

Records Code	Function	Function Description	Category	Category Description	Sub-Category Title	Keywords	Retention Period	Retention Rule	Publish Date	Primary Owner Override	Comments
0001*	01. General Routine Office Transitory Records	Transitory records document routine general office activities. In this context the word "routine" means activities related to the typical internal operation of an office, including: staffing, administrative procedures, systems, and communications. They do not serve as documentation of the establishment of unique programs, functions, units, or a campus, nor record fiscal obligations to demonstrate accountability or document important historical decisions of the University.	1. General Routine Office Transitory Records	Transitory records document routine general office activities. In this context the word "routine" means activities related to the typical internal operation of an office, including: staffing, administrative procedures, systems, and communications. They do not serve as documentation of the establishment of unique programs, functions, units, or a campus, nor record fiscal obligations to demonstrate accountability or document important historical decisions of the University.		routine internal reports, routine internal reviews, routine internal plans, letters, acknowledgements, e-mail messages, routine messages, office support records, logs, internal requests, administrative committees members records, unsolicited job applications, supplies, office services, routine projects, source documents, data input records, scanned documents, acknowledgement, administrative procedures, correspondence, e-mail, e-mail, Fax, general correspondence, informal letter, internal correspondence, internal letter, internal notes, internal plans, internal reports, internal reviews, letter, memo, memoranda, memos, messages, notes, office administration, office equipment, office personnel training, office procedures, Office Schedule, office schedules, office supply, office supply inventory, phone logs, postcards, routine procedures, source documents for data input, source documents for scanning, staffing, supply records, telephone logs, transitory email, transitory records, transmittals, travel schedules, unsolicited resumes, voice mail messages, voice-mail	Official Record: Retain records for no longer than one year after their administrative use ceases. All Other Copies: Copies are considered non-records and should be retained only for as long as they are being used, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division	(1)Records created from scanned source documents must be verified and documented as accurate following the imaging process. Thereafter, the source records may be destroyed unless prohibited by law or agency regulations. The created records must be retained in a proper recordkeeping system for their retention period. The documentation of the scanning process is not a transitory record and must be retained for as long as the converted record is retained. Some agencies have very specific requirements for retaining source documents and for how imaging must be done. These agencies include but are not limited to FAR, IRS, FDA, and DHS. If required by law or agency regulations, source documents must be kept, even after having been scanned, for example wet-signature promissory notes, oaths, patents, etc. If records governed by an agency are scanned, agency requirements for imaging processes must be met. A proper recordkeeping system is one that meets University of California standards for assuring the records are authentic and will retain their integrity.
0002A*	02. Program Administration Records	Program administration records document the activities involved in managing and/or running the University, a University department or program. There are two categories of program administration records: A. Program Administration Records of enduring historical value, and B. Operational Program Administration Records. The descriptions below and the campus records management coordinator or campus archivist can assist you in distinguishing between the two categories.	A. Program administration records of enduring historical value	A. Program administration records of enduring historical value are those significant records that document the university's development, decision-making process, and the essential cultural history of each campus. Because of their historical importance, they are considered archival records and should be offered to the campus archives when they are no longer required for the day to day activities of the University. Their transfer must be coordinated with the archives. These records best document the establishment, evolution/changes, consolidation, and disestablishment of university departments, programs, emphases, organizational structure, academic and long range development plans, guiding values and principles, and policy; significant long-reaching decisions of those responsible for directing University programs and activities; and significant events. They serve to convey knowledge; preserve institutional memory of decisions, and record traditions; foster socialization; support research; and enrich institutional decision-making. Program administration records of enduring		academic physical, long range development plans, Physical Design Frameworks, policy, policies, letters, acknowledgements, memos, notes, e-mail messages, procedures, directives, general orders, program case files, strategic plans, organizational charts, functional statements, reorganization, studies, high-profile reports, watershed reports, noteworthy reports, annual reports, special projects records, historical records, official minutes, agendas, final reports, bylaws, official committee records, advisory committees records, ad-hoc committees records, task force records, briefing notes, white papers, issues papers, events records, ceremonies records, celebration records, photographs, invitations, final transcripts of speeches, addresses, presentations, comments delivered, media releases, media statements, publications, pamphlets, reports, leaflets, circulars, newsletters, published documents, clippings, addresses - chancellor, advisory committee agendas, advisory committee minutes, agendas - official agendas, annual reports, business correspondence, business email, business	Official Record: Permanent, subject to University Archives review. Coordinate the transfer of these records to the University Archives when no longer needed for current operational business. All Other Copies: Unless found elsewhere in the records retention schedule, such as the copies identified above in the minutes, agendas, final reports, bylaws, and other historically significant records created by all official committees or working groups, including advisory and ad-hoc committees, and task forces section of this schedule which are found in the General Routine Office Transitory Records Retention Schedule, most other copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Permanent records	9/19/2014	Default Division	(1)These are records of enduring, archival value. (2)Some of these records are vital records. See RMP-4 at http://policy.ucop.edu/doc/7020458/BFB-RMP-4 for more information. (3)This is a media neutral retention schedule.
0002B*	02. Program Administration Records	Program administration records document the activities involved in managing and/or running the University, a University department or program. There are two categories of program administration records: A. Program Administration Records of enduring historical value, and B. Operational Program Administration Records. The descriptions below and the campus records management coordinator or campus archivist can assist you in distinguishing between the two categories.	B. Operational program administration records	Operational program administration records do not have enduring historical value, but serve to protect the rights and document the obligations of the University; demonstrate compliance with statutory and regulatory requirements; and document organizational activities. Since they do not have enduring, archival value, their retention is for a shorter period of time than program administration records of historical significance. Operational program administration records, found in all media (paper, electronic, or otherwise) may include but are not limited to: • communications found in letters, acknowledgements, memos, notes, transmittals, e-mail messages and other messages that protect the University's rights, document the University's obligations and activities, demonstrate compliance, and address significant issues governed by extant policies and procedures; • minutes, agendas, final reports, and other records created by University committees and work groups for operational purposes but which have no historical value (copies of these records are		letters, acknowledgements, memos, notes, transmittals, e-mail messages, demonstrate compliance, minutes, agendas, final reports, University committees records, work groups records, standard reports, common reports, lists, studies, internal publication, departmental publications, newsletters, correspondence, department meeting agendas, department meeting minutes, department newsletters, general business correspondence, internal lists, internal reports, internal studies, operational newsletters, routine correspondence, transmittals, webpage	Official Record: Retain records 5 years after the end of the fiscal year in which the records are created. All Other Copies: Unless found elsewhere in the records retention schedule, such as the copies identified above in the minutes, agendas, final reports, and other records created by internal and staff committees, and other staff non-policy making groups section of this schedule which are found in the General Routine Office Transitory Records Retention Schedule, most other copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division	(1)Retaining limited use records longer than necessary drains resources required to properly manage records of longer term value. (2)Some of these records may have restricted information in them. Records containing restricted information (regardless of media) must be protected from unauthorized access, disclosure and disposition, in accordance with University policy and California and Federal laws. Restricted information includes "Notice-Triggerring Information" as defined in UC Business and Finance Bulletin Information Series Policy 15-2 (name plus Social Security Number, driver's license or California identification card number, financial account number with a security code, medical information or health insurance information). (3)Since some of these records contain restricted information, creating copies is discouraged. If created, they must be protected from unauthorized access, disclosure and disposition in accordance with University policy and California and Federal laws. (4)This is a media neutral retention schedule.
0003A1*	03. Payroll and Benefits Records	Payroll and Benefits Records document the payroll and non-retirement benefits processes and activities of the University, such as salary withholding and deductions authorizations and other adjustments that impact and determine the pay period earnings, wages and pay of employees. They also document all compensation opportunities and non-retirement benefits selections made and managed through the University. The records documenting the University's benefit plans, including retirement benefit plans are also found in this section of the retention schedule. These are records of a routine nature and are not of enduring, permanent archival value.	A. Employee Withholding/Deduction Authorizations and Individual Payroll Earnings Records	Employee Withholding/Deduction Authorizations and Individual Payroll Earnings Records document the activities of authorizing salary money to be used to pay taxes and contribute to various benefit programs. The records also document individual employee earnings and their distribution. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • employee's withholding allowance certificates (W-4) and other tax forms including non-resident aliens records and state tax withholding records; • non-retirement benefit election or enrollment records, such as: beneficiary information, o flexible spending account or dependent care spending account election, medical, dental, vision, life, short-term disability, long term disability, and accidental death and dismemberment insurance elections, o legal services, and o parking and other commuter benefits; • earnings and tax distribution records, such as W-2 and tax tables; • records documenting infrequent payment arrangements such as: o bonus pay, o off-cycle pay, o salary adjustment	A. 1. Non-Retirement Benefit Election or Enrollment Records	employee's withholding allowance certificates, W-4, tax forms, non-resident aliens tax records, state tax withholding records, non-retirement benefit election, non-retirement enrollment records, beneficiary information, flexible spending account election, dependent care spending account election, medical, dental, vision, life, short-term disability, long term disability, accidental death, dismemberment, insurance elections, legal services, parking, commuter benefits, earnings, tax distribution records, W-2, tax tables, infrequent payment arrangements, bonus pay, off-cycle pay, salary adjustment, retroactive pay, advance pay, rush pay, one-time pay, payouts, garnishments, levies, court ordered actions, corrective actions, other adjustments, union records, direct deposit records, Benefit Calculations, Benefit Election Records, Benefit Enrollment Records, Benefit Legal Services, Corrective Action, Deduction Authorization, Dependent Care, Direct Deposit, Disability, Dismemberment Insurance, Flexible Spending, FSA, Garnishment, Individual Payroll Earnings, IRS Tax Withholding W-4,	Official Record: Retain records for 50 years after the end of fiscal year in which the records were created. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division - Default Department	(1)29 USC § 1609, 29 USC § 255, 2 CFR § 215.53 (a), (b) and (c), 26 CFR § 31.3000-1 (e) (2), 29 CFR § 516.5, 29 CFR § 516.6, 29 CFR § 1620.32, 29 CFR § 1620.33, 29 CFR § 1627.3 (a), 34 CFR § 100.7, 34 CFR § 668.24 (e) (1), 41 CFR § 601.12 (a), 41 CFR § 601.250-61, 41 CFR § 601.250-80, California Code of Civil Procedure, § 337, California Code of Regulations, § 19704, California Code of Regulations, Title 22, Social Security Division, Unemployment § 1085-2, UC Retiree and Survivor Non-Retirement Benefits Eligibility Verification Requirements (2)This group of records does not include the individual employees' retirement records. Individual employees' retirement records are found in the Human Resources Records section of the retention schedule. (3)Systems built in the future should allow for systematic purging of records to reduce retention periods. (4)The majority of these records will have restricted information in them. Records containing restricted information (regardless of media) must be protected from unauthorized access, disclosure and disposition, in accordance with University

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0003A2*	03. Payroll and Benefits Records	Payroll and Benefits Records document the payroll and non-retirement benefits, processes and activities of the University, such as salary withholding and deductions authorizations and other adjustments that impact and determine the pay period earnings, wages and pay of employees. They also document all compensation opportunities and non-retirement benefits selections made and managed through the University. The records documenting the University's benefit plans, including retirement benefit plans are also found in this section of the retention schedule. These are records of a routine nature and are not of enduring, permanent archival value.	A. Employee Withholding/Deduction Authorizations and Individual Payroll Earnings Records	Employee Withholding/Deduction Authorizations and Individual Payroll Earnings Records document the activities of authorizing salary money to be used to pay taxes and contribute to various benefit programs. The records also document individual employee earnings and their distribution. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • employee's withholding allowance certificates (W-4) and other tax forms including non-resident aliens records and state tax withholding records; • non-retirement benefit election or enrollment records, such as: o beneficiary information, o flexible spending account or dependent care spending account elections, o medical, dental, vision, life, short-term disability, long term disability, and accidental death and dismemberment insurance elections, o legal services, and o parking and other commuter benefits; • earnings and tax distribution records, such as W-2 and tax tables; • records documenting infrequent payment arrangements such as: o bonus pay, o off-cycle pay, o salary adjustment	A. 2. All Other Employee Withholding/Deduction Authorizations and Individual Payroll Earnings Records in systems that allow for systematic purging	employee's withholding allowance certificates, W-4, tax forms, non-resident aliens tax records, state tax withholding records, non-retirement benefit election, non-retirement enrollment records, beneficiary information, flexible spending account election, dependent care spending account election, medical, dental, vision, life, short-term disability, long term disability, accidental death, dismemberment, insurance elections, legal services, parking, commuter benefits, earnings, tax distribution records, W-2, tax tables, infrequent payment arrangements, bonus pay, off-cycle pay, salary adjustment, retroactive pay, advance pay, rush pay, one-time pay, payouts, garnishments, levies, court ordered activities, corrective actions, other adjustments, union dues records, direct deposit records, Benefit Calculations, Benefit Election Records, Benefit Enrollment Records, Benefit Legal Services, Corrective Action, Deduction Authorization, Dependent Care, Direct Deposit, Disability, Dismemberment Insurance, Flexible Spending, FSA, Garnishment, Individual Payroll Earnings, IRS Tax Withholding W-4,	Official Record: Retain records for 6 years after the end of the fiscal year in which the records are superseded or expired. If the records are used as supporting documentation for sponsored activities - Retain records 6 years after the expiration/termination of the sponsored activities; resolution of any litigation, claim, or audit; or the period stated in the award document; or 6 years after the end of the fiscal year in which the records are superseded or expired - whichever is longer. All Other Copies: Copies are considered non- records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division - Default Department	(1)28 USC § 1658, 29 USC § 255, 2 CFR § 215.53 (a), (b) and (g), 26 CFR § 31.6001-1 (e) (2), 29 CFR § 516.5, 29 CFR § 516.6, 29 CFR § 1620.32, 29 CFR § 1620.33, 29 CFR § 1627.3 (a), 34 CFR § 100.7, 34 CFR § 668.24 (e) (1), 41 CFR § 60-1.12 (a), 41 CFR § 60-250-61, 41 CFR § 60-250-80, California Code of Civil Procedure, § 337, California Code of Regulations, Title 22, Social Security Division, Unemployment § 1085-2, UC Retiree and Survivor Non-Retirement Benefits Eligibility Verification Requirements (2)This group of records does not include the individual employees' retirement records; individual employees' retirement records are found in the Human Resources Records section of the retention schedule. (3)Systems built in the future should allow for systematic purging of records to reduce retention periods. (4)The majority of these records will have restricted information in them. Records containing restricted information (regardless of media) must be protected from unauthorized access, disclosure and disposition, in accordance with University policy and California Federal laws.
0003A3*	03. Payroll and Benefits Records	Payroll and Benefits Records document the payroll and non-retirement benefits, processes and activities of the University, such as salary withholding and deductions authorizations and other adjustments that impact and determine the pay period earnings, wages and pay of employees. They also document all compensation opportunities and non-retirement benefits selections made and managed through the University. The records documenting the University's benefit plans, including retirement benefit plans are also found in this section of the retention schedule. These are records of a routine nature and are not of enduring, permanent archival value.	A. Employee Withholding/Deduction Authorizations and Individual Payroll Earnings Records	Employee Withholding/Deduction Authorizations and Individual Payroll Earnings Records document the activities of authorizing salary money to be used to pay taxes and contribute to various benefit programs. The records also document individual employee earnings and their distribution. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • employee's withholding allowance certificates (W-4) and other tax forms including non-resident aliens records and state tax withholding records; • non-retirement benefit election or enrollment records, such as: o beneficiary information, o flexible spending account or dependent care spending account elections, o medical, dental, vision, life, short-term disability, long term disability, and accidental death and dismemberment insurance elections, o legal services, and o parking and other commuter benefits; • earnings and tax distribution records, such as W-2 and tax tables; • records documenting infrequent payment arrangements such as: o bonus pay, o off-cycle pay, o salary adjustment	A. 3. All Other Employee Withholding/Deduction Authorizations and Individual Payroll Earnings Records in systems that do not allow for systematic purging	employee's withholding allowance certificates, W-4, tax forms, non-resident aliens tax records, state tax withholding records, non-retirement benefit election, non-retirement enrollment records, beneficiary information, flexible spending account election, dependent care spending account election, medical, dental, vision, life, short-term disability, long term disability, accidental death, dismemberment, insurance elections, legal services, parking, commuter benefits, earnings, tax distribution records, W-2, tax tables, infrequent payment arrangements, bonus pay, off-cycle pay, salary adjustment, retroactive pay, advance pay, rush pay, one-time pay, payouts, garnishments, levies, court ordered activities, corrective actions, other adjustments, union dues records, direct deposit records, Benefit Calculations, Benefit Election Records, Benefit Enrollment Records, Benefit Legal Services, Corrective Action, Deduction Authorization, Dependent Care, Direct Deposit, Disability, Dismemberment Insurance, Flexible Spending, FSA, Garnishment, Individual Payroll Earnings, IRS Tax Withholding W-4,	Official Record: Retain records 6 years after the end of the fiscal year in which the employee leaves the University. If the records are used as supporting documentation for sponsored activities - Retain records 6 years after the expiration/termination of the sponsored activities; resolution of any litigation, claim, or audit; or the period stated in the award document; or 6 years after the end of the fiscal year in which the employee leaves the University - whichever is longer. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division - Default Department	(1)28 USC § 1658, 29 USC § 255, 2 CFR § 215.53 (a), (b) and (g), 26 CFR § 31.6001-1 (e) (2), 29 CFR § 516.5, 29 CFR § 516.6, 29 CFR § 1620.32, 29 CFR § 1620.33, 29 CFR § 1627.3 (a), 34 CFR § 100.7, 34 CFR § 668.24 (e) (1), 41 CFR § 60-1.12 (a), 41 CFR § 60-250-61, 41 CFR § 60-250-80, California Code of Civil Procedure, § 337, California Code of Regulations, Title 22, Social Security Division, Unemployment § 1085-2, UC Retiree and Survivor Non-Retirement Benefits Eligibility Verification Requirements (2)This group of records does not include the individual employees' retirement records; individual employees' retirement records are found in the Human Resources Records section of the retention schedule. (3)Systems built in the future should allow for systematic purging of records to reduce retention periods. (4)The majority of these records will have restricted information in them. Records containing restricted information (regardless of media) must be protected from unauthorized access, disclosure and disposition, in accordance with University policy and California Federal laws.
0003B1*	03. Payroll and Benefits Records	Payroll and Benefits Records document the payroll and non-retirement benefits processes and activities of the University, such as salary withholding and deductions authorizations and other adjustments that impact and determine the pay period earnings, wages and pay of employees. They also document all compensation opportunities and non-retirement benefits selections made and managed through the University. The records documenting the University's benefit plans, including retirement benefit plans are also found in this section of the retention schedule. These are records of a routine nature and are not of enduring, permanent archival value.	B. Timekeeping and Leave Records	Timekeeping and Leave Records serve as documentation of time and attendance of employees. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • Family Medical Leave Act (FMLA) and other leave of absence records; • over-time compensation records; and • time reporting records.	B. 1. Leave Records that document impacts to service credits	Family Medical Leave Act, FMLA, leave of absence, LOA, over-time compensation records, time reporting records, time and attendance, Annual Leave, Leave, Leaves of Absence, Overtime, Overtime Reporting, Sick Leave, Time Reporting, Time Sheet, Timekeeping	Official Record: Retain records 50 years after the end of the fiscal year in which the records are created. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division - Default Department	(1)28 USC § 1658, 29 USC § 255, 29 CFR § 516.6, 29 CFR § 1620.32, 29 CFR § 1620.33, 29 CFR § 825.500 (b), 29 CFR § 1627.3, 34 CFR § 100.7, 34 CFR § 668.24 (e) (1), 41 CFR § 60-1.12 (a), 41 CFR § 60-250-61, 41 CFR § 60-250-80 (2)The majority of these records will have restricted information in them. Records containing restricted information (regardless of media) must be protected from unauthorized access, disclosure and disposition, in accordance with University policy and California Federal laws. Restricted information includes: "Notice-Triggering Information" as defined in UC Business and Finance Bulletin Information Series Policy IS-2: (name plus Social Security Number, driver's license or California identification card number, financial account number with a security code, medical information or health insurance information). (3)Since many of these records contain restricted information, creating copies is discouraged. If created, they must be protected from unauthorized access, disclosure and disposition in accordance with University policy and California Federal laws.
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0003C1*	03. Payroll and Benefits Records	Payroll and Benefits Records document the payroll and non-retirement benefits processes and activities of the University, such as salary withholding and deductions authorizations and other adjustments that impact and determine the pay period earnings, wages and pay of employees. They also document all compensation opportunities and non-retirement benefits selections made and managed through the University. The records documenting the University's benefit plans, including retirement benefit plans are also found in this section of the retention schedule. These are records of a routine nature and are not of enduring, permanent archival value.	C. Benefit Plans Records	Benefit Plans Records document the various benefits offered at the University. This group of records does include retirement benefit plan records, as well as the benefit plans for all insurance plans (medical, dental, vision, life, short-term and long-term disability) and other plans for all of the benefits offered through the University. The records, found in all media (paper, electronic, or otherwise) may include but are not limited to: • summaries of benefits with annual reports with financial and actuarial statements; • benefit plans; • evidences of coverage; • plan publications; and • certificates of insurance.	C.1. Summaries of Benefits with Annual Reports with Financial and Actuarial Statements	retirement, benefit plan records, benefit plans, insurance plans, medical, dental, vision, life, short-term disability, long-term disability, summaries, benefits, annual reports, financial statements, actuarial statements, benefit plans, evidences of coverage, plan publications, certificates of insurance, Annual Report – Benefits, Audit Reports – Benefits, Benefit Plan, Benefit Plan Publications, Coverage, Evidence of Coverage, Financial Reports – Benefits, Retirement Benefit Plans, Summary of Benefits	Official Record: Retain records for 6 years after the end of the fiscal year of the document filing date. All Other Copies: Copies are considered non-records and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division - Default Department	(1)29 USC § 1027, 29 CFR § 1627.3 (b) (2), Benefit plans are often used to prove what benefits were and were not offered at a given time. (2)Some of these records are vital records. See RMP-4 at http://policy.ucop.edu/doc/0204ASB/BFB-RMP-4 for more information. (3)This is a media neutral retention schedule.
0003C2*	03. Payroll and Benefits Records	Payroll and Benefits Records document the payroll and non-retirement benefits processes and activities of the University, such as salary withholding and deductions authorizations and other adjustments that impact and determine the pay period earnings, wages and pay of employees. They also document all compensation opportunities and non-retirement benefits selections made and managed through the University. The records documenting the University's benefit plans, including retirement benefit plans are also found in this section of the retention schedule. These are records of a routine nature and are not of enduring, permanent archival value.	C. Benefit Plans Records	Benefit Plans Records document the various benefits offered at the University. This group of records does include retirement benefit plan records, as well as the benefit plans for all insurance plans (medical, dental, vision, life, short-term and long-term disability) and other plans for all of the benefits offered through the University. The records, found in all media (paper, electronic, or otherwise) may include but are not limited to: • summaries of benefits with annual reports with financial and actuarial statements; • benefit plans; • evidences of coverage; • plan publications; and • certificates of insurance.	C.2. All Other Benefit Plan Records	retirement, benefit plan records, benefit plans, insurance plans, medical, dental, vision, life, short-term disability, long-term disability, summaries, benefits, annual reports, financial statements, actuarial statements, benefit plans, evidences of coverage, plan publications, certificates of insurance, Annual Report – Benefits, Audit Reports – Benefits, Benefit Plan, Benefit Plan Publications, Coverage, Evidence of Coverage, Financial Reports – Benefits, Retirement Benefit Plans, Summary of Benefits	Official Record: Retain records for 1 year after the end of the fiscal year in which administrative use ceases. All Other Copies: Copies are considered non-records and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division - Default Department	(1)29 USC § 1027, 29 CFR § 1627.3 (b) (2), Benefit plans are often used to prove what benefits were and were not offered at a given time. (2)Some of these records are vital records. See RMP-4 at http://policy.ucop.edu/doc/0204ASB/BFB-RMP-4 for more information. (3)This is a media neutral retention schedule.
0003D1*	03. Payroll and Benefits Records	Payroll and Benefits Records document the payroll and non-retirement benefits processes and activities of the University, such as salary withholding and deductions authorizations and other adjustments that impact and determine the pay period earnings, wages and pay of employees. They also document all compensation opportunities and non-retirement benefits selections made and managed through the University. The records documenting the University's benefit plans, including retirement benefit plans are also found in this section of the retention schedule. These are records of a routine nature and are not of enduring, permanent archival value.	D. Payroll and Benefits Reports and Worksheets	Payroll and Benefits Reports and Worksheets document payroll and benefit activities through reports and worksheets that are usually at the aggregated level, not the individual employee level (see Employee Withholding/Deduction Authorization and Individual Payroll Earnings Records). These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • annual records of earnings and other records used to research service credits or compensation claims; • summaries of activities reported daily, monthly and annually; and • worksheets indication adjustments and computations.	D1. Records Used to Research Service Credits or Compensation Claims	Payroll reports, Benefits Reports, Worksheets, payroll, benefit activities, annual records of earnings, research service credits, research compensation claims, summaries of activities, adjustments, computations, Annual Benefit Report, Annual Payroll Activities, Benefit Report Worksheet, Compensation Claims, Daily Payroll Activities, Earnings Record Annual, Earnings Records, Monthly Payroll Activities, Payroll Activities, Payroll Research, Payroll Worksheets, Service Credit Report, Weekly Payroll Activities	Official Record: Retain records 50 years after the end of the fiscal year in which the records are created. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division - Default Department	(1)28 USC § 1658, 26 CFR § 31.6001-1 (e) (2), 29 CFR § 516.5, 29 CFR § 516.6, 29 CFR § 516.30, 29 CFR § 1620.32, 29 CFR § 1620.33, 29 CFR § 1627.3 (b), 34 CFR § 100.7, 34 CFR § 668.24 (e) (1), 41 CFR § 60-1.12 (a), 41 CFR § 60-250-61, 41 CFR § 60-250-80, California Code Revenue and Taxation, § 19704, California Code of Regulations, Title 22, Social Security Division, Unemployment § 1085-2 (2)Some of these records will have restricted information in them. Records containing restricted information (regardless of media) must be protected from unauthorized access, disclosure and disposition, in accordance with University policy and California and Federal laws. Restricted information includes "Notice-Triggering Information" as defined in UC Business and Finance Bulletin Information Series Policy IS-2: (name plus Social Security Number, driver's license or California identification card number, financial account number with a security code, medical information or health insurance information). (3)Since some of these records contain restricted information, creating copies is discouraged.
0003D2*	03. Payroll and Benefits Records	Payroll and Benefits Records document the payroll and non-retirement benefits processes and activities of the University, such as salary withholding and deductions authorizations and other adjustments that impact and determine the pay period earnings, wages and pay of employees. They also document all compensation opportunities and non-retirement benefits selections made and managed through the University. The records documenting the University's benefit plans, including retirement benefit plans are also found in this section of the retention schedule. These are records of a routine nature and are not of enduring, permanent archival value.	D. Payroll and Benefits Reports and Worksheets	Payroll and Benefits Reports and Worksheets document payroll and benefit activities through reports and worksheets that are usually at the aggregated level, not the individual employee level (see Employee Withholding/Deduction Authorization and Individual Payroll Earnings Records). These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • annual records of earnings and other records used to research service credits or compensation claims; • summaries of activities reported daily, monthly and annually; and • worksheets indication adjustments and computations.	D2. All Other Payroll and Benefits Reports and Worksheets	Payroll reports, Benefits Reports, Worksheets, payroll, benefit activities, annual records of earnings, research service credits, research compensation claims, summaries of activities, adjustments, computations, Annual Benefit Report, Annual Payroll Activities, Benefit Report Worksheet, Compensation Claims, Daily Payroll Activities, Earnings Record Annual, Earnings Records, Monthly Payroll Activities, Payroll Activities, Payroll Research, Payroll Worksheets, Service Credit Report, Weekly Payroll Activities	Official Record: Retain records 6 years after the end of the fiscal year in which the records are created. If the records are used as supporting documentation for sponsored activities - Retain records 6 years after the expiration/termination of the sponsored activities; resolution of any litigation, claim, or audit; or the period stated in the award document; or 6 years after the end of the fiscal year in which the records are created - whichever is longer. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division - Default Department	(1)28 USC § 1658, 26 CFR § 31.6001-1 (e) (2), 29 CFR § 516.5, 29 CFR § 516.6, 29 CFR § 516.30, 29 CFR § 1620.32, 29 CFR § 1620.33, 29 CFR § 1627.3 (b), 34 CFR § 100.7, 34 CFR § 668.24 (e) (1), 41 CFR § 60-1.12 (a), 41 CFR § 60-250-61, 41 CFR § 60-250-80, California Code Revenue and Taxation, § 19704, California Code of Regulations, Title 22, Social Security Division, Unemployment § 1085-2 (2)Some of these records will have restricted information in them. Records containing restricted information (regardless of media) must be protected from unauthorized access, disclosure and disposition, in accordance with University policy and California and Federal laws. Restricted information includes "Notice-Triggering Information" as defined in UC Business and Finance Bulletin Information Series Policy IS-2: (name plus Social Security Number, driver's license or California identification card number, financial account number with a security code, medical information or health insurance information). (3)Since some of these records contain restricted information, creating copies is discouraged.

