, acknowledg...	Official Record: Permanent, subject to University Archives review. Coordinate the transfer of more...	Permanent records	View
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, acknowledg... 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 more...	Delete or destroy after the retention period has lapsed	View
0003A1*	3. Payroll and Benefits Records	Payroll and Benefits Records document the payroll and non-	A. Employee Withholding/D... Authorizations and Individual Payroll Earnings	Employee Withholding/D... Authorizations and Individual Payroll Earnings	A. 1. Non-Retirement Benefit Election	employee's withholding allowance	Official Record: Retain records for 50 years after	Delete or destroy after the retention period	View

Click on the comments hyper-link –get the comments

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" 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 record for no longer than one year after their administrative use more...
0002A*	2. Program Administration Records	Program administration records document the activities involved in managing	A. Program administration records of enduring historical value	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

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

Click on these hyperlinks

• 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.

• 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. 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 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. Properly manage records of longer term value.

2013-07-11 18:25:17

Some of these records may have restricted information (regardless of media access, disclosure and disposition, in accordance with California and Federal laws. Restricted information is defined in UC Business and Policy IS-2: (name plus Social Security Number, identification card number, financial account

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:

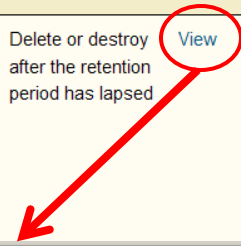
- grouped with related records into classifications according to operational needs,
- retrieved easily and in a timely manner,
- retained in a usable format for the required retention period found in an approved records retention schedule, on-going investigation or legal action,
- accessed by individuals 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

Keywords	Retention Period	Retention Rule	Comments
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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	View
--	--	---	----------------------

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 more...	C. Compliance Certification Records	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, CANRA, more...	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	View



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

SEARCH THE SCHEDULE

Search

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RESOURCES

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

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

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

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. 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	View
0004B1*	4. Human Resources Records	Human Resources Records document the human resources processes and activities of the University, mo...	B. Individual Employee Employment and Interns, Volunteers and Contingent Workers Records	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, more...	Official Record: Retain records for 5 years after the end of the fiscal year in which the training more...	Delete or destroy after the retention period has lapsed	View
0004B2*	4. Human Resources Records	Human Resources Records document the human resources processes and activities of the University, mo...	B. Individual Employee Employment and Interns, Volunteers and Contingent Workers Records	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, more...	Official Record: Retain records for 5 years after the end of the fiscal year in which more...	Delete or destroy after the retention period has lapsed	View
0004B3*	4. Human Resources Records	Human Resources Records	B. Individual Employee Employment	Individual Employee Employment	B. 3. Intern, Volunteer and Contingent	Interns, Volunteers, Contingent	Official Record: Retain records for 3 years after	Delete or destroy after the retention period	View

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	View
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, policies, more...	Official Record: Permanent, subject to University Archives review. Coordinate the transfer of more...	Permanent records	View
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	View

