

University of California Archivists Council (UCAC) – E-Records Workshop

As a jumping-off point for discussion of potential projects and areas of risk, we have compiled lists of those records at UC that have been identified as 1) having historical value or 2) needing to be retained permanently.

The records are further identified: a) by their unique number in the UC Retention and Disposition Database (<http://www.ucop.edu/recordsretention/>); b) as possibly falling under the UCAC Campus-Level Core Administrative Records (<http://libraries.universityofcalifornia.edu/cdc/ucac/collectingapp1.html>); and c) as to whether the record has been pre-identified as Vital in the retention schedules or the Vital Records policy (<http://www.ucop.edu/ucophome/policies/bfb/rmp4.html>).

October 17, 2006

I - UC Disposition "To Archives" (includes "Permanent To Archives")

dispo schedule no.	record name	record category	yrs to retain authoritative copy	yrs to retain other copies	location	core	vital
37	Distribution of Literature Permit, Non-University Organizations	Admin: Certificates, Licenses, Permits, Registration, Warrantees	0-2 then to Archives	---	Dean of Students	N	N
56	Basic Agreements (including master contracts, master agreements, & advance payment pool agreements) with related material-C&G copy	Admin: Contracts, Grants, Agreements	Longer of: 4 after termination/expiration; 6 after final payment of all project orders; or resolution of any litigagion, claim or audit. All subject to archival review.	0-5	Contracts & Grants Office with operational responsibility	N	N
57	Basic Agreements (including master contracts, master agreements, & advance payment pool agreements) with related material-Acctg copy	Admin: Contracts, Grants, Agreements	Longer of: 4 after termination/expiration; 6 after final payment of all project orders; or resolution of any litigagion, claim or audit. All subject to archival review.	0-5	Accounting Office with operational responsibility	N	N
58	Contracts (including interagency agreements & projects orders under basic agreement), Grants (including private), Cooperative Agreements (including private) with related material,including proposal-C&G copy	Admin: Contracts, Grants, Agreements	Longer of: 6 after expiration/termination; resolution of any litigation, claim or audit; or period stated in award document. All subject to archival review.	0-5	Contracts & Grants Office with operational responsibility	N	N
59	Contracts (including interagency agreements & projects orders under basic agreement), Grants (including private), Cooperative Agreements (including private) with related material, including proposal-Acctg copy	Admin: Contracts, Grants, Agreements	Longer of: 6 after expiration/termination; resolution of any litigation, claim or audit; or period stated in award document. All subject to archival review.	0-5	Accounting Office with operational responsibility	N	N
62	Contracts with DOE for operation of DOE Laboratories (including related agreements)	Admin: Contracts, Grants, Agreements	10 after termination, then to Archives	1-10 after termination	Secretary of The Regents	N	N
71	Annual Index of Contract & Grant Awards	Admin: Contracts, Grants, Agreements	10, then to Archives	0-5	OP Contracts & Grants	Y	N

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85	Report of Gift/Private Grant Acceptance with attachments (see "Comments")-gift of \$1,000,000 and over, and all gifts of real property and endowments	Admin: Gifts, Endowments, Private Grants	10 then to Archives	(depending on retention period of the material being	OP-Recds. Mgmt. Serv.	N	N
86	Gifts of \$1,000,000 and over, and all gifts of real property and endowments.	Admin: Gifts, Endowments, Private Grants	10 then to Archives	(depending on retention period of the material being	OP-Recds. Mgmt. Serv.	N	N
97	Annual Register of Accepted & Received Gifts by Campus	Admin: Gifts, Endowments, Private Grants	10-Permanent or to Archives	0-5	Gifts & Endowments; Development	N	N
127	Academic Senate Minutes: Assembly, Record of	Admin: Minutes	Permanent, transfer to Archives after 10-25	0-10	Senate Offices	Y	N
128	Academic Senate Minutes: Backup Material	Admin: Minutes	0-20, then to Archives for selective retention	0-1	Senate Offices	Y	N
129	Academic Senate Minutes: Committees of the University Assembly	Admin: Minutes	Permanent, transfer to Archives after 10-25	0-10	Senate Offices	Y	N
130	Academic Senate Minutes: Divisional	Admin: Minutes	Permanent, transfer to Archives after 10-25	0-10	Senate or initiating campus	Y	N
131	Academic Senate Minutes: Divisional Special Committees	Admin: Minutes	Permanent, transfer to Archives after 10-25	0-10	Senate or initiating campus	Y	N
132	Academic Senate Minutes: Divisional Standing Committees	Admin: Minutes	Permanent, transfer to Archives after 10-25	0-10	Senate or initiating campus	Y	N
134	Building & Campus Development Committee Minutes & Reports	Admin: Minutes	1-5, then to Archives	0-1	Committee secretary	Y	N
135	Campus Planning Committee Minutes	Admin: Minutes	5-10, then to Archives	0-2	Committee secretary	Y	N
140	Regents Minutes	Admin: Minutes	Permanent, then to Archives	1-10	Regents (V)	UCB?	Y
142	Regents Minutes, Chancellors' copies	Admin: Minutes	5-10, then to Archives		Chancellor	Y	N