Records Code	Function	Function Description	Category	Category Description	Sub-Category Title	Keywords	Retention Period	Retention Rule	Publish Date	Primary Owner Override	Comments
0004A*	04. Human Resources Records	Human Resources Records document the human resources processes and activities of the University, such as recruitment, employment, and separation activities of employees from the University. They also document human resources transactions managed through the University.	A. Pre-employment and Recruitment Records	Pre-employment and Recruitment Records document the activities surrounding the selection processes for employment, internship and volunteer vacancies at the University. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • announcements records; • applications and resume records (retention periods for uncollected resumes and applications can be found in the General Records Office, Transitory Records section); • search committee records or other interview records that are used in the decision making process; reference checking records; and meetings, interview and travel logistics records (retention periods for financial records will be found in the Financial Records section); and • reasonable accommodation records.		Pre-employment, Recruitment Records, search records, selection records, announcements records, applications, resume records, search committee records, interview records used in the decision making process, reference checking records, meetings, interview logistics, travel logistics, reasonable accommodation records, Accommodations – Employment, Applications – Recruitment, Candidate Applications, Candidate Physical, Candidate References, Candidate Resume, Employment, Employment Announcement, Internship, Interview Agendas, Interview Notes, Interview Questions, Interview Schedule, Notifications, Offer Letter, Preemployment, Recruitment, Recruitment – Faculty, Reference Checking, References, Rejection Letters, Resume, Resume Evaluation, Resume Screening, Resumes, Search Committee, Volunteer	Official Record: Retain records 4 years after the end of the fiscal year in which the specific pre-employment or recruitment activity has ended. All Other Copies: Search committee members' records that are used in the decision making process must be retained for as long as the record copies. Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division - Default Department	(1)29 CFR § 1602.14, 29 CFR § 1602.49, 29 CFR § 1620.32, 29 CFR § 1627.3 (b) (1), 34 CFR § 100.7, 41 CFR § 60-1.12 (a), 41 CFR § 60-250-61, 41 CFR § 60-1.12 (a), 41 CFR § 60-250-80, California Code of Civil Procedure, § 337 (2)The majority of these records will have restricted information in them. Records containing restricted information (regardless of media) must be protected from unauthorized access, disclosure and disposition, in accordance with University policy and California and Federal laws. Restricted information includes "Notice-Triggering Information" as defined in UC Business and Finance Bulletin Information Series Policy 15-2 (name plus Social Security Number, driver's license or California identification card number, financial account number with a security code, medical information or health insurance information). (3)Since many of these records contain restricted information, creating copies is discouraged. If created, they must be protected from unauthorized access, disclosure and disposition in accordance with University policy and California and Federal laws.
0004B1*	04. Human Resources Records	Human Resources Records document the human resources processes and activities of the University, such as recruitment, employment, and separation activities of employees from the University. They also document human resources transactions managed through the University.	B. Individual Employee Employment and Interns, Volunteers and Contingent Workers Records	Individual Employee Employment and Interns, Volunteers and Contingent Workers Records document each individual employee's, intern's, volunteer's or contingent worker's work history with the University. This would include full time employees, part time employees, temporary employees, student employees including Federal Work Study funded positions, interns and volunteers. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • hiring negotiation and employment contract records; • background check records and other on-boarding records, including the Employment Eligibility Verification Form (I-9), Patent Agreement and Oath; • performance related records including records for training and other professional/staff development that is mandatorily required to maintain employment, special recognition and merit records, counseling memos and evaluations (disciplinary records are found in C. Employment Related Claims Records); and • records documenting changes in	B. 1. Mandatory training and other professional/staff development records	training, professional development, staff development, Employee Training, Faculty Training, Mandatory Training, Police Training, Professional Development, Safety Employee Training, Staff Development Program, Staff Training, Training Conference, Training Seminar	Official Record: Retain records for 5 years after the end of the fiscal year in which the training takes place. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division - Default Department	(1)These apply to the entire section B. Individual Employee Employment and Interns, Volunteers and Contingent Workers Records, and may not be specific to this sub-part. 15 USC § 1681p, 8 CFR § 274a 2 (b) (2) (A), 29 CFR § 1602.14, 29 CFR § 1602.49, 29 CFR § 1620.32, 29 CFR § 1620.33, 29 CFR § 1627.3 (b) (1), 34 CFR § 100.7, 34 CFR § 668.24 (e) (1), 41 CFR § 60-1.12 (a), 41 CFR § 60-250-61, 41 CFR § 60-250-80, California Code of Civil Procedure, § 337, California Code Penal Code, § 11105.3(h), Department of Justice, Bureau of Criminal Information and Analysis, Application for Authorization Pursuant to Penal Code Section 11105.3 (Criminal History), page 15 (2)This group of records does not include leaves of absence records. Leaves of absence records are found in the Payroll and Benefits Records – Timekeeping and Leave Records section of the retention schedule. (3)Records documenting training and other professional/staff development that is not mandatorily required to maintain employment are non-records, and should be retained only until their usefulness has passed. (4)The majority of
0004B2*	04. Human Resources Records	Human Resources Records document the human resources processes and activities of the University, such as recruitment, employment, and separation activities of employees from the University. They also document human resources transactions managed through the University.	B. Individual Employee Employment and Interns, Volunteers and Contingent Workers Records	Individual Employee Employment and Interns, Volunteers and Contingent Workers Records document each individual employee's, intern's, volunteer's or contingent worker's work history with the University. This would include full time employees, part time employees, temporary employees, student employees including Federal Work Study funded positions, interns and volunteers. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • hiring negotiation and employment contract records; • background check records and other on-boarding records, including the Employment Eligibility Verification Form (I-9), Patent Agreement and Oath; • performance related records including records for training and other professional/staff development that is mandatorily required to maintain employment, special recognition and merit records, counseling memos and evaluations (disciplinary records are found in C. Employment Related Claims Records); and • records documenting changes in	B. 2. Background Check Records	Candidate Background Check, background check records, on-boarding records, Background check, Employee Investigations	Official Record: Retain records for 5 years after the end of the fiscal year in which administrative use ceases (see the comments section for more information). All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division - Default Department	(1)These apply to the entire section B. Individual Employee Employment and Interns, Volunteers and Contingent Workers Records, and may not be specific to this sub-part. 15 USC § 1681p, 8 CFR § 274a 2 (b) (2) (A), 29 CFR § 1602.14, 29 CFR § 1602.49, 29 CFR § 1620.32, 29 CFR § 1620.33, 29 CFR § 1627.3 (b) (1), 34 CFR § 100.7, 34 CFR § 668.24 (e) (1), 41 CFR § 60-1.12 (a), 41 CFR § 60-250-61, 41 CFR § 60-250-80, California Code of Civil Procedure, § 337, California Code Penal Code, § 11105.3(h), Department of Justice, Bureau of Criminal Information and Analysis, Application for Authorization Pursuant to Penal Code Section 11105.3 (Criminal History), page 15 (2)The term "administrative use ceases" is used for background check records due to the following varying requirements. If the employee does not successfully pass the background check/investigation, then the records shall be retained for 5 years after the end of the fiscal year in which the investigation occurs. If the employee successfully passes the background and
0004B3*	04. Human Resources Records	Human Resources Records document the human resources processes and activities of the University, such as recruitment, employment, and separation activities of employees from the University. They also document human resources transactions managed through the University.	B. Individual Employee Employment and Interns, Volunteers and Contingent Workers Records	Individual Employee Employment and Interns, Volunteers and Contingent Workers Records document each individual employee's, intern's, volunteer's or contingent worker's work history with the University. This would include full time employees, part time employees, temporary employees, student employees including Federal Work Study funded positions, interns and volunteers. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • hiring negotiation and employment contract records; • background check records and other on-boarding records, including the Employment Eligibility Verification Form (I-9), Patent Agreement and Oath; • performance related records including records for training and other professional/staff development that is mandatorily required to maintain employment, special recognition and merit records, counseling memos and evaluations (disciplinary records are found in C. Employment Related Claims Records); and • records documenting changes in	B. 3. Intern, Volunteer and Contingent Employees - including student employees including Federal Work Study funded positions - Employment Records	Interns, Volunteers, Contingent Workers Records, work history, part time employees, temporary employees, student employees, Federal Work Study, FWS, interns, volunteers, hiring, negotiation, employment contract records, on-boarding records, Employment Eligibility Verification Form, I-9, Patent Agreement, Oath, performance related records, special recognition, merit records, counseling memos, evaluations, changes in employment, reasonable accommodations, telecommuting, flexible schedules, promotions, demotions, transfers, reclassifications, resignations, discharges, retirements, Accommodations, ADA, Alternate Schedule, Alternate Work Schedule, Annual Evaluation, Annual Personnel Evaluation, California State Oath, Employment Agreement, Employment Contract, Employment Eligibility Verification, Employment Separation, Employment Transfer, Federal Form I-9, Flexible Schedule, Hiring Negotiation, I-9, Intern Work History, Mentor, Offer Letter, Promotion, Student Employee, Student Employee Work History, Termination	Official Record: Retain records for 3 years after the end of the fiscal year in which the specific individual no longer has any employment relationship with the University. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division - Default Department	(1)These apply to the entire section B. Individual Employee Employment and Interns, Volunteers and Contingent Workers Records, and may not be specific to this sub-part. 15 USC § 1681p, 8 CFR § 274a 2 (b) (2) (A), 29 CFR § 1602.14, 29 CFR § 1602.49, 29 CFR § 1620.32, 29 CFR § 1620.33, 29 CFR § 1627.3 (b) (1), 34 CFR § 100.7, 34 CFR § 668.24 (e) (1), 41 CFR § 60-1.12 (a), 41 CFR § 60-250-61, 41 CFR § 60-250-80, California Code of Civil Procedure, § 337, California Code Penal Code, § 11105.3(h), Department of Justice, Bureau of Criminal Information and Analysis, Application for Authorization Pursuant to Penal Code Section 11105.3 (Criminal History), page 15 (2)This group of records does not include leaves of absence records. Leaves of absence records are found in the Payroll and Benefits Records – Timekeeping and Leave Records section of the retention schedule. (3)The majority of these records will have restricted information in them. Records containing restricted information (regardless of media) must be protected from unauthorized access, disclosure and disposition, in accordance with University

Records Code	Function	Function Description	Category	Category Description	Sub-Category Title	Keywords	Retention Period	Retention Rule	Publish Date	Primary Owner Override	Comments
000484*	04. Human Resources Records	Human Resources Records document the human resources processes and activities of the University, such as recruitment, employment, and separation activities of employees from the University. They also document human resources transactions managed through the University.	B. Individual Employee Employment and Interns, Volunteers and Contingent Workers Records	Individual Employee Employment and Interns, Volunteers and Contingent Workers Records document each individual employee's, intern's, volunteer's or contingent worker's work history with the University. This would include full time employees, part time employees, temporary employees, student employees including Federal Work Study funded positions, interns and volunteers. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • hiring negotiation and employment contract records; • background check records and other onboarding records, including the Employment Eligibility Verification Form (I-9), Patent Agreement and Oath; • performance related records including records for training and other professional/staff development that is mandatorily required to maintain employment, special recognition and merit records, counseling memos and evaluations (disciplinary records are found in C. Employment Related Claims Records); and • records documenting changes in	B. 4. All Other Employees Employment Records	Employee, Employment, work history, full time employees, part time employees, hiring, negotiation, employment contract records, on-boarding records, Employment Eligibility Verification Form, I-9, Patent Agreement, Oath, performance related records, special recognition, merit records, counseling memos, evaluations, changes in employment, reasonable accommodations, telecommuting, flexible schedules, promotions, demotions, transfers, reclassifications, resignations, discharges, retirements, temporary employees, hiring, negotiation, Accommodations, ADA, Alternate Schedule, Alternate Work Schedule, Annual Evaluation, Annual Personnel Evaluation, California State Oath, Employment Agreement, Employment Contract, Employment Eligibility Verification, Employment Separation, Employment Transfer, Federal Form I-9, Flexible Schedule, Hiring Negotiation, I-9, Mentor, Offer Letter, Promotion, Termination Employment	Official Record: Retain records for 5 years after the end of the fiscal year in which the employee separates from the University. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division - Default Department	(1)These apply to the entire section B. Individual Employee Employment and Interns, Volunteers and Contingent Workers Records, and may not be specific to this sub-part. 15 USC § 1681b, 8 CFR § 274a 2 (b) (2) (A), 29 CFR § 1602.14, 29 CFR § 1602.49, 29 CFR § 1620.32, 29 CFR § 1620.33, 29 CFR § 1627.3 (b) (1), 34 CFR § 100.7, 34 CFR § 688.24 (e) (1), 41 CFR § 60-1.12 (a), 41 CFR § 60-250-61, 41 CFR § 60-250-80, California Code of Civil Procedure, § 337, California Code Penal Code, § 11105.3(h), Department of Justice, Bureau of Criminal Information and Analysis, Application for Authorization Pursuant to Penal Code Section 11105.3 (Criminal History), page 15 (2)This group of records does not include leaves of absence records. Leaves of absence records are found in the Payroll and Benefits Records - Timekeeping and Leave Records section of the retention schedule. (3)The majority of these records will have restricted information in them. Records containing restricted information (regardless of media) must be protected from unauthorized access, disclosure and disposition, in accordance with University
0004C1*	04. Human Resources Records	Human Resources Records document the human resources processes and activities of the University, such as recruitment, employment, and separation activities of employees from the University. They also document human resources transactions managed through the University.	C. Employment Related Claims Records	Employment Related Claims Records document any claims through the University regarding employee related issues. This would include full time employees, part time employees, temporary employees, student employees including Federal Work Study funded positions, interns and volunteers. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • accident and injury claims such as those for OSHA - including employee exposure claims, and disability - both long-term and short-term and worker's compensation; • discrimination actions regarding ADA, EPA, AEDA and other protected classes identified in federal law; • individual grievances as well as union grievances which cover an entire class of employees, disciplinary and corrective action claims; and • separation claims from unemployment, layoffs, and firings.	C. 1. Employee Exposure Medical Records	Claims Records, employee related claims, accident claims, injury claims, OSHA, employee exposure claims, disability, long-term disability, short-term disability, worker, Employee Exposure Medical	Official Record: Retain records 30 years after the end of the fiscal year in which the employee separates from the University. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division - Default Department	(1)29 CFR § 1620.33, 29 CFR § 1627.3 (b) (1), 29 CFR § 1910.1020 (d) (1) (i), 34 CFR § 100.7, 41 CFR § 60-1.12 (a), 41 CFR § 60-250-61, 41 CFR § 60-250-80, 28 USC § 1656, California Code of Civil Procedure, § 337, California Code of Regulations, Title 8, Industrial Relations Division, § 10102, UC Personnel Policies for Staff Members, Separation Actions, 62, Corrective Action - Professional and Support Staff, E. Records of Corrective Actions, Collective Bargaining Agreements for represented employees. (2)The majority of these records will have restricted information in them. Records containing restricted information (regardless of media) must be protected from unauthorized access, disclosure and disposition, in accordance with University policy and California and Federal laws. Restricted information includes "Notice-Triggering Information" as defined in UC Business and Finance Bulletin Information Series Policy IS-2: (name plus Social Security Number, driver's license or California identification card number, financial account number with a security code, medical information or health
0004C2*	04. Human Resources Records	Human Resources Records document the human resources processes and activities of the University, such as recruitment, employment, and separation activities of employees from the University. They also document human resources transactions managed through the University.	C. Employment Related Claims Records	Employment Related Claims Records document any claims through the University regarding employee related issues. This would include full time employees, part time employees, temporary employees, student employees including Federal Work Study funded positions, interns and volunteers. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • accident and injury claims such as those for OSHA - including employee exposure claims, and disability - both long-term and short-term and worker's compensation; • discrimination actions regarding ADA, EPA, AEDA and other protected classes identified in federal law; • individual grievances as well as union grievances which cover an entire class of employees, disciplinary and corrective action claims; and • separation claims from unemployment, layoffs, and firings.	C. 2. All Other Employment Related Claims Records	Claims Records, employee related claims, accident claims, injury claims, OSHA, employee exposure claims, disability, long-term disability, short-term disability, worker, AEDA, Discrimination, Employee Accident, Employee Claims, Employee Grievance, Employee Injury, Employee Short Term Accident Disability, Employment Claim, EPA, Grievance, Layoff, Layoff Claims, OSHA Employee Injury, Unemployment Claims, Union Employee Grievance, workers compensation, laid off, laid off claims, laid-off, firings, termination, disciplinary, corrective action, complaints, complaint	Official Record: Retain records 5 years after the end of the fiscal year in which the claim is resolved or as long as required in the specific labor relations contract. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	12/15/2014	Default Division - Default Department	(1)29 CFR § 1620.33, 29 CFR § 1627.3 (b) (1), 29 CFR § 1910.1020 (d) (1) (i), 34 CFR § 100.7, 41 CFR § 60-1.12 (a), 41 CFR § 60-250-61, 41 CFR § 60-250-80, 28 USC § 1656, California Code of Civil Procedure, § 337, California Code of Regulations, Title 8, Industrial Relations Division, § 10102, UC Personnel Policies for Staff Members, Separation Actions, 62, Corrective Action - Professional and Support Staff, E. Records of Corrective Actions, Collective Bargaining Agreements for represented employees. (2)The majority of these records will have restricted information in them. Records containing restricted information (regardless of media) must be protected from unauthorized access, disclosure and disposition, in accordance with University policy and California and Federal laws. Restricted information includes "Notice-Triggering Information" as defined in UC Business and Finance Bulletin Information Series Policy IS-2: (name plus Social Security Number, driver's license or California identification card number, financial account number with a security code, medical information or health
0004D*	04. Human Resources Records	Human Resources Records document the human resources processes and activities of the University, such as recruitment, employment, and separation activities of employees from the University. They also document human resources transactions managed through the University.	D. Affirmative Action and Other Employee-Related Reporting Requirements Records	Affirmative Action and Other Employee-Related Reporting Requirements Records document all Affirmative Action and other employee-related activities that have specific federal or state reporting requirements. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • Affirmative Action Compliance Programs Plans (AAP) and all records used to compile the plan; and • Integrated Post Secondary Education Data System Surveys (IPEDS) or EEO reports and all records used to compile them.		Affirmative Action, Employee-Related Reporting, Reports, AA reports, federal reports, state reports, Affirmative Action Compliance Programs Plans, AAP, Integrated Post Secondary Education Data System Surveys, IPEDS, EEO reports, Compliance Program Plan, Data System Surveys IPED, Diversity Action, Diversity Compliance, Diversity Effort, Diversity Plan, EEO, Federal Affirmative Action, Integrated Post Secondary Education, IPED	Official Record: Retain records for 3 years after the end of the fiscal year in which all specific activity has ended. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division - Default Department	(1)29 CFR § 1602.38, 29 CFR § 1602.50, 41 CFR § 60-1.12 (a), 41 CFR § 60-1.12 (b), 41 CFR § 60-250-61, 41 CFR § 60-250-80 (2)This is a media neutral retention schedule.

Records Code	Function	Function Description	Category	Category Description	Sub-Category Title	Keywords	Retention Period	Retention Rule	Publish Date	Primary Owner Override	Comments
0004*	04. Human Resources Records	Human Resources Records document the human resources processes and activities of the University, such as recruitment, employment, and separation activities of employees from the University. They also document human resources transactions managed through the University.	E. Labor Relations Records	Labor Relations Records document the activities surrounding the creation and the execution of labor relations contracts between the University and the various labor groups. Grievances records are found in the Employment Related Claims Records section of this retention schedule. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • labor relations negotiation records; • bargaining unit modifications; • requests for recognition petitions; • arbitration awards; • contracts; and • voting records.		Labor Relations Records, labor relations contracts, labor groups, unions, labor relations negotiation records, bargaining unit modifications, requests for recognition petitions, arbitration awards, contracts, voting records, Arbitration Award, Bargaining, Bargaining Unit, Labor Arbitration, Labor Manning Table, Labor Negotiation, Labor Relations, Labor Relations Contract, Negotiation, Staffing Manning Table, Union Contracts, Union Voting Records	Official Record: Retain records 4 years after the end of the fiscal year in which administrative use ceases. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division - Default Department	(1)29 CFR § 516.5, 29 CFR § 1620.32, California Code of Civil Procedure, § 337 (2)Some of these records will have restricted information in them. Records containing restricted information (regardless of media) must be protected from unauthorized access, disclosure and disposition, in accordance with University policy and California and Federal laws. Restricted information includes "Notice-Triggering Information" as defined in UC Business and Finance Bulletin Information Series Policy IS-2: (name plus Social Security Number, driver's license or California identification card number, financial account number with a security code, medical information or health insurance information). (3)Since some of these records may contain restricted information, creating copies is discouraged. If created, they must be protected from unauthorized access, disclosure and disposition in accordance with University policy and California and Federal laws. (4)Some of these records are vital records. See RMP-4 at http://policy.ucop.edu/doc/7020458/BFB .
0004*	04. Human Resources Records	Human Resources Records document the human resources processes and activities of the University, such as recruitment, employment, and separation activities of employees from the University. They also document human resources transactions managed through the University.	F. Individual Employee Retirement Records	Individual Employee Retirement Records document each individual employee's retirement transactions with the University. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • beneficiary records; • retirement buyback records; • rollovers records; • estimates; • application; • service credit verification records; and • retiree waivers.		Individual Employee Retirement Records, retirement transactions, beneficiary records, retirement buyback records, rollovers records, estimates, applications, service credit verification records, retiree waivers, Beneficiary Designation, Beneficiary Information, Benefits Verification, Retirement Applications, Retirement Buyback, Retirement Estimates, Retirement Pay, Retirement Pay Authorization, Retirement Rollovers, Retirement Waivers, Service Credit Verification, Survivor Beneficiary, Survivor Benefit	Official Record: Retain records for 99 years after the end of the fiscal year of the benefits start date. If there is no benefit start date, retain records for 99 years after the end of the fiscal year of the date of death. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division - Default Department	(1)This is a media neutral retention schedule. (2)29 CFR § 516.30 29 CFR § 1602.14 29 CFR § 1602.49 29 CFR § 1620.32 29 CFR § 1620.33 29 CFR § 1627.3 (3) 11 34 CFR § 100.7 41 CFR § 60-1.12 (4) 41 CFR § 60-250-61 41 CFR § 60-250-80 California Code of Civil Procedure, § 337 2014. A Complete Guide to Your UC Retirement Benefits, page 16 (3)Benefit start date would include the start date for retirement, survivor or UCPR disability benefit. (4)The actual retirement benefit plans records are not included in this retention category. Those records would be part of the Benefits Plan Records found in the Payroll and Benefits Records section of the retention schedule. (5)The majority of these records will have restricted information in them. Records containing restricted information (regardless of media) must be protected from unauthorized access, disclosure and disposition, in accordance with University policy and California and Federal laws. Restricted information includes "Notice-Triggering Information" as defined in UC Business and Finance Bulletin Information Series Policy IS-2: (name plus Social
0004G1*	04. Human Resources Records	Human Resources Records document the human resources processes and activities of the University, such as recruitment, employment, and separation activities of employees from the University. They also document human resources transactions managed through the University.	G. Employee Education Records	Employee Education Records document all internal training and other professional/staff development activities sponsored by the University such as classes, webinars, symposia and other training opportunities. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • logistical records; • agendas; • registration records and sign-in records used to verify required continuing education credits for required certifications of professional staff; and • presentation materials, including recordings of webinars.	G. 1. Logistical Records	logistical records, agendas, registration records, sign-in sheets, sign in records, Continuing Education, Faculty Education, Registration, Sign In Sheets, Staff Education	Official Record: Retain records no longer than 1 year after administrative use ceases. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division - Default Department	(1)Records documenting the content of the training and the attendance of staff are used for verifying continuing education credits for various certifications that are required to be maintained by staff. (2)Some of these records are vital records. See RMP-4 at http://policy.ucop.edu/doc/7020458/BFB for more information. (3)This is a media neutral retention schedule.
0004G2*	04. Human Resources Records	Human Resources Records document the human resources processes and activities of the University, such as recruitment, employment, and separation activities of employees from the University. They also document human resources transactions managed through the University.	G. Employee Education Records	Employee Education Records document all internal training and other professional/staff development activities sponsored by the University such as classes, webinars, symposia and other training opportunities. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • logistical records; • agendas; • registration records and sign-in records used to verify required continuing education credits for required certifications of professional staff; and • presentation materials, including recordings of webinars.	G. 2. All Other Education Records	Employee Education Records, Internal Development, professional development, staff development, classes, webinars, symposia, continuing education credits, certifications, presentation materials, recordings, CEU, Professional Certification, Recording, Staff Certification, Staff Development Presentation, Staff Development Webinar, Training Handout	Official Record: Retain records 5 years after the end of the fiscal year in which the educational event was held. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division - Default Department	(1)Records documenting the content of the training and the attendance of staff are used for verifying continuing education credits for various certifications that are required to be maintained by staff. (2)Some of these records are vital records. See RMP-4 at http://policy.ucop.edu/doc/7020458/BFB for more information. (3)This is a media neutral retention schedule.
0005A1*	05. Financial and Procurement Records	These are records that document the financial and procurement activities of the University. These records relate to the receipt of revenues, lending and banking, accounting, procurement, travel management, asset management and tax activities of the University. The records may include but are not limited to: • accounting and receivable and payable records, deposit records, capital equipment and fixed asset inventories; and other related records.	A. Accounts Payable/Receivable, Procurement and Banking/Cash Handling Records	Accounts Payable/Receivable, Procurement and Banking/Cash Handling Records document the payment of bills and the receipt of revenues owed to the University. The records also document the procurement, billing, collection, and reconciliation of moneys and the status of funds, and other accountings of University funds, budget allotment and fund reconciliation reports; • invoices, vouchers and purchase orders; • procurement card records; • reimbursement requests, including travel; • billing records; • payment authorizations; • receipts including packing slips and lists and awards records; • ACH and other fund transfer records; • deposit advices and other deposit records; • disbursement and	A. 1. Records used as supporting documentation for sponsored activities	Accounts Payable, Accounts Receivable, Procurement, Bank Deposit slips, Bank Statements, Banking records, Cash Handling Records, bills, bill payment, receipt of revenues, procurement, billing, collection, reconciliation, moneys, status of funds, funds, auxiliary services, competitive bidding records, RFP, RFI, equipment, services, lists, logs, journals, statements, summaries, reports, balance status, budget allotment, fund reconciliation reports, invoices, vouchers, purchase orders, procurement cards, reimbursement records, travel reimbursement, billing records, used to procure equipment and services; • lists, logs, journals, statements, summaries, and reports including balance status, budget allotment and fund reconciliation reports; • invoices, vouchers and purchase orders; • procurement card records; • reimbursement requests, including travel; • billing records; • payment authorizations; • receipts including packing slips and lists and awards records; • ACH and other fund transfer records; • deposit advices and other deposit records; • disbursement and	Official Record: Retain records for 6 years after the expiration/termination of the sponsored activities; resolution of any litigation, claim, or audit; or the period stated in the award document - whichever is longer. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	7/8/2016	Default Division - Default Department	(1)2 CFR § 215.53 (a), (b) and (g) OMB Circular A-110) 26 CFR § 1.148-5(i)(iii)(E) 29 CFR § 516.5 29 CFR § 516.6 California Code of Civil Procedure, § 337 California Code Government Code, § 8246.7 18 CFR § 1698 (i) UC Contracts and Grant Manual Section 17, 17-312 Retention Period (2)Some of these records will have restricted information in them. Records containing restricted information (regardless of media) must be protected from unauthorized access, disclosure and disposition, in accordance with University policy and California and Federal laws. Restricted information includes "Notice-Triggering Information" as defined in UC Business and Finance Bulletin Information Series Policy IS-2: (name plus Social Security Number, driver's license or California identification card number, financial account number with a security code, medical information or health insurance information). (3)Since some of these records may contain restricted information, creating copies is discouraged. If created, they must be protected from unauthorized access, disclosure and