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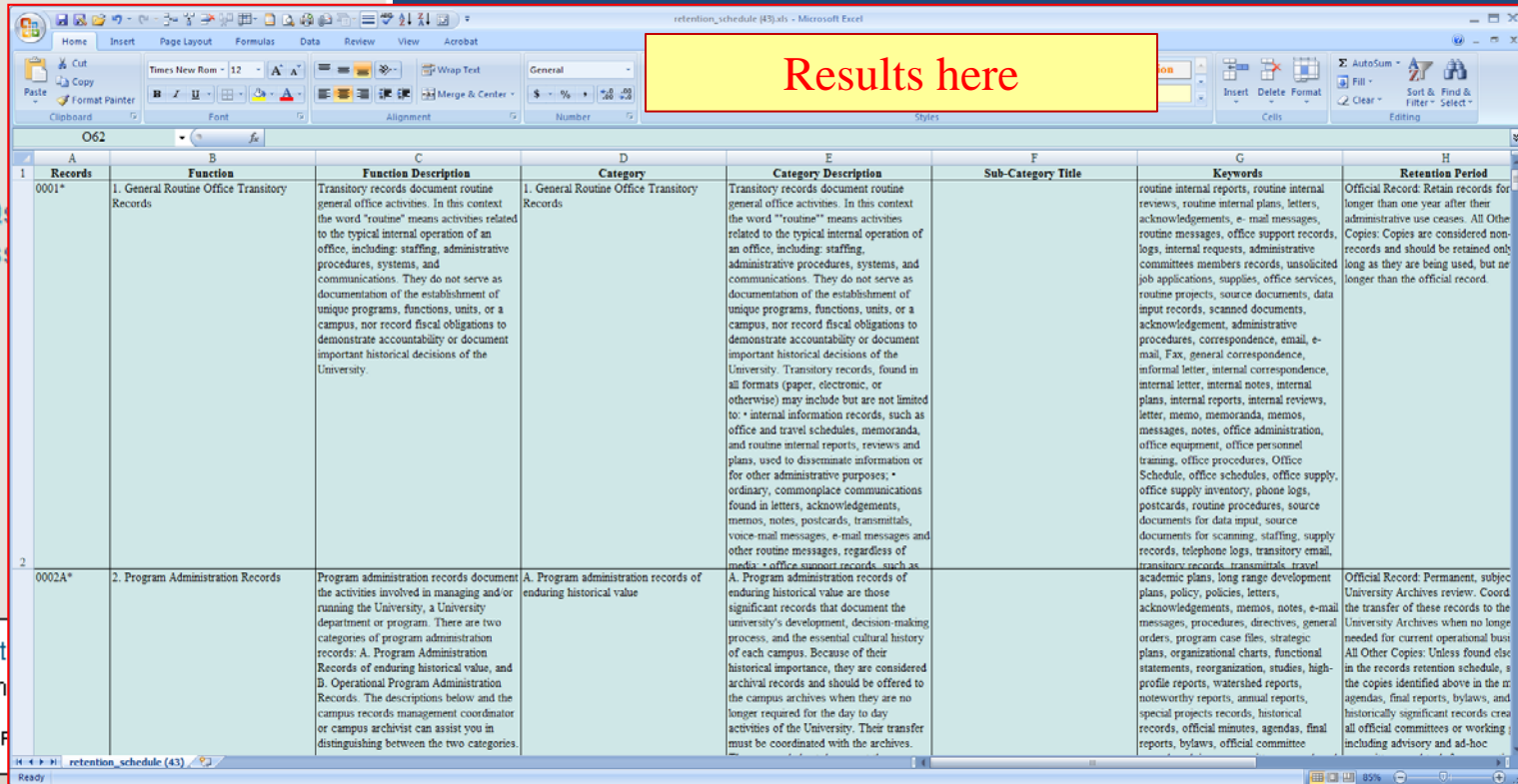
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[8/1/2013 \(PDF\)](#)



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: • 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 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.		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			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 to University Archives review. Coord the transfer of these records to the University Archives when no longer needed for current operational bus All Other Copies: Unless found else in the records retention schedule, s the copies identified above in the r agendas, final reports, bylaws, and historically significant records crea all official committees or working including advisory and ad-hoc



Waiting for recordsretention.uscp.edu...

retention_schedule

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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 ensuring that records are retained in this Bulletin."

Per RMP-1, the schedule does not apply

- Administrative records held by the
- Teaching and research records (e.g., teaching materials, student exams)
- Records pertaining to individual

How do I use the UC Records Retention Schedule?

Search by typing into the search box key words you are looking for, or browse one of the following:

- Full schedule
- Category

The record items have hyperlinks that you can click on.

Can I obtain a schedule of just the records that I need?

You can click on Print Full Schedule and Print Schedule. However, be sure to regularly check the schedule for updates.

Will UC continue to update its retention schedule?

Yes. UC is engaged in a phased project to reformatting the structure of the schedule application in which the schedule is presented. When the new schedule is published, it is immediately effective and supersedes any previously published version.

The University Records Management Committee reviews legislative, regulatory, or business practice changes that may affect the schedule.

UC Records Retention Schedule Glossary

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

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

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

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

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

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

Preservation hold – see Records freeze.

