

UC Santa Barbara
Policies

Policy 7050

Issuing Unit: Administrative Services

Date: February 1, 1986

UNIVERSITY'S RECORDS MANAGEMENT PROGRAM

I. REFERENCES:

- A. University of California Business and Finance Bulletin, RM-1, University Records Management Program.
- B. University of California Business and Finance Bulletin, RM-2, Records Disposition Program and Procedures.
- C. University of California Business and Finance Bulletin, RM-3, Forms Management Program.
- D. University of California Business and Finance Bulletin, RM-4, Vital Records Protection.
- E. University of California Business and Finance Bulletin, RM-S, Microfilm Guidance.

II. POLICY:

A. Definition:

For the purposes of the University, records may be defined as "paper, maps, exhibits, magnetic or paper tapes, photographic films and prints, and other documents produced, received, owned or used by an office, regardless of physical form or characteristics." Some of the items which are non-record material are: miscellaneous notices or advertisements of meetings, etc., not pertinent to departmental business; shorthand notes, including stenographic notebooks and stenotype tapes, and dictating media, which have been transcribed; envelopes and routing slips which should be removed from material before filing; requests for printed material after the requests have been filled; and informal notes, worksheets and rough drafts of letters, memoranda, or reports that do not represent basic steps in the preparation of documents.

B. Ownership of Administrative Records:

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, writing and other papers, records, tapes, maps, photographic films 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 University Records Management Committee.

C. Records Management Program:

1. Purpose:

The University's Records Management program has four basic objectives:

To save space by removing from offices records not required for daily operations or frequent references; by removing from storage areas records that no longer have significant value; and by maintaining a regular, controlled flow of records from offices to storage to destruction.

To save money by avoiding the purchase of equipment and supplies to file unneeded records; by providing inexpensive storage facilities for less active records; and by releasing surplus filing equipment for re-use.

To save time in locating records by removing inactive material from office files; by installing a system whereby the office knows records it has and where they are kept; and by providing an orderly method of storing inactive records.

To protect the University and its components by ensuring that all legal, historical, fiscal and administrative requirements are satisfied before records are destroyed.

2. Responsibility:

Responsibility for the Records Management Program resides with a Systemwide Records Managements Committee that reports directly to the President. The committee members include one Records Coordinator from each campus.

3. Records Disposition:

Records disposition and/or retention is one important element of the University's total Records Management Program. The Records Disposition Schedules Manual contains retention periods for most of the records in normal usage (the Manual is included in the UCSB Policies Manual, following the pink tab, in the last volume).

For those records not having an established retention period, a Form RM-2, Request for Establishment of Disposition Schedule (Attachment A) should be sent to the Campus Records Coordinator, in charge of the Chancellor's Office.

4. Vital records:

One part of the total records program is the identification and protection of vital records. A record is vital when the re-establishment of an authentic replacement of a lost or unavailable record would be impossible or prohibitively difficult and, thus, abridge, jeopardize, or otherwise affect a significant right of an

individual, a significant right or asset of the University, or the performance of an essential function of the University so adversely that extraordinary precautions are required to preserve and protect effectively that record from both normal and unusual hazards, present and potential. See UCSB Policy 7060.

5. Archives:

The University Records Disposition Schedule lists certain records that should be forwarded to the UCSB Archivist, in the Library Department of Special Collections. These records are of particular historical significance to the University. See UCSB Policy 7055.

III. ATTACHMENT:

- A. Request for Establishment of Disposition Schedule, Form RM-2.

Please direct questions about these policies to Meta.Clow@vadmin.ucsb.edu. For questions or comments regarding the format of the above information, please contact webcontact@ucsbuxa.ucsb.edu.

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