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144	Minutes of University committees appointed by President or Chancellors	Admin: Minutes	1-15, then to Archives	1-5	President or Chancellor	Y	N
148	Five-year Review of Organized Research Units - Universitywide	Admin: Other	0-5 after life of unit, then to Archives	5-10	Reviewing office	N	N
156	Patent Case Files: Patent Not Issued	Admin: Patents	10 after the last action or expiration of the license or other agreement, then to archives	0-10	Patent, Trademark, & Copyright	N	N
157	Patent Case Files: Patent Issued	Admin: Patents	7 after the last patents have expired, then to archives	0-10	Patent, Trademark, & Copyright	N	N
158	Patent License Agreement	Admin: Patents	7 after the date of termination of the license, then to archives	0-10	Patent, Trademark, & Copyright (V)	N	Y
159	Financial Records, Patent Income, Patent Expense, Inventor's Share Payments	Admin: Patents	7 after the last payment, last patent expires, or termination of the license, whichever date is last, then to archives	0-10	Patent, Trademark, & Copyright (V)	N	Y
160	Academic Senate Bylaws	Admin: Policies, Procedures, Laws	Permanent, transfer to Archives after 5-10	Until superseded	Senate Offices	N	N
161	Academic Senate Bylaws, Divisional	Admin: Policies, Procedures, Laws	Permanent, transfer to Archives after 5-10	Until superseded	Senate Offices	Y	N
163	Regents By-Laws and Standing Orders, Obsolete Sections	Admin: Policies, Procedures, Laws	Permanent	---	Archives	UCB?	N
170	Campus Academic Plans	Admin: Publications	2-10 after superseded, then to Archives	Until superseded	Chancellor or initiating campus; President	Y	N
172	Academic Plans: University	Admin: Publications	2-10 after superseded, then to Archives	Until superseded	President; Chancellor	Y	N
176	Catalogs: UC Campuses - Initiating Campus Copy	Admin: Publications	1-10, then to Archives	1-10	Registrar; Admissions	Y	N
178	Catalogs: University Extension	Admin: Publications	3-10, then to Archives	0-5	UNEX Recorder's Office	Y	N

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180	Campus Telephone Directory	Admin: Publications	Until superseded, then to Archives	Until superseded	Business Office	Y	N
181	Student Directory	Admin: Publications	1-5, then to Archives	Until superseded	Originating Office	Y	N
184	President's Newsletter	Admin: Publications	Permanent; one copy to archives permanently	0-1	President	N	N
186	Newspapers - Campus	Admin: Publications	1, then to Archives	0-2	Student Affairs	Y	N
189	Clippings, Campus Collection	Admin: Publicity	0-2, then to Archives	---	Public Affairs	N	N
190	News Releases: Administrative	Admin: Publicity	0-15, then to Archives	0-1	Public Affairs; OP Publications	N	N
194	University Extension Promotion Brochures	Admin: Publicity	3-10, then to Archives	0-2	UNEX Program Promotion Office	N	N
218	Campus Computer Center Computer Utilization Report	Enterprise: Computer Center	0-7 then to Archives	0-7	Computer Center	N	N
312	Annual Telephone Report	Enterprise: Telecommunications	2, then to Archives	0-1	Telephone	N	N
370	Departmental Allocations - CAMPUS COPIES	Fiscal: Budget and Budget Control	5 then to Archives	0-5	Budget; Accounting	N	N
371	Departmental Allocations - UCOP COPY	Fiscal: Budget and Budget Control	10 then to Archives	0-5	OP-Budget	N	N
398	Final Staffing List - All Sequences - Campus Budget Office Copy	Fiscal: Budget and Budget Control	5, then to Archives	---	Campus Budget	N	N
567	Endowment Folders - OP Corporate Accounting	Fiscal: Other	Permanent: to Archives 10 after inactive	0-1	OP-Corporate Accounting	N	N
1346	Executive Architects, Engineers, and Landscape Architects Agreement Files, including Architect's Letter of Acceptance, Design Change Orders, other Historical Materials	Phys Plant: Architects & Engineers	10 after project completion, then to Archives after General Counsel's review	---	Architects & Engineers	N	N
1373	Long-Range Development Files - "Project Files"	Phys Plant: Architects & Engineers	5-10 then to Archives	---	Architects & Engineers	Y	N

