



University of California

**Business and Finance Bulletin  
RMP-1  
University Records Management  
Program**

Office of the Associate Vice President--Information  
Resources and Communications

Revised September 2004 \*

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\* Minor changes were made on this date to the August 2003 version, in order to conform with RMP-2, Records Retention and Disposition, issued September 2004

## I. References

- [Assignment of the Records Management Committee as advisory to the Vice President--Business and Finance](#), issued by President Hitch, July 30, 1973
- [Assignment of responsibility for Records Management and Information Practices policy to the Associate Vice President--Information Resources & Communications](#), issued by Senior Vice President--Business and Finance Kennedy, December 2, 1998
- Business and Finance Bulletin IS-3, “[Electronic Information Security](#)”
- Business and Finance Bulletin RMP-2, “[Records Retention and Disposition: Principles, Processes, and Guidelines](#)”
- Business and Finance Bulletin RMP-4, “[Vital Records Protection](#)”
- Business and Finance Bulletin RMP-7, “[Privacy of and Access to Information Responsibilities](#)”
- Business and Finance Bulletin RMP-8, “[Legal Requirements on Privacy of and Access to Information](#)”
- [Establishment of, and assignment of responsibility for a University Archives program to University Librarians](#), issued by President Kerr, June 2, 1964
- [Policy statement establishing a Records Management Program for the university](#), issued by President Kerr, March 8, 1963
- [Policy statement on ownership of administrative records](#), issued by Vice President Bolton, October 31, 1969
- [Records Disposition Schedules Manual](#)
- University Records Management Committee [membership roster](#)

## II. Definitions

**Administrative Record:** see **Record**

**Record**<sup>1</sup>: Any writing, regardless of physical form or characteristics, containing information relating to the conduct of the public’s business prepared, owned, used, or retained by an operating unit or employee of the university. “Writing” means handwriting, typewriting, printing, photostating, photographing, photocopying, transmitting by electronic mail or facsimile, and every other means of recording upon any tangible thing any form of communication or representation, including letters, words, pictures, sounds, or symbols, or combination thereof, and any record thereby created, regardless of the manner in which the record has been stored.

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<sup>1</sup> Definition is modeled on language contained in the [California Public Records Act](#) (see Ca. Govt. Code § 6252(e) and (f)).

The term “**administrative record**” is used to describe any record that documents or contains valuable information related to the organization, functions, policies, decisions, procedures, operations, or other business activities of the university.

**Record Custodian:** The individual with responsibility for a repository of records.

**Record Proprietor:** The individual with management responsibility for the records associated with a university administrative function.

### III. Introduction

#### A. Purpose of this Bulletin

The purpose of RMP-1 is to describe the general principles and policy foundation of the University of California Records Management Program, as well as the responsibilities associated with the Program.

#### B. Audience

The intended audience of RMP-1 is anyone in the university community who handles administrative records. The audience would include individuals in staff and academic appointments, as well as those faculty members, students, volunteers, and others who may have occasion to handle administrative records in an official capacity.

### IV. University Records Management Program

#### A. Overview

In keeping with sound business practices and in support of its mission, the University of California creates, gathers, and maintains operational and historical records of its activities. The objective of the University Records Management Program is to ensure that, consistent with other university policies, applicable state and federal laws, and university contracts, administrative records are appropriately managed and preserved, and can be retrieved as needed.

The Program is set forth in this and other Records Management and Privacy (RMP) bulletins, in conjunction with other university policies and guidelines. Due to the decentralized and diverse nature of the University of California system, guidance that is meant to apply across the System is necessarily general. Location-specific guidance and advice are available at each campus, laboratory, and at the Office of the President.

#### B. Ownership Statement

All university administrative records are owned by The Regents of the University of California regardless of their physical location, even when they are in the possession of individuals. The following policy statement was issued by Vice President Bolton on October 31, 1969, and remains in effect:

With respect to (administrative records of) all of its officers and employees, including members of the faculty, whose regular or occasional performance of administrative duties puts them in possession of files, records, or documents pertaining to such duties, such files, records, or documents, including but not limited to correspondence, reports, writings, and other papers, records, maps, tapes, photographic files and prints, magnetic and punched cards, discs and drums, are the property of The Regents of the University of California, and, as such, may not be permanently removed from the University nor destroyed except in accordance with disposition schedules established by the Records Management Committee.

## C. Components

The Program consists of procedures that promote sound, efficient, and economical records management in the following areas:

- Creation, organization of, and access to records
- Maintenance and retention of administrative records
- Security and privacy of records
- Protection of records vital to the university
- Preservation of records of historical importance
- Disposition of administrative records when they no longer serve their purpose
- Other functions the university may deem necessary for good records management

## D. Scope

Except as superseded by federal laws and regulations, and university contracts, the Program 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 Program does not apply<sup>2</sup> to

- Administrative records held by the Principal Officers of The Regents,<sup>3</sup>
- Teaching and research records (e.g., library materials, faculty research and teaching materials, student examinations), or
- Records pertaining to individual patient care (medical records).

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<sup>2</sup> However, such records may be subject to external requirements such as state and federal regulations and university contracts.

<sup>3</sup> That is, the General Counsel, Treasurer, and Secretary of The Regents

## **E. Administration: University Records Management Committee**

The Program shall be coordinated by the University Records Management Committee in consultation with functional managers, senior university management, and the Office of the General Counsel of The Regents. The Program shall be administered at each university location for administrative records at that location.