Records Code	Function	Function Description	Category	Category Description	Sub-Category Title	Keywords	Retention Period	Retention Rule	Publish Date	Primary Owner Override	Comments
0005A2*	05. Financial and Procurement Records	These are records that document the financial and procurement activities of the University. These records relate to the bond financing, lending and banking, accounting, procurement, travel management, asset management and tax activities of the University. The records may include but are not limited to documentation of accounts receivable and payable records, deposit records, capital equipment and fixed asset inventories; and other related records.	A. Accounts Payable/Receivable, Procurement and Banking/Cash Handling Records	Accounts Payable/Receivable, Procurement and Banking/Cash Handling Records document the payment of bills and the receipt of revenues owed to the University. The records also document the procurement, billing, collection, and reconciliation of moneys and the status of funds, and other accountings of University funds, including auxiliary services. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • competitive bidding records, including RFPs, RFIs (but not RFIs used during a building construction project), used to procure equipment and services; • lists, logs, journals, statements, summaries, and reports including balance status, budget allotment and fund reconciliation reports; • invoices, vouchers and purchase orders; • procurement card records; • reimbursement requests, including travel; • billing records; • payment authorizations; • receipts including packing slips and lists and awards records; • ACH and other fund transfer records; • deposit advices and other deposit records; • disbursement and	A. 2. Records used as supporting documentation for expenditures related to bond financing activities	Accounts Payable, Accounts Receivable, Procurement, Bank Deposit slips, Bank Statements, Banking records, Cash Handling Records, bills, bill payment, receipt of revenues, procurement, billing, collection, reconciliation, moneys, status of funds, funds, auxiliary services, competitive bidding records, RFP, RFI, equipment, services, lists, logs, journals, statements, summaries, reports, balance status, budget allotment, fund reconciliation reports, invoices, vouchers, purchase orders, procurement card records, reimbursement requests, travel reimbursement, billing records, payment authorizations, receipts, packing slips, lists, awards records, ACH, fund transfer records, deposit advices, deposit records, disbursement records, reconciliation records, cash verification records, cash handling balancing records, projection records, future receipts, disbursements, canceled checks, warrants, Expenditure, accounts receivable statements, aging report, Banking, Bids, billing invoices, Budget Allotment, canceled warrants, Cash, cash audit, cash balancing, Cash Disbursements, Cash Handling, cash	Official Record: Retain records for 5 years after the end of the fiscal year in which the bond matures, or 10 years after the end of the fiscal year following completion of the project - whichever is longer. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	7/8/2016	Default Division - Default Department	(1)2 CFR § 215.53 (b), (b) and (g) (OMB Circular A-110) 26 CFR § 1.148-5(d)(6)(iii)(E) 29 CFR § 516.5 29 CFR § 516.6 California Code of Civil Procedure, § 337 California Code Government Code, § 8546.7 18 CFR § 1698 (1) UC Contracts and Grant Manual Section 17, 17-312 Retention Period (2)Each location's Planning and Budget areas has access to the Debt Service Schedule which notes the date of bond maturity for UC bonds and Lease Revenue Bonds. (3)Each location's Planning and Budget areas has access to the Capital Projects Database which notes the date of bond issuance for General Obligation Bonds. (4)Some of these records will have restricted information in them. Records containing restricted information (regardless of media) must be protected from unauthorized access, disclosure and disposition, in accordance with University policy and California and Federal laws. Restricted information includes "Notice-Triggering Information" as defined in UC Business and Finance Bulletin Information Series Policy IS-2: (name plus Social Security Number, driver's license or California identification card number,
0005A3*	05. Financial and Procurement Records	These are records that document the financial and procurement activities of the University. These records relate to the bond financing, lending and banking, accounting, procurement, travel management, asset management and tax activities of the University. The records may include but are not limited to documentation of accounts receivable and payable records, deposit records, capital equipment and fixed asset inventories; and other related records.	A. Accounts Payable/Receivable, Procurement and Banking/Cash Handling Records	Accounts Payable/Receivable, Procurement and Banking/Cash Handling Records document the payment of bills and the receipt of revenues owed to the University. The records also document the procurement, billing, collection, and reconciliation of moneys and the status of funds, and other accountings of University funds, including auxiliary services. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • competitive bidding records, including RFPs, RFIs (but not RFIs used during a building construction project), used to procure equipment and services; • lists, logs, journals, statements, summaries, and reports including balance status, budget allotment and fund reconciliation reports; • invoices, vouchers and purchase orders; • procurement card records; • reimbursement requests, including travel; • billing records; • payment authorizations; • receipts including packing slips and lists and awards records; • ACH and other fund transfer records; • deposit advices and other deposit records; • disbursement and	A. 3. All Other Accounts Payable/Receivable, Procurement and Banking/Cash Handling Records	Accounts Payable, Accounts Receivable, Procurement, Bank Deposit slips, Bank Statements, Banking records, Cash Handling Records, bills, bill payment, receipt of revenues, procurement, billing, collection, reconciliation, moneys, status of funds, funds, auxiliary services, competitive bidding records, RFP, RFI, equipment, services, lists, logs, journals, statements, summaries, reports, balance status, budget allotment, fund reconciliation reports, invoices, vouchers, purchase orders, procurement card records, reimbursement requests, travel reimbursement, billing records, payment authorizations, receipts, packing slips, lists, awards records, ACH, fund transfer records, deposit advices, deposit records, disbursement records, reconciliation records, cash verification records, cash handling balancing records, projection records, future receipts, disbursements, canceled checks, warrants, Expenditure, accounts receivable statements, aging report, Banking, Bids, billing invoices, Budget Allotment, canceled warrants, Cash, cash audit, cash balancing, Cash Disbursements, Cash Handling, cash	Official Record: Retain records for 4 years after the end of the fiscal year in which all activity has been completed. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	7/8/2016	Default Division - Default Department	(1)2 CFR § 215.53 (a), (b) and (g) (OMB Circular A-110) 26 CFR § 1.148-5(d)(6)(iii)(E) 29 CFR § 516.5 29 CFR § 516.6 California Code of Civil Procedure, § 337 California Code Government Code, § 8546.7 18 CFR § 1698 (1) UC Contracts and Grant Manual Section 17, 17-312 Retention Period (2)Some of these records will have restricted information in them. Records containing restricted information (regardless of media) must be protected from unauthorized access, disclosure and disposition, in accordance with University policy and California and Federal laws. Restricted information includes "Notice-Triggering Information" as defined in UC Business and Finance Bulletin Information Series Policy IS-2: (name plus Social Security Number, driver's license or California identification card number, financial account number with a security code, medical information or health insurance information). (3)Since some of these records may contain restricted information, creating copies is discouraged. If created, they must be protected from unauthorized access, disclosure and
0005B1*	05. Financial and Procurement Records	These are records that document the financial and procurement activities of the University. These records relate to the bond financing, lending and banking, accounting, procurement, travel management, asset management and tax activities of the University. The records may include but are not limited to documentation of accounts receivable and payable records, deposit records, capital equipment and fixed asset inventories; and other related records.	B. Loan Records	Loan Records document the loan origination and servicing processes for mortgages for eligible faculty and Senior Management, as well as emergency loans for faculty and staff. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • applications; • notes; • underwriters records; • title policies; • records documenting the sale of loans; • statistical, loan summary, status, investors, trustees and other reports; • tax records; • billing records, including journal entries, copies of insurance, communications and tax letters; and • original notes and deeds.	B. 1. Records documenting the origination and servicing of loans	Loan Records, loan origination, loan servicing, mortgages, faculty mortgages, Senior Management mortgages, emergency loans, applications, notes, underwriters records, title policies, loans sales, loans statistical reports, loans summary reports, loans status reports, investors reports, trustees reports, tax records, billing records, journal entries, insurance records, communications, tax letters, original notes, deeds, amortization schedule, communications, deed, faculty loan, insurance, investor, journal entries, loan application, loan billing records, loan records, loan sales, loan status, loan summary, loans, mortgage, mortgage tax records, original note, senior management loan, staff loan, statistical report, tax letters, title, title policies, trustee, underwriters records	Official Record: Retain records for 10 years after the end of the fiscal year in which the final loan payment is made. All Other Copies: Copies are considered non-records and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division - Default Department	(1)15 USC § 681a, 15 USC § 1681p, 15 USC § 1691a, 16 CFR § 682, 26 CFR § 31.6001-1(e)(2), 26 CFR § 301.6501(e)-1, California Code of Civil Procedure, § 337, California Code Government Code, § 8546.7 (2)The majority of these records will have restricted information in them. Records containing restricted information (regardless of media) must be protected from unauthorized access, disclosure and disposition, in accordance with University policy and California and Federal laws. Restricted information includes "Notice-Triggering Information" as defined in UC Business and Finance Bulletin Information Series Policy IS-2: (name plus Social Security Number, driver's license or California identification card number, financial account number with a security code, medical information or health insurance information). (3)Since many of these records contain restricted information, creating copies is discouraged. If created, they must be protected from unauthorized access, disclosure and disposition in accordance with University policy and California and Federal laws.
0005B2*	05. Financial and Procurement Records	These are records that document the financial and procurement activities of the University. These records relate to the bond financing, lending and banking, accounting, procurement, travel management, asset management and tax activities of the University. The records may include but are not limited to documentation of accounts receivable and payable records, deposit records, capital equipment and fixed asset inventories; and other related records.	B. Loan Records	Loan Records document the loan origination and servicing processes for mortgages for eligible faculty and Senior Management, as well as emergency loans for faculty and staff. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • applications; • notes; • underwriters records; • title policies; • records documenting the sale of loans; • statistical, loan summary, status, investors, trustees and other reports; • tax records; • billing records, including journal entries, copies of insurance, communications and tax letters; and • original notes and deeds.	B. 2. Records documenting loan applications that are withdrawn or denied	Loan Records, loan origination, loan servicing, mortgages, faculty mortgages, Senior Management mortgages, emergency loans, applications, notes, underwriters records, title policies, loans sales, loans statistical reports, loans summary reports, loans status reports, investors reports, trustees reports, tax records, billing records, journal entries, insurance records, communications, tax letters, original notes, deeds, amortization schedule, communications, deed, faculty loan, insurance, investor, journal entries, loan application, loan applications - denied, loan billing records, loan records, loan sales, loan status, loan summary, loans, mortgage, mortgage tax records, original note, senior management loan, staff loan, statistical report, tax letters, title, title policies, trustee, underwriters records	Official Record: Retain records for 4 years after the end of the fiscal year in which the loan application is withdrawn or denied. All Other Copies: Copies are considered non-records and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division - Default Department	(1)15 USC § 681a, 15 USC § 1681p, 15 USC § 1691a 16 CFR § 682 26 CFR § 31.6001-1(e)(2) 26 CFR § 301.6501(e)-1 California Code of Civil Procedure, § 337 California Code Government Code, § 8546.7 (2)The majority of these records will have restricted information in them. Records containing restricted information (regardless of media) must be protected from unauthorized access, disclosure and disposition, in accordance with University policy and California and Federal laws. Restricted information includes "Notice-Triggering Information" as defined in UC Business and Finance Bulletin Information Series Policy IS-2: (name plus Social Security Number, driver's license or California identification card number, financial account number with a security code, medical information or health insurance information). (3)Since many of these records contain restricted information, creating copies is discouraged. If created, they must be protected from unauthorized access, disclosure and disposition in accordance with University policy and California and Federal laws.

Records Code	Function	Function Description	Category	Category Description	Sub-Category Title	Keywords	Retention Period	Retention Rule	Publish Date	Primary Owner Override	Comments
000581*	05. Financial and Procurement Records	These are records that document the financial and procurement activities of the University. These records relate to the bond financing, lending and banking, accounting, procurement, travel management, asset management and tax activities of the University. The records may include but are not limited to documentation of accounts receivable and payable records, deposit records, capital equipment and fixed asset inventories; and other related records.	B. Loan Records	Loan Records document the loan origination and servicing processes for mortgages for eligible faculty and Senior Management, as well as emergency loans for faculty and staff. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • applications; • notes; • underwriters records; • title policies; • records documenting the sale of loans; • statistical, loan summary, status, investors, trustees and other reports; • tax records; • billing records, including journal entries, copies of insurance, communications and tax letters; and • original notes and deeds.	B. 3. All other loan records, such as statistical, loan summary, status, investors, trustees and other reports for more than one loan	Loan Records, loan origination, loan servicing, mortgages, faculty mortgages, Senior Management mortgages, emergency loans, applications, notes, underwriters records, title policies, loans sales, loans statistical reports, loans summary reports, loans status reports, investors reports, trustees reports, tax records, billing records, journal entries, insurance records, communications, tax letters, original notes, deeds, amortization schedule, communications, deed, faculty loan, insurance, investor, journal entries, loan application, loan applications – denied, loan billing records, loan records, loan sales, loan status, loan summary, loans, mortgage mortgage tax records, original note, senior management loan, staff loan, statistical report, tax letters, title, title policies, trustee, underwriters records	Official Record: Retain records for 6 years after the end of the fiscal year in which the records are created. All Other Copies: Copies are considered non-records and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division - Default Department	(1)15 USC § 681w 15 USC § 1681p 15 USC § 1691e 16 CFR § 602.24 CFR § 31.6001-1(e)(2) 26 CFR § 301.6501(e)-1 California Code of Civil Procedure, § 337 California Code Government Code, § 8546.7 (2)The majority of these records will have restricted information in them. Records containing restricted information (regardless of media) must be protected from unauthorized access, disclosure and disposition, in accordance with University policy and California and Federal laws. Restricted information includes "Notice-Triggering Information" as defined in UC Business and Finance Bulletin Information Series Policy IS-2: (name plus Social Security Number, driver's license or California identification card number, financial account number with a security code, medical information or health insurance information). (3)Since many of these records contain restricted information, creating copies is discouraged. If created, they must be protected from unauthorized access, disclosure and disposition in accordance with University policy and California and Federal laws.
0005C1*	05. Financial and Procurement Records	These are records that document the financial and procurement activities of the University. These records relate to the bond financing, lending and banking, accounting, procurement, travel management, asset management and tax activities of the University. The records may include but are not limited to documentation of accounts receivable and payable records, deposit records, capital equipment and fixed asset inventories; and other related records.	C. Investment and Endowment Accounting Records	Investment and Endowment Accounting Records document the accounting and reporting activities for investments and endowments, including funds functioning as endowments. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • donor and gift records stipulating conditions of donations; • cash deposits and copies of checks; • transactional processing records such as journal entries; • endowment income distribution records; and • annual financial reports.	C. 1. Transactional processing records, cash deposits and copies of checks	Investments, Endowment Accounting Records, investments, endowments, funds functioning as endowments, donor records, gift records, conditions of donations, stipulations, cash deposits, copies of checks, transactional processing records, journal entries, endowment income distribution records, annual financial reports	Official Record: Retain records 4 years after the end of the fiscal year in which the transaction has been completed. All Other Copies: Copies are considered non-records and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division - Default Department	(1)California Code of Civil Procedure, § 337, California Code Government Code, § 8546.7 (2)Some of these records will have restricted information in them. Records containing restricted information (regardless of media) must be protected from unauthorized access, disclosure and disposition, in accordance with University policy and California and Federal laws. Restricted information includes "Notice-Triggering Information" as defined in UC Business and Finance Bulletin Information Series Policy IS-2: (name plus Social Security Number, driver's license or California identification card number, financial account number with a security code, medical information or health insurance information). (3)Since some of these records may contain restricted information, creating copies is discouraged. If created, they must be protected from unauthorized access, disclosure and disposition in accordance with University policy and California and Federal laws. (4)Some of these records are vital records. See RMP-4 at http://policy.ucop.edu/doc/7020458/BFB
0005C2*	05. Financial and Procurement Records	These are records that document the financial and procurement activities of the University. These records relate to the bond financing, lending and banking, accounting, procurement, travel management, asset management and tax activities of the University. The records may include but are not limited to documentation of accounts receivable and payable records, deposit records, capital equipment and fixed asset inventories; and other related records.	C. Investment and Endowment Accounting Records	Investment and Endowment Accounting Records document the accounting and reporting activities for investments and endowments, including funds functioning as endowments. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • donor and gift records stipulating conditions of donations; • cash deposits and copies of checks; • transactional processing records such as journal entries; • endowment income distribution records; and • annual financial reports.	C. 2. All Other Investment and Endowment Accounting Records	Investments, Endowment Accounting Records, investments, endowments, funds functioning as endowments, donor records, gift records, conditions of donations, stipulations, endowment income distribution records, annual financial reports, decree of distribution, gifts, quitclaims, wills, estates	Official Record: Permanent, subject to University Archives review. Coordinate the transfer of these records to the University Archives when no longer needed for current operational business. All Other Copies: Copies are considered non-records and should be retained only until their usefulness has passed, but never any longer than the official record.	Permanent records	11/17/2015	Default Division - Default Department	(1)California Code of Civil Procedure, § 337 California Code Government Code, § 8546.7 (2)Some of these records will have restricted information in them. Records containing restricted information (regardless of media) must be protected from unauthorized access, disclosure and disposition, in accordance with University policy and California and Federal laws. Restricted information includes "Notice-Triggering Information" as defined in UC Business and Finance Bulletin Information Series Policy IS-2: (name plus Social Security Number, driver's license or California identification card number, financial account number with a security code, medical information or health insurance information). (3)Since some of these records may contain restricted information, creating copies is discouraged. If created, they must be protected from unauthorized access, disclosure and disposition in accordance with University policy and California and Federal laws. (4)Some of these records are vital records. See RMP-4 at http://policy.ucop.edu/doc/7020458/BFB
0005D*	05. Financial and Procurement Records	These are records that document the financial and procurement activities of the University. These records relate to the bond financing, lending and banking, accounting, procurement, travel management, asset management and tax activities of the University. The records may include but are not limited to documentation of accounts receivable and payable records, deposit records, capital equipment and fixed asset inventories; and other related records.	D. Tax Records	Tax Records document the University's tax filings and obligations. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • partnership and corporation tax returns; • sales and use disbursement records; • unrelated business income records; and • all other tax return supporting documentation.		Tax Records, tax filings, tax obligations, partnership tax returns, corporation tax returns, sales and use disbursement records, unrelated business income records, UBIT, tax return supporting documentation	Official Record: Retain records for 6 years after the end of the fiscal year in which the return has been filed or all activity, including protective claims or net operating loss tracking, has been completed- whichever is longer. If the records are used as supporting documentation for sponsored activities- Retain records for 6 years after the end of the fiscal year in which the return has been filed or all activity, including protective claims or net operating loss tracking, has been completed- whichever is longer, or 6 years after expiration/termination of the sponsored activities; resolution of any litigation, claim, or audit; or the period stated in the award document - whichever is longer. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division - Default Department	(1)26 CFR § 315.533-1(b) and (c) (10)(M Circular A-110), 26 CFR § 31.6001-1(e)(2), 26 CFR § 301.6501(e)-1, California Code of Civil Procedure, § 337, California Code Government Code, § 8546.7 UC Contracts and Grant Manual Section 17, 17-312 Retention Period (2)The University's Tax Exempt Non-Profit Declaration Records are not included in this retention category. (3)These records would be part of the Program Administration Records of Enduring Historical Value records retention schedule which has a permanent retention period. (3)Some of these records will have restricted information in them. Records containing restricted information (regardless of media) must be protected from unauthorized access, disclosure and disposition, in accordance with University policy and California and Federal laws. Restricted information includes "Notice-Triggering Information" as defined in UC Business and Finance Bulletin Information Series Policy IS-2: (name plus Social Security Number, driver's license or California identification card number, financial account number with a security

