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

Reference Activity

Time
Life Cycle

Creation/Receipt
Active Office use
Inactive use Records Storage Area

Permanent: 2 - 5%
Temporary: 95 - 98%

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Step 2: You have found your inactive records.

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

For University policy, RMP-1, “University Records Management Program,” and except as superseded by federal laws and regulations, and university contracts, the retention schedule applies to all administrative records, regardless of their medium, owned by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/sites/about/urmp(recordsAuthority.php and http://code.google.com/records-authority for more information.
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Type in keyword, then click on Search
<table>
<thead>
<tr>
<th>Records Code</th>
<th>Function</th>
<th>Function Description</th>
<th>Category</th>
<th>Category Description</th>
<th>Sub-Category Title</th>
<th>Keywords</th>
<th>Retention Period</th>
<th>Retention Rule</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>0001*</td>
<td>1. General</td>
<td>Routine Office Transitory Records</td>
<td>1. General</td>
<td>Routine Office Transitory Records</td>
<td>Transitory records</td>
<td>routine internal reports, routine internal reviews, routine internal plans, letters, more...</td>
<td>Official Record: Retain records for no longer than one year after their administrative use; more...</td>
<td>Delete or destroy after the retention period has lapsed</td>
<td>View</td>
</tr>
<tr>
<td>0004A*</td>
<td>4. Human Resources</td>
<td>Records document the human resources processes and activities of the University, more...</td>
<td>A. Pre-employment and Recruitment Records</td>
<td>Pre-employment, Recruitment Records, search records, selection records, announcements records, more...</td>
<td>Pre-employment, Recruitment Records, search records, selection records, announcements records, more...</td>
<td>Official Record: Retain records 4 years after the end of the fiscal year in which the specific more...</td>
<td>Delete or destroy after the retention period has lapsed</td>
<td>View</td>
<td></td>
</tr>
<tr>
<td>0005A1*</td>
<td>5. Financial and Procurement Records</td>
<td>These are records that document the financial and procurement activities of the University, more...</td>
<td>A. Accounts Payable/Receivable, Procurement and Banking/Cash Handling Records</td>
<td>Accounts Payable/Receivable, Procurement and Banking/Cash Handling Records</td>
<td>A. 1. Records used as supporting documentation for sponsored activities</td>
<td>Accounts Payable, Accounts Receivable, Procurement, Banking records, Cash Handling Records, more...</td>
<td>Official Record: Retain records for 5 years after the expiration of the sponsored more...</td>
<td>Delete or destroy after the retention period has lapsed</td>
<td>View</td>
</tr>
<tr>
<td>0005A2*</td>
<td>5. Financial and Procurement Records</td>
<td>These are records that document the financial and procurement activities of the University, more...</td>
<td>A. Accounts Payable/Receivable, Procurement and Banking/Cash Handling Records</td>
<td>Accounts Payable/Receivable, Procurement and Banking/Cash Handling Records</td>
<td>A. 2. Records used as supporting documentation for expenditures related to bond financing more...</td>
<td>Accounts Payable, Accounts Receivable, Procurement, Banking records, Cash Handling Records, more...</td>
<td>Official Record: Retain records for 5 years after the end of the fiscal year in which the bond more...</td>
<td>Delete or destroy after the retention period has lapsed</td>
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</tr>
<tr>
<td>0005A3*</td>
<td>5. Financial and Procurement Records</td>
<td>These are records that document the financial and procurement activities of the University, more...</td>
<td>A. Accounts Payable/Receivable, Procurement and Banking/Cash Handling Records</td>
<td>Accounts Payable/Receivable, Procurement and Banking/Cash Handling Records</td>
<td>A. 3. All Other Accounts Payable/Receivable, Procurement and Banking/Cash Handling Records</td>
<td>Accounts Payable, Accounts Receivable, Procurement, Banking records, Cash Handling Records, more...</td>
<td>Official Record: Retain records for 4 years after the end of the fiscal year in which all activity more...</td>
<td>Delete or destroy after the retention period has lapsed</td>
<td>View</td>
</tr>
</tbody>
</table>
Suggestions on Search

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

Search Results:

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

7 records found for "lay off"

Search Results:

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

2 records found for "lay"
Suggestions on Search

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

Search Results:

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

157 records found for "tax record"

<table>
<thead>
<tr>
<th>Records Code</th>
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</tr>
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<tbody>
<tr>
<td>0001*</td>
<td>1. General</td>
<td>Transitory records</td>
<td>1. General</td>
<td>Transitory records</td>
</tr>
<tr>
<td></td>
<td>Routine Office</td>
<td>document routine</td>
<td></td>
<td>document routine</td>
</tr>
<tr>
<td></td>
<td>Transitory</td>
<td>general office</td>
<td></td>
<td>general office</td>
</tr>
</tbody>
</table>

Search Results:

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

7 records found for ""tax record"

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<tbody>
<tr>
<td>0003A1*</td>
<td>Payroll and</td>
<td>Payroll and Benefits</td>
<td>A. Employee</td>
<td>Employee</td>
</tr>
<tr>
<td></td>
<td>Benefits</td>
<td>Benefits Records</td>
<td></td>
<td>Authurations</td>
</tr>
<tr>
<td></td>
<td>records</td>
<td>document the</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>A. Employee Auth</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Broaden or narrow your search by including NOT, OR, or AND.