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

If you need help:

- Laurie.Sletten@ucop.edu
- Phone: (510) 987-9411

Step 3: The retention period for your inactive records has not lapsed:

- Store those with unexpired retention periods at the commercial records center, Recall.

Storing Records Off-site –Tips

- To facilitate retrievals only records of the same project, type, or subject should be packed into any one box.
- To facilitate final disposition only records with the same disposition date should be packed into any one box.
- Standard records storage containers should be used for records storage. The container holds approximately one cubic foot of records and measures 12 in. wide x 15 in. long x 10 in. high.

Storing Records Off-site –Tips

- Standard letter size records are packed on the 12 in. dimension; "legal" size records are packed on the 15 in. dimension. Boxes must not be overloaded and should weigh no more than 35 lb.
- Records should be placed on end, in an upright position, in standard records boxes.

HOW TO TRANSFER RECORDS USING STANDARD CONTAINERS

Figure 1: Box packed with letter-sized files



Figure 2: Box packed with legal-sized files



LETTER SIZE
DOCUMENTS

LEGAL SIZE
DOCUMENTS

INFORMATIONAL SERIES

Storing Records Off-site –Tips

- It is advisable to keep records in their original folders to help facilitate access.
- Double check your boxes to make sure that all records are facing the same direction and are easily identifiable.

Storing Records Off-site –Tips

- Hanging folders or binders should not be placed in the boxes as they take up space and are not economical.
- Leave 1 to 2 inches of space in each box to accommodate handling of the records.
- One 36-inch lateral filing drawer of records will fill the space in a little more than 2 boxes

Storing Records Off-site –Tips

- Do not use rubber bands to secure the records as rubber bands deteriorate over time.
- Do not lay records on top of each other in the box.
- Records should be in a searchable order within the box.

Storing Records Off-site –Tips

- Barcode labels and transmittal sheets may be obtained by contacting Mail Services.
- Every box must be labeled with a pre-printed label. Each label carries a unique number found in a barcode. This number will be the number you will use to retrieve the box.
- Three items on the label need to be completed.

Barcode Label Information

- Dept/Cost Center: The assigned 3 to 5 code for your department or unit.
- Destruction Date: No records will be destroyed without appropriate approval. Enter the 2-digit month and 2-digit year when the contents are to be destroyed according to the UC Records Retention Schedule.
- Description: Provide a brief (up to 60 characters) description of the box contents.
- Be sure the box label and/or box description does not contain information that would reveal confidential information.

Storing Records Off-site –Tips

- Remove labels, Post-its, etc., from the box.
- Place the barcode label on the lower right corner of the front of the box.
- The “front” of the box is either of the two panels with a handle hole. If one of the handle holed panels has a glued or stapled end, that panel should be the back of the box.

Transmittal Sheet

- Put a description on the transmittal sheet.
- There should be adequate information on the transmittal, or another record kept in the unit, to allow future staff to retrieve the correct box from storage and to decide on the ultimate disposal of the box.
- Units should review the UC Records Retention Schedule and identify the records with that information in the description.
- Be sure the box description does not contain information that would reveal confidential information.

Storing Records Off-site –Tips

- When ready for pickup, send the top (white) copy of all transmittal sheets to Mail Services, 6th floor, Franklin. Mail Services will schedule the pick-up for the next available time, usually within two working days.
- Mail Services coordinates retrievals of boxes from storage. Standard turnaround for requests is next-day delivery.
 - E-mail mailroom@ucop.edu.
 - Provide the barcode number(s)
 - Provide the address for delivery

Storing Records Off-site –Tips

- Records kept off-site should be reviewed annually to determine whether the retention period has been met and disposition can proceed.
- Out of Sight does NOT mean Out of Mind!

- For more information:
[Storing Records Off-Site at a Commercial Records Center](http://www.ucop.edu/building-administrative-services/services/records-storage.html)
(<http://www.ucop.edu/building-administrative-services/services/records-storage.html>)

Contact information for Mail Services

- E-mail mailroom@ucop.edu
- Phone: (510) 987-0326

- Room 6315
1111 Franklin Street
Oakland, CA 94607

Step 4: The retention period for your inactive records has expired.

