

**Results of an informal survey of archiving practices pertaining to the records of the Chancellors' offices.** Conducted January - February 2003 for the President's Committee on OP archives

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Five questions were sent by email to UC archivists and record managers. Responses were received from four campuses – Berkeley, Davis, Irvine, and San Diego – and are compiled here by question.

*1) Does your campus have appraisal and retention policies for the records of the Chancellors office and if so*

- do the policies exist as broad guidelines or as a detailed collection development policy?*
- could you please send us details about existing guidelines and/or policies?*

**UCB** Our files are divided into two categories: 1. Bound Folder (historical) - which are to be retained forever & 2. Temporary - which are kept for five years (from date of document) and then tossed. CCRC uses as its retention guideline both the UC Retention Guidelines and its own internal guidelines. Our internal guidelines are based on personal historical experience in responding to request for documents.

**UCD** No official policy in place. The following could be considered "very broad guidelines" since it was informally worked out between the records custodian of the Chancellor's Office and the Campus Archivist.

A document management system has been in place in the Chancellor's office since late 1991 but none of these electronic documents have been archived outside of the office. However a large portion of the scanned documents also exist in hard copy format and these are being archived after being physically purged.

**UCI** UCI's University Archives follows informal policy to collect the administrative records of all of UCI's Chancellors. The Archives also adheres to the policies compiled by the UC Archivists Council, "POLICIES FOR ADMINISTRATION OF UNIVERSITY OF CALIFORNIA ARCHIVES."

In the Policies, the Chancellors' records are defined as among the campus-level core administrative records: "including organization charts, minutes of meetings, annual reports." However, we have and plan to continue to collect much deeper into each Chancellors' records.

**UCR** THE POLICIES ARE BROAD GUIDELINES, RATHER THAN A DETAILED COLLECTION DEVELOPMENT POLICY.

WE RETAIN HARD COPIES INDEFINITELY OF ALL DOCUMENTS FOR WHICH THE OFFICE OF THE CHANCELLOR IS THE OFFICE OF RECORD. WE KEEP OTHER DOCUMENTS FOR AS LONG AS THEY APPEAR USEFUL. WHEN DOCUMENTS NO LONGER APPEAR USEFUL, THEY ARE DISCARDED, UNLESS THEY MAY BE OF SOME HISTORICAL INTEREST, IN WHICH CASE WE FORWARD THEM TO THE ARCHIVIST IN OUR LIBRARY FOR HIS/HER POSSIBLE RETENTION.

**UCSD** Appraisal and retention policies for UCSD Chancellor's records exist as broad guidelines, in common knowledge, rather than written form. Files are created when materials accumulate around a topic, when it looks as if it is going somewhere. During the life of the file, some weeding occurs, esp. non-record materials.

**UCSF** Yes, In a sense, as both. We are guided by the retention schedules and recommendations contained in the Universitywide Records Disposition Schedules Manual. However, Selected records are retained beyond the recommended destruction dates, up to and including permanently. These documents receive extended retention because of their continuing value as active records to our office and/or the campus as a whole. At such time as we release these types of records from active status, we transfer them to campus archives for appraisal there.

*2) Are policies and practices in place on your campus that deal with the appraisal and retention of electronic records? In answering this question, please refer exclusively to records such as email that are created in electronic form (born digital) as opposed those that are reformatted from paper to electronic formats through some digitization process. Could you please send us any policies and guidelines that currently exist?*

**UCB** Electronic records (emails). Chancellor's Office administrators have been taught to print a hard copy of any email they wish to have retained and scanned into the CCRC database. These emails are also put into one of the two categories (BF or Temp).

**UCD** Electronic records are kept informally by the Chancellor's Office in an electronic format. This has only been in place for about 3 years. It consists almost exclusively of e-mails to and from the Chancellor and a few from the Provost & Executive Vice Chancellor or others in the office. It is only accessible to the coordinator of the Chancellor's Communications and Records Center, the assistant coordinator, the assistant to the Chancellor and the domain administrator.

The Information Practices Coordinator adds "we do not have any campus policies in place that address electronic records specifically. However, we view electronic records the same as we would hard copies of similar records (e.g. as correspondence in many cases) and our UC Records Disposition Schedules addresses the retention/disposition periods for most administrative records".

**UCI** There are no policies as far as we know. Penny White, UCI's Manager of Distribution and Document Management and Records Manager, says that she, too, is unaware of any policies.

The practice in the University Archives is to save mass emails from campus sources as electronic publications. We've conducted a survey of online newsletters--some of which we collect in print format, and some are not published in hard copy. We're now trying to capture these and keep them in Archives' share of our server space (there is not at the moment any public access). A justification of this effort is that in the year or so between the survey and the capturing project, several of the newsletters have disappeared.

We have not been *\*offered\** any electronic records. However, as in the case of the online newsletters, there are other electronic publications, etc. that are available online for us to "collect" if we chose. For example, the campus policy and procedure manual and the general catalog are both published online. Each of these continues for the moment to be published in print format, as well, and the editors are committed to ensuring there is no information available online that is not in the print versions. That's an important consideration.

Many of the campus publications that appear online are linked to from their catalog records in ANTPAC.

**UCR** WE HAVE NO POLICY ON ARCHIVING OF E-MAIL RECORDS. IN GENERAL, WE RETAIN E-MAIL FILES FOR AS LONG AS THEY APPEAR TO BE USEFUL, NORMALLY A PERIOD OF LESS THAN ONE YEAR. INDIVIDUALS ARE RESPONSIBLE FOR RETENTION OR DELETION OF THEIR OWN E-MAIL CORRESPONDANCE. MOST PEOPLE ROUTINELY DELETE E-MAIL OLDER THAN A CERTAIN AGE, NORMALLY ONE YEAR OR LESS.