### Search Results:

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

**tax record**

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<tr>
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<td>Route Office</td>
<td>document routine</td>
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<td>document routine</td>
</tr>
<tr>
<td></td>
<td>Transitory</td>
<td>general office</td>
<td>Transitory</td>
<td>general office</td>
</tr>
</tbody>
</table>

157 records found for "tax record"

**tax AND record**

<table>
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</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Benefits Records</td>
<td>Benefits Records</td>
<td>Withholding/D</td>
<td>Withholding/D</td>
</tr>
<tr>
<td></td>
<td>Fiduciary</td>
<td>Fiduciary</td>
<td>Fiduciary</td>
<td>Fiduciary</td>
</tr>
</tbody>
</table>

9 records found for "tax AND record"
### Records Compliance Week Starts August 4 - Learn what to do with your records

5 records found for "travek"

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<th>Retention Rule</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>0004A*</td>
<td>4. Human Resources Records</td>
<td>Document the human resources processes and activities of the University</td>
<td>Pre-employment and Recruitment Records  document the activities surrounding the selection processes</td>
<td>Pre-employment, Recruitment Records, search records, selection records, announcements records</td>
<td>4 years after the end of the fiscal year in which the specific...</td>
<td>Delete or destroy after the retention period has lapsed</td>
<td>View</td>
</tr>
<tr>
<td>0005A1*</td>
<td>5. Financial and Procurement Records</td>
<td>These are records that document the financial and procurement activities of the University</td>
<td>A. Accounts Payable/Receivable, Procurement and Banking/Cash Handling Records</td>
<td>Accounts Payable, Accounts Receivable, Procurement, Banking records, Cash Handling Records</td>
<td>5 years after the expiration of the sponsored more...</td>
<td>Delete or destroy after the retention period has lapsed</td>
<td>View</td>
</tr>
<tr>
<td>0005A2*</td>
<td>5. Financial and Procurement Records</td>
<td>These are records that document the financial and procurement activities of the University</td>
<td>A. Accounts Payable/Receivable, Procurement and Banking/Cash Handling Records</td>
<td>Accounts Payable, Accounts Receivable, Procurement, Banking records, Cash Handling Records</td>
<td>5 years after the end of the fiscal year in which the bond more...</td>
<td>Delete or destroy after the retention period has lapsed</td>
<td>View</td>
</tr>
<tr>
<td>0005A3*</td>
<td>5. Financial and Procurement Records</td>
<td>These are records that document the financial and procurement activities of the University</td>
<td>A. 3. All Other Accounts Payable/Receivable, Procurement and Banking/Cash Handling Records</td>
<td>Accounts Payable, Accounts Receivable, Procurement, Banking records, Cash Handling Records</td>
<td>4 years after the end of the fiscal year in which all activity more...</td>
<td>Delete or destroy after the retention period has lapsed</td>
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</table>

Results here. You can sort by each column by clicking on it.
Records Code – Helps you identify what you are looking at when talking with someone else.

Updated items end with *.

**Records Code**

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<tbody>
<tr>
<td>0001*</td>
<td></td>
</tr>
<tr>
<td>0004A*</td>
<td></td>
</tr>
<tr>
<td>0005A1*</td>
<td></td>
</tr>
<tr>
<td>0005A2*</td>
<td></td>
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<tr>
<td>0005A3*</td>
<td></td>
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*Updated items end with *.
### Function and Category

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<tr>
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</thead>
<tbody>
<tr>
<td>006AD*</td>
<td>5 Financial and Procurement Records</td>
<td>036AD*</td>
<td>5 Financial and Procurement Records</td>
</tr>
<tr>
<td>006AE*</td>
<td>5 Financial and Procurement Records</td>
<td>036AE*</td>
<td>5 Financial and Procurement Records</td>
</tr>
<tr>
<td>006AF*</td>
<td>5 Financial and Procurement Records</td>
<td>036AG*</td>
<td>4 Human Resources Records</td>
</tr>
<tr>
<td>036AH*</td>
<td>5 Financial and Procurement Records</td>
<td>036AI*</td>
<td>4 Human Resources Records</td>
</tr>
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</table>
Function Description – provides you with a description of the function/batch.
Category – For updated items, this drills down into the batch to a sub-function. For the other items this is the record name.
### Category Description