- Delete/destroy those with lapsed retention periods.

UNLESS . . .

You should not follow the retention schedule if there is:

- A Public Records Act Request still being satisfied;
- A 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 other 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 me about the requirement. I will work with the Records Management Committee [RMC] to change the schedule.

Are there any other 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 me to identify the needs. I can also discuss with the RMC to determine if the schedule should be changed.

What to shred

- In the comments section of the UC Records Retention Schedule, you will find information regarding the confidentiality of the records.
- Documents containing Personal, Restricted, Confidential or Sensitive Information must be securely shredded.

What to shred

Methods of disposal need to take into account the subject matter or *contents* of the records. Records containing information that, if accessed or used inappropriately, could adversely affect the university, its partners, or the public, must not be disposed of casually. Instead, such records *must be destroyed* so that they cannot practicably be read or reconstructed. In some cases, records requiring destruction may be intermingled with disposable records to such an extent that it is more cost-effective to destroy an entire group of records, rather than picking out just those for which destruction is required.

RMP-2, Appendix B

RMP-2, Appendix B

- Confidential Information
- Personal Information
- Attorney-Client Privileged Records
- Records of Outside Parties Containing Trade Secrets or Proprietary Information
- Protected Health Information
- Restricted Sensitivity Records
- Personally Identifiable Information
- More also identified in RMP-8

What about the rest?

Recycle what you can!

What else do you need to know about our Records Compliance Week?

- It is August 4-8, 2014.
- There will be shred bins and recycle barrels available.
- We hope your department will purge your records with lapsed retention periods (that are not required for any records freezes) found in your offices, the parking garage storage areas, and at Recall.

What else do you need to know about our Records Compliance Week?

- If you need help, I will be available for ½ hour consultations.
- Call me or e-mail me to set up times during that week (I am available via phone and e-mail anytime, but will be on-site those days):
 - Monday, August 4, Franklin
 - Tuesday, August 5, Kaiser
 - Thursday, August 7, 20th St

What else do you need to know about our Records Compliance Week?

- I will be contacting people about records in Recall that may be eligible for destruction (based on the Recall inventory), please take the time to verify the contents, make sure there is not a records freeze and let me know if you approve of the destruction.
- Review the Link for the article about this event: <http://link.ucop.edu/2014/07/14/more-purging-records-compliance-week-coming-aug-4/>

What else do you need to know about our Records Compliance Week?

We are holding two contests:

1. A funniest document contest: send us the oldest or most out-of-date document you find.
2. Who can come closest (without going over) to guessing how much we shredded and recycled (by weight).

E-mail your documents and guesses to:

RecordsCompliance@ucop.edu

Results will be found in the Link. Prizes will be awarded!

One Final REMINDER

You should **not** follow the retention schedule
if there is:

- A Public Records Act Request has not been satisfied;
- A 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”.

Important Websites

- ❖ [UC Records Retention Schedule](http://recordsretention.ucop.edu/) (<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) (<http://www.ucop.edu/information-technology-services/initiatives/records-retention-management/index.html>)
- ❖ [UCOP Central Records Collection Guidelines for Submission of Materials](http://www.ucop.edu/information-technology-services/services/ucop-it-services/records-management/ucop-central-records-collection-guidelines-for-submission-of-materials-.html) (<http://www.ucop.edu/information-technology-services/services/ucop-it-services/records-management/ucop-central-records-collection-guidelines-for-submission-of-materials-.html>)
- ❖ [Shredding Records](http://www.ucop.edu/building-administrative-services/services/records-shredding.html) (<http://www.ucop.edu/building-administrative-services/services/records-shredding.html>)
- ❖ [Storing Records Off-Site at a Commercial Records Center](http://www.ucop.edu/building-administrative-services/services/records-storage.html) (<http://www.ucop.edu/building-administrative-services/services/records-storage.html>)
- ❖ [UC-Wide Records Management](http://www.ucop.edu/information-technology-services/initiatives/records-management/index.html) (<http://www.ucop.edu/information-technology-services/initiatives/records-management/index.html>)

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