

# UNIVERSITY OF CALIFORNIA

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SANTA BARBARA • SANTA CRUZ

## OFFICE OF THE PRESIDENT

*Robert C. Dynes*  
President

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January 9, 2007

## VICE PRESIDENTS

Dear Colleagues:

As we discussed at our November 30<sup>th</sup> meeting, all senior executives at the level of Assistant Vice President and above will participate in the Office of the President's records program by contributing their key documents to the central repository. To this end, I ask that you have the office of each senior executive affected by this decision determine a primary contact for this function and send this information to Records Manager Connie Williams ([connie.williams@ucop.edu](mailto:connie.williams@ucop.edu)) in Information Resources and Communications (IR&C).

Ms. Williams will work directly with those individuals designated to assist with either establishing new processes or refining existing processes to ensure maximum document capture. For those with offices in Oakland, original incoming paper mail will be routed through the Records Management office in IR&C. Offices located outside of Oakland are expected to establish, in coordination with Records Management, practical arrangements for the capture of their incoming paper mail. It is also very important that copies of final versions of any other key documents, non-paper and outgoing mail, be sent by all participants to Records Management.

Historically, the Principal Officers of The Regents have not participated in the Office of the President's records program, but instead have maintained their own separate systems. This practice has not been revisited since the addition of the Vice President role to the General Counsel and Chief Investment Officer positions; thus, I am asking Associate Vice President Hafner's department to work with those two offices to determine whether it makes sense to add any of their records to the central repository.

Additional information about the program is enclosed. I appreciate your cooperation and support in improving the stewardship of information at the Office of the President.

Sincerely,

Robert C. Dynes

## Enclosures

cc: Provost Hume  
Associate Vice President Hafner  
Associate President Williams  
Manager Williams

## ***Overview of the Executive Records Program at the Office of the President***

Records Management Services is the proprietor of the central collection of executive records of the University of California, Office of the President (UCOP). The collection consists primarily of correspondence and related materials such as reports, studies, agendas, and minutes. Some of these records date back to the inception of the University. The majority of the collection dates from the Sproul administration (1930-1958) to the present.

Records Management began capturing records on microfilm in 1984 and in digital form, as scanned images, in 1997. Where paper records exist, they are maintained by the Office of the President or by the University Archivist, Bancroft Library, UC Berkeley. Microfilmed and digitized records are maintained by the Office of the President.

### ***Record acquisition and review process***

Records generally are acquired close to the time they are created. Occasionally records are received in volume after the fact, e.g., when someone leaves the university or moves and their files are sent to Records Management, or through reorganization, such as when Records assumed responsibility for the correspondence records of the Division of Agriculture and Natural Resources in 1991.

### ***Executives' incoming mail***

Since the 1970s, there have been methods in place for capturing correspondence as it flows into, through, and out of UCOP. The method whereby Records Management receives the original correspondence prior to its delivery to the recipient is most successful. Currently, Records Management opens, assesses, and processes (if appropriate) the mail of 80% of the senior administrators at the position of Assistant Vice President and above. Guidelines for determining a document's appropriateness are appended to this document.

### ***Executives' non-paper and outgoing mail***

Participating offices also send to Records Management "file" copies of the documents they create or that did not flow through Records Management as paper mail, including electronic documents. As with incoming paper mail, all records are assessed for their appropriateness to the collection before being added.

### ***Quick facts about executives' incoming mail processing***

- Original paper documents are scanned into the central correspondence collection, "Document Central," then quickly forwarded to the intended recipients
- Records Management works closely with Mail Services to ensure that mail is delayed no more than a few hours
- Expedited shipments (e.g., Federal Express) are not diverted to Records Management
- Documents delivered electronically (e.g., e-mail, attachments) may be sent to Records Management at [records@ucop.edu](mailto:records@ucop.edu)

- Envelopes marked “confidential,” “personal,” or “for addressee only” are not opened by Records Management
- Of mail that is opened, only that relating to the university’s business and deemed to have enduring value is retained for the central correspondence collection
- Examples of the kind of documents retained include: letters issuing policies, appointment letters, meeting agendas and minutes, reports, and studies; see Guidelines (attached) for more examples
- In addition to the full text of the documents, descriptive information about each document is entered by Records staff members to facilitate retrievals from the system
- All retained documents are evaluated as to their confidentiality, and those judged to be confidential or sensitive are relegated to a separate confidential database to which access is highly restricted
- All Records employees are classified as “confidential” with respect to collective bargaining
- The public record status of a document is not affected by its capture by Records Management
- Once the documents are entered, executives’ offices may receive electronic versions of their documents, both for current use and for future reference
- Enterprise-caliber system ensures the future safe-keeping and ongoing availability of the records
- Executives’ offices that utilize “Document Central” as their primary filing system have eliminated the need for separate departmental repositories
- Furthering the exchange of information within UCOP, executive summaries of timely items of general interest are distributed via electronic mail the following day to subscribers to the Records Management “Correspondence Report”<sup>1</sup>

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<sup>1</sup> View examples of prior Reports at: <http://www.ucop.edu/documentcentral/reports/rpt.php>

## 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](mailto:records@ucop.edu) (preferred) or send to Records Management, 7<sup>th</sup> Floor Franklin Building
  - **HOW** – forward email messages, send as email attachments, or send url of posted items to [records@ucop.edu](mailto: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 the 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 (Business and Finance Bulletins, Contracts and Grants Manuals, 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 they are 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