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

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<td>Transitory records document routine general office activities. In this context the word “routine” more...</td>
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<td>A. Accounts Payable/Receivable, Procurement and Banking/Cash Handling Records</td>
<td>Accounts Payable/Receivable, Procurement and Banking/Cash Handling Records document the payment of more...</td>
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</table>
Sub-Category Title — When needed, this drills down into the sub-function to the specific records.
Keywords – We have added keywords to help you search for the records. We can add more when needed.
Retention Period – This will give the retention period for the Official Record and All Other Copies.
Retention Rule – This will tell you whether the record will need to be retained permanently or not.
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.
<table>
<thead>
<tr>
<th>Description</th>
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<tbody>
<tr>
<td>Transitory records document routine general office activities. In this context the word &quot;routine&quot; more...</td>
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<td>Retention Period</td>
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<tr>
<td>Official Record: Retain records for no longer than one year after their administrative use</td>
<td>Permanent records</td>
</tr>
<tr>
<td>Delete or destroy after the retention period has lapsed</td>
<td>View</td>
</tr>
<tr>
<td>2. Program Administration Records</td>
<td>A. Program administration records of enduring historical value</td>
</tr>
<tr>
<td>Program administration records document the activities involved in managing and/or running the more...</td>
<td>A. Program administration records of enduring historical value are those significant records that more...</td>
</tr>
<tr>
<td>Permanent records</td>
<td>View</td>
</tr>
<tr>
<td>2. Program Administration Records</td>
<td>B. Operational program administration records</td>
</tr>
<tr>
<td>Program administration records document the activities involved in managing and/or running the more...</td>
<td>Operational program administration records do not have enduring historical value, but serve to more...</td>
</tr>
<tr>
<td>Official Record: Retain records 5 years after the end of the fiscal year in which the records are more...</td>
<td>Delete or destroy after the retention period has lapsed</td>
</tr>
<tr>
<td>View</td>
<td></td>
</tr>
<tr>
<td>Payroll and Benefits Records document the payroll and non-payroll earnings</td>
<td>Official Record: Retain records for 50 years after the employee’s withholding allowance is removed from payroll. Delete or destroy after the retention period has lapsed</td>
</tr>
<tr>
<td>View</td>
<td></td>
</tr>
</tbody>
</table>
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.

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INFORMATIONAL SERIES

**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 unique programs, functions, units, or a campus, nor record fiscal obligations to demonstrate accountability or document important historical decisions of the University.

**Sub-Category:**
- **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...
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.

Some of these records may have restricted access, disclosure and disposition, in accordance with California and Federal laws. Restricted information (regardless of medium) is defined as “Personal Information” as defined in UC Business and Policy IS-2: (name plus Social Security Number, identification card number, financial account number, or driver’s license number), and
- disposed of in accordance with approved retention schedules.

2013-07-11 18:23:40
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
Click on the category or categories you want.

Click on Search.
### Search Results:

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

12 records found

<table>
<thead>
<tr>
<th>Records Code</th>
<th>Function</th>
<th>Function Description</th>
<th>Category</th>
<th>Category Description</th>
<th>Sub-Category Title</th>
<th>Keywords</th>
<th>Retention Period</th>
<th>Retention Rule</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>0004A*</td>
<td>4. Human Resources Records</td>
<td>Human Resources Records document the human resources processes and activities of the University, more...</td>
<td>A. Pre-employment and Recruitment Records</td>
<td>Pre-employment and Recruitment Records document the activities surrounding the selection processes more...</td>
<td>Pre-employment, Recruitment Records, search records, selection records, announcements records, more...</td>
<td>Official Record: Retain records 4 years after the end of the fiscal year in which the specific more...</td>
<td>Delete or destroy after the retention period has lapsed</td>
<td>View</td>
<td></td>
</tr>
<tr>
<td>0004B1*</td>
<td>4. Human Resources Records</td>
<td>Human Resources Records document the human resources processes and activities of the University, more...</td>
<td>B. Individual Employee Employment and Interns, Volunteers and Contingent Workers Records</td>
<td>Individual Employee Employment and Interns, Volunteers and Contingent Workers Records document more...</td>
<td>Training, professional development, staff development, Employee Training, Faculty Training, more...</td>
<td>Official Record: Retain records for 5 years after the end of the fiscal year in which the training more...</td>
<td>Delete or destroy after the retention period has lapsed</td>
<td>View</td>
<td></td>
</tr>
<tr>
<td>0004B2*</td>
<td>4. Human Resources Records</td>
<td>Human Resources Records document the human resources processes and activities of the University, more...</td>
<td>B. Individual Employee Employment and Interns, Volunteers and Contingent Workers Records</td>
<td>Individual Employee Employment and Interns, Volunteers and Contingent Workers Records document more...</td>
<td>Candidate Background Check Records, background check records, on-boarding records, Background check, more...</td>
<td>Official Record: Retain records for 5 years after the end of the fiscal year in which more...</td>
<td>Delete or destroy after the retention period has lapsed</td>
<td>View</td>
<td></td>
</tr>
<tr>
<td>0004B3*</td>
<td>4. Human Resources Records</td>
<td>Human Resources Records</td>
<td>B. Individual Employee Employment</td>
<td>Individual Employee Employment</td>
<td>Interns, Volunteers, Contingent</td>
<td>Official Record: Retain records for 3 years after</td>
<td>Delete or destroy after the retention period</td>
<td>View</td>
<td></td>
</tr>
</tbody>
</table>

