

# UC Davis Policy and Procedure Manual

## Chapter 320, Records and Archives

### Section 10, Records Management, Retention and Disposition

Date: 3/8/06

Supersedes: 320-10, 6/3/87; 320-15, 4/28/89; and 320-25, 5/10/90

Responsible Department: Campus Counsel

Source Document: UC Business and Finance Bulletin, RMP Series, Records Management and Privacy

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#### I. Purpose

This section describes the University Records Management Program and establishes procedures and responsibilities for the retention, disposition, and archive of records, assuring compliance with laws governing privacy and access to records.

#### II. Definitions

- A. Record--written, visual, electronic, or audio documentation of any action or activity generated or received by an operating unit of the University. Records include but are not limited to correspondence, other types of papers, cards, forms, maps, tapes, magnetic tapes, discs, films, prints, exhibits, catalogs, pamphlets, etc.
- B. Non-record material--material of immediate value only, such as envelopes, routing slips, worksheets, rough drafts, reminders, superseded catalogs or brochures, or notes or recordings that have been transcribed.
- C. Record custodian--individual assigned responsibility for maintenance of records for a department or unit.
- D. Record proprietor--the individual with management responsibility for records associated with a University administrative function.
- E. Records disposition--destruction or systematic transfer to archival storage of records no longer needed for everyday operations, frequent reference, or satisfaction of external requirements.
- F. Retention period--the length of time a record needs to be maintained to satisfy the purposes for which it was created and to fulfill the legal, fiscal, and administrative requirements of the University and interested external agencies.

#### III. Policy

- A. The administrative records of all University officers, faculty, and staff members whose regular or occasional performance of administrative duties puts them in possession of files, records, or documents pertaining to such duties, are the property of The Regents of the University of California and may not be permanently removed from the University nor destroyed except in accordance with the provisions of the Records Disposition Schedules.
- B. Through the disposition program, the University strives to retain records long enough to satisfy internal and external requirements and needs, but not so long as to incur unnecessary costs or burdens.
- C. Records related to significant events and people in the history of the University shall be preserved in the main archive.
- D. Non-records are not managed under the Records Management Program and shall be disposed of once their period of initial usefulness has passed.

#### IV. Procedures

- A. Vital records
  - 1. The following types of records are considered vital records:

- a. Those records essential to the protection of the rights of individuals.
  - b. Those records essential to the protection of the University's rights and/or execution of its public (contractual) obligations.
2. Departments responsible for vital records shall ensure their adequate protection.
- B. Disposition of records
1. The retention period of records is counted from the date of creation unless otherwise noted in the Records Disposition Schedule.
  2. All records that have reached their disposition date shall be disposed of or archived in a timely manner, generally by the end of the month that marks the end of the retention period.
  3. Records containing sensitive personal information shall be destroyed appropriately at the end of their retention period.
  4. Disposal of records must be deferred when any of the following circumstances exist:
    - a. If there are State or Federal laws or regulations, University contracts, or grants that override the standard University retention period.
    - b. If the records have been requested pursuant to statute or legal proceedings.
    - c. If the records are likely to be requested pursuant to legal proceedings, even if they have not yet been requested.
    - d. If the records are related to an ongoing investigation.
  5. Departments holding records that do not have a disposition schedule shall contact the Records Management Coordinator to establish an appropriate disposition schedule.

C. Archives

1. Departments holding records to be archived shall inform the University Archivist of their existence and location.
2. The University Archivist, in consultation with the department, will either make the arrangements for physical transfer of records, or make arrangements for the holding department to permanently retain the records.

Records that are permanently retained by the department are subject to the same conditions as other records held in the main archives.
3. Departments holding records that are not officially scheduled for transfer to archives but are of potential historical value shall contact the University Archivist for assistance.
4. Personal information that should remain private shall be removed by the department before sending records to archives.

**V. Responsibilities**

A. Records Management Coordinator

The Records Management Coordinator represents the campus on the Records Management Committee and is responsible for implementing and managing the Records Management Program at the campus level. Specific duties include:

1. Providing information and advice to departments with regard to preparation of inventories, establishment and maintenance of files, retention of records, and all other records management matters.

2. Coordinating all requests for establishing disposition schedules on behalf of the Records Management Committee.
3. Coordinating campus review of disposition schedules proposed by the Records Management Committee or by other campuses.

B. Record proprietor and record custodian

The Record proprietor is responsible for monitoring the records disposition program for the department. Responsibilities can be delegated to the record custodian as appropriate. Specific duties include:

1. Determining if the records have administrative, legal, fiscal, or historical value.
2. Identifying vital records and establishing procedures for their protection.
3. Destroying records in accordance with the published disposition schedules.
4. Arranging with the University Archivist for transfer of records of historical value to archives for retention.

C. University Archivist

The University Archivist has been delegated responsibility for the Archives Program at UC Davis. Specific duties include:

1. Establishing general guidelines and procedures for evaluation, disposition, organization, and maintenance of UCD archival records.
2. Maintaining the organization of materials collected in the archives as determined in consultation with the original holding department.
3. Advising departments regarding records not scheduled for transfer to archives but of potential historical value.
4. Consulting with the Records Management Coordinator and University Records Management Committee in establishing disposition schedules.

## VI. Further Information

- A. For further information and advice regarding the management and disposition of records, contact the Records Management Coordinator, Office of the Campus Counsel.
- B. Recommendations for record maintenance and storage are available in Business and Finance Bulletin [RMP-2, Appendix A](#).
- C. For information regarding University archives, contact the University Archivist, Shields Library.

## VII. References and Related Policies

- A. Business and Finance Bulletins:
  1. [RMP Series](#), Records Management and Privacy of and Access to Records.
  2. [IS-3](#), Electronic Information Security.
- B. UCD Policy and Procedure Manual [Section 320-20](#), Privacy of and Access to Information.
- C. [UC Records Disposition Schedules Manual](#).