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1386	Capacity Tables, Capital Outlay Program	Phys Plant: Campus Planning	5--10 then to Archives	0-5	OP-Budgetary Planning	Y	N
1395	Campus Long-Range Development Plans - Campus Copies	Phys Plant: Campus Planning	10-25 then one copy to Archives	---	Architects & Engineers	Y	N
1421	Space Utilization: Individual Rooms by Building	Phys Plant: Campus Planning	10 then to Archives	0-10	OP-Budgetary Planning	Y	N
1426	Owned Buildings Constructed 1955 or Later	Phys Plant: Campus Planning	2 then to Archives	2-10	OP-Budgetary Planning	Y	N
1532	Extracurricular Activity Records, by Organization	Student & Applicant: Extracurricular Activities	Transfer to Archives when inactive	---	Student Relations; Dean of Students	N	N
1561	Schedule of Classes (Campus Institutional Studies Report)	Student & Applicant: Registration, Enrollment & Performance (except UNEX)	10 then to Archives	0-2	UCOP; Campus Institutional Studies; Planning	Y	N
1562	Schedule of Classes (Regular and Summer Session)	Student & Applicant: Registration, Enrollment & Performance (except UNEX)	5 then to Archives	---	Registrar; Summer Session	Y	N
1563	Statistical Summaries/Reports/Surveys	Student & Applicant: Registration, Enrollment & Performance (except UNEX)	5-10 then to Archives	1-10	UCOP; Campus Institutional Studies; Planning; Registrar	Y?	N
1576	University Extension Statistical Summary	Student & Applicant: University Extension	0-10 then to Archives	0-3	UCOP; Dean-UNEX; Student Services	N	N

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1592	UNEX Reports: Enrollment Summary Statistics-Annual	Student & Applicant: University Extension	5-10 then to Archives	0-1	UNEX	N	N

II - Permanent (other than medical) - Disposition Instructions Do Not Mention Archives

dispo schedule no.	record name	record category	yrs to retain authoritative copy	yrs to retain other copies	location	core	vital
38	Easements	Admin: Certificates, Licenses, Permits, Registration, Warrantees	Permanent or until disposal of property	---	Secretary of The Regents; Negotiating Office	N	N
79	Decree of Distribution	Admin: Gifts, Endowments, Private Grants	Permanent	0-10 (depending on retention period of the material being supported)	Secretary of The Regents (V)	N	Y
80	Deed: Gift, Grant, & Quitclaim	Admin: Gifts, Endowments, Private Grants	Permanent	0-10 (depending on retention period of the material being supported)	Secretary of The Regents (V)	N	Y
81	Endowment or Loan Fund Record Sheet	Admin: Gifts, Endowments, Private Grants	Permanent	0-10 (depending on retention period of the material being supported)	President	N	N
82	Estate & Will File	Admin: Gifts, Endowments, Private Grants	Permanent	0-10 (depending on retention period of the material being supported)	General Counsel	N	N
87	Gift Term Amendment or Cancellation	Admin: Gifts, Endowments, Private Grants	Permanent	0-10 (depending on retention period of the material being supported)	President	N	N
88	Report of the Receipt of Gifts of Securities	Admin: Gifts, Endowments, Private Grants	Permanent	0-10 (depending on retention period of the material being supported)	President	N	N