**UCSD** There are not policies and practices at the UCSD level, other than the guidance provided by IS-3 and IS-9 and the guidance mostly involves protection of electronic records. UCSD has a Campus Electronic Security Administrator.

**UCSF** Our campus is developing a set of implementing guidelines to be used in conjunction with the systemwide University Electronic Communications Policy. Currently Retention of e-mail is at the individual's discretion. See: <http://www.ucsf.edu/its/policy/epolicy.html>

- 3) *Is your campus systematically digitizing any of its paper records as part of a records management or archival collection development process? If so,*
- *what records are being digitized?*

- *what agency or agencies on campus (computing center, library, records management service, etc) is responsible for scanning the records and for managing the digital information that results?*

**UCB** CCRC scans all documents going to and coming out of the various Chancellor's Office administrators offices. The CCRC database (CCRC Tracker) allows our clients to view the images at their own workstations.

**UCD** Most incoming mail is being scanned and saved in our document management system. This is only done for the Chancellor, the Provost and Executive Vice Chancellor, the Associate Chancellor and the Assistant Executive Vice Chancellor.

We scan our own mail in the Chancellor's Office and do not know if anyone else on campus is doing so. There is quite a bit of interest from other units in a more comprehensive document management system. Our office is in the process of updating our current system.

**UCI** According to Penny White, certain departments are digitizing records "for internal records management needs." Records being digitized include: "payroll files, accounts payable docs, financial aid docs, student loan docs, research and grad studies files (contract and grant related?), and Design and Construction is planning a new system." The Registrar also digitizes student files.

**UCI** Distribution and Document Management manages certain of these digitized records, including payroll, accounts payable, and disbursements. Other departments manage their own systems.

**UCR** WE ARE CREATING ELECTRONIC IMAGES OF INACTIVE ACADEMIC PERSONNEL RECORDS AND BACKING UP THE IMAGES TO TAPE. WE ARE ALSO BACKING UP SOME CORRESPONDANCE FILES. WE HAD PLANS TO EXPAND THIS PROCESS SIGNIFICANTLY, BUT HAVE POSTPONED THAT PROCESS BECAUSE OF THE CURRENT BUDGET CRISIS.

THE OFFICE OF THE CHANCELLOR HAS THE HARDWARE AND SOFTWARE FOR THE SCANNING OF RECORDS AND THE MANAGING OF THE DIGITAL INFORMATION, BUT FUNDING OF STAFF TO CONDUCT THE WORK IS LACKING.

**UCSD** Yes, the campus is systematically digitizing paper records. Administrative Records scans the Chancellor's records and reports using an electronic imaging system. Other campus offices digitize, but overall there is not a coordinated program. [Email is printed out and then digitized into the system. It appears that the Chancellor's immediate support staff decides what is printed out and sent to Administrative Records to become an official university "record."]

**UCSF** Virtually all correspondence received in, or generated by, the Office of the Chancellor and selected additional material (invitations, etc.)

Chancellor's office staff; primarily those associated with the Chancellor's Administrative Records Unit.

*4) The university's archive is essentially distributed across its several campuses. Assuming that centralization of the archives in a single location is not practical, what would need to be in place to ensure that the distributed archives can be made accessible to users as a virtual uniform collection? Put another way, if the distributed archives were to pursue a strategy similar to that being pursued by libraries (one university, one library ; one university, one archive), what would the key components of that strategy consist of?*

**UCB** It would be wonderful to have one huge central database for each campus to log into.

**UCD** All campuses need to work together toward one archival system or at least make them compatible.

**UCI** If we understand correctly, the "virtual uniform collection" referred to here is an online subset of the physical collections housed at all the UC University Archives. There are inherently no duplicate copies of archival material in the various UC archives. However, providing access from a single portal to electronic parts of each archives would be great for researchers, and would allow the archivists to pool resources.

There are two tools we'd like to mention we could use to begin to accumulate and provide useful access to such a subset. The first is a set of best practice guidelines for appraising, collecting, describing, and preserving both born digital and digitized files. Electronic records are unlike other types of records archives generally collect. The UC university archives have not yet been inundated with them. This is a perfect opportunity to gather best practices and ensure that each of us has the strategic resources to approach this new genre efficiently.

The other component is the Online Archive of California. This is the best place from which to provide access to our digital collections. Currently, OAC includes finding aids and digital images. It is just beginning to support TEI. Supporting born digital content will require additions to the structure of OAC, and decisions about best practices.

**UCR** ASSURING ACCESS TO ALL WHO HAVE A NEED-TO-KNOW RIGHT TO ACCESS THE INFORMATION. THIS COULD TAKE THE FORM OF A PROCEDURE FOR PLACING A REQUEST TO THE OFFICE OF

RECORD AND HAVING THAT REQUEST MET; POSSESSION OF THE HARDWARE, SOFTWARE, AND TRAINING NECESSARY FOR DIRECT ACCESS TO THE INFORMATION; OR SOME COMPARABLE APPROACH.

**UCSD** The sense is that you would need a lot of money. The UCSD system costs \$125,000.00 and each campus has a different system.

**UCSF** Although it is appreciated that this question is hypothetical, with respect to the referenced Chancellor's office records, we would be reluctant to participate except on a case-by-case basis and are hesitant to support such a proposal.

*5) What other issues or information would you like to bring to the committee's attention?*

**UCD** Coordinating of document management systems across the campuses would be ideal. Information could be shared more easily and costs cut. The technical support team could work together to resolve problems. All the staff involved on each campus would be able to help each other.