Records Code	Function	Function Description	Category	Category Description	Sub-Category Title	Keywords	Retention Period	Retention Rule	Publish Date	Primary Owner Override	Comments
0005E1*	05. Financial and Procurement Records	These are records that document the financial and procurement activities of the University. These records relate to the bond financing, lending and banking, accounting, procurement, travel management, asset management and tax activities of the University. The records may include but are not limited to: • documentation of accounts receivable and payable records, deposit records, capital equipment and fixed asset inventories; and other related records.	E. Finance Administration Records	Finance Administration Records document the administration of financial activities including vendor relation activities and securing the flow of money out of and into the University. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • pre-qualification and other vendor relation records; • chart of accounts; • general ledger statements and reports; • vendor contracts and agreements for services and equipment; • signature authorization records; • notifications of unusual activity; • physical security records including surveillance records; and • lock box services records.	E. 1. Annual Financial Reports and Statements with Enduring Historical Value	Finance Administration, vendor relations, pre-qualification records other vendor relation records, chart of accounts, general ledger statements, general ledger reports, vendor contracts, vendor agreements, contracts, agreements, services, equipment, signature authorization records, notifications of unusual activity, physical security records, surveillance records, lock box services records	Official Record: Permanent, subject to University Archives review. Coordinate the transfer of these records to the University Archives when no longer needed for current operational business. All Other Copies: Copies are considered non-records and should be retained only until their usefulness has passed, but never any longer than the official record.	Permanent records	9/19/2014	Default Division - Default Department	(1)2 CFR § 215.53 (b), (b) and (g) [OMB Circular A-110] California Code of Civil Procedure, § 337, California Code Government Code, § 8546.7, UC Contracts and Grant Manual Section 17, 17-312 Retention Period (2)Some of these records will have restricted information in them. Records containing restricted information (regardless of media) must be protected from unauthorized access, disclosure and disposition, in accordance with University policy and California and Federal laws. Restricted information includes "Notice-Triggering Information" as defined in UC Business and Finance Bulletin Information Series Policy IS-2 (name plus Social Security Number, driver's license or California identification card number, financial account number with a security code, medical information or health insurance information). (3)Since some of these records may contain restricted information, creating copies is discouraged. If created, they must be protected from unauthorized access, disclosure and disposition in accordance with University policy and California and Federal laws.
0005E2*	05. Financial and Procurement Records	These are records that document the financial and procurement activities of the University. These records relate to the bond financing, lending and banking, accounting, procurement, travel management, asset management and tax activities of the University. The records may include but are not limited to: • documentation of accounts receivable and payable records, deposit records, capital equipment and fixed asset inventories; and other related records.	E. Finance Administration Records	Finance Administration Records document the administration of financial activities including vendor relation activities and securing the flow of money out of and into the University. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • pre-qualification and other vendor relation records; • chart of accounts; • general ledger statements and reports; • vendor contracts and agreements for services and equipment; • signature authorization records; • notifications of unusual activity; • physical security records including surveillance records; and • lock box services records.	E. 2. All Other Finance Administration Records	Finance Administration, vendor relations, pre-qualification records other vendor relation records, chart of accounts, general ledger statements, general ledger reports, vendor contracts, vendor agreements, contracts, agreements, services, equipment, signature authorization records, notifications of unusual activity, physical security records, surveillance records, lock box services records	Official Record: Retain records for 4 years after the end of fiscal year in which all activity related to the records has ceased. All Other Copies: Copies are considered non-records and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division - Default Department	(1)2 CFR § 215.53 (b), (b) and (g) [OMB Circular A-110] California Code of Civil Procedure, § 337, California Code Government Code, § 8546.7, UC Contracts and Grant Manual Section 17, 17-312 Retention Period (2)Some of these records will have restricted information in them. Records containing restricted information (regardless of media) must be protected from unauthorized access, disclosure and disposition, in accordance with University policy and California and Federal laws. Restricted information includes "Notice-Triggering Information" as defined in UC Business and Finance Bulletin Information Series Policy IS-2 (name plus Social Security Number, driver's license or California identification card number, financial account number with a security code, medical information or health insurance information). (3)Since some of these records may contain restricted information, creating copies is discouraged. If created, they must be protected from unauthorized access, disclosure and disposition in accordance with University policy and California and Federal laws.
0006A*	06. Compliance Records	Compliance Records document the compliance processes and activities of the University, such as audits, compliance reviews, and investigations of whistleblower, retaliation, and misconduct allegations at the University. They also document compliance certification activities at the University.	A. Audit Records	Audit Records document internal and external organizational and management assessment reviews at the University. These records document evaluative activities that include developing review requirements, scopes of work, objectives, methodologies and plans; conducting preliminary surveys, and preparing reports. The records also document steps taken while performing impartial analysis and consulting services designed to add value and to improve operations; facilitating external independent audits, reviewing and responding to audit reports, and developing and tracking management corrective actions. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • work plans; • working papers; • preliminary reports; • responses records; • records of management correction actions, and • final reports.		Audit Records, internal audits, external audits, organizational audits, management audits, assessments, reviews, evaluations, review requirements, scopes of work, objectives, methodologies, plans, preliminary surveys, reports, impartial analysis, consulting services, improve operations, external independent audits, reviewing audits, audit responses, management corrective actions, work plans, working papers, preliminary reports, responses records, records of management correction actions, final reports	Official Record: Retain records for 7 years after the end of the fiscal year in which the specific final audit report has been concluded. All high-profile, watershed, noteworthy and/or annual audit reports that document trends and the University's status are part of the Program Administration Records of Enduring Historical Value records section of the retention schedule and have a permanent retention period. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division - Default Department	(1)OMB A-133, § 320, OMB A-133, § 515, 17 CFR § 210.2-06, California Code Government Code, § 8545, California Code Government Code, § 8546.7 (2)High-profile, watershed, noteworthy and/or annual audit reports that document trends and the University's status are not included in this retention category. These records would be part of the Program Administration Records of Enduring Historical Value records retention schedule which has a permanent retention period. (3)Even though the University is not subject to the retention requirements imposed on publicly traded companies' audits and working papers, the University has adopted that retention period as a best practice. (4)Some of these records may have restricted information in them. Restricted information is "Notice-Triggering Information" as defined in UC Information Systems Policy BFB-IS-2 (e.g., name plus Social Security Number, driver's license or California identification card number, financial account number with a security code, medical information or health insurance information). Records containing restricted information
0006B*	06. Compliance Records	Compliance Records document the compliance processes and activities of the University, such as audits, compliance reviews, and investigations of whistleblower, retaliation, and misconduct allegations at the University. They also document compliance certification activities at the University.	B. Investigation Records	Investigation Records document internal and external investigations of alleged improper governmental activities, retaliation, and misconduct. These records do not include the records held by campus police departments although law enforcement activities may occur due to the nature of an investigation and the records may be used during any criminal adjudication processes. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • working papers; • notifications when appropriate; • records of corrective and remedial actions; and • final reports.		Investigation Records, internal investigations, external investigations, improper governmental activities, retaliation, misconduct, working papers, notifications, corrective action records, remedial actions records, final reports	Official Record: Retain records for 7 years after the end of the fiscal year in which the specific final report is issued or all specific activity has ended, whichever is longer. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division - Default Department	(1)28 USC § 1608, 39 CFR § 1370(h)(1), 39 CFR § 1626.7, 42 CFR § 93.317, California Code of Civil Procedure, § 340 (2)Some of these records may have restricted information in them. Restricted information is "Notice-Triggering Information" as defined in UC Information Systems Policy BFB-IS-2 (e.g., name plus Social Security Number, driver's license or California identification card number, financial account number with a security code, medical information or health insurance information). Records containing restricted information (regardless of media) must be protected from unauthorized access, disclosure and disposition, in accordance with University policy and California and Federal laws. (3)Since some of these records may contain restricted information, creating copies is discouraged. If created, they must be protected from unauthorized access, disclosure and disposition in accordance with University policy and California and Federal laws. (4)Some of these records are vital records. See BMP-4 at http://policy.ucop.edu/doc/7020458/BFB

Records Code	Function	Function Description	Category	Category Description	Sub-Category Title	Keywords	Retention Period	Retention Rule	Publish Date	Primary Owner Override	Comments
0006C*	06. Compliance Records	Compliance Records document the compliance processes and activities of the University, such as audits, compliance reviews, and investigations of whistleblower, retaliation, and misconduct allegations at the University. They also document compliance certification activities at the University.	C. Compliance Certification Records	Compliance Certification Records document when the University has met a regulation or law that requires the University to officially state conformity. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • Child Abuse and Neglect Reporting Act (CANRA) reporter forms collection certifications; • FCC Accessibility Rule certifications; and • Environmental, Health and Safety requirement certifications.		Compliance Certification Records, conformity, Child Abuse and Neglect Reporting Act, CANRA, reporter forms collection certifications, FCC Accessibility Rule certifications, Environmental Health and Safety requirement certifications	Official Record: Retain records until superseded or 5 years after the end of the fiscal year in which the certification was made, unless a longer period is specified in the legal requirements. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	12/18/2014	Default Division - Default Department	(1)47 CFR § 14.31 (2)Records that document a requirement has been met enhancing accountability and aid compliance auditing in a decentralized environment. (3)This is a media neutral retention schedule.
0007A1*	07. Public Safety Records	Public Safety Records document the management of campus security, crime prevention and general law enforcement. The records relate to the prevention of and protection from events or activities that could endanger the safety of students, faculty, staff and the general public from significant danger, injury/harm, or damage, such as crimes at the University.	A. Police Crime or Investigation Related Public Safety Records	Police Crime or Investigation Related Public Safety Records document police reports and investigations of alleged illegal activities and misconduct, including offenses that fall under the Child Abuse and Neglect Reporting Act (CANRA). These records also include complaints filed by a member of the public against employees in police titles as well as the subsequent investigations and any corrective actions, criminal registration records, any records documenting an investigation of the complaint and records of corrective action, as well as Clery reports and supporting documentation. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • police and investigation reports, including photos of crime scenes and suspects, lab information, interviews and statements from victims/witnesses/suspects, logs, and audio and video recordings; • records pertaining to the collection and storage of evidence collected at crime scenes and during police investigations; • stolen property records; • arrest records including arrest warrants, fingerprints, criminal history information,	A. 1. Police Crime or Investigation Related Public Safety Records dealing with any crimes without a statute of limitations on prosecution	Police Crime Records, Criminal, Investigation Records, Public Safety Records, police reports, investigations, alleged illegal activities, illegal activity, misconduct, offenses, complaints, investigation reports, photos of crime scenes, photos of suspects, lab information, interviews, statements from witnesses, statements from victims, interviews, statements from witnesses, statements from suspects, logs, audio recordings, video recordings, collection of evidence, storage of evidence, arrest records, arrest warrants, fingerprints, criminal history information, citations, prosecutorial records, subpoenas, pleas, sentences, murder	Official Record: Permanent. All Other Copies: Copies which may be disseminated to others that are used for other purposes such as disciplinary actions or other investigational activities should be maintained for the retention periods designated for the function of the activities involved. All other copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Permanent records	9/19/2014	Default Division	(1)California Code Health and Safety Code, § 11361.5 California Code Health and Safety Code, § 11594 California Code Penal Code, § 457.1 California Code Penal Code, § 457.1 California Code Penal Code, § 799 California Code Penal Code, § 800 California Code Penal Code, § 801.5 California Code Penal Code, § 801.6 California Code Penal Code, § 802 California Code Penal Code, § 803 California Code Penal Code, § 832.5 California Code Penal Code, § 851.8 California Code Penal Code, § 11169(I)(I) California Code Welfare and Institutions Code, § 781 California Code Welfare and Institutions Code, § 826 2013 California Rules of Court, Title 8, Appellate Rules, Division 1 Rules Relating to the Supreme Court and Courts of Appeal, Chapter 3 Criminal Appeals, Article 1 Taking the Appeal The Handbook for Campus Safety and Security Reporting put out by the US Department of Education, February 2011, page 157 (2)Some of these records may have restricted information in them. Restricted information is "Notice Triggering" information, as defined in UC Information Systems Policy BFB-IS-2 (e.g.,
0007A2*	07. Public Safety Records	Public Safety Records document the management of campus security, crime prevention and general law enforcement. The records relate to the prevention of and protection from events or activities that could endanger the safety of students, faculty, staff and the general public from significant danger, injury/harm, or damage, such as crimes at the University.	A. Police Crime or Investigation Related Public Safety Records	Police Crime or Investigation Related Public Safety Records document police reports and investigations of alleged illegal activities and misconduct, including offenses that fall under the Child Abuse and Neglect Reporting Act (CANRA). These records also include complaints filed by a member of the public against employees in police titles as well as the subsequent investigations and any corrective actions, criminal registration records, any records documenting an investigation of the complaint and records of corrective action, as well as Clery reports and supporting documentation. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • police and investigation reports, including photos of crime scenes and suspects, lab information, interviews and statements from victims/witnesses/suspects, logs, and audio and video recordings; • records pertaining to the collection and storage of evidence collected at crime scenes and during police investigations; • stolen property records; • arrest records including arrest warrants, fingerprints, criminal history information,	A. 2. Police Crime or Investigation Related Public Safety Records pertaining to the arrest or conviction of any person for a violation of possession of marijuana or of giving away, offers to give away, transports, offers to transport, or attempts to transport not more than 28.5 grams of marijuana	Police Crime Records, Criminal, Investigation Records, Public Safety Records, police reports, investigations, alleged illegal activities, illegal activity, misconduct, offenses, investigation reports, photos of crime scenes, photos of suspects, lab information, interviews, statements from victims, statements from witnesses, statements from suspects, logs, audio recordings, video recordings, collection of evidence, storage of evidence, arrest records, arrest warrants, fingerprints, criminal history information, citations, prosecutorial records, subpoenas, pleas, sentences, marijuana	Official Record: Retain records for 2 years from the date of the conviction, or from the date of the arrest if there was no conviction as per California Code Health and Safety Code, § 11361.5. All Other Copies: Copies which may be disseminated to others that are used for other purposes such as disciplinary actions or other investigational activities should be maintained for the retention periods designated for the function of the activities involved. All other copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division	(1)California Code Health and Safety Code, § 11361.5 California Code Health and Safety Code, § 11594 California Code Penal Code, § 457.1 California Code Penal Code, § 799 California Code Penal Code, § 800 California Code Penal Code, § 801.5 California Code Penal Code, § 801.6 California Code Penal Code, § 802 California Code Penal Code, § 803 California Code Penal Code, § 832.5 California Code Penal Code, § 851.8 California Code Penal Code, § 11169(I)(I) California Code Welfare and Institutions Code, § 781 California Code Welfare and Institutions Code, § 826 2013 California Rules of Court, Title 8, Appellate Rules, Division 1 Rules Relating to the Supreme Court and Courts of Appeal, Chapter 3 Criminal Appeals, Article 1 Taking the Appeal The Handbook for Campus Safety and Security Reporting put out by the US Department of Education, February 2011, page 157 (2)Some of these records may have restricted information in them. Restricted information is "Notice Triggering" information, as defined in UC Information Systems Policy BFB-IS-2 (e.g.,
0007A3*	07. Public Safety Records	Public Safety Records document the management of campus security, crime prevention and general law enforcement. The records relate to the prevention of and protection from events or activities that could endanger the safety of students, faculty, staff and the general public from significant danger, injury/harm, or damage, such as crimes at the University.	A. Police Crime or Investigation Related Public Safety Records	Police Crime or Investigation Related Public Safety Records document police reports and investigations of alleged illegal activities and misconduct, including offenses that fall under the Child Abuse and Neglect Reporting Act (CANRA). These records also include complaints filed by a member of the public against employees in police titles as well as the subsequent investigations and any corrective actions, criminal registration records, any records documenting an investigation of the complaint and records of corrective action, as well as Clery reports and supporting documentation. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • police and investigation reports, including photos of crime scenes and suspects, lab information, interviews and statements from victims/witnesses/suspects, logs, and audio and video recordings; • records pertaining to the collection and storage of evidence collected at crime scenes and during police investigations; • stolen property records; • arrest records including arrest warrants, fingerprints, criminal history information,	A. 3. Police Crime or Investigation Related Public Safety Records dealing with any crimes with a statute of limitations on prosecution	Police Crime Records, Criminal, Investigation Records, Public Safety Records, police reports, investigations, alleged illegal activities, illegal activity, misconduct, offenses, complaints, investigation reports, photos of crime scenes, photos of suspects, lab information, interviews, statements from victims, statements from witnesses, statements from suspects, logs, audio recordings, video recordings, collection of evidence, storage of evidence, arrest records, arrest warrants, fingerprints, criminal history information, citations, prosecutorial records, subpoenas, pleas, sentences	Official Record: Retain records for 3 years after the end of the fiscal year in which the statute of limitations on prosecution has been met or case is closed, whichever is later. All Other Copies: Copies which may be disseminated to others that are used for other purposes such as disciplinary actions or other investigational activities should be maintained for the retention periods designated for the function of the activities involved. All other copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division	(1)California Code Health and Safety Code, § 11361.5 California Code Health and Safety Code, § 11594 California Code Penal Code, § 457.1 California Code Penal Code, § 799 California Code Penal Code, § 800 California Code Penal Code, § 801.5 California Code Penal Code, § 801.6 California Code Penal Code, § 802 California Code Penal Code, § 803 California Code Penal Code, § 832.5 California Code Penal Code, § 851.8 California Code Penal Code, § 11169(I)(I) California Code Welfare and Institutions Code, § 781 California Code Welfare and Institutions Code, § 826 2013 California Rules of Court, Title 8, Appellate Rules, Division 1 Rules Relating to the Supreme Court and Courts of Appeal, Chapter 3 Criminal Appeals, Article 1 Taking the Appeal The Handbook for Campus Safety and Security Reporting put out by the US Department of Education, February 2011, page 157 (2)Some of these records may have restricted information in them. Restricted information is "Notice Triggering" information, as defined in UC Information Systems Policy BFB-IS-2 (e.g.,

Records Code	Function	Function Description	Category	Category Description	Sub-Category Title	Keywords	Retention Period	Retention Rule	Publish Date	Primary Owner Override	Comments
00074*	07. Public Safety Records	Public Safety Records document the management of campus security, crime prevention and general law enforcement. The records relate to the prevention of and protection from events or activities that could endanger the safety of students, faculty, staff and the general public from significant danger, injury/harm, or damage, such as crimes at the University.	A. Police Crime or Investigation Related Public Safety Records	Police Crime or Investigation Related Public Safety Records document police reports and investigations of alleged illegal activities and misconduct, including offenses that fall under the Child Abuse and Neglect Reporting Act (CANRA). These records also include complaints filed by a member of the public against employees in police titles as well as the subsequent investigations and any corrective actions, criminal registration records, any records documenting an investigation of the complaint and records of corrective action, as well as Clerly reports and supporting documentation. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • police and investigation reports, including photos of crime scenes and suspects, lab information, interviews and statements from victims/witnesses/suspects, logs, and audio and video recordings; • records pertaining to the collection and storage of evidence collected at crime scenes and during police investigations; • stolen property records; • arrest records including arrest warrants, fingerprints, criminal history information,	A. 4. Stolen Property Records	Police Crime Records, Criminal, Investigation Records, Public Safety Records, police reports, investigations, investigation reports, photos of crime scenes, photos of suspects, lab information, interviews, statements from victims, statements from witnesses, statements from suspects, logs, audio recordings, video recordings, collection of evidence, storage of evidence, stolen property records, arrest records, arrest warrants, fingerprints, criminal history information, citations, prosecutorial records, subpoenas, pleas, sentences	Official Record: Retain records until property is recovered or until no longer reported in the California Law Enforcement Telecommunications System (CLETS). If, during the recovery of the property, the activities indicate a crime took place, then the records will become part of the records involving the investigation of the crime and retained for the appropriate amount of time indicated in other parts of this schedule. All Other Copies: Copies which may be disseminated to others that are used for other purposes such as disciplinary actions or other investigational activities should be maintained for the retention periods designated for the function of the activities involved. All other copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division	(1)California Code Health and Safety Code, § 11361.5 California Code Health and Safety Code, § 11594 California Code Penal Code, § 457.1 California Code Penal Code, § 799 California Code Penal Code, § 800 California Code Penal Code, § 801 California Code Penal Code, § 801.6 California Code Penal Code, § 802 California Code Penal Code, § 803 California Code Penal Code, § 832.5 California Code Penal Code, § 851.8 California Code Penal Code, § 11169(I)(I) California Code Welfare and Institutions Code, § 781 California Code Welfare and Institutions Code, § 826 2013 California Rules of Court, Title 8, Appellate Rules, Division 1 Rules Relating to the Supreme Court and Courts of Appeal, Chapter 3 Criminal Appeals, Article 1 Taking the Appeal The Handbook for Campus Safety and Security Reporting put out by the US Department of Education, February 2011, page 157 (2)Some of these records may have restricted information in them. Restricted information is "Notice Triggering" information, as defined in UC Information Systems Policy BFB-IS-2 (e.g.,
00075*	07. Public Safety Records	Public Safety Records document the management of campus security, crime prevention and general law enforcement. The records relate to the prevention of and protection from events or activities that could endanger the safety of students, faculty, staff and the general public from significant danger, injury/harm, or damage, such as crimes at the University.	A. Police Crime or Investigation Related Public Safety Records	Police Crime or Investigation Related Public Safety Records document police reports and investigations of alleged illegal activities and misconduct, including offenses that fall under the Child Abuse and Neglect Reporting Act (CANRA). These records also include complaints filed by a member of the public against employees in police titles as well as the subsequent investigations and any corrective actions, criminal registration records, any records documenting an investigation of the complaint and records of corrective action, as well as Clerly reports and supporting documentation. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • police and investigation reports, including photos of crime scenes and suspects, lab information, interviews and statements from victims/witnesses/suspects, logs, and audio and video recordings; • records pertaining to the collection and storage of evidence collected at crime scenes and during police investigations; • stolen property records; • arrest records including arrest warrants, fingerprints, criminal history information,	A. 5. CANRA Records	Police Crime Records, Criminal, Investigation Records, Public Safety Records, police reports, investigations, alleged illegal activities, illegal activity, misconduct, offenses, Child Abuse and Neglect Reporting Act, CANRA, complaints, investigation reports, photos of crime scenes, photos of suspects, lab information, interviews, statements from victims, statements from witnesses, statements from suspects, logs, audio recordings, video recordings, collection of evidence, storage of evidence, arrest records, arrest warrants, fingerprints, criminal history information, citations, prosecutorial records, subpoenas, pleas, sentences	Official Record: Retain records for the same period of time that the information is required to be maintained on the Department of Justice Child Abuse Central Index (CACI). All Other Copies: Copies which may be disseminated to others that are used for other purposes such as disciplinary actions or other investigational activities should be maintained for the retention periods designated for the function of the activities involved. All other copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division	(1)California Code Health and Safety Code, § 11361.5 California Code Health and Safety Code, § 11594 California Code Penal Code, § 457.1 California Code Penal Code, § 799 California Code Penal Code, § 800 California Code Penal Code, § 801 California Code Penal Code, § 801.5 California Code Penal Code, § 802 California Code Penal Code, § 803 California Code Penal Code, § 832.5 California Code Penal Code, § 851.8 California Code Penal Code, § 11169(I)(I) California Code Welfare and Institutions Code, § 781 California Code Welfare and Institutions Code, § 826 2013 California Rules of Court, Title 8, Appellate Rules, Division 1 Rules Relating to the Supreme Court and Courts of Appeal, Chapter 3 Criminal Appeals, Article 1 Taking the Appeal The Handbook for Campus Safety and Security Reporting put out by the US Department of Education, February 2011, page 157 (2)Some of these records may have restricted information in them. Restricted information is "Notice Triggering" information, as defined in UC Information Systems Policy BFB-IS-2 (e.g.,
00076*	07. Public Safety Records	Public Safety Records document the management of campus security, crime prevention and general law enforcement. The records relate to the prevention of and protection from events or activities that could endanger the safety of students, faculty, staff and the general public from significant danger, injury/harm, or damage, such as crimes at the University.	A. Police Crime or Investigation Related Public Safety Records	Police Crime or Investigation Related Public Safety Records document police reports and investigations of alleged illegal activities and misconduct, including offenses that fall under the Child Abuse and Neglect Reporting Act (CANRA). These records also include complaints filed by a member of the public against employees in police titles as well as the subsequent investigations and any corrective actions, criminal registration records, any records documenting an investigation of the complaint and records of corrective action, as well as Clerly reports and supporting documentation. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • police and investigation reports, including photos of crime scenes and suspects, lab information, interviews and statements from victims/witnesses/suspects, logs, and audio and video recordings; • records pertaining to the collection and storage of evidence collected at crime scenes and during police investigations; • stolen property records; • arrest records including arrest warrants, fingerprints, criminal history information,	A. 6. Complaints Filed by a Member of the Public against Employees in Police Titles Records	Police Crime Records, Criminal, Investigation Records, Public Safety Records, police reports, investigations, alleged illegal activities, illegal activity, misconduct, offenses, complaints, complaint filed by a member of the public against employees in police titles, complaints filed by a member of the public, complaint filed by a member of the public against employees in police titles, corrective actions	Official Record: Retain records for 5 years after the end of the fiscal year in which the investigation has been completed and the case is closed. All Other Copies: Copies which may be disseminated to others that are used for other purposes such as disciplinary actions or other investigational activities should be maintained for the retention periods designated for the function of the activities involved. All other copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division	(1)California Code Health and Safety Code, § 11361.5 California Code Health and Safety Code, § 11594 California Code Penal Code, § 457.1 California Code Penal Code, § 799 California Code Penal Code, § 800 California Code Penal Code, § 801 California Code Penal Code, § 801.5 California Code Penal Code, § 802 California Code Penal Code, § 803 California Code Penal Code, § 832.5 California Code Penal Code, § 851.8 California Code Penal Code, § 11169(I)(I) California Code Welfare and Institutions Code, § 781 California Code Welfare and Institutions Code, § 826 2013 California Rules of Court, Title 8, Appellate Rules, Division 1 Rules Relating to the Supreme Court and Courts of Appeal, Chapter 3 Criminal Appeals, Article 1 Taking the Appeal The Handbook for Campus Safety and Security Reporting put out by the US Department of Education, February 2011, page 157 (2)Some of these records may have restricted information in them. Restricted information is "Notice Triggering" information, as defined in UC Information Systems Policy BFB-IS-2 (e.g.,
00077*	07. Public Safety Records	Public Safety Records document the management of campus security, crime prevention and general law enforcement. The records relate to the prevention of and protection from events or activities that could endanger the safety of students, faculty, staff and the general public from significant danger, injury/harm, or damage, such as crimes at the University.	A. Police Crime or Investigation Related Public Safety Records	Police Crime or Investigation Related Public Safety Records document police reports and investigations of alleged illegal activities and misconduct, including offenses that fall under the Child Abuse and Neglect Reporting Act (CANRA). These records also include complaints filed by a member of the public against employees in police titles as well as the subsequent investigations and any corrective actions, criminal registration records, any records documenting an investigation of the complaint and records of corrective action, as well as Clerly reports and supporting documentation. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • police and investigation reports, including photos of crime scenes and suspects, lab information, interviews and statements from victims/witnesses/suspects, logs, and audio and video recordings; • records pertaining to the collection and storage of evidence collected at crime scenes and during police investigations; • stolen property records; • arrest records including arrest warrants, fingerprints, criminal history information,	A. 7. Criminal Registration Records	Police Crime Records, Criminal, Public Safety Records, police reports, criminal registration records, Sex crime registration, drug crime registration, criminal history information, criminal registration for arson, registration for controlled substances, registration for sexual crimes	Official Record: Retain records for as long as required by statute. All Other Copies: Copies which may be disseminated to others that are used for other purposes such as disciplinary actions or other investigational activities should be maintained for the retention periods designated for the function of the activities involved. All other copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division	(1)California Code Health and Safety Code, § 11361.5 California Code Health and Safety Code, § 11594 California Code Penal Code, § 457.1 California Code Penal Code, § 799 California Code Penal Code, § 800 California Code Penal Code, § 801 California Code Penal Code, § 801.5 California Code Penal Code, § 802 California Code Penal Code, § 803 California Code Penal Code, § 832.5 California Code Penal Code, § 851.8 California Code Penal Code, § 11169(I)(I) California Code Welfare and Institutions Code, § 781 California Code Welfare and Institutions Code, § 826 2013 California Rules of Court, Title 8, Appellate Rules, Division 1 Rules Relating to the Supreme Court and Courts of Appeal, Chapter 3 Criminal Appeals, Article 1 Taking the Appeal The Handbook for Campus Safety and Security Reporting put out by the US Department of Education, February 2011, page 157 (2)Some of these records may have restricted information in them. Restricted information is "Notice Triggering" information, as defined in UC Information Systems Policy BFB-IS-2 (e.g.,

