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OFFICE OF THE SENIOR VICE PRESIDENT —
BUSINESS AND FINANCE

OFFICE OF THE PRESIDENT
1111 Franklin Street
Oakland, California 94607-5200

July 29, 2003

June Smith
Director, Development Policy & Administration
Institutional Advancement
9th Floor Franklin Building
UCOP

Dear June;

I am writing regarding your proposal for certain changes to the record retention schedules for gift acceptance records, which you and I began discussing almost a year ago. To formally document the points I've conveyed previously via e-mail:

1. No comments were received from the University Records Management Committee on the proposed changes to record location, media and formats, and procedural changes you plan to institute regarding reporting that the campuses make to your office. (These are operational decisions that are not reflected in the retention schedules manual, or governed by the Committee.)
2. The University Archivists consented to new responsibilities for permanent gift acceptance records: where such records previously were housed at the Berkeley Archives only, they will now transfer to all the campus archives from functional offices at their respective locations.

At its May 7, 2003 meeting the University Records Management Committee further considered the portion of your proposal related to designation of several of your categories of records as *vital*. For ease of discussion, I have grouped the gift records from the proposal into the following framework, similar to the way they would be represented in the functional format records retention schedules to which we are migrating the UC Records Retention Schedules.

1	Endowments; and gifts involving Regents/President/Provost action	Permanent	Vital
2	Real property; gifts-in-kind; namings; and planned gifts	Duration of arrangement/ownership, plus 10 years	Vital
3	Plant funds >\$500,000	Permanent	Not Vital
4	None of the above	Determined by value of gift (same three categories as current schedule)	Not Vital

As we have discussed, a vital record is either (a) essential to the protection of the rights of an individual; or (b) essential to the protection of the University's rights, assets, and/or the execution of its public (contractual) obligations. (See <http://www.ucop.edu/ucophome/policies/bfb/rmp4.html>, Section IV.) It appears that a certain number -- which cannot be quantified -- of the gifts involving action by The Regents,

the President, and the Provost, do not meet either of the two tests (see [Delegation of Authority 2011](#), dated 3/23/1994, for conditions requiring such action). However, you have indicated that it would be difficult, if not impossible, for campus development offices to segregate those gifts from the action-item gifts that are legitimately characterized as *vital*. You have asked for permission to apply vital record handling to all such records.

Vital record protections as described in [RMP-4](#) will nearly always result in higher costs than non-vital treatment. To incur excess cost is contrary to the principles of UC's records management program; however, it appears the alternative in this case would introduce confusion into the record classification process, potentially resulting in actual vital records that are under-protected. It is my understanding that the development offices are willing to over-protect the entire group of records.

Given the realities of the situation, it is preferable to extend vital record *protection*, although not vital *status*, to the entire group of records. The listing in the new format retention schedule will therefore be amended as follows:

1	Endowments	Permanent	Vital
2	Real property; gifts-in-kind; namings; and planned gifts	Duration of arrangement/ownership, plus 10 years	Vital
3	Gifts involving Regents/President/Provost action	Permanent	Mixed Vital and Not Vital *
4	Plant funds >\$500,000	Permanent	Not Vital
5	None of the above	Determined by value of gift (same three categories as current schedule)	Not Vital

* where unsure, treat as if Vital

I've updated the chart that accompanied your original request accordingly, and it is attached here.

Thank you for your perseverance throughout this lengthy process. I hope this makes the work a bit easier for staff members around the university that deal with these records.

Best regards,

Connie Williams
Chair, University Records Management Committee

[Enclosure](#) (1)

cc: University Counsel O'Neill
University Records Management Committee

Schedule for Gift-Record Retention and Disposition

Office of Record--Campus or equivalent

Campuses are the office of record for most campus-related gifts. Each gift record, including the donor's correspondence and/or gift agreement, the University's acceptance letter and any solicitation letter or material, shall also be retained according to the attached schedule.

TYPE OF GIFT	YEARS TO RETAIN & LOC.	VITAL?
All Regents endowments	Ten years at the Campus Development Office then to Campus Archives permanently. Copies* of all documentation for Regents endowments to Corporate Accounting, Office of the President.	YES
All gifts of real property accepted by The Regents, including transfers from Campus Foundations	Maintained as long as the property is held by The Regents; ten years following sale of the property, the gift record may be destroyed.	YES
Gifts-in-Kind	Maintained as long as the property is held by The Regents; ten years following the deaccession of the property, the gift record may be destroyed.	YES
Gifts that involve naming	Maintained as long as the naming is in effect, plus ten additional years, following which the gift record may be destroyed.	YES
Gifts of Plant Funds over \$500,000	Ten years at the Campus Development Office then to Campus Archives permanently	NO
Planned Gifts, including pooled income funds, charitable gift annuities, and charitable remainder trusts	<i>Original documents</i> related to each planned gift retained until the maturity of the gift, plus ten years. Copies* of all documentation for Regents planned gifts to Corporate Accounting, Office of the President.	YES
All gifts that involve action by The Regents, the President, and the Provost	Ten years at the Campus Development Office then to Campus Archives permanently. Copies of all documentation to the Office of the President with the request for related action.	MIXED: VITAL AND NON-VITAL
Other gifts that do not fall into the above categories are retained based on the amount of the gift, as follows:		
Gifts of \$1 to \$999	One year at Campus Development Office.	NO
Gifts of \$1,000 to \$999,999	Ten years at the Campus Development Office.	NO
Gifts of \$1,000,000 and more	Ten years at the Campus Development Office then to Campus Archives permanently.	NO

* = retain same length of time as "record" copy