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**Informational Series**

Records Compliance Week Starts August 4 - Learn what to do with your records
You will see all items in the schedule

<table>
<thead>
<tr>
<th>Records Code</th>
<th>Function</th>
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<th>Retention Period</th>
<th>Retention Rule</th>
<th>Comments</th>
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<tr>
<td>0001*</td>
<td>1. General Routine Office Transitory Records</td>
<td>Transitory records document routine general office activities. In this context the word &quot;routine&quot; more...</td>
<td>Transitory records</td>
<td>Transitory records document routine general office activities. In this context the word &quot;routine&quot; more...</td>
<td>routine internal reports, routine internal reviews, routine internal plans, letters, more...</td>
<td>Official Record: Retain records for no longer than one year after their administrative use more...</td>
<td>Delete or destroy after the retention period has lapsed</td>
<td>View</td>
<td></td>
</tr>
<tr>
<td></td>
<td>2. Program Administration Records</td>
<td>Program administration records document the activities involved in managing and/or running the more...</td>
<td>Academic Plans, Long range Development Plans, Physical Design Frameworks, Policy, Policies, more...</td>
<td>Academic plans, long range development plans, Physical Design Frameworks, policy, policies, more...</td>
<td>academic plans, long range development plans, Physical Design Frameworks, policy, policies, more...</td>
<td>Permanent records</td>
<td>View</td>
<td></td>
<td></td>
</tr>
<tr>
<td>0002B*</td>
<td>2. Program Administration Records</td>
<td>Program administration records document the activities involved in managing and/or running the more...</td>
<td>Operational Program Administration Records</td>
<td>Operational program administration records do not have enduring historical value, but serve to more...</td>
<td>letters, acknowledgments, memos, notes, transmittals, e-mail messages, demonstrate more...</td>
<td>Official Record: Retain records 5 years after the end of the fiscal year in which the records are more...</td>
<td>Delete or destroy after the retention period has lapsed</td>
<td>View</td>
<td></td>
</tr>
</tbody>
</table>
Trash or Treasure?

Records Compliance Week Starts August 4 - Learn what to do with your records
Trash or Treasure?

Records Compliance Week Starts August 4 - Learn what to do with your records

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 Schedule Manual). The schedule is established by the University Records Management Committee in accordance with Business and Finance Bulletin BMP 1-1, "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 BMP 2-1, "Records Retention and Disposition: Principles, Policies, 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 required to follow these guidelines in their business activities."

How do I use the UC Records Retention Schedule?
Search by typing into the search box key words or browse one of the following:
- Full schedule
- Category
- The record items have hyperlinks that you can click on to obtain a schedule of just the records that you need.

Can I obtain a schedule of just the records that I need?
You can click on Print Full Schedule and retention schedule. Then you can delete. However, be sure to regularly check the schedule for updates.

Will UC continue to update the schedule?
Yes. UC continues to update the schedule. Because the schedule is in a phased project, the schedule will be updated periodically until ultimately all the University's policies are included.

The University Records Management Committee, with legislative, regulatory, or business purposes, may update the schedule to reflect changes in statutory, regulatory, or business requirements.

UC Records Retention Schedule Glossary

Administrative use – is a retention period assigned to records that are no longer needed to support ongoing administrative activities and that become valuable 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 1798.39 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 Information [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 cost. At UC procurement includes leveraging university buying power through strategic and collaborative sourcing, adoption of proven technologies, and supplier performance management.

Last updated on July 3, 2013
Page 1 of 3
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
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)
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”. 

Trash or Treasure?

Records Compliance Week Starts August 4 - Learn what to do with your records
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 practically 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

- 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”.

Trash or Treasure?
Records Compliance Week Starts August 4 - Learn what to do with your records
Important Websites

- UC Records Retention Schedule (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)
- Shredding Records (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)
- UC-Wide Records Management (http://www.ucop.edu/information-technology-services/initiatives/records-management/index.html)
Laurie Sletten, CRM, CA
Records Manager
Laurie.Sletten@ucop.edu
Phone: (510) 987-9411