Records Code	Function	Function Description	Category	Category Description	Sub-Category Title	Keywords	Retention Period	Retention Rule	Publish Date	Primary Owner Override	Comments
0007A*	07. Public Safety Records	Public Safety Records document the management of campus security, crime prevention and general law enforcement. The records relate to the prevention of and protection from events or activities that could endanger the safety of students, faculty, staff and the general public from significant danger, injury/harm, or damage, such as crimes at the University.	A. Police Crime or Investigation Related Public Safety Records	Police Crime or Investigation Related Public Safety Records document police reports and investigations of alleged illegal activities and misconduct, including offenses that fall under the Child Abuse and Neglect Reporting Act (CANRA). These records also include complaints filed by a member of the public against employees in police titles as well as the subsequent investigations and any corrective actions, criminal registration records, any records documenting an investigation of the complaint and records of corrective action, as well as Clery reports and supporting documentation. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • police and investigation reports, including photos of crime scenes and suspects, lab information, interviews and statements from victims/witnesses/suspects, logs, and audio and video recordings; • records pertaining to the collection and storage of evidence collected at crime scenes and during police investigations; • stolen property records; • arrest records including arrest warrants, fingerprints, criminal history information,	A. B. Clery Records	Clery Reports, Police Crime Records, Criminal, Investigation Records, Public Safety Records, police reports, investigations, alleged illegal activities, illegal activity, misconduct, offenses, ICery reports, investigation reports, photos of crime scenes, photos of suspects, lab information, interviews, statements from victims, statements from witnesses, statements from suspects, logs, audio recordings, video recordings, collection of evidence, storage of evidence, arrest records, arrest warrants, fingerprints, criminal history information, citations, prosecutorial records, subpoenas, pleas, sentences	Official Record: Retain records for three years from the latest publication of the Annual Clery Report to which they apply. All Other Copies: Copies which may be disseminated to others that are used for other purposes such as disciplinary actions or other investigational activities should be maintained for the retention periods designated for the function of the activities involved. All other copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division	(1)California Code Health and Safety Code, § 11186.1 California Code Health and Safety Code, § 11594 California Code Penal Code, § 457.1 California Code Penal Code, § 799 California Code Penal Code, § 800 California Code Penal Code, § 801 California Code Penal Code, § 801.6 California Code Penal Code, § 802 California Code Penal Code, § 803 California Code Penal Code, § 832.5 California Code Penal Code, § 851.8 California Code Penal Code, § 11169(i)(1) California Code Welfare and Institutions Code, § 781 California Code Welfare and Institutions Code, § 828 2013 California Rules of Court, Title 8, Appellate Rules, Division 1 Rules Relating to the Supreme Court and Courts of Appeal, Chapter 3 Criminal Appeals, Article 1 Taking the Appeal The Handbook for Campus Safety and Security Reporting put out by the US Department of Education, February 2011, page 157 (2)Some of these records may have restricted information in them. Restricted information is "Notice Triggering" information, as defined in UC Information Systems Policy BFB-IS-2 (e.g.,
0007B1*	07. Public Safety Records	Public Safety Records document the management of campus security, crime prevention and general law enforcement. The records relate to the prevention of and protection from events or activities that could endanger the safety of students, faculty, staff and the general public from significant danger, injury/harm, or damage, such as crimes at the University.	B. Non-Crime Related Public Safety Records	Non-Crime Related Public Safety Records document the performance of police and security functions that are not pertaining to criminal or investigative activities at the University. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • lost and found records; • accident and other non-criminal, non-Cal/OSHA related incidents reports records; • missing person records, when the person has been found and there is no criminal activity associated with their disappearance; • reports of contacts of outside police with building occupants; • audio and video recordings not used for criminal or investigative purposes; • non-criminal violations records; • shift assignments and report records; and • daily activity records.	B. 1. Audio and Video Recordings not used for criminal or investigative purposes	Non-Crime, Public Safety Records, security functions, non crime audio recordings, non crime video recordings	Official Record: Retain records until administrative use ceases. All Other Copies: Copies are considered non- records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division	(1)Retaining limited use records longer than necessary drains resources required to properly manage records of longer term value. (2)Some of these records may have restricted information in them. Restricted information is "Notice Triggering" information, as defined in UC Information Systems Policy BFB-IS-2 (e.g., name plus Social Security Number, driver's license or California identification card number, financial account number with a security code, medical information or health insurance information). Records containing restricted information (regardless of media) must be protected from unauthorized access, disclosure and disposition, in accordance with University policy and California and Federal laws. (3)Since some of these records may contain restricted information, creating copies is discouraged. If created, they must be protected from unauthorized access, disclosure and disposition in accordance with University policy and California and Federal laws. (4)This section does not apply to lab incident records. (5)This is a media neutral retention schedule.
0007B2*	07. Public Safety Records	Public Safety Records document the management of campus security, crime prevention and general law enforcement. The records relate to the prevention of and protection from events or activities that could endanger the safety of students, faculty, staff and the general public from significant danger, injury/harm, or damage, such as crimes at the University.	B. Non-Crime Related Public Safety Records	Non-Crime Related Public Safety Records document the performance of police and security functions that are not pertaining to criminal or investigative activities at the University. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • lost and found records; • accident and other non-criminal, non-Cal/OSHA related incidents reports records; • missing person records, when the person has been found and there is no criminal activity associated with their disappearance; • reports of contacts of outside police with building occupants; • audio and video recordings not used for criminal or investigative purposes; • non-criminal violations records; • shift assignments and report records; and • daily activity records.	B. 2. All Other Non-Crime Related Public Safety Records	Non-Crime, Public Safety Records, security functions, lost and found records, bicycle registrations, bike registration, accident reports, non criminal incidents, non-Cal incident reports, non-OSHA incidents reports, incident report, accident report, non-criminal missing person records, reports of contacts of outside police with building occupants, non-criminal violations records, parking tickets, speeding tickets, moving violations, citations, shift assignments, shift reports, daily activity records	Official Record: Retain records for 2 years after the end of the fiscal year in which the records are created. All Other Copies: Copies are considered non- records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division	(1)Retaining limited use records longer than necessary drains resources required to properly manage records of longer term value. (2)Some of these records may have restricted information in them. Restricted information is "Notice Triggering" information, as defined in UC Information Systems Policy BFB-IS-2 (e.g., name plus Social Security Number, driver's license or California identification card number, financial account number with a security code, medical information or health insurance information). Records containing restricted information (regardless of media) must be protected from unauthorized access, disclosure and disposition, in accordance with University policy and California and Federal laws. (3)Since some of these records may contain restricted information, creating copies is discouraged. If created, they must be protected from unauthorized access, disclosure and disposition in accordance with University policy and California and Federal laws. (4)This section does not apply to lab incident records. (5)This is a media neutral retention schedule.
0008A1*	08. Capital Resources Records	Capital Resources Records document all activities surrounding the administration and management of the University's building or infrastructure projects as well as the University's property. The records may include but are not limited to those developing and financing projects; identifying needs and specifications; obtaining design and construction services; managing design and construction activities; acquiring, managing including leasing and licensing, and selling real estate; as well as managing, maintaining, and repairing all facilities grounds, and mechanical systems of the University.	A. Capital Improvement Project Records	Capital Improvement Project Records document all processes involved with building and renovating structures and grounds at the University. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • records related to contract formation including pre-design drawings and specifications, pre-qualification records, bidding documents and contracts, documents, protest and hearing records, as well as subsequent contract changes including for design and other consulting services; • all engineering and design information, including supporting analysis and records; such as drawings, models, RFI responses and other deliverables; produced by engineering consultants and designers delivered in accordance with contract requirements; • all construction documentation and items submitted by the contractor, both during and at the conclusion of the contract; including certified payrolls, inspection reports, claims, RFIs, change requests, lists of subcontractors and notifications of substitutions; in accordance with contract	A. 1. Records used as supporting documentation for sponsored activities on non-bond financed projects	building records, renewing records, structures, grounds, contract formation, pre design drawings, pre-design specifications, specs, pre- qualification records, bidding documents, contracts, contract changes, engineering information, design information, analysis, drawings, models, RFI responses, deliverables, engineering consultants records, designers records, contract requirements, construction contractors	Official Record: A. 1. Retain records 6 years after the expiration/termination of the sponsored activities; resolution of any litigation, claim, or audit; or the period stated in the award document, or 10 years after the end of the fiscal year following final completion of the project - whichever is longer. All Other Copies: Copies are considered non- records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division	(1)26 CFR § 215.53 (a), (b) and (c) (8)M Circular A-110) 26 CFR § 1.148-56(i)(iii)(E) 26 CFR § 31.6001-1(e)(2) 29 CFR § 5.5(a)(3) 29 CFR § 516.5 29 CFR § 516.6 29 CFR § 1926.1101(n)(1) 29 CFR § 1926.1101(n)(2) 29 CFR § 1926.1101(i)(5) 29 CFR § 1926.1101(n)(5) 29 CFR § 1926.1101(n)(6) California Code of Civil Procedure, § 337 California Code of Civil Procedure, § 337.15 California Code of Civil Procedure, § 343 California Code Government Code, § 8546.7 California Code of Regulations, Chapter 8, Subchapter 3, Article 6, § 16403 UC Contracts and Grant Manual Section 17, 17-312 Retention Period (2)Each location's Planning and Budget areas has access to the Debt Service Schedule which notes the date of bond maturity for UC Bonds and Lease Revenue Bonds. (3)Each location's Planning and Budget areas has access to the Capital Projects Database which notes the date of bond issuance for General Obligation Bonds. (4)Final Completion That time when the work is fully completed and in accordance with the contract documents, as determined by the

Records Code	Function	Function Description	Category	Category Description	Sub-Category Title	Keywords	Retention Period	Retention Rule	Publish Date	Primary Owner Override	Comments
000BA2*	08. Capital Resources Records	Capital Resources Records document all activities surrounding the administration and management of the University's building or infrastructure projects as well as the University's property. The records may include but are not limited to those developing and financing projects; identifying needs and specifications; obtaining design and construction services; managing design and construction activities; acquiring, managing including leasing and licensing, and selling real estate; as well as managing, maintaining, and repairing all facilities grounds, and mechanical systems of the University.	A. Capital Improvement Project Records	Capital Improvement Project Records document all processes involved with building and renovating structures and grounds at the University. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • records related to contract formation including pre-design drawings and specifications, pre-qualification records, bidding documents and contracts documents, protest and hearing records, as well as subsequent contract changes including for design and other consulting services; • all engineering and design information, including supporting analysis and records; such as drawings, models, RFI responses and other deliverables; produced by engineering consultants and designers delivered in accordance with contract requirements; • all construction documentation and items submitted by the contractor, both during and at the conclusion of the contract; including certified payrolls, inspection reports, claims, RFIs, change requests, lists of subcontractors and notifications of substitutions; in accordance with contract	A. 2. Records used as supporting documentation for expenditures related to the construction of bond financed projects	building records, renovating records, structures, grounds, contract formation, pre design drawings, pre-design specifications, specs, pre-qualification records, bidding documents, contracts, contract changes, engineering information, design information, analysis, drawings, models, RFI responses, deliverables, engineering consultants records, designers records, contract requirements, construction contractors	Official Record: A. 2. Retain records for 5 years after the end of the fiscal year in which the bond matures, or 10 years after the end of the fiscal year following final completion of the project - whichever is longer. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division	(1)(2) CFR § 215.53 (b), (b) and (g) (OMB Circular A-110) 26 CFR § 1.148-5(d)(6)(iii)(E) 26 CFR § 1.6001-1(e)(2) 29 CFR § 5.5(a)(3) 29 CFR § 516.5 29 CFR § 516.6 29 CFR § 1926.1101(n)(1) 29 CFR § 1926.1101(n)(2) 29 CFR § 1926.1101(n)(3) 29 CFR § 1926.1101(n)(5) 29 CFR § 1926.1101(n)(6) California Code of Civil Procedure, § 337.5 California Code of Civil Procedure, § 337.15 California Code of Civil Procedure, § 343 California Code of Civil Procedure, § 337.5 California Code of Civil Procedure, § 343 California Code of Civil Procedure, § 343 California Code of Regulations, Chapter 8, Subchapter 3, Article 6, §16403 UC Contracts and Grant Manual Section 17, 17-312 Retention Period (2)(Each location's Planning and Budget areas has access to the Debt Service Schedule which notes the date of bond maturity for UC Bonds and Lease Revenue Bonds. (3)(Each location's Planning and Budget areas has access to the Capital Projects Database which notes the date of bond issuance for General Obligation Bonds. (4)(Final Completion - That time when the work is fully completed and in accordance with the contract documents, as determined by the
000BA3*	08. Capital Resources Records	Capital Resources Records document all activities surrounding the administration and management of the University's building or infrastructure projects as well as the University's property. The records may include but are not limited to those developing and financing projects; identifying needs and specifications; obtaining design and construction services; managing design and construction activities; acquiring, managing including leasing and licensing, and selling real estate; as well as managing, maintaining, and repairing all facilities grounds, and mechanical systems of the University.	A. Capital Improvement Project Records	Capital Improvement Project Records document all processes involved with building and renovating structures and grounds at the University. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • records related to contract formation including pre-design drawings and specifications, pre-qualification records, bidding documents and contracts documents, protest and hearing records, as well as subsequent contract changes including for design and other consulting services; • all engineering and design information, including supporting analysis and records; such as drawings, models, RFI responses and other deliverables; produced by engineering consultants and designers delivered in accordance with contract requirements; • all construction documentation and items submitted by the contractor, both during and at the conclusion of the contract; including certified payrolls, inspection reports, claims, RFIs, change requests, lists of subcontractors and notifications of substitutions; in accordance with contract	A. 3. Records used for a structure's operation and maintenance	building records, renovating records, structures, grounds, o and m, O & M, operations and maintenance manuals, warranties, guarantees, certificates of occupancy	Official Record: A. 3. Retain records for 6 years after the end of the fiscal year in which the property is no longer owned by the University or for 6 years after the end of the fiscal year in which administrative use ceases - whichever is sooner. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division	(1)(2) CFR § 215.53 (a), (b) and (g) (OMB Circular A-110) 26 CFR § 1.148-5(d)(6)(iii)(E) 26 CFR § 1.6001-1(e)(2) 29 CFR § 5.5(a)(3) 29 CFR § 516.5 29 CFR § 516.6 29 CFR § 1926.1101(n)(1) 29 CFR § 1926.1101(n)(2) 29 CFR § 1926.1101(n)(3) 29 CFR § 1926.1101(n)(5) 29 CFR § 1926.1101(n)(6) California Code of Civil Procedure, § 337.5 California Code of Civil Procedure, § 337.15 California Code of Civil Procedure, § 343 California Code of Civil Procedure, § 343 California Code of Regulations, Chapter 8, Subchapter 3, Article 6, §16403 UC Contracts and Grant Manual Section 17, 17-312 Retention Period (2)(Each location's Planning and Budget areas has access to the Debt Service Schedule which notes the date of bond maturity for UC Bonds and Lease Revenue Bonds. (3)(Each location's Planning and Budget areas has access to the Capital Projects Database which notes the date of bond issuance for General Obligation Bonds. (4)(Final Completion - That time when the work is fully completed and in accordance with the contract documents, as determined by the
000BA4*	08. Capital Resources Records	Capital Resources Records document all activities surrounding the administration and management of the University's building or infrastructure projects as well as the University's property. The records may include but are not limited to those developing and financing projects; identifying needs and specifications; obtaining design and construction services; managing design and construction activities; acquiring, managing including leasing and licensing, and selling real estate; as well as managing, maintaining, and repairing all facilities grounds, and mechanical systems of the University.	A. Capital Improvement Project Records	Capital Improvement Project Records document all processes involved with building and renovating structures and grounds at the University. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • records related to contract formation including pre-design drawings and specifications, pre-qualification records, bidding documents and contracts documents, protest and hearing records, as well as subsequent contract changes including for design and other consulting services; • all engineering and design information, including supporting analysis and records; such as drawings, models, RFI responses and other deliverables; produced by engineering consultants and designers delivered in accordance with contract requirements; • all construction documentation and items submitted by the contractor, both during and at the conclusion of the contract; including certified payrolls, inspection reports, claims, RFIs, change requests, lists of subcontractors and notifications of substitutions; in accordance with contract	A. 4. As-built drawings, Record Documents, environmental impact investigation and monitoring program records, including asbestos inspection and required notifications records	as built, as built, as-built, as-built, record documents, building records, renovating records, structures, grounds, drawings, engineering consultants records, designers records, environmental impact investigation, environmental monitoring programs, asbestos inspection, notification records, environmental compliance records, environmental site assessments, environmental analysis, environmental impact statements, EIS	Official Record: A. 4. Retain records until the building and surrounding property is no longer owned by the University. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division	(1)(2) CFR § 215.53 (a), (b) and (g) (OMB Circular A-110) 26 CFR § 1.148-5(d)(6)(iii)(E) 26 CFR § 1.6001-1(e)(2) 29 CFR § 5.5(a)(3) 29 CFR § 516.5 29 CFR § 516.6 29 CFR § 1926.1101(n)(1) 29 CFR § 1926.1101(n)(2) 29 CFR § 1926.1101(n)(3) 29 CFR § 1926.1101(n)(5) 29 CFR § 1926.1101(n)(6) California Code of Civil Procedure, § 337.5 California Code of Civil Procedure, § 337.15 California Code of Civil Procedure, § 343 California Code of Civil Procedure, § 343 California Code of Regulations, Chapter 8, Subchapter 3, Article 6, §16403 UC Contracts and Grant Manual Section 17, 17-312 Retention Period (2)(Each location's Planning and Budget areas has access to the Debt Service Schedule which notes the date of bond maturity for UC Bonds and Lease Revenue Bonds. (3)(Each location's Planning and Budget areas has access to the Capital Projects Database which notes the date of bond issuance for General Obligation Bonds. (4)(Final Completion - That time when the work is fully completed and in accordance with the contract documents, as determined by the
000BA5*	08. Capital Resources Records	Capital Resources Records document all activities surrounding the administration and management of the University's building or infrastructure projects as well as the University's property. The records may include but are not limited to those developing and financing projects; identifying needs and specifications; obtaining design and construction services; managing design and construction activities; acquiring, managing including leasing and licensing, and selling real estate; as well as managing, maintaining, and repairing all facilities grounds, and mechanical systems of the University.	A. Capital Improvement Project Records	Capital Improvement Project Records document all processes involved with building and renovating structures and grounds at the University. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • records related to contract formation including pre-design drawings and specifications, pre-qualification records, bidding documents and contracts documents, protest and hearing records, as well as subsequent contract changes including for design and other consulting services; • all engineering and design information, including supporting analysis and records; such as drawings, models, RFI responses and other deliverables; produced by engineering consultants and designers delivered in accordance with contract requirements; • all construction documentation and items submitted by the contractor, both during and at the conclusion of the contract; including certified payrolls, inspection reports, claims, RFIs, change requests, lists of subcontractors and notifications of substitutions; in accordance with contract	A. 5. Hazardous materials removal and disposal records	environmental permitting, environmental compliance records, environmental mitigation activities, hazardous material removal, hazardous material disposal, hazardous materials	Official Record: A. 5. Retain records for 30 years after the end of the fiscal year in which the removal and disposal took place. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division	(1)(2) CFR § 215.53 (a), (b) and (g) (OMB Circular A-110) 26 CFR § 1.148-5(d)(6)(iii)(E) 26 CFR § 1.6001-1(e)(2) 29 CFR § 5.5(a)(3) 29 CFR § 516.5 29 CFR § 516.6 29 CFR § 1926.1101(n)(1) 29 CFR § 1926.1101(n)(2) 29 CFR § 1926.1101(n)(3) 29 CFR § 1926.1101(n)(5) 29 CFR § 1926.1101(n)(6) California Code of Civil Procedure, § 337.5 California Code of Civil Procedure, § 337.15 California Code of Civil Procedure, § 343 California Code of Civil Procedure, § 343 California Code of Regulations, Chapter 8, Subchapter 3, Article 6, §16403 UC Contracts and Grant Manual Section 17, 17-312 Retention Period (2)(Each location's Planning and Budget areas has access to the Debt Service Schedule which notes the date of bond maturity for UC Bonds and Lease Revenue Bonds. (3)(Each location's Planning and Budget areas has access to the Capital Projects Database which notes the date of bond issuance for General Obligation Bonds. (4)(Final Completion - That time when the work is fully completed and in accordance with the contract documents, as determined by the

Records Code	Function	Function Description	Category	Category Description	Sub-Category Title	Keywords	Retention Period	Retention Rule	Publish Date	Primary Owner Override	Comments
0008B2*	08. Capital Resources Records	Capital Resources Records document all activities surrounding the administration and management of the University's building or infrastructure projects as well as the University's property. The records may include but are not limited to those developing and financing projects; identifying needs and specifications; obtaining design and construction services; managing design and construction activities; acquiring, managing including leasing and licensing, and selling real estate; as well as managing, maintaining, and repairing all facilities grounds, and mechanical systems of the University.	B. Capital Planning Records	Capital Planning Records document all activities involved with the development, coordination, justification and funding of capital projects and capital improvements at the University. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • business case analyses, feasibility studies, Detail Project Programs, Project Planning Guides, budget requests submittals, equipment lists, Space Tables, Utilization Reports, Corporate Equipment Facilities Assets (CEFA) Edits, detailed engineering studies, capital project summaries, summary schedules, gift agreements, State Public Works Board (SPWB) submittals, and approvals, authorizations and agreements; • presentations to the Regents Committee on Grounds and Buildings for approval of budget for capital projects; • capital reports to the State; and • capital financial plans.	B. 2. Records used as supporting documentation for expenditures related to the construction of bond financed buildings	Capital Resource, Capital Planning Records, development of capital projects, capital, capital project, capital project justification, capital funding, capital improvements, submittals for new projects funding, project planning guides, budget requests submittals, equipment lists, space utilization reports, information access plans, health and safety hazards records, State Division of General Services, DGS, DGS seismic rating system records, seismic ratings, detailed engineering studies, capital project summaries, summary schedules, State Public Works Board, SPWB submittals, SPWB approvals, authorizations, agreements, presentations, Regents Committee on Grounds and Buildings presentations, annual status reports, annual reports on major capital projects implementation, capital financial plans	Official Record: B. 2. Retain records for 5 years after the end of the fiscal year in which the bond matures, or 10 years after the end of the fiscal year in which the project has been substantially completed - whichever is longer. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division	(1)2 CFR § 215.53 (a), (b) and (c) OMB Circular A-110) 26 CFR § 1.148-5(d)(6)(iii)(E) 26 CFR § 31.6001-1(e)(2) California Code of Civil Procedure § 337.5 California Government Code § 337.15 California Government Code § 8546.7 UC Contracts and Grant Manual Section 17, 17-312 Retention Period (2)Each location's Planning and Budget areas has access to the Debt Service Schedule which notes the date of bond maturity for UC Bonds and Lease Revenue Bonds. (3)Each location's Planning and Budget areas have access to the Capital Projects Database which notes the date of bond issuance for General Obligation Bonds. (4)This group of records does not include Long Range Development Plans or Physical Design Frameworks. These are found in the Program Administration Records - Program Administration Records of enduring historical value section of the retention schedule. (5)Some of these records may have restricted information in them. Restricted information is "Notice Triggering" information, as defined in UC Information Systems Policy BFB-IS-2 (e.g., name plus Social Security Number, driver's
0008B3*	08. Capital Resources Records	Capital Resources Records document all activities surrounding the administration and management of the University's building or infrastructure projects as well as the University's property. The records may include but are not limited to those developing and financing projects; identifying needs and specifications; obtaining design and construction services; managing design and construction activities; acquiring, managing including leasing and licensing, and selling real estate; as well as managing, maintaining, and repairing all facilities grounds, and mechanical systems of the University.	B. Capital Planning Records	Capital Planning Records document all activities involved with the development, coordination, justification and funding of capital projects and capital improvements at the University. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • business case analyses, feasibility studies, Detail Project Programs, Project Planning Guides, budget requests submittals, equipment lists, Space Tables, Utilization Reports, Corporate Equipment Facilities Assets (CEFA) Edits, detailed engineering studies, capital project summaries, summary schedules, gift agreements, State Public Works Board (SPWB) submittals, and approvals, authorizations and agreements; • presentations to the Regents Committee on Grounds and Buildings for approval of budget for capital projects; • capital reports to the State; and • capital financial plans.	B. 3. All Other Capital Planning Records	Capital Resource, Capital Planning Records, development of capital projects, capital, capital project, capital project justification, capital funding, capital improvements, submittals for new projects funding, project planning guides, budget requests submittals, equipment lists, space utilization reports, information access plans, health and safety hazards records, State Division of General Services, DGS, DGS seismic rating system records, seismic ratings, detailed engineering studies, capital project summaries, summary schedules, State Public Works Board, SPWB submittals, SPWB approvals, authorizations, agreements, presentations, Regents Committee on Grounds and Buildings presentations, annual status reports, annual reports on major capital projects implementation, capital financial plans	Official Record: B. 3. Retain records for 10 years after the end of the fiscal year in which the project has been substantially completed. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division	(1)2 CFR § 215.53 (a), (b) and (c) OMB Circular A-110) 26 CFR § 1.148-5(d)(6)(iii)(E) 26 CFR § 31.6001-1(e)(2) California Code of Civil Procedure § 337.5 California Code of Civil Procedure § 337.15 California Government Code § 8546.7 UC Contracts and Grant Manual Section 17, 17-312 Retention Period (2)Each location's Planning and Budget areas has access to the Debt Service Schedule which notes the date of bond maturity for UC Bonds and Lease Revenue Bonds. (3)Each location's Planning and Budget areas have access to the Capital Projects Database which notes the date of bond issuance for General Obligation Bonds. (4)This group of records does not include Long Range Development Plans or Physical Design Frameworks. These are found in the Program Administration Records - Program Administration Records of enduring historical value section of the retention schedule. (5)Some of these records may have restricted information in them. Restricted information is "Notice Triggering" information, as defined in UC Information Systems Policy BFB-IS-2 (e.g., name plus Social Security Number, driver's
0008C1*	08. Capital Resources Records	Capital Resources Records document all activities surrounding the administration and management of the University's building or infrastructure projects as well as the University's property. The records may include but are not limited to those developing and financing projects; identifying needs and specifications; obtaining design and construction services; managing design and construction activities; acquiring, managing including leasing and licensing, and selling real estate; as well as managing, maintaining, and repairing all facilities grounds, and mechanical systems of the University.	C. Real Estate Records	Real Estate Records document all activities involving with accepting, managing and selling real property at the University. They document The Regents' purchase, receipt by gift, sale and lease of real property and interests in real property held or acquired both for University-related purposes and for investment purposes. The records document the University's activities as landlord or tenant, grantee or grantor, and a licensee or licensor pertaining to university-related real estate, including those activities surrounding student housing. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • property acquisition records including property deeds, earnest money receipts, purchase and sales agreements, title insurance records, escrow instructions, closing statements, and disclosure documents; • bid sale records; • requests for authorizations, leases, developer qualifications and proposals records; • agreement records for space leases including student housing, ground leases, real estate brokerage, appraisers, market	C. 1. Records relating to properties in which The Regents holds a fee title interest	Real Estate Records, accepting real estate, managing real estate, selling real estate, real property, proposals records, audit results records, bids records, plat descriptions, title abstracts, earnest money receipts, sales agreements, property acquisition records, property deeds	Official Record: C. 1. Retain records for 6 years after the end of the fiscal year in which The Regents has sold or otherwise disposed of the title to the property. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division	(1)2 CFR § 215.53 (a), (b) and (c) OMB Circular A-110) 26 CFR § 1.148-5(d)(6)(iii)(E) 26 CFR § 31.6001-1(e)(2) California Code of Civil Procedure § 337 California Code of Civil Procedure § 337.5 California Code of Civil Procedure § 337.15 California Government Code § 8546.7 UC Contracts and Grant Manual Section 17, 17-312 Retention Period UC Real Estate Services Group - Building Operating Cost Addendum, 6. Audit by Tenant (2)Some of these records may have restricted information in them. Restricted information is "Notice Triggering" information, as defined in UC Information Systems Policy BFB-IS-2 (e.g., name plus Social Security Number, driver's license or California identification card number, financial account number with a security code, medical information or health insurance information). Records containing restricted information (regardless of media) must be protected from unauthorized access, disclosure and disposition, in accordance with University policy and California and Federal laws. (3)Some of these records will have
0008C2*	08. Capital Resources Records	Capital Resources Records document all activities surrounding the administration and management of the University's building or infrastructure projects as well as the University's property. The records may include but are not limited to those developing and financing projects; identifying needs and specifications; obtaining design and construction services; managing design and construction activities; acquiring, managing including leasing and licensing, and selling real estate; as well as managing, maintaining, and repairing all facilities grounds, and mechanical systems of the University.	C. Real Estate Records	Real Estate Records document all activities involving with accepting, managing and selling real property at the University. They document The Regents' purchase, receipt by gift, sale and lease of real property and interests in real property held or acquired both for University-related purposes and for investment purposes. The records document the University's activities as landlord or tenant, grantee or grantor, and a licensee or licensor pertaining to university-related real estate, including those activities surrounding student housing. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • property acquisition records including property deeds, earnest money receipts, purchase and sales agreements, title insurance records, escrow instructions, closing statements, and disclosure documents; • bid sale records; • requests for authorizations, leases, developer qualifications and proposals records; • agreement records for space leases including student housing, ground leases, real estate brokerage, appraisers, market	C. 2. Easements, restrictive covenants, trust deeds or similar interests in real property in which The Regents is beneficiary	Real Estate Records, accepting real estate, managing real estate, selling real estate, real property, qualifications, proposals records, easements records, audit results records, plat descriptions, title abstracts, property acquisition records, property deeds	Official Record: C. 2. Retain records for 6 years after the end of the fiscal year in which such property interest has been extinguished, expires, or which interest The Regents has sold or otherwise disposed of in beneficial interest ("termination"). All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division	(1)2 CFR § 215.53 (a), (b) and (c) OMB Circular A-110) 26 CFR § 1.148-5(d)(6)(iii)(E) 26 CFR § 31.6001-1(e)(2) California Code of Civil Procedure § 337 California Code of Civil Procedure § 337.5 California Code of Civil Procedure § 337.15 California Government Code § 8546.7 UC Contracts and Grant Manual Section 17, 17-312 Retention Period UC Real Estate Services Group - Building Operating Cost Addendum, 6. Audit by Tenant (2)Some of these records may have restricted information in them. Restricted information is "Notice Triggering" information, as defined in UC Information Systems Policy BFB-IS-2 (e.g., name plus Social Security Number, driver's license or California identification card number, financial account number with a security code, medical information or health insurance information). Records containing restricted information (regardless of media) must be protected from unauthorized access, disclosure and disposition, in accordance with University policy and California and Federal laws. (3)Some of these records will have

