



BFB-RMP-1: University Records Management Program

Responsible Officer:	Chief Information Officer & VP - Information Technology Services
Responsible Office:	IT - Information Technology Services
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Scope:	This policy applies to all University employees. It applies to all campuses, the Office of the President, Agriculture and Natural Resources, Medical Centers, and the Lawrence Berkeley National Laboratory.

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I. POLICY SUMMARY

This bulletin describes the general principles and policy foundation of the University of California Records Management Program (Program), as well as the responsibilities associated with the Program.

This bulletin addresses anyone in the university community who handles administrative records including 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.

Except as superseded by federal laws and regulations, and university contracts, the Program applies to all administrative records, regardless of their medium. The Program 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).

Note that all records may be subject to external requirements, such as State and federal regulations and university contracts.

II. DEFINITIONS

Administrative Record: see **Record**

Record¹: Any writing, regardless of physical form or characteristics, containing information relating to the conduct of the public's business prepared, owned, used, or maintained 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.

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.

Records Custodian: The individual with responsibility for maintenance of the records of a university department or unit.

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

III. POLICY TEXT

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

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

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, division, 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.”²

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

² Ownership of Administrative Records - Vice President Bolton -10/31/69

D. 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. The Program shall be administered at each university location for administrative records at that location.

1. Composition

The Vice President – Information Technology Services (ITS) and Chief Information Officer 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, the Office of the President, the Division of Agriculture and Natural Resources, and the Lawrence Berkeley National Laboratory;
- Four ex-officio members representing the General Counsel, the UC Archivists Council, the University Auditor in the Office of the President, and the Executive Vice President/Chief Financial Officer in the Office of the President; and
- 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.

IV. COMPLIANCE / RESPONSIBILITIES

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. Executive Vice President/Chief Operating Officer

The Executive Vice President/Chief Operating Officer in the Office of the President has universitywide responsibility for establishing records management and information practices policy. This responsibility has been delegated to the Vice President – Information Technology Services (ITS) and Chief Information Officer

2. Vice President – Information Technology Services (ITS) and Chief Information Officer

The Vice President – Information Technology Services and Chief Information Officer in the Office of the President has been delegated universitywide responsibility for records management and information practices policy. The Vice President – ITS 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 III.D. 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:

- a. Guidance on topics including but not limited to standards, technical requirements, and regulatory issues;
- b. Periodic reports and advice to senior university management on records matters; and
- c. 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 Vice President of Agriculture and Natural Resources, the Executive Vice President/Chief Financial Officer 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, the Office of the President, the Division of Agriculture and Natural Resources, and the Lawrence Berkeley National Laboratory 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.³

5. Records Proprietor

The manager of an operational unit shall be the Records 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 Records Proprietor encompasses management responsibilities such as production of records for audit and other purposes.⁴ For electronic records, the Records Proprietor shall serve as the Electronic Information Resource Proprietor (see Business and Finance Bulletin [IS-3, “Electronic Information Security”](#)).

The office of the Records Proprietor may or may not have custody of the records associated with the function. The Proprietor may entrust the records to Records 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 destruction).

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 records requirements.

³ 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.

⁴ 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. Records Custodian

The manager of a university department or unit (e.g., central records, electronic information systems department) that has been designated by the Records Proprietor to maintain the records shall serve as the Records Custodian.⁵ 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.”](#)

V. PROCEDURES

Not applicable

VI. RELATED INFORMATION

- 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
 - a. Business and Finance Bulletin [IS-3, “Electronic Information Security”](#)
 - b. Business and Finance Bulletin [RMP-2, “Records Retention and Disposition: Principles, Processes, and Guidelines”](#)
 - c. Business and Finance Bulletin [RMP-4, “Vital Records Protection”](#)
 - d. Business and Finance Bulletin [RMP-7, “Privacy of and Access to Information Responsibilities”](#)
 - e. Establishment of, and assignment of responsibility for a University Archives program to University Librarians, issued by President Kerr, June 2, 1964
 - f. Policy statement establishing a Records Management Program for the university, issued by President Kerr, March 8, 1963
 - g. [Policy statement on ownership of administrative records](#), issued by Vice President Bolton, October 31, 1969
 - h. [UC Records Retention Schedule](#)
 - i. University Records Management Committee [membership roster](#)

⁵ This role encompasses the “primary repository” responsibilities attached to the “office of record” concept, which is being phased out

VII. FREQUENTLY ASKED QUESTIONS

Not applicable.

VIII. REVISION HISTORY

July 2019: This Policy is reformatted to meet Web Content Accessibility Guidelines (WCAG) 2.0.

September 2015: Revised to correct name and title changes, and to align the policy with the updated UC Records Retention Schedule.

October 2004: Revised with minor changes to conform with RMP-2 Records Retention and Disposition.

September 2003: Revised.

November 1, 1985: Revised as RMP-1, “University Records Management Program.”

June 15, 1976: Originally published, as RM-1, “University Records Management Program.”