

Procedures for submitting documents to UCOP Records Management

- **WHO** – management and staff in all Divisions and Departments at UCOP
 - **WHAT** – incoming and outgoing correspondence, memos, letters, email messages, faxes; reports, agendas, minutes, statements; in electronic or paper format (examples follow)
 - **WHY** – to preserve the corporate memory and historically important documents of the University of California
 - **WHERE** – submit to records@ucop.edu (preferred) or send to Records Management, 7th Floor Franklin Building
 - **HOW** – forward email messages, send as email attachments, or send url of posted items to records@ucop.edu
-

What documents should you send to Records Management?

These guidelines provide examples of the kinds of documents that Records Management is interested in for the central document repository, access to which is provided via the *Document Central* system. The records of senior executives are especially desirable; however, significant, enduring documents are contributed to the repository by all levels of the organization. If you are not sure whether a document belongs in the repository, please submit it and we will decide whether to retain it. We would prefer that you err on the side of submitting too much rather than too little.

What do we want?

The kinds of documents we are looking for include:

- Correspondence in which substantive university/UCOP issues or policies are discussed

- Requests for approval, and subsequent approvals or denials
- Delegations of authority and re-delegations
- Requests to serve on committees and ad-hoc groups
- Appointment letters for committees and ad-hoc groups
- Letters with charges to work groups and committees
- Requests for comments on a proposed policy or idea, and subsequent comments
- Replies to incoming mail, e.g., when letter-writer replies for President or one of the Vice Presidents
- Requests for nominations, and subsequent nominations
- Letters issuing policies
- Transmittal letters with annual reports or reports or other work products from committees and groups
- Annual reports, and reports or other work products from committees and groups
- Agendas
- Minutes
- Press releases
- Proposals
- Reports and studies
- Speeches and statements

What don't we want?

We emphasize collecting University of California, rather than outside, materials. Materials that are not added to the collection are usually those that:

- are safely and more appropriately maintained elsewhere;
- are too “background” to be of long-term value; or
- are not pertinent to the University’s mission.

Examples of documents in these three categories are listed in the sections below.

1) Records maintained elsewhere

These records are maintained at the departmental or campus level and can be easily obtained from their original sources. Many in this category are specific record types that carry their own official retention period and custodian elsewhere in the Office of the President. Some examples are:

- personnel actions
- salary actions for specific individuals
- grievances

- workers' compensation records
- peer reviews
- staff performance evaluations
- background checks
- contracts
- leases
- patent filings
- Regents' minutes
- statements of economic interests (Conflict of Interest forms, followup)
- grants
- research proposals
- material received by executives in their academic, rather than administrative, capacities
- applications (for employment, fellowships)
- consultant/independent contractor agreements
- transfers of funds
- manuals (BFB's, C&G, etc.) and their updates/new chapters
- travel reimbursements
- accounting forms
- unsolicited resumes

2) Works-in-progress

Items that are background material or works-in-progress are not usually of interest, though some might become appropriate for the collection once in final form. Examples include:

- drafts
- proposed Regents' items
- working papers
- spreadsheets
- analyses of proposed legislation
- questionnaires being sent to UCOP for completion
- presentation notes (slide shows)
- correspondence being forwarded for handling
- transmittal memos where items being transmitted are not included

3) Records not pertinent to the University mission

Items in this category are not pertinent to the ongoing mission/business of the University. Some examples are:

- personal memberships
- thank-you notes
- newspaper or magazine clippings
- political solicitations
- promotional material
- requests for charitable donations