Records Code	Function	Function Description	Category	Category Description	Sub-Category Title	Keywords	Retention Period	Retention Rule	Publish Date	Primary Owner Override	Comments
0008C3*	08. Capital Resources Records	Capital Resources Records document all activities surrounding the administration and management of the University's building or infrastructure projects as well as the University's property. The records may include but are not limited to those developing and financing projects; identifying needs and specifications; obtaining design and construction services; managing design and construction activities; acquiring, managing including leasing and licensing, and selling real estate; as well as managing, maintaining, and repairing all facilities grounds, and mechanical systems of the University.	C. Real Estate Records	Real Estate Records document all activities involved with accepting, managing and selling real property at the University. They document The Regents' purchase, receipt by gift, sale and lease of real property and interests in real property held or acquired both for University-related purposes and for investment purposes. The records document the University's activities as landlord or tenant, grantee or grantor, and a licensee or licensor pertaining to university-related real estate, including those activities surrounding student housing. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • property acquisition records including property deeds, earnest money receipts, purchase and sales agreements, title insurance records, escrow instructions, closing statements, and disclosure documents; • bid sale records; • requests for authorizations, leases, developer qualifications and proposals records, • agreement records for space leases including student housing, ground leases, real estate brokerage, appraisers, market	C. 3. Ground leases in which The Regents are landlord	Real Estate Records, accepting real estate, managing real estate, landlord, tenant, grantee, grantor, licensee, licensor, requests for authorizations, leases, qualifications, proposals records, leases, facility use agreements, licenses, operating expenses details, audit results records, bids records	Official Record: C. 3. Retain records for 6 years after the end of the fiscal year in which the lease expires, or is otherwise terminated ("termination"), except for records pertaining to building improvements constructed during the term of the lease to which The Regents takes title upon termination, then retain records for 6 years after the end of the fiscal year in which The Regents has sold or otherwise disposed of the title to the property. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division	(1)2 CFR § 215.53 (b), (b) and (g) (OMB Circular A-110) 26 CFR § 1.148-50(i)(ii)(E) 26 CFR § 31.6001-1(e)(2) California Code of Civil Procedure § 337.2 California Code of Civil Procedure § 337.5 California Government Code § 8546.7 UC Contracts and Grant Manual Section 17, 17-312 Retention Period UC Real Estate Services Group - Building Operating Cost Addendum, 6. Audit by Tenant (2)Some of these records may have restricted information in them. Restricted information is "Notice Triggering" information, as defined in UC Information Systems Policy BFB-IS-2 (e.g., name plus Social Security Number, driver's license or California identification card number, financial account number with a security code, medical information or health insurance information). Records containing restricted information (regardless of media) must be protected from unauthorized access, disclosure and disposition, in accordance with University policy and California and Federal laws. (3)Some of these records will have
0008C4*	08. Capital Resources Records	Capital Resources Records document all activities surrounding the administration and management of the University's building or infrastructure projects as well as the University's property. The records may include but are not limited to those developing and financing projects; identifying needs and specifications; obtaining design and construction services; managing design and construction activities; acquiring, managing including leasing and licensing, and selling real estate; as well as managing, maintaining, and repairing all facilities grounds, and mechanical systems of the University.	C. Real Estate Records	Real Estate Records document all activities involved with accepting, managing and selling real property at the University. They document The Regents' purchase, receipt by gift, sale and lease of real property and interests in real property held or acquired both for University-related purposes and for investment purposes. The records document the University's activities as landlord or tenant, grantee or grantor, and a licensee or licensor pertaining to university-related real estate, including those activities surrounding student housing. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • property acquisition records including property deeds, earnest money receipts, purchase and sales agreements, title insurance records, escrow instructions, closing statements, and disclosure documents; • bid sale records; • requests for authorizations, leases, developer qualifications and proposals records, • agreement records for space leases including student housing, ground leases, real estate brokerage, appraisers, market	C. 4. All other leases, licenses and records in which The Regents are tenant or landlord	Real Estate Records, managing real estate, real property, landlord, tenant, grantee, grantor, licensee, licensor, requests for authorizations, leases, qualifications, proposals records, leases, facility use agreements, licenses, operating expenses details, audit results records, bids records	Official Record: C. 4. Retain records for 6 years after the end of the fiscal year in which the lease, license or relationship expires or is otherwise terminated ("termination"). All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division	(1)2 CFR § 215.53 (a), (b) and (g) (OMB Circular A-110) 26 CFR § 1.148-50(i)(ii)(E) 26 CFR § 31.6001-1(e)(2) California Code of Civil Procedure § 337.2 California Code of Civil Procedure § 337.5 California Government Code § 8546.7 UC Contracts and Grant Manual Section 17, 17-312 Retention Period UC Real Estate Services Group - Building Operating Cost Addendum, 6. Audit by Tenant (2)Some of these records may have restricted information in them. Restricted information is "Notice Triggering" information, as defined in UC Information Systems Policy BFB-IS-2 (e.g., name plus Social Security Number, driver's license or California identification card number, financial account number with a security code, medical information or health insurance information). Records containing restricted information (regardless of media) must be protected from unauthorized access, disclosure and disposition, in accordance with University policy and California and Federal laws. (3)Some of these records will have
0008D*	08. Capital Resources Records	Capital Resources Records document all activities surrounding the administration and management of the University's building or infrastructure projects as well as the University's property. The records may include but are not limited to those developing and financing projects; identifying needs and specifications; obtaining design and construction services; managing design and construction activities; acquiring, managing including leasing and licensing, and selling real estate; as well as managing, maintaining, and repairing all facilities grounds, and mechanical systems of the University.	D. Facilities Management Records	Facilities Management Records document all activities involved with the routine management, maintenance, and repair of facilities, grounds and mechanical systems of the University. They also document security and safety management, space planning and parking management activities. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • general building maintenance, custodial, and landscaping maintenance records; • building equipment (such as heating, ventilation and fire systems) operation and maintenance records; • testing and inspection records; • security maintenance and issuance records; • space planning and utilization records; • parking repairs, assignment and permitting records; and • utility agreements, licenses, systems operating and maintenance records.	A. 1. Records for projects that are not implemented	Facilities Maintenance Records, routine management, maintenance, repair, facilities, grounds, mechanical systems, security, safety management, space planning, parking management, general building maintenance, custodial, landscaping maintenance records, building equipment, heating, ventilation, fire systems, operation records, maintenance records, testing records, inspection records, security maintenance, security issuance records, space planning, space utilization records, parking repairs, parking assignment, utility agreements, utility licenses, utility systems operating, utility maintenance records, key control records, keys, key issue records, keys issued records	Official Record: Retain records for 6 years after the end of the fiscal year in which the property is no longer owned by the University or for 6 years after the end of the fiscal year in which administrative use ceases - whichever is sooner. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division	(1)2 CFR § 215.53 (a), (b) and (g) (OMB Circular A-110) 26 CFR § 1.148-50(i)(ii)(E) 26 CFR § 31.6001-1(e)(2) 26 CFR § 301.5501(e)-1 California Code of Civil Procedure § 337.2 California Government Code § 8546.7 (2)Some of these records may have restricted information in them. Restricted information is "Notice Triggering" information, as defined in UC Information Systems Policy BFB-IS-2 (e.g., name plus Social Security Number, driver's license or California identification card number, financial account number with a security code, medical information or health insurance information). Records containing restricted information (regardless of media) must be protected from unauthorized access, disclosure and disposition, in accordance with University policy and California and Federal laws. (3)Some of these records will have restricted information pertaining to ongoing negotiations that have not been finalized. (4)Since some of these records may contain restricted information, creating copies is discouraged. If created, they must be protected from unauthorized
0009A1*	09. Information Technology Records	Information Technology Records document the management of information processing, storage, and transmission throughout the University. The records relate to the acquisition or design, operation, and management of information technology (IT) and related services at the University. This includes supporting IT infrastructure, systems and services. The records document the management of hardware (computers, ancillary equipment) and software, procedures, services (including support services), and related resources.	A. IT Proposals, Design and Implementation Records	IT Proposals, Design and Implementation Records document information technology systems and systems enhancements from the time of concept through the completion of a project. The systems include internally developed systems and websites as well as vendor systems. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • planning records such as proposals, design documents, prototypes, write-ups of issues or gaps, performance improvements records, and proof of concept records; • approval records; • project planning and management records; • system documentation such as business requirements, functional requirements, mapping specifications, data models, reporting requirements, workflow diagrams, data dictionaries or metadata registries, and testing records; • quality assurance and change management records; • implementation schedules and presentations; and • communications records.	A. 1. Records for projects that are not implemented	IT projects, system design, systems design, cancelled IT projects, not implemented projects, canned upgrades, not approved proposals, improvements, performance, enhancement, enhancements, improvement	Official Record: Retain records until administrative use ceases. All Other Copies: All other copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division - Default Department	(1)17 USC § 552 California Code of Civil Procedure, § 338(a) California Code of Civil Procedure, § 337 California Code Government Code, § 8546.7 (2)A project is closed out when (1) the system, system enhancements, or changes have been declared operational and ready for production; or (2) a project is terminated for any reason. (3)If a project is funded using extramural funding, the records may be needed for auditing purposes. Records used as supporting documentation for sponsored activities will need to be retained for 6 years after the expiration/termination of the sponsored activities; resolution of any litigation, claim, or audit; or the period stated in the award document - whichever is longer. Extramural funding means that the funds (not regularly budgeted) are received under grants, donations, or contracts from sources (private, state, federal, etc.) outside the University. (4)Source code, test scripts, test automation, and other intellectual property created while internally developing systems are not included in this group of records. These are found in the Program

Records Code	Function	Function Description	Category	Category Description	Sub-Category Title	Keywords	Retention Period	Retention Rule	Publish Date	Primary Owner Override	Comments
0009A2*	09. Information Technology Records	Information Technology Records document the management of information processing, storage, and transmission throughout the University. The records relate to the acquisition or design, operation, and management of information technology (IT) and related services at the University. This includes supporting IT infrastructure, systems and services. The records document the management of hardware (computers, ancillary equipment) and software, procedures, services (including support services), and related resources.	A. IT Proposals, Design and Implementation Records	IT Proposals, Design and Implementation Records document information technology systems and systems enhancements from the time of concept through the completion of a project. The systems include internally developed systems and websites as well as vendor systems. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • planning records such as proposals, design documents, prototypes, write-ups of issues or gaps, performance improvements records, and proof of concept records; • approval records; • project planning and management records; • system documentation such as business requirements, functional requirements, mapping specifications, data models, reporting requirements, workflow diagrams, data dictionaries or metadata registries, and testing records; • quality assurance and change management records; • implementation schedules and presentations; and • communications records.	A. 2. System documentation for projects that are implemented	System Documentation, business requirements, functional requirements, mapping specifications, data model, data models, reporting requirements, requirement, requirements, workflow, work flow, workflows, workflow diagrams, diagram, data dictionary, dictionaries, metadata, meta data, metadata registry, registries, metadata registries, testing records	Official Record: Retain records for 3 years after the end of the fiscal year in which the system, application, or website is discontinued and all data has been purged according to the specific retention period for those records, or successfully migrated to a different system, application, or website. All Other Copies: All other copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division - Default Department	(1)17 USC § 507 California Code of Civil Procedure, § 338(a) California Code of Civil Procedure, § 337 California Code Government Code, § 8546.7 (2)A project is closed out when (1) the system, system enhancements, or changes have been declared operational and ready for production; or (2) a project is terminated for any reason. (3)If a project is funded using extramural funding, the records may be needed for auditing purposes. Records used as supporting documentation for sponsored activities will need to be retained for 6 years after the expiration/termination of the sponsored activities; resolution of any litigation, claim, or audit; or the period stated in the award document - whichever is longer. Extramural funding means that the funds (not regularly budgeted) are received under grants, donations, or contracts from sources (private, state, federal, etc.) outside the University. (4)Source code, test scripts, test automation, and other intellectual property created while internally developing systems are not included in this group of records. These are found in the Program
0009A3*	09. Information Technology Records	Information Technology Records document the management of information processing, storage, and transmission throughout the University. The records relate to the acquisition or design, operation, and management of information technology (IT) and related services at the University. This includes supporting IT infrastructure, systems and services. The records document the management of hardware (computers, ancillary equipment) and software, procedures, services (including support services), and related resources.	A. IT Proposals, Design and Implementation Records	IT Proposals, Design and Implementation Records document information technology systems and systems enhancements from the time of concept through the completion of a project. The systems include internally developed systems and websites as well as vendor systems. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • planning records such as proposals, design documents, prototypes, write-ups of issues or gaps, performance improvements records, and proof of concept records; • approval records; • project planning and management records; • system documentation such as business requirements, functional requirements, mapping specifications, data models, reporting requirements, workflow diagrams, data dictionaries or metadata registries, and testing records; • quality assurance and change management records; • implementation schedules and presentations; and • communications records.	A. 3. All Other IT Proposals, Design and Implementation Records	project proposals, IT projects, system design, systems design, implemented projects, upgrades, approved proposals, improvements, performance, enhancement, enhancements, improvement, proposals, system design documents, designs, document, prototype, prototypes, proof of concept records, approvals, quality assurance, qa records, change management, implementation schedules, presentations, releases	Official Record: Retain records for 4 years after the end of the fiscal year in which the project is closed out. All Other Copies: All other copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division - Default Department	(1)17 USC § 507 California Code of Civil Procedure, § 338(a) California Code of Civil Procedure, § 337 California Code Government Code, § 8546.7 (2)A project is closed out when (1) the system, system enhancements, or changes have been declared operational and ready for production; or (2) a project is terminated for any reason. (3)If a project is funded using extramural funding, the records may be needed for auditing purposes. Records used as supporting documentation for sponsored activities will need to be retained for 6 years after the expiration/termination of the sponsored activities; resolution of any litigation, claim, or audit; or the period stated in the award document - whichever is longer. Extramural funding means that the funds (not regularly budgeted) are received under grants, donations, or contracts from sources (private, state, federal, etc.) outside the University. (4)Source code, test scripts, test automation, and other intellectual property created while internally developing systems are not included in this group of records. These are found in the Program
0009B1*	09. Information Technology Records	Information Technology Records document the management of information processing, storage, and transmission throughout the University. The records relate to the acquisition or design, operation, and management of information technology (IT) and related services at the University. This includes supporting IT infrastructure, systems and services. The records document the management of hardware (computers, ancillary equipment) and software, procedures, services (including support services), and related resources.	B. IT Operations Records	IT Operations Records document the Information Technology services provided to maintain systems and infrastructure at the University. The systems include internally developed systems and websites as well as vendor systems. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • systems support and service requests records such as help desk logs and reports that document, control, monitor, and track requests through resolution for system, network, and operational problems; • contingency records such as risk management plans, disaster recovery plans, resumption of business plans, mitigation plans, and backup and recovery procedures; • IT asset management records, including inventories and licenses records; • infrastructure maintenance records of preventative, corrective, adaptive and enhancement activities; and • schedules, reports and other records that document systems operations performance and use.	B. 1. Records that document routine activities, or superseded contingency or IT asset management records	service requests, disaster recovery plans, contingency plans, IT coop, IT business resumption plan, IT inventory, IT licenses, software licenses, mitigation plan, backup procedures, recovery procedures	Official Record: Retain records for no longer than one year after review and analysis records have ceased. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	11/18/2015	Default Division - Default Department	(1)California Code of Civil Procedure, § 338(a) California Code of Civil Procedure, § 337 California Code Government Code, § 8546.7 (2)Content in systems, shared drives, collaboration tools such as SharePoint, and websites (as well as those systems/programs developed in the future that are used to house content) is not covered in this section. The content will fall in other parts of the retention schedule, depending on what is documented. Before decommissioning shared drives, collaboration tools, or websites, etc., the owner of the content should specify what needs to be captured and how, and then that content should be returned to the owner for retention purposes. (3)If a project is funded using extramural funding, the records may be needed for auditing purposes. Records used as supporting documentation for sponsored activities will need to be retained for 6 years after the expiration/termination of the sponsored activities; resolution of any litigation, claim, or audit; or the period stated in the award document - whichever is longer. Extramural funding means that the funds (not regularly
0009B2*	09. Information Technology Records	Information Technology Records document the management of information processing, storage, and transmission throughout the University. The records relate to the acquisition or design, operation, and management of information technology (IT) and related services at the University. This includes supporting IT infrastructure, systems and services. The records document the management of hardware (computers, ancillary equipment) and software, procedures, services (including support services), and related resources.	B. IT Operations Records	IT Operations Records document the Information Technology services provided to maintain systems and infrastructure at the University. The systems include internally developed systems and websites as well as vendor systems. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • systems support and service requests records such as help desk logs and reports that document, control, monitor, and track requests through resolution for system, network, and operational problems; • contingency records such as risk management plans, disaster recovery plans, resumption of business plans, mitigation plans, and backup and recovery procedures; • IT asset management records, including inventories and licenses records; • infrastructure maintenance records of preventative, corrective, adaptive and enhancement activities; and • schedules, reports and other records that document systems operations performance and use.	B. 2. All Other IT Operations Records	systems operations, IT maintenance records, infrastructure enhancement records, system performance records	Official Record: Retain records for 3 years after the end of the fiscal year in which the system, application, or website is discontinued and all data has been purged according to the specific retention period for those records, or successfully migrated to a different system, application, or website or until the infrastructure is obsolete. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division - Default Department	(1)California Code of Civil Procedure, § 338(a) California Code of Civil Procedure, § 337 California Code Government Code, § 8546.7 (2)Content in systems, shared drives, collaboration tools such as SharePoint, and websites (as well as those systems/programs developed in the future that are used to house content) is not covered in this section. The content will fall in other parts of the retention schedule, depending on what is documented. Before decommissioning shared drives, collaboration tools, or websites, etc., the owner of the content should specify what needs to be captured and how, and then that content should be returned to the owner for retention purposes. (3)If a project is funded using extramural funding, the records may be needed for auditing purposes. Records used as supporting documentation for sponsored activities will need to be retained for 6 years after the expiration/termination of the sponsored activities; resolution of any litigation, claim, or audit; or the period stated in the award document - whichever is longer. Extramural funding means that the funds (not regularly

Records Code	Function	Function Description	Category	Category Description	Sub-Category Title	Keywords	Retention Period	Retention Rule	Publish Date	Primary Owner Override	Comments
0010A*	10. Academic Records	Academic Records document the development and evolution of the academic experience at the University, including accreditation activities, class scheduling, enrollment documentation, and the establishment, development and disestablishment of programs and courses taught at the University.	A. Accreditation Records	Accreditation Records document the institutional or program review and validation processes and activities related to accreditation at the University. (High-profile, watershed, noteworthy and/or annual reports that document trends and the University's status are not included in this part of the UC Records Retention Schedule. See the Comments section for information.) These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • self-study records, including prior accreditation report and interim activity, self-reviews, checklists, and supporting documentation; • institutional reports; • review, visit and evaluation records; • accreditation decisions; and • action records.		Accreditation	Official Record: Retain records through the end of the academic year in which the next specific accreditation process has been concluded. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division - Default Department	(1)34 CFR §602.15 (2)34 CFR §602.15 requires that the accrediting agency maintain records of its "last full accreditation or precredentiation review of each institution or program." (3)High-profile, watershed, noteworthy and/or annual audit reports that document trends and the University's status are found in the Program Administration Records - Program administration records of enduring historical value section of the UC Records Retention Schedule (see 0002A). (4)Some of these records may have restricted information in them. Restricted information is "Notice Triggering" information, as defined in UC Information Systems Policy BFB-IS-2 (e.g., name plus Social Security number, driver's license or California identification card number, financial account number with a security code, medical information or health insurance information). Records containing restricted information (regardless of media) must be protected from unauthorized access, disclosure and disposition, in accordance with University policy and California and Federal laws. (5)Since some of these
0010B*	10. Academic Records	Academic Records document the development and evolution of the academic experience at the University, including accreditation activities, class scheduling, enrollment documentation, and the establishment, development and disestablishment of programs and courses taught at the University.	B. Curriculum Records	Curriculum Records document the planning, proposal, development, establishment, modification and disestablishment of courses and academic programs, centers, institutes, departments, or special programs including study abroad, independent study, University Extension, and internships. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • course descriptions, summaries and outlines; • course requests, proposals, and approvals; • requests to drop courses from the curriculum and/or to change the names of courses, the number of credits, or the prerequisite courses; and • records that document the planning and discussions relating to the implementation of new undergraduate and advanced degree programs and any major reorganizations or changes to established programs, including reports and reviews.		Course Descriptions, curriculum, course proposals	Official Record: Permanent, subject to University Archives review. Coordinate the transfer of these records to the University Archives when no longer needed for current operational business. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Permanent records	9/19/2014	Default Division - Default Department	(1)These are records of enduring, archival value. (2)Course materials, including syllabi, are not included in the UC Records Retention Schedule. The materials belong to the individual instructor and not to the University. See the Policy on Ownership of Course Materials at http://policy.ucop.edu/doc/2100004/Cours eMaterials at http://policy.ucop.edu/doc/7020458/BFB-RMP-4 for more information. (3)Some of these records are vital records. See RMP-4 at http://policy.ucop.edu/doc/7020458/BFB-RMP-4 for more information. (4)This is a media neutral retention schedule.
0010C1*	10. Academic Records	Academic Records document the development and evolution of the academic experience at the University, including accreditation activities, class scheduling, enrollment documentation, and the establishment, development and disestablishment of programs and courses taught at the University.	C. Resource and Planning Academic Records	Resource and Planning Academic Records document the analysis of enrollments for trending purposes, as well as the tracking of funding requirements based on numbers of student credit hours, majors, and degrees certified. These records are used in the development of class schedules by academic departments. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • enrollment reporting records; • departments schedules; • faculty requests; • room scheduling records; • class room technology requests; • requests for changes; and • schedules of classes.	C.1. Schedules of Classes and Aggregated Enrollment Reports	schedule of classes, aggregated enrollment reports	Official Record: Permanent, subject to University Archives review. Coordinate the transfer of these records to the University Archives when no longer needed for current operational business. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Permanent records	9/19/2014	Default Division - Default Department	(1)The schedules of classes and aggregated enrollment reports are records of enduring, archival value. (2)Some of these records are vital records. See RMP-4 at http://policy.ucop.edu/doc/7020458/BFB-RMP-4 for more information. (3)This is a media neutral retention schedule.
0010C2*	10. Academic Records	Academic Records document the development and evolution of the academic experience at the University, including accreditation activities, class scheduling, enrollment documentation, and the establishment, development and disestablishment of programs and courses taught at the University.	C. Resource and Planning Academic Records	Resource and Planning Academic Records document the analysis of enrollments for trending purposes, as well as the tracking of funding requirements based on numbers of student credit hours, majors, and degrees certified. These records are used in the development of class schedules by academic departments. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • enrollment reporting records; • departments schedules; • faculty requests; • room scheduling records; • class room technology requests; • requests for changes; and • schedules of classes.	C.2. All Other Resource and Planning Academic Records	department schedules, room scheduling records, class room technology requests	Official Record: Retain records for 1 year after the end of the relevant academic year. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division - Default Department	(1)Retaining transitory records longer than necessary consumes resources required to properly manage records of longer term value. (2)This is a media neutral retention schedule.