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98	Composite Register of Accepted & Received Gifts & Endowments (Annual)	Admin: Gifts, Endowments, Private Grants	Permanent	---	OP-Gifts & Endowments	N	N
136	Council of Chancellors Minutes	Admin: Minutes	Permanent	5-10	President	N, Does UCB keep?	N
137	Council of Chancellors Minutes, Chancellors' copies	Admin: Minutes	Permanent		Chancellor	Y	N
162	Regents By-Laws and Standing Orders, CURRENT	Admin: Policies, Procedures, Laws	Permanent	Until superseded	Secretary of The Regents	N	N
167	Policy Manuals, University	Admin: Policies, Procedures, Laws	Permanent	Until superseded	President; Chancellor; issuing office	Y?	N
169	University Directives and Regulations	Admin: Policies, Procedures, Laws	Permanent	Until superseded	President; Chancellor; issuing office	Y?	N
182	University Directory	Admin: Publications	Permanent	0-1	President; OP Publications	Y	N
183	Miscellaneous UC Publications (not listed specifically elsewhere)	Admin: Publications	Permanent	0-10	Issuing department	Y	N
185	University Bulletin/UC FOCUS	Admin: Publications	2 copies Permanent	1-5	OP-Publications, Campus Public Information; President	Y	N
188	Biographical Data on Regents	Admin: Publicity	Permanent	As long as member	Secretary of The Regents	N	N
347	Departmental Allocations - Budget for Current Operations	Fiscal: Budget and Budget Control	1 copy permanent	0-5	OP-VP-BUR; Accounting	N	N
359	Personnel Listing	Fiscal: Budget and Budget Control	1 copy permanent	0-5	OP-VP-BUR; Accounting	Y	N
367	Adjusted Budget - CAMPUS COPIES	Fiscal: Budget and Budget Control	5-Perm	0-5	Budget; Accounting	N	N
440	Inventorial Equipment Property Number Log	Fiscal: Equipment Inventory	Permanent	---	Equipment Mgmt	N	Y

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455	Auxiliary and Service Enterprises, Annual Financial Statements - OP Controller Copies	Fiscal: Financial Reports and Statements	3 copies permanent	1-10	OP-Controller	N	N
456	Auxiliary and Service Enterprises, Annual Financial Statements - Campus Copy	Fiscal: Financial Reports and Statements	1 copy permanent	---	Accounting	N	N
457	Annual Campus Financial Schedules - OP Controller Copies	Fiscal: Financial Reports and Statements	3 copies permanent	1-10	OP-Controller	N	N
458	Annual Campus Financial Schedules - Campus Copy	Fiscal: Financial Reports and Statements	1 copy permanent	---	Accounting	N	N
459	Annual Financial Report - OP Controller Copies	Fiscal: Financial Reports and Statements	3 copies permanent	1-10	OP-Controller	N	N
460	Annual Financial Report - Campus Copy	Fiscal: Financial Reports and Statements	1 copy permanent	---	Accounting	N	N
647	Fiscal Closing: List Endowment Fund Principal in Location Fund Sequence	Fiscal: Other	Permanent	0-5	Accounting	N	N
653	Fiscal Closing: List Annual Report of Plant Assets	Fiscal: Other	Permanent	1-10	Accounting	N	N
1601	Library Donor File	Library: Acquisitions	Permanent	---	Library	N	N
1649	Bindery Information Files	Library: Bindery	Permanent	---	Library	N	N
1603	Author and/or Subject Authority File--On Line and On Paper	Library: Cataloging	One file is permanent; one until superseded		Library	N	Y
1617	Depository Item Cards	Library: Government Publications	Permanent	---	Library	N	N
1619	Govt. Publications Catalog Organized by Issuing Body	Library: Government Publications	Permanent	---	Library	N	N
1620	Govt. Publications Item Selections List	Library: Government Publications	Permanent	---	Library	N	N