### **1. Composition**

The Associate Vice President--Information Resources and Communications (IR&C) serves as Chair of the University Records Management Committee. In addition to the Chair, the Committee membership shall be as follows:

- The Records Management Coordinator from each of the ten campuses and the Office of the President;
- 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 Vice President--Financial Management in the Office of the President.
- Additional members as appointed by the Chair to meet specific needs of the Committee.

### **2. Subcommittees**

The Committee may also establish standing or ad hoc functional subcommittees as needed to perform specific tasks. Subcommittee members shall be appointed by the Chair and such members need not be members of the Committee. Subcommittees shall report to the full Committee.

## **V. Roles and Responsibilities for Records Management**

### **A. General**

All university employees who handle administrative records are responsible for knowing and following laws and university policies and guidelines that govern those records.

### **B. Universitywide**

#### **1. Senior Vice President--Business and Finance**

The Senior Vice President--Business and Finance in the Office of the President has universitywide responsibility for establishing records management and information practices policy. This responsibility has been delegated to the Associate Vice President--Information Resources and Communications.

## **2. Associate Vice President--Information Resources and Communications (IR&C)**

The Associate Vice President--IR&C in the Office of the President has been delegated universitywide responsibility for records management and information practices policy. The Associate Vice President--IR&C is chair of the University Records Management Committee. The Committee Chair is responsible for maintaining a history of policy versions and decision-making. Duties of the Chair may be redelegated.

## **3. University Records Management Committee**

The University Records Management Committee coordinates the University Records Management Program as outlined in [Section IV.E](#). In addition, the Committee is charged with promulgating universitywide guidelines and procedures for implementation of the Program, including development and maintenance of universitywide retention schedules.

The Committee also shall provide:

- Guidance on topics including but not limited to standards, technical requirements, and regulatory issues;
- Periodic reports and advice to senior university management on records matters; and
- Coordination with the UC Archivists Council (UCAC) including Committee representation at UCAC meetings, if appropriate.

The Committee shall meet as needed, but at least once per year.

## **C. Local**

Each location shall manage its administrative records consistent with the University Records Management Program.

### **1. Campus and Laboratory Management**

The Chancellor of each campus, the Senior Vice President--Business and Finance in the Office of the President, and the Director of each Department of Energy laboratory managed by the University of California shall assign responsibility for coordination and implementation of the Program at their respective University locations.

### **2. Records Management Coordinator**

The Records Management Coordinator at each campus and the Office of the President shall be responsible for the development, coordination, implementation, and management of the Program at that location. Implementation includes providing advice, information, and training, as necessary, to local personnel regarding records management. The local program shall include development and maintenance of retention schedules specific to the location, as appropriate.

For University Records Management Committee proposals and initiatives, the Coordinator shall be the conduit from the Committee to the location.

The Coordinator shall convey the interests of his or her campus to the Committee.

The Coordinator shall report periodically to the Committee on the status of the program at his or her location.

Information practices aspects of the University Records Management Program are handled by the Information Practices Coordinator, as outlined in [RMP-7, "Privacy of and Access to Information Responsibilities."](#) The roles of Records Management Coordinator and Information Practices Coordinator may but need not be filled by the same individual.

### **3. University Librarian**

The University Librarian at each campus shall appoint a library staff member to serve as the local University Archivist.

### **4. University Archivist**

The University Archivist at each campus is responsible for the preservation of that location's administrative records that deal with the history of the university. The University Archivist collects, preserves, administers, and provides access to records of enduring value, concentrating on records documenting the university's decision-making process and the essential cultural history of each campus.<sup>4</sup>

### **5. Record Proprietor**

The manager of an operational unit shall be the Record Proprietor for the records associated with the unit's administrative function. Consistent with sound business practices, university policy, and applicable law, the Proprietor determines which records will be created, gathered, and maintained to attain the goals and meet the fiscal and legal obligations of the operational unit and the university. The role of Record Proprietor encompasses management responsibilities such as production of records for audit and other purposes.<sup>5</sup> For electronic records, the Record Proprietor shall serve as the **Electronic Information Resource Proprietor** (see Business and Finance Bulletin [IS-3, "Electronic Information Security"](#)).

The office of the Record Proprietor may or may not have custody of the records associated with the function. The Proprietor may entrust the records to Record Custodians or may choose to have the records maintained by non-university records service providers. The Proprietor shall ensure that the records, whether kept or entrusted to another unit or provider, are maintained consistent with the University Records Management Program, including their ultimate disposition (i.e., transfer to University Archives or disposal).

When the maintenance of administrative records is contracted to a non-university provider, the Proprietor shall ensure that the business contract requires the service provider to meet all university record requirements.

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<sup>4</sup> The University Archives are maintained in the general library on each campus. The Berkeley campus has custody of the archived records of The Regents and the Office of the President as well as those of the Berkeley campus.

<sup>5</sup> This role equates to management responsibilities attached to the "office of record" concept, which is being phased out. The term "office of record" will continue to be found in some legacy documents until all documents are revised.

## **6. Record Custodian**

The manager of a university department or unit (e.g., central records, electronic information systems department) that has been designated by the Record Proprietor to maintain the records shall serve as the Record Custodian.<sup>6</sup> The Custodian is responsible for complying with University Records Management Program guidelines. In the case of electronic records maintained under this arrangement, this role equates to the role of the **Electronic Information Resource Custodian** as defined in Business and Finance Bulletin IS-3, “[Electronic Information Security](#).”

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<sup>6</sup> This role encompasses the “primary repository” responsibilities attached to the “office of record” concept, which is being phased out.