Records Code	Function	Function Description	Category	Category Description	Sub-Category Title	Keywords	Retention Period	Retention Rule	Publish Date	Primary Owner Override	Comments
0011A1*	11. Student Records	Student Records document the process of recruiting, selecting and admitting students as well as the students' activities while at the University, including learning, receiving financial aid, housing, academic advice, and discipline; and withdrawing or graduating from the University.	A. Individual Student Admissions and Academic Records	Individual Student Admissions and Academic Records document each individual student's application process, as well as his/her academic progress with the University until he/she is no longer enrolled in, registered, eligible for re-enrollment, on an approved educational leave or other approved leave status, or on filing-fee status with the University. The term "Individual Student" includes any undergraduate, graduate, professional, extension, and/or medical student, regardless of whether the student matriculates, withdraws, transfers, is expelled or graduates. The records include the admissions and academic records of international students. (Records that document the international student's visa status are not included in this part of the UC Records Retention Schedule. See the Comments section for information). These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • admission application records, including entrance exam reports, applications, advanced placement records, letters of recommendation, high school	A.1. Personal Data Change Records for changes or corrections of address, phone e-mail address and other personal data, such as date of birth, Transcript Requests, Enrollment Verifications Records, and Non-Matriculated Students' Records	Personal Data Change Records, changes, corrections, address, phone, e-mail address, date of birth, birth date, Transcript Requests, Enrollment Verifications Records, Non-Matriculated	Official Record: Retain records for no longer than one year after their administrative use ceases. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division	(1)34 CFR § 99.10 34 CFR § 99.21(c) 34 CFR § 99.32 American Association of Collegiate Registrars and Admission Officers, Retention of Records: Guide for Retention and Disposal of Student Records, 2010 Update University of California Policy PACADS-130, Policies Applying to Campus Activities, Organizations and Students (PACADS), 130.00 Policies Applying to the Disclosure of Information from Student Records, Effective Date: 7/20/2010 (2)Records required to receive and maintain international student status as specified by the Department of Homeland Security are found in part D. International Student Records in this section of the UC Records Retention Schedule. (3)Matriculated Students are in admitted status in a recognized academic learning opportunity or program, have enrolled, have paid fees and are recorded in the third week census. (4)Non-Matriculated Students are those who do not go through a UC admission process; or have applied and been denied admission; or may have been admitted, may have submitted their Statement of Intent to Register (SIR), may
0011A2*	11. Student Records	Student Records document the process of recruiting, selecting and admitting students as well as the students' activities while at the University, including learning, receiving financial aid, housing, academic advice, and discipline; and withdrawing or graduating from the University.	A. Individual Student Admissions and Academic Records	Individual Student Admissions and Academic Records document each individual student's application process, as well as his/her academic progress with the University until he/she is no longer enrolled in, registered, eligible for re-enrollment, on an approved educational leave or other approved leave status, or on filing-fee status with the University. The term "Individual Student" includes any undergraduate, graduate, professional, extension, and/or medical student, regardless of whether the student matriculates, withdraws, transfers, is expelled or graduates. The records include the admissions and academic records of international students. (Records that document the international student's visa status are not included in this part of the UC Records Retention Schedule. See the Comments section for information). These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • admission application records, including entrance exam reports, applications, advanced placement records, letters of recommendation, high school	A.2. Records of Disclosure without Consent	Records of Disclosure without Consent	Official Record: Retain records as long as the disclosed records are maintained. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division	(1)34 CFR § 99.10 34 CFR § 99.21(c) 34 CFR § 99.32 American Association of Collegiate Registrars and Admission Officers, Retention of Records: Guide for Retention and Disposal of Student Records, 2010 Update University of California Policy PACADS-130, Policies Applying to Campus Activities, Organizations and Students (PACADS), 130.00 Policies Applying to the Disclosure of Information from Student Records, Effective Date: 7/20/2010 (2)Records required to receive and maintain international student status as specified by the Department of Homeland Security are found in part D. International Student Records in this section of the UC Records Retention Schedule. (3)Matriculated Students are in admitted status in a recognized academic learning opportunity or program, have enrolled, have paid fees and are recorded in the third week census. (4)Non-Matriculated Students are those who do not go through a UC admission process; or have applied and been denied admission; or may have been admitted, may have submitted their Statement of Intent to Register (SIR), may
0011A3*	11. Student Records	Student Records document the process of recruiting, selecting and admitting students as well as the students' activities while at the University, including learning, receiving financial aid, housing, academic advice, and discipline; and withdrawing or graduating from the University.	A. Individual Student Admissions and Academic Records	Individual Student Admissions and Academic Records document each individual student's application process, as well as his/her academic progress with the University until he/she is no longer enrolled in, registered, eligible for re-enrollment, on an approved educational leave or other approved leave status, or on filing-fee status with the University. The term "Individual Student" includes any undergraduate, graduate, professional, extension, and/or medical student, regardless of whether the student matriculates, withdraws, transfers, is expelled or graduates. The records include the admissions and academic records of international students. (Records that document the international student's visa status are not included in this part of the UC Records Retention Schedule. See the Comments section for information). These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • admission application records, including entrance exam reports, applications, advanced placement records, letters of recommendation, high school	A.3. Matriculated Students' Admission Application Records, Academic Advising Records, and Non-Permanent Student Academic Records such as, but not limited to Applications for Degrees, Withdrawal or Cancellation Records, and Changes to Course of Study, Degrees, and Classes Records in systems that allow for systematic purging	Matriculated Students' Admission Application Records, Academic Advising Records, Non-Permanent Student Academic Records, Applications for Degrees, Withdrawal, Cancellation Records, Changes to Course of Study, degree changes, degrees changes, changes to degree, changes to degrees, changes to Classes, class changes	Official Record: Retain records for 5 years after the end of the academic year in which the records are processed or for no longer than one year after their administrative use ceases, whichever is longer. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division	(1)34 CFR § 99.10 34 CFR § 99.21(c) 34 CFR § 99.32 American Association of Collegiate Registrars and Admission Officers, Retention of Records: Guide for Retention and Disposal of Student Records, 2010 Update University of California Policy PACADS-130, Policies Applying to Campus Activities, Organizations and Students (PACADS), 130.00 Policies Applying to the Disclosure of Information from Student Records, Effective Date: 7/20/2010 (2)Records required to receive and maintain international student status as specified by the Department of Homeland Security are found in part D. International Student Records in this section of the UC Records Retention Schedule. (3)Matriculated Students are in admitted status in a recognized academic learning opportunity or program, have enrolled, have paid fees and are recorded in the third week census. (4)Non-Matriculated Students are those who do not go through a UC admission process; or have applied and been denied admission; or may have been admitted, may have submitted their Statement of Intent to Register (SIR), may
0011A4*	11. Student Records	Student Records document the process of recruiting, selecting and admitting students as well as the students' activities while at the University, including learning, receiving financial aid, housing, academic advice, and discipline; and withdrawing or graduating from the University.	A. Individual Student Admissions and Academic Records	Individual Student Admissions and Academic Records document each individual student's application process, as well as his/her academic progress with the University until he/she is no longer enrolled in, registered, eligible for re-enrollment, on an approved educational leave or other approved leave status, or on filing-fee status with the University. The term "Individual Student" includes any undergraduate, graduate, professional, extension, and/or medical student, regardless of whether the student matriculates, withdraws, transfers, is expelled or graduates. The records include the admissions and academic records of international students. (Records that document the international student's visa status are not included in this part of the UC Records Retention Schedule. See the Comments section for information). These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • admission application records, including entrance exam reports, applications, advanced placement records, letters of recommendation, high school	A.4. Matriculated Students' Admission Application Records, Academic Advising Records, and Non-Permanent Student Academic Records such as, but not limited to Applications for Degrees, Withdrawal or Cancellation Records, and Changes to Course of Study, Degrees, and Classes Records in systems that do not allow for systematic purging	Matriculated Students' Admission Application Records, Academic Advising Records, Non-Permanent Student Academic Records, Applications for Degrees, Withdrawal, Cancellation Records, Changes to Course of Study, degree changes, degrees changes, changes to degree, changes to degrees, changes to Classes, class changes	Official Record: Retain records for 5 years after the end of the academic year in which the student no longer attends the University. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division - Default Department	(1)34 CFR § 99.10 34 CFR § 99.21(c) 34 CFR § 99.32 American Association of Collegiate Registrars and Admission Officers, Retention of Records: Guide for Retention and Disposal of Student Records, 2010 Update University of California Policy PACADS-130, Policies Applying to Campus Activities, Organizations and Students (PACADS), 130.00 Policies Applying to the Disclosure of Information from Student Records, Effective Date: 7/20/2010 (2)Records required to receive and maintain international student status as specified by the Department of Homeland Security are found in part D. International Student Records in this section of the UC Records Retention Schedule. (3)Matriculated Students are in admitted status in a recognized academic learning opportunity or program, have enrolled, have paid fees and are recorded in the third week census. (4)Matriculated Students are in admitted status in a recognized academic learning opportunity or program, have enrolled, have paid fees and are recorded in the third week census. (5)Non-Matriculated Students are those who do

Records Code	Function	Function Description	Category	Category Description	Sub-Category Title	Keywords	Retention Period	Retention Rule	Publish Date	Primary Owner Override	Comments
0011A5*	11. Student Records	Student Records document the process of recruiting, selecting and admitting students as well as the students' activities while at the University, including learning, receiving financial aid, housing, academic advice, and discipline; and withdrawing or graduating from the University.	A. Individual Student Admissions and Academic Records	Individual Student Admissions and Academic Records document each individual student's application process, as well as his/her academic progress with the University until he/she is no longer enrolled in, registered, eligible for re-enrollment, on an approved educational leave or other approved leave status, or on filing-fee status with the University. The term "Individual Student" includes any undergraduate, graduate, professional, extension, and/or medical student, regardless of whether the student matriculates, withdraws, transfers, is expelled or graduates. The records include the admissions and academic records of international students. (Records that document the international student's visa status are not included in this part of the UC Records Retention Schedule. See the Comments section for information). These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • admission application records, including entrance exam reports, applications, advanced placement records, letters of recommendation, high school	A.5. All Other Individual Student Admissions and Academic Records	student academic record, transcripts, transcript, final grades, grade changes	Official Record: Permanent. As noted in RMP-2, record proprietors may contact University Archivists for advice on the continuing maintenance of permanent retention records that are not pre-designated for transfer to University Archives. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division - Default Department	(1)34 CFR § 99.10 34 CFR § 99.21(c) 34 CFR § 99.32 American Association of Collegiate Registrars and Admission Officers, Retention of Records: Guide for Retention and Disposal of Student Records, 2010 Update University of California Policy PACAOS-130, Policies Applying to Campus Activities, Organizations and Students (PACAOS), 130.00 Policies Applying to the Disclosure of Information from Student Records, Effective Date: 7/20/2010 (2)Records required to receive and maintain international student status as specified by the Department of Homeland Security are found in part D. International Student Records in this section of the UC Records Retention Schedule. (3)Matriculated Students are in admitted status in a recognized academic learning opportunity or program, have enrolled, have paid fees and are recorded in the third week census. (4)Non-Matriculated Students are those who do not go through a UC admission process, or have applied and been denied admission; or may have been admitted, may have submitted their Statement of Intent to Register (SIR), may
0011B*	11. Student Records	Student Records document the process of recruiting, selecting and admitting students at the University, including learning, receiving financial aid, housing, academic advice, and discipline; and withdrawing or graduating from the University.	B. Student Classification Eligibility Records	Student Classification Eligibility Records document the processes in place to determine whether a student is eligible for Veterans Administration benefits or resident status for tuition purposes at the University. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • veteran's eligibility records, such as the Veteran's Administration's certificates of eligibility; and • residency establishment records, which includes Statements of Legal Residence and any supporting documentation.		VA benefits, veteran, veterans, veteran's eligibility, certificates of eligibility, residency, legal residence, residence status, residency tuition, California resident establishment	Official Record: Retain records for 3 years after the end of the academic year in which all activity has ended. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division - Default Department	(1)38 CFR § 21.4209 (f)(1)-(3) American Association of Collegiate Registrars and Admission Officers, Retention of Records: Guide for Retention and Disposal of Student Records, 2010 Update (2)Most of these records may have restricted information in them. Restricted information is "Notice Triggering" information, as defined in UC Information Systems Policy BFB-IS-2 (e.g., name plus Social Security number, driver's license or California identification card number, financial account number with a security code, medical information or health insurance information). Records containing restricted information (regardless of media) must be protected from unauthorized access, disclosure and disposition, in accordance with University policy and California and Federal laws. (3)Since most of these records may contain restricted information, creating copies is discouraged. If created, they must be protected from unauthorized access, disclosure and disposition in accordance with University policy and California and Federal laws. (4)Some of these records are vital records. See RMP-4
0011C1*	11. Student Records	Student Records document the process of recruiting, selecting and admitting students as well as the students' activities while at the University, including learning, receiving financial aid, housing, academic advice, and discipline; and withdrawing or graduating from the University.	C. Student Financial Aid Records	Student Financial Aid Records document the processes of applying, determining, and distributing financial aid including grants, loans, work study, and scholarships to students at the University. The records also document the loan collection and the loan pay-off, cancellation, or other close-out processes. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • application and award records, such as applications, financial statements and need analysis records, verification records, tax returns, income assessments, appeals, declarations of minors' independence and letters indicating the types of aid awarded; • disbursement records; and • loan records, such as promissory notes, verification of entrance/exit interviews, repayments histories, and records of deferments and forbearances, defaults/cancellations of debt, and final dispositions of the loan.	C.1. Records Relating to Borrower's Eligibility and Participation in Federal Family Education Loan (FFEL) or Direct Loan Programs	FFEL, Direct Loan Program, Federal Family Education Loan, borrower eligibility, student loan, student loans, loans	Official Record: Retain records for 3 years after the end of the award year in which the student no longer attends the University. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division - Default Department	(1)34 CFR § 668.24(e)(1) 34 CFR § 668.24(e)(2) 34 CFR § 668.24 (e)(3) 34 CFR § 674.19(e)(3) 34 CFR § 682.414 (a)(2),(a)(4)(iii) 34 CFR § 685.309 (c) 34 CFR § 686.38 34 CFR § 690.82 (a) 42 CFR § 57.215 (b),(c) 42 CFR § 57.315 (a)(2)-(3) 42 CFR § 60.56 (b) (2)Work study records that document each student's work history with the University are found in the Human Resources Records - Individual Employee Employment and Interns, Volunteers and Contingent Workers Records - Intern, Volunteer and Contingent Employees - including student employees including Federal Work Study funded positions - Employment Records section of the UC Records Retention Schedule (see 0004B3). (3)Most of these records may have restricted information in them. Restricted information is "Notice Triggering" information, as defined in UC Information Systems Policy BFB-IS-2 (e.g., name plus Social Security number, driver's license or California identification card number, financial account number with a security code, medical information or health insurance information). Records containing
0011C2*	11. Student Records	Student Records document the process of recruiting, selecting and admitting students as well as the students' activities while at the University, including learning, receiving financial aid, housing, academic advice, and discipline; and withdrawing or graduating from the University.	C. Student Financial Aid Records	Student Financial Aid Records document the processes of applying, determining, and distributing financial aid including grants, loans, work study, and scholarships to students at the University. The records also document the loan collection and the loan pay-off, cancellation, or other close-out processes. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • application and award records, such as applications, financial statements and need analysis records, verification records, tax returns, income assessments, appeals, declarations of minors' independence and letters indicating the types of aid awarded; • disbursement records; and • loan records, such as promissory notes, verification of entrance/exit interviews, repayments histories, and records of deferments and forbearances, defaults/cancellations of debt, and final dispositions of the loan.	C.2. Records of Applications, Financial Need and Financial Aid Transcripts for Health Professions Student Loans, Nursing Student Loans and Health Education Assistance Loans	health financial aid, applications, FA transcripts, nursing student loan, nurses student loan, loans, student loans, HEA loans, Health Professions loan	Official Record: Retain records for 5 years after the individual student no longer attends the University. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division - Default Department	(1)34 CFR § 668.24(e)(1) 34 CFR § 668.24(e)(2) 34 CFR § 668.24 (e)(3) 34 CFR § 674.19(e)(3) 34 CFR § 682.414 (a)(2),(a)(4)(iii) 34 CFR § 685.309 (c) 34 CFR § 686.38 34 CFR § 690.82 (a) 42 CFR § 57.215 (b),(c) 42 CFR § 57.315 (a)(2)-(3) 42 CFR § 60.56 (b) (2)Work study records that document each student's work history with the University are found in the Human Resources Records - Individual Employee Employment and Interns, Volunteers and Contingent Workers Records - Intern, Volunteer and Contingent Employees - including student employees including Federal Work Study funded positions - Employment Records section of the UC Records Retention Schedule (see 0004B3). (3)Most of these records may have restricted information in them. Restricted information is "Notice Triggering" information, as defined in UC Information Systems Policy BFB-IS-2 (e.g., name plus Social Security number, driver's license or California identification card number, financial account number with a security code, medical information or health insurance information). Records containing

Records Code	Function	Function Description	Category	Category Description	Sub-Category Title	Keywords	Retention Period	Retention Rule	Publish Date	Primary Owner Override	Comments
0011C3*	11. Student Records	Student Records document the process of recruiting, selecting and admitting students as well as the students' activities while at the University, including learning, receiving financial aid, housing, academic advice, and discipline; and withdrawing or graduating from the University.	C. Student Financial Aid Records	Student Financial Aid Records document the processes of applying, determining, and distributing financial aid including grants, loans, work study, and scholarships to students at the University. The records also document the loan collection and the loan pay-off, cancellation, or other close-out processes. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • application and award records, such as applications, financial statements and need analysis records, verification records, tax returns, income assessments, appeals, declarations of minors' independence and letters indicating the types of aid awarded; • disbursement records; and • loan records, such as promissory notes, verification of entrance/exit interviews, repayments histories, and records of deferments and forbearances, defaults/cancellations of debt, and final dispositions of the loan.	C.3. Repayment Records for each Individual Borrower for Health Professions Student Loans and Nursing Student Loans	Repayment records, student loan, student loans, borrower, health profession, health professions, nurses, nurse, nursing	Official Record: Retain records 5 years from the date of retirement of the loan. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division - Default Department	(1)34 CFR § 686.24(e)(1) 34 CFR § 686.24(e)(2) 34 CFR § 686.24 (e)(3) 34 CFR § 674.19(e)(3) 34 CFR § 682.414 (a)(2),(a)(4)(iii) 34 CFR § 685.309 (c) 34 CFR § 686.38 34 CFR § 690.82 (a) 42 CFR § 57.215 (b),(c) 42 CFR § 57.315 (a)(2)-(3) 42 CFR § 60.56 (b) (2)Work study records that document each student's work history with the University are found in the Human Resources Records - Individual Employee Employment and Interns, Volunteers and Contingent Workers Records - Intern, Volunteer and Contingent Employees - including student employees including Federal Work Study funded positions - Employment Records section of the UC Records Retention Schedule (see 0004B3). (3)Most of these records may have restricted information in them. Restricted information is "Notice Triggering" information, as defined in UC Information Systems Policy BFB-IS-2 (e.g., name plus Social Security number, driver's license or California identification card number, financial account number with a security code, medical information or health insurance information). Records containing
0011C4*	11. Student Records	Student Records document the process of recruiting, selecting and admitting students as well as the students' activities while at the University, including learning, receiving financial aid, housing, academic advice, and discipline; and withdrawing or graduating from the University.	C. Student Financial Aid Records	Student Financial Aid Records document the processes of applying, determining, and distributing financial aid including grants, loans, work study, and scholarships to students at the University. The records also document the loan collection and the loan pay-off, cancellation, or other close-out processes. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • application and award records, such as applications, financial statements and need analysis records, verification records, tax returns, income assessments, appeals, declarations of minors' independence and letters indicating the types of aid awarded; • disbursement records; and • loan records, such as promissory notes, verification of entrance/exit interviews, repayments histories, and records of deferments and forbearances, defaults/cancellations of debt, and final dispositions of the loan.	C.4. Records Required for each Individual Loan from the Loan Programs administered by the University	Individual loan, University loan, University student loan, UC loan, UC student loan, loan administered by the University, loan administered by UC, student loan, student loans, loans	Official Record: Retain records for 3 years after the final disposition of the loan. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division - Default Department	(1)34 CFR § 686.24(e)(1) 34 CFR § 686.24(e)(2) 34 CFR § 686.24 (e)(3) 34 CFR § 674.19(e)(3) 34 CFR § 682.414 (a)(2),(a)(4)(iii) 34 CFR § 685.309 (c) 34 CFR § 686.38 34 CFR § 690.82 (a) 42 CFR § 57.215 (b),(c) 42 CFR § 57.315 (a)(2)-(3) 42 CFR § 60.56 (b) (2)Work study records that document each student's work history with the University are found in the Human Resources Records - Individual Employee Employment and Interns, Volunteers and Contingent Workers Records - Intern, Volunteer and Contingent Employees - including student employees including Federal Work Study funded positions - Employment Records section of the UC Records Retention Schedule (see 0004B3). (3)Most of these records may have restricted information in them. Restricted information is "Notice Triggering" information, as defined in UC Information Systems Policy BFB-IS-2 (e.g., name plus Social Security number, driver's license or California identification card number, financial account number with a security code, medical information or health insurance information). Records containing
0011C5*	11. Student Records	Student Records document the process of recruiting, selecting and admitting students as well as the students' activities while at the University, including learning, receiving financial aid, housing, academic advice, and discipline; and withdrawing or graduating from the University.	C. Student Financial Aid Records	Student Financial Aid Records document the processes of applying, determining, and distributing financial aid including grants, loans, work study, and scholarships to students at the University. The records also document the loan collection and the loan pay-off, cancellation, or other close-out processes. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • application and award records, such as applications, financial statements and need analysis records, verification records, tax returns, income assessments, appeals, declarations of minors' independence and letters indicating the types of aid awarded; • disbursement records; and • loan records, such as promissory notes, verification of entrance/exit interviews, repayments histories, and records of deferments and forbearances, defaults/cancellations of debt, and final dispositions of the loan.	C.5. All Other Applications, Awards and Disbursements Records	Financial Aid, awards, loans, aid disbursements	Official Record: Retain records for 3 years after the end of the award year for which the aid was awarded and disbursed. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division - Default Department	(1)34 CFR § 686.24(e)(1) 34 CFR § 686.24(e)(2) 34 CFR § 686.24 (e)(3) 34 CFR § 674.19(e)(3) 34 CFR § 682.414 (a)(2),(a)(4)(iii) 34 CFR § 685.309 (c) 34 CFR § 686.38 34 CFR § 690.82 (a) 42 CFR § 57.215 (b),(c) 42 CFR § 57.315 (a)(2)-(3) 42 CFR § 60.56 (b) (2)Work study records that document each student's work history with the University are found in the Human Resources Records - Individual Employee Employment and Interns, Volunteers and Contingent Workers Records - Intern, Volunteer and Contingent Employees - including student employees including Federal Work Study funded positions - Employment Records section of the UC Records Retention Schedule (see 0004B3). (3)Most of these records may have restricted information in them. Restricted information is "Notice Triggering" information, as defined in UC Information Systems Policy BFB-IS-2 (e.g., name plus Social Security number, driver's license or California identification card number, financial account number with a security code, medical information or health insurance information). Records containing
0011D1*	11. Student Records	Student Records document the process of recruiting, selecting and admitting students as well as the students' activities while at the University, including learning, receiving financial aid, housing, academic advice, and discipline; and withdrawing or graduating from the University.	D. International Student Records	International Student Records document the processes in place for international students at the University. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • entering records, such as copies of passports and US nonimmigrant visas, certificates of eligibility for visa status, alien registration receipt cards, and statements of financial eligibility; and • tracking records, such as "arrival-departure" records as well as travel out of the country and re-entry, verification of enrollment and credits taken, academic probation contracts, Optional and Curricular Practical Training records, and counseling records.	D.1. Non-Matriculated International Student Records	Non-Matriculated International Student Records	Official Record: Retain records for 3 years after the end of the academic year in which the application was received. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division - Default Department	(1)18 CFR § 214.3 (g)(1) 8 CFR § 245.3 (b)(3) 22 CFR § 62.10(f) American Association of Collegiate Registrars and Admission Officers, Retention of Records: Guide for Retention and Disposal of Student Records, 2010 Update (2)Matriculated Students are in admitted status in a recognized academic learning opportunity or program, have enrolled, have paid fees and are recorded in the third-week census. (3)Non-Matriculated Students are those who do not go through a UC admission process; or have applied and been denied admission; or may have been admitted, may have submitted their Statement of Intent to Register (SIR), may have cancelled their intent to register, may not have shown up on campus, or may not have registered by third-week census date. This also includes visitors, such as summer session only students, students in special programs, and extension students. (4)Most of these records may have restricted information in them. Restricted information is "Notice Triggering" information, as defined in UC Information Systems Policy BFB-IS-2 (e.g., name plus Social Security number, driver's

Records Code	Function	Function Description	Category	Category Description	Sub-Category Title	Keywords	Retention Period	Retention Rule	Publish Date	Primary Owner Override	Comments
0011D2*	11. Student Records	Student Records document the process of recruiting, selecting and admitting students as well as the students' activities while at the University, including learning, receiving financial aid, housing, academic advice, and discipline; and withdrawing or graduating from the University.	D. International Student Records	International Student Records document the processes in place for international students at the University. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • entering records, such as copies of passports and US nonimmigrant visas, certificates of eligibility for visa status, alien registration receipt cards, and statements of financial eligibility; and • tracking records, such as "arrival-departure" records as well as travel out of the country and re-entry, verification of enrollment and credits taken, academic probation contracts, Optional and Curricular Practical Training records, and counseling records.	D.2. International Scholars Records	international scholars, I-1 visa, exchange visitor, DS2019	Official Record: Retain records for 3 years after the end of the academic year in which the program for the scholar has ended. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division - Default Department	(1)8 CFR § 214.3 (g)(1) 8 CFR § 245a.3 (b)(9) 22 CFR § 62.10(f) American Association of Collegiate Registrars and Admission Officers, Retention of Records: Guide for Retention and Disposal of Student Records, 2010 Update (2)Most of these records may have restricted information in them. Restricted information is "Notice Triggering" information, as defined in UC Information Systems Policy BFB-IS-2 (e.g., name plus Social Security number, driver's license or California identification card number, financial account number with a security code, medical information or health insurance information). Records containing restricted information (regardless of media) must be protected from unauthorized access, disclosure and disposition, in accordance with University policy and California and Federal laws. (3)Since most of these records may contain restricted information, creating copies is discouraged. If created, they must be protected from unauthorized access, disclosure and disposition in accordance with University policy and California and Federal laws. (4)Some of these records are
0011D3*	11. Student Records	Student Records document the process of recruiting, selecting and admitting students as well as the students' activities while at the University, including learning, receiving financial aid, housing, academic advice, and discipline; and withdrawing or graduating from the University.	D. International Student Records	International Student Records document the processes in place for international students at the University. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • entering records, such as copies of passports and US nonimmigrant visas, certificates of eligibility for visa status, alien registration receipt cards, and statements of financial eligibility; and • tracking records, such as "arrival-departure" records as well as travel out of the country and re-entry, verification of enrollment and credits taken, academic probation contracts, Optional and Curricular Practical Training records, and counseling records.	D.3. All Other International Student Records	International Student, F-1 visa, Form 1-20 A-B, DS-160, Optional Practical Training, OPT	Official Record: Retain records for 5 years after the academic year in which the student is no longer required to be tracked by the University. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division - Default Department	(1)8 CFR § 214.3 (g)(1) 8 CFR § 245a.3 (b)(9) 22 CFR § 62.10(h) American Association of Collegiate Registrars and Admission Officers, Retention of Records: Guide for Retention and Disposal of Student Records, 2010 Update (2)Most of these records may have restricted information in them. Restricted information is "Notice Triggering" information, as defined in UC Information Systems Policy BFB-IS-2 (e.g., name plus Social Security number, driver's license or California identification card number, financial account number with a security code, medical information or health insurance information). Records containing restricted information (regardless of media) must be protected from unauthorized access, disclosure and disposition, in accordance with University policy and California and Federal laws. (3)Since most of these records may contain restricted information, creating copies is discouraged. If created, they must be protected from unauthorized access, disclosure and disposition in accordance with University policy and California and Federal laws. (4)Some of these records are
0011E1*	11. Student Records	Student Records document the process of recruiting, selecting and admitting students as well as the students' activities while at the University, including learning, receiving financial aid, housing, academic advice, and discipline; and withdrawing or graduating from the University.	E. Student Conduct and Grievances Records - does not include Clergy Records	Student Conduct and Grievances Records document the activities associated with responding to student grievances and adjudicating cases of academic and non-academic misconduct, enforcing student conduct standards, and upholding student rights at the University. (Student Conduct and Grievances Records that are required to document Clergy reported incidents are found in a different part of the UC Records Retention Schedule. See the Comments section for information). These include all such activities for undergraduate, graduate, professional, extension, and medical students, as well as registered student organizations. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • student conduct case records, including complaints, reports of suspected misconduct, and records of informal discussions and agreements, hearings, final sanctions, other resolutions, declinations for further actions, findings of violation or of no violation, and appeals; and • student grievances case records, including notices of grievances, hearing records, summary records and	E.1. Student Conduct Case Records when the sanction is dismissal or revocation of degree - does not include Clergy Records	dismissal, revocation, conduct, student conduct, grievance, student grievance, grievances, student grievances, student disciplinary	Official Record: Retain records for 50 years after the end of the academic year in which the student no longer attends the University. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	1/26/2016	Default Division - Default Department	(1)California Code of Civil Procedure, § 338(a) (2)Clergy records are found in the UC Records Retention Schedule as Item 0007A8*, which has a retention period of "Official Record: Retain records for three years from the latest publication of the Annual Clergy Report to which they apply. All Other Copies: Copies which may be disseminated to others that are used for other purposes such as disciplinary actions or other investigational activities should be maintained for the retention periods designated for the function of the activities involved. All other copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record." This is consistent with the retention requirements found in The Handbook for Campus Safety and Security Reporting put out by the US Department of Education, February 2011, page 157. (3)Most of these records may have restricted information in them. Restricted information is "Notice Triggering" information, as defined in UC Information Systems Policy BFB-IS-2 (e.g., name plus Social Security number, driver's
0011E2*	11. Student Records	Student Records document the process of recruiting, selecting and admitting students as well as the students' activities while at the University, including learning, receiving financial aid, housing, academic advice, and discipline; and withdrawing or graduating from the University.	E. Student Conduct and Grievances Records - does not include Clergy Records	Student Conduct and Grievances Records document the activities associated with responding to student grievances and adjudicating cases of academic and non-academic misconduct, enforcing student conduct standards, and upholding student rights at the University. (Student Conduct and Grievances Records that are required to document Clergy reported incidents are found in a different part of the UC Records Retention Schedule. See the Comments section for information). These include all such activities for undergraduate, graduate, professional, extension, and medical students, as well as registered student organizations. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • student conduct case records, including complaints, reports of suspected misconduct, and records of informal discussions and agreements, hearings, final sanctions, other resolutions, declinations for further actions, findings of violation or of no violation, and appeals; and • student grievances case records, including notices of grievances, hearing records, summary records and	E.2. All Other Student Conduct and Grievances Records - does not include Clergy Records	student conduct, grievance, student grievance, grievances, student grievances, student disciplinary	Official Record: Retain records for 5 years after the end of the academic year in which the case is closed. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	1/26/2016	Default Division - Default Department	(1)California Code of Civil Procedure, § 338(a) (2)Clergy records are found in the UC Records Retention Schedule as Item 0007A8*, which has a retention period of "Official Record: Retain records for three years from the latest publication of the Annual Clergy Report to which they apply. All Other Copies: Copies which may be disseminated to others that are used for other purposes such as disciplinary actions or other investigational activities should be maintained for the retention periods designated for the function of the activities involved. All other copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record." This is consistent with the retention requirements found in The Handbook for Campus Safety and Security Reporting put out by the US Department of Education, February 2011, page 157. (3)Most of these records may have restricted information in them. Restricted information is "Notice Triggering" information, as defined in UC Information Systems Policy BFB-IS-2 (e.g., name plus Social Security number, driver's

Records Code	Function	Function Description	Category	Category Description	Sub-Category Title	Keywords	Retention Period	Retention Rule	Publish Date	Primary Owner Override	Comments
001F1*	11. Student Records	Student Records document the process of recruiting, selecting and admitting students as well as the students' activities while at the University, including learning, receiving financial aid, housing, academic advice, and discipline; and withdrawing or graduating from the University.	F. Student Residential Life Records	Student Residential Life Records document activities that support living within the University community. (Housing records that document the student disciplinary, landlord-tenant relationship, facilities maintenance, and accounts payable and receivable functions are not found in this part of the UC Records Retention Schedule. See the Comments section for information.) These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • housing records, such as room assignments and rosters, special accommodations records, damage reports, and summer programs and conference housing records; • food services records, such as menus, meal planning, and special dietary accommodations records; • student housing activities records, such as peer advisory and tutor records, academic advising related workshops and schedules; and • UC affiliated or sponsored extra-curricular activities records, including athletics.	F.1. Extra-Curricular Activities Records, including Athletics Records	student life activities, student non-academic records, extra-curricular, extra curricular, athletics, living groups	Official Record: Permanent, subject to University Archives review. Coordinate the transfer of these records to the University Archives when no longer needed for current operational business. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Permanent records	9/19/2014	Default Division - Default Department	(1)California Code of Civil Procedure § 337 (2)Student disciplinary related records that document student misconduct and any penalties for such conduct are found in part E. Student Conduct and Grievances Records of this section of the UC Records Retention Schedule. (3)Clergy records are found in the UC Records Retention Schedule as item 0007A8*, which has a retention period of "Official Record: Retain records for three years from the latest publication of the Annual Clergy Report to which they apply. All Other Copies: Copies which may be disseminated to others that are used for other purposes such as disciplinary actions or other investigational activities should be maintained for the retention periods designated for the function of the activities involved. All other copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record." This is consistent with the retention requirements found in The Handbook for Campus Safety and Security Reporting put out by the US Department of Education, February 2011, page 157. (4)Landlord-tenant related
001F2*	11. Student Records	Student Records document the process of recruiting, selecting and admitting students as well as the students' activities while at the University, including learning, receiving financial aid, housing, academic advice, and discipline; and withdrawing or graduating from the University.	F. Student Residential Life Records	Student Residential Life Records document activities that support living within the University community. (Housing records that document the student disciplinary, landlord-tenant relationship, facilities maintenance, and accounts payable and receivable functions are not found in this part of the UC Records Retention Schedule. See the Comments section for information.) These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • housing records, such as room assignments and rosters, special accommodations records, damage reports, and summer programs and conference housing records; • food services records, such as menus, meal planning, and special dietary accommodations records; • student housing activities records, such as peer advisory and tutor records, academic advising related workshops and schedules; and • UC affiliated or sponsored extra-curricular activities records, including athletics.	F.2. All Other Students Residential Life Records	room assignments, special accommodations, damage reports, summer programs, conference housing, food service, menus, meal planning, meal plans, meals, meal plan, dietary accommodation, diet	Official Record: Retain records for 4 years after the end of the academic year in which all activity has ended. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division - Default Department	(1)California Code of Civil Procedure § 337 (2)Student disciplinary related records that document student misconduct and any penalties for such conduct are found in part E. Student Conduct and Grievances Records of this section of the UC Records Retention Schedule. (3)Clergy records are found in the UC Records Retention Schedule as item 0007A8*, which has a retention period of "Official Record: Retain records for three years from the latest publication of the Annual Clergy Report to which they apply. All Other Copies: Copies which may be disseminated to others that are used for other purposes such as disciplinary actions or other investigational activities should be maintained for the retention periods designated for the function of the activities involved. All other copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record." This is consistent with the retention requirements found in The Handbook for Campus Safety and Security Reporting put out by the US Department of Education, February 2011, page 157. (4)Landlord-tenant related
001G1*	11. Student Records	Student Records document the process of recruiting, selecting and admitting students as well as the students' activities while at the University, including learning, receiving financial aid, housing, academic advice, and discipline; and withdrawing or graduating from the University.	G. Student Career Services Records	Student Career Services Records document the assistance students receive related to career development, including determining career goals, and finding career opportunities. (Records that document a UC student's application for a position at the University or their employment with UC are not found in this part of the UC Records Retention Schedule. See the Comments section for information.) These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • student job search records, including job applications, resumes, copies of transcripts, and letters of recommendation; • career counseling and resources records, such as advising sessions records, preparatory workshops records including attendance records, and other training materials on interviewing, developing resumes, and using on-line sources; and • employer and professional school recruitment relations records, such as contact information, job and internship recruitment and advertisement records, logistics for career fairs and registrations, on-campus interview schedules, and first	G.1. Student Job Search Records	job search, placement, job application, job applications, resumes, letter of recommendation	Official Record: Retain records for 5 years after the end of the academic year in which all activity has ended. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	9/19/2014	Default Division - Default Department	(1)Retaining limited use records longer than necessary drains resources required to properly manage records of longer term value. (2)Records documenting students' unsuccessful attempts at applying for positions at the University are found in the Human Resources Records – Pre-employment and Recruitment Records section of the UC Records Retention Schedule (see 0004A). (3)Records documenting students' employment at the University are found in the Human Resources Records – Individual Employee Employment and Interns, Volunteers and Contingent Workers Records section of the UC Records Retention Schedule (see 0004B1-0004B4). (4)Some of the information may be considered proprietary and is not made publicly available. (5)Since some of these records may contain proprietary information, creating copies is discouraged. If created, they must be protected from unauthorized access, disclosure and disposition in accordance with University policy and California and Federal laws. (6)This is a media neutral retention schedule.
001G2*	11. Student Records	Student Records document the process of recruiting, selecting and admitting students as well as the students' activities while at the University, including learning, receiving financial aid, housing, academic advice, and discipline; and withdrawing or graduating from the University.	G. Student Career Services Records	Student Career Services Records document the assistance students receive related to career development, including determining career goals, and finding career opportunities. (Records that document a UC student's application for a position at the University or their employment with UC are not found in this part of the UC Records Retention Schedule. See the Comments section for information.) These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • student job search records, including job applications, resumes, copies of transcripts, and letters of recommendation; • career counseling and resources records, such as advising sessions records, preparatory workshops records including attendance records, and other training materials on interviewing, developing resumes, and using on-line sources; and • employer and professional school recruitment relations records, such as contact information, job and internship recruitment and advertisement records, logistics for career fairs and registrations, on-campus interview schedules, and first	G.2. All Other Student Career Services Records	career counseling, career, goals, development, opportunities, career resources, interview, recruit, first destination survey, 1st destination	Official Record: Retain records until administrative use ceases. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	11/17/2015	Default Division - Default Department	(1)Retaining limited use records longer than necessary drains resources required to properly manage records of longer term value. (2)Records documenting students' unsuccessful attempts at applying for positions at the University are found in the Human Resources Records – Pre-employment and Recruitment Records section of the UC Records Retention Schedule (see 0004A). (3)Records documenting students' employment at the University are found in the Human Resources Records – Individual Employee Employment and Interns, Volunteers and Contingent Workers Records section of the UC Records Retention Schedule (see 0004B1-0004B4). (4)Some of the information may be considered proprietary and is not made publicly available. (5)Since some of these records may contain proprietary information, creating copies is discouraged. If created, they must be protected from unauthorized access, disclosure and disposition in accordance with University policy and California and Federal laws. (6)This is a media neutral retention schedule.

Records Code	Function	Function Description	Category	Category Description	Sub-Category Title	Keywords	Retention Period	Retention Rule	Publish Date	Primary Owner Override	Comments
0011H*	11. Student Records	Student Records document the process of recruiting, selecting and admitting students as well as the students' activities while at the University, including learning, receiving financial aid, housing, academic advice, and discipline, and withdrawing or graduating from the University.	H. Reasonable Accommodations Student Records	Reasonable Accommodations Student Records document the reasonable modifications made to University programs and practices for qualified students with disabilities. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • Medical information documenting the disability; • Alternative test administration records providing accommodations such as extended time testing and distraction-free locations; • Records relating to use of adaptive equipment or accommodating services such as interpreter services, or note-taking services; and • Requests for course materials in alternative formats such as Braille or large print.		reasonable accommodations, test administration, extended time testing, disability, adaptive equipment, interpreter services, note taking, notes, taking notes, note-taking, braille, larger print, modifications, ADA, Americans with Disabilities Act, disabled student, Accommodation Requests, barriers, impairment, attributes, auxiliary aids, auxiliary services, 504 plan, Summary of Performance, SOP, Individual Educational Plan, IEP, academic adjustments, equity, Title 3, title III, title II, The ADA Amendments Act, eligibility, certify, individuals with Disabilities Education Act, DEA	Official Record: Retain records for 5 years after the end of the academic year in which the student no longer attends the University. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	11/20/2015	Default Division	(1)28 USC § 1658 California Code of Civil Procedure, § 333.1 California Code of Civil Procedure, § 338(a) (2)Reasonable accommodation records for student employees are found in the Human Resources Records - Employment Related Claims Records section of the UC Records Retention Schedule (see 0004C). (3)Most of these records may have restricted information in them. Restricted information is "Notice Trigger" information, as defined in UC Information Systems Policy BFB-IS-2 (e.g., name plus Social Security number, driver's license or California identification card number, financial account number with a security code, medical information or health insurance information). Records containing restricted information (regardless of media) must be protected from unauthorized access, disclosure and disposition, in accordance with University policy and California and Federal laws. (4)Since most of these records may contain restricted information, creating copies is discouraged. If created, they must be protected from unauthorized access, disclosure and disposition in
0012A1*	12. Research Administration Records	Research Administration Records document the application, evaluation, awarding, administration, monitoring, and status of extramural grants, cooperative agreements, and contracts for research, scholarly or professional training, or public service programs relating either to research, scholarly or professional training. These records document the administrative activities of research projects in which the University is engaged. Records that document the financial aspects of sponsored projects are not included in this part of the UC Records Retention Schedule; see the Financial and Procurement Records section for those records. Records that document research misconduct or false claims investigative activities are not included in this part of the UC Records Retention Schedule; see the Compliance Records section for those records. Faculty research materials, those records that document principal investigators' actual research activities such as notebooks and raw data, are not included in the UC Records Retention Schedule.	A. Sponsored Projects Agreements Records	Sponsored Projects Agreements Records document the life cycle of sponsored projects: including proposal and submission actions, agreement negotiations, awarding of funding or execution of agreements, issuance of subcontracts or sub-awards, ongoing administration, and termination and close-outs of the agreements. This group of records follows the administration and non-financial reporting activities surrounding sponsored projects. (Records that document the financial aspects of sponsored projects are not included in this part of the UC Records Retention Schedule. See the Comments section for information.) These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • proposal records; • awards and sub-awards records; and • interim and final reports; and • close-out records.	A.1. Sponsored Projects Proposals that are not accepted/funded	rejected proposals, proposals not funded, withdrawn proposals, not accepted grant proposals, denied, not approved	Official Record: These are considered non-records, and should be retained only until their usefulness has passed. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	11/20/2015	Default Division	(1)According to RMP-1, the UC Records Retention Schedule does not apply to faculty and principal investigators' research materials. Research materials do not include administrative records incidental to award administration such as financial records, contract and grant records, etc. Such administrative records generated by University researchers are the property of the University, included in the UC Records Retention Schedule, and may be subject to terms and conditions of individual sponsored projects, federal and state regulations. (2)If the current system used to store these records does not allow for purging, then systems built in the future should allow for the systematic purging of records. (3)All records are subject to University Archives review. The University Archives at each location may be interested in retaining some of these records for historical purposes. Each archives has its own collection policy, and the location's University Archivist should be contacted so the records can be reviewed. Should the Archivist decide they want any of the records; arrangements for the records to be
0012A2*	12. Research Administration Records	Research Administration Records document the application, evaluation, awarding, administration, monitoring, and status of extramural grants, cooperative agreements, and contracts for research, scholarly or professional training, or public service programs relating either to research, scholarly or professional training. These records document the administrative activities of research projects in which the University is engaged. Records that document the financial aspects of sponsored projects are not included in this part of the UC Records Retention Schedule; see the Financial and Procurement Records section for those records. Records that document research misconduct or false claims investigative activities are not included in this part of the UC Records Retention Schedule; see the Compliance Records section for those records. Faculty research materials, those records that document principal investigators' actual research activities such as notebooks and raw data, are not included in the UC Records Retention Schedule.	A. Sponsored Projects Agreements Records	Sponsored Projects Agreements Records document the life cycle of sponsored projects: including proposal and submission actions, agreement negotiations, awarding of funding or execution of agreements, issuance of subcontracts or sub-awards, ongoing administration, and termination and close-outs of the agreements. This group of records follows the administration and non-financial reporting activities surrounding sponsored projects. (Records that document the financial aspects of sponsored projects, and research misconduct or false claims investigative activities are not included in this part of the UC Records Retention Schedule. See the Comments section for information.) These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • proposal records; • awards and sub-awards records; and • interim and final reports; and • close-out records.	A.2. FDA Regulated Sponsored Projects Agreements Records for Investigational New Drugs Applications	FDA, Food and Drug Administration, investigational new drugs, agreements for FDA drugs, awards, accepted fda proposals, subcontracts, sub-awards, sub awards, subawards, closeouts, cost sharing, cost sharing, commitments, certifications, statistical reports, progress reports	Official Record: Retain records for 2 years following the date a marketing application is approved for the drug for the indication for which it is being investigated, or, if no application is to be filed or if the application is not approved for such indication, until 2 years after the investigation is discontinued and FDA is notified. If no notification of any of these activities occurs, then retain records for 6 years after the expiration/termination of the sponsored agreement; unless otherwise specified in the award agreement. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	11/20/2015	Default Division	(1)2 CFR §200.333.21 CFR §312.62 The Contract and Grant Manual, Chapter 17: Records/Paperwork Access and Management, section 17700 Administrative Records, sub-section 17-312 Retention Period, a. Awards (2)Records that document the financial transactions of sponsored activities are found in Financial and Procurement Records - Accounts Payable/Receivable, Procurement and Banking/Cash Handling Records - Records used as supporting documentation for sponsored activities section of the UC Records Retention Schedule (see 0005A1). (3)Records that document research misconduct or false claims investigations and activities are found in the Compliance Records - Investigation Records section of the UC Records Retention Schedule (see 0006B). (4)According to RMP-1, the UC Records Retention Schedule does not apply to faculty and principal investigators' research materials. Research materials do not include administrative records incidental to award administration such as financial records, contract and grant records, etc. Such administrative records
0012A3*	12. Research Administration Records	Research Administration Records document the application, evaluation, awarding, administration, monitoring, and status of extramural grants, cooperative agreements, and contracts for research, scholarly or professional training, or public service programs relating either to research, scholarly or professional training. These records document the administrative activities of research projects in which the University is engaged. Records that document the financial aspects of sponsored projects are not included in this part of the UC Records Retention Schedule; see the Financial and Procurement Records section for those records. Records that document research misconduct or false claims investigative activities are not included in this part of the UC Records Retention Schedule; see the Compliance Records section for those records. Faculty research materials, those records that document principal investigators' actual research activities such as notebooks and raw data, are not included in the UC Records Retention Schedule.	A. Sponsored Projects Agreements Records	Sponsored Projects Agreements Records document the life cycle of sponsored projects: including proposal and submission actions, agreement negotiations, awarding of funding or execution of agreements, issuance of subcontracts or sub-awards, ongoing administration, and termination and close-outs of the agreements. This group of records follows the administration and non-financial reporting activities surrounding sponsored projects. (Records that document the financial aspects of sponsored projects, and research misconduct or false claims investigative activities are not included in this part of the UC Records Retention Schedule. See the Comments section for information.) These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • proposal records; • awards and sub-awards records; and • interim and final reports; and • close-out records.	A.3. FDA Regulated Sponsored Projects Agreements Records for Investigational Devices	FDA, Food and Drug Administration, investigational devices, agreements for FDA devices, awards, accepted fda proposals, subcontracts, sub-awards, sub awards, subawards, closeouts, device, premarket approval, product development protocol, cost sharing, cost-sharing, commitments, certifications, statistical reports, progress reports	Official Record: Retain records for 2 years after the date on which the investigation is terminated or completed, or the date that the records are no longer required for purposes of supporting a premarket approval application or a notice of completion of a product development protocol - whichever is longer. If no notification of any of these activities occurs, then retain records for 6 years after the expiration/termination of the sponsored agreement, unless otherwise specified in the award agreement. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	12/1/2015	Default Division	(1)2 CFR §200.333.21 CFR §312.160 The Contract and Grant Manual, Chapter 17: Records/Paperwork Access and Management, section 17700 Administrative Records, sub-section 17-312 Retention Period, a. Awards (2)Records that document the financial transactions of sponsored activities are found in Financial and Procurement Records - Accounts Payable/Receivable, Procurement and Banking/Cash Handling Records - Records used as supporting documentation for sponsored activities section of the UC Records Retention Schedule (see 0005A1). (3)Records that document research misconduct or false claims investigations and activities are found in the Compliance Records - Investigation Records section of the UC Records Retention Schedule (see 0006B). (4)According to RMP-1, the UC Records Retention Schedule does not apply to faculty and principal investigators' research materials. Research materials do not include administrative records incidental to award administration such as financial records, contract and grant records, etc. Such administrative records

Records Code	Function	Function Description	Category	Category Description	Sub-Category Title	Keywords	Retention Period	Retention Rule	Publish Date	Primary Owner Override	Comments
00124*	12. Research Administration Records	Research Administration Records document the application, evaluation, awarding, administration, monitoring, and status of extramural grants, cooperative agreements, and contracts for research, scholarly or professional training, or public service programs relating either to research, scholarly or professional training. These records document the administrative activities of research projects in which the University is engaged. Records that document the financial aspects of sponsored projects are not included in this part of the UC Records Retention Schedule; see the Financial and Procurement Records section for those records. Records that document research misconduct or false claims investigative activities are not included in this part of the UC Records Retention Schedule. Faculty research materials, those records that document principal investigators' actual research activities such as notebooks and raw data, are not included in the UC Records Retention Schedule.	A. Sponsored Projects Agreements Records	Sponsored Projects Agreements Records document the life cycle of sponsored projects: including proposal and submission actions, agreement negotiations, awarding of funding or execution of agreements, issuances of subcontracts or sub-awards, ongoing administration, and termination and close-outs of the agreements. This group of records follows the administration and non-financial reporting activities surrounding sponsored projects. (Records that document the financial aspects of sponsored projects, and research misconduct or false claims investigative activities are not included in this part of the UC Records Retention Schedule. See the Comments section for information.) These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • proposal records; • awards and sub-awards records; and • interim and final reports; and • close-out records.	A.4. Executed Sponsored Projects Agreements Records for any projects that include working with radioactive contaminating materials with the Department of Energy and any prior Atomic Energy related entities	agreements, awards, accepted proposals, subcontracts, sub-awards, sub awards, subawards, closeouts, DOE, Department of Energy, Dept of Energy, radioactive, contaminating, Atomic Energy, AEC, cost sharing, cost-sharing, commitments, certifications, statistical reports, progress reports	Official Record: Permanent, coordinate the transfer of these records to the University Archives 10 years after termination of the contract or when no longer needed for current operational business. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	11/20/2015	Default Division	(1) CFR §200.333 The Contract and Grant Manual, Chapter 17: Records/Paperwork Access and Management, section 17300 Administrative Records, sub-section 17-312 Retention Period, a. Awards (2)Records that document the financial transactions of sponsored activities are found in Financial and Procurement Records - Accounts Payable/Receivable, Procurement and Banking/Cash Handling Records - Records used as supporting documentation for sponsored activities section of the UC Records Retention Schedule (see 0005A1). (3)Records that document research misconduct or false claims investigations and activities are found in the Compliance Records - Investigation Records section of the UC Records Retention Schedule (see 0006B). (4)According to RMP-1, the UC Records Retention Schedule does not apply to faculty and principal investigators' research materials. Research materials do not include administrative records incidental to award administration such as financial records, contract and grant records, etc. Such administrative records generated by University researchers are the
00125*	12. Research Administration Records	Research Administration Records document the application, evaluation, awarding, administration, monitoring, and status of extramural grants, cooperative agreements, and contracts for research, scholarly or professional training, or public service programs relating either to research, scholarly or professional training. These records document the administrative activities of research projects in which the University is engaged. Records that document the financial aspects of sponsored projects are not included in this part of the UC Records Retention Schedule; see the Financial and Procurement Records section for those records. Records that document research misconduct or false claims investigative activities are not included in this part of the UC Records Retention Schedule. Faculty research materials, those records that document principal investigators' actual research activities such as notebooks and raw data, are not included in the UC Records Retention Schedule.	A. Sponsored Projects Agreements Records	Sponsored Projects Agreements Records document the life cycle of sponsored projects: including proposal and submission actions, agreement negotiations, awarding of funding or execution of agreements, ongoing administration, and termination and close-outs of the agreements. This group of records follows the administration and non-financial reporting activities surrounding sponsored projects. (Records that document the financial aspects of sponsored projects, and research misconduct or false claims investigative activities are not included in this part of the UC Records Retention Schedule. See the Comments section for information.) These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • proposal records; • awards and sub-awards records; and • interim and final reports; and • close-out records.	A.5. All Other Sponsored Projects Agreements Records	grants, contracts, cooperative agreements, funded proposals, sponsored research, sponsored projects, agreements, awards, accepted proposals, reports, subcontracts, sub-awards, sub awards, subawards, closeouts, cost sharing, cost-sharing, commitments, certifications, statistical reports, progress reports	Official Record: Retain records for 6 years after the expiration/termination of the sponsored agreement, unless otherwise specified in the award agreement. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	11/20/2015	Default Division	(1) CFR §200.333 The Contract and Grant Manual, Chapter 17: Records/Paperwork Access and Management, section 17300 Administrative Records, sub-