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1622	Govt. Publications Address File	Library: Government Publications	Permanent	---	Library	N	N
1625	Govt. Publications Budget Records	Library: Government Publications	Permanent	---	Library	N	N
1627	Serials Record	Library: Serials	Permanent	----	Library	N	N
1630	Series Authority File	Library: Serials	Permanent	---	Library	N	N
1633	Serials - Replacement Files	Library: Serials	Permanent or until superseded	---	Library	N	N
1635	Newspaper File	Library: Serials	Permanent	---	Library	N	N
1636	Serials - Purchasing Authority	Library: Serials	Permanent	---	Library	N	N
1640	NRLF (Northern Regional Library) - on line	Library: Serials	Permanent	---	Library	N	N
1177	Academic Appointments, Appraisals, Merit, and Promotion Review Files; Biography and Supplement to Biobibliography Form	P/P/B: Employment	Senate member: 5 after sep	0-5 after separation	Campus Academic Personnel	Y, partial	N
1268	Salary Personnel Listing	P/P/B: Salary and Wage Administration	Permanent (3 copies)	0-5	OP-Budgetary Planning	N	N
1349	Architectural Competition for University Buildings Program	Phys Plant: Architects & Engineers	Permanent	0-10	Secretary of The Regents	N	N
1359	Construction Contract Documents: Contractor's Agreement, Original Change Orders, Tax Exemption Certificates, etc.	Phys Plant: Architects & Engineers	Permanent	Following completion of project	Architects & Engineers	N?	Y
1363	As-built Drawings - Architects & Engineers copies	Phys Plant: Architects & Engineers	Permanent	Following completion of project	Architects & Engineers	Y	Y
1371	Land Acquisition Files	Phys Plant: Architects & Engineers	Permanent	1 following last activity	Secretary of The Regents	N	N
1372	Land Survey Records	Phys Plant: Architects & Engineers	Permanent	---	Architects & Engineers	N	N
1380	Soil Reports	Phys Plant: Architects & Engineers	Permanent	0-3 Following completion of project	Architects & Engineers	N	N

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1382	Annual Financial Report, Architects & Engineers	Phys Plant: Architects & Engineers	Permanent	1-5	OP-Physical Planning, Construction & Operations	N	N
1384	Statement of Professional Qualifications: Architects, Consultants, Designers, Engineers	Phys Plant: Architects & Engineers	Permanent	---	Architects & Engineers	N	N
1387	Equipment Summary, Group 2 and 3 (report by project)	Phys Plant: Campus Planning	Permanent	5 Following completion of project	OP-Budgetary Planning	N	N
1389	Facilities Manual - OP Physical Planning ofc copy	Phys Plant: Campus Planning	Permanent	Until superseded	OP-Physical Planning, Construction & Operations	Y?UCB?	N
1391	Facilities Planning Guide - OP Physical Planning ofc copy	Phys Plant: Campus Planning	Permanent	Until superseded	OP-Physical Planning, Construction & Operations	N	N
1396	Annual Major Capital Improvement Program Document (booklet)	Phys Plant: Campus Planning	Permanent	0-5	OP- Budgetary Planning	N	N
1399	Space Surveys (retitled Facilities Surveys)	Phys Plant: Campus Planning	Permanent	0 -10	OP-Budgetary Planning	N	N
1508	Intercampus Graduate Studies Exchange Program Application	Student & Applicant: Admissions (except UNEX)	1-permanent	0-5	Graduate Div.	N	N
1535	Application for Scholarship or Fellowship (awarded)	Student & Applicant: Financial Aid	5-permanent	---	Administering Office	N	N
1551	Course Reports--Final	Student & Applicant: Registration, Enrollment & Performance (except UNEX)	5-permanent	0-5	Registrar	N	N

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1560	Request for Course Approval	Student & Applicant: Registration, Enrollment & Performance (except UNEX)	5-permanent	until superseded	Registrar	N	N
1564	Student Grade Record Card	Student & Applicant: Registration, Enrollment & Performance (except UNEX)	Permanent	0-5	Registrar	N	Y
1571	Course and/or Teacher Approval Form	Student & Applicant: University Extension	5-permanent	0-1	UNEX Student Services; Program Processing	N	N
1578	University Extension Transcripts (Student History Card)	Student & Applicant: University Extension	Permanent	---	UNEX Student Services	N	N
1589	UNEX Reports: Class List & Grade Reports--Final	Student & Applicant: University Extension	5-permanent	0-1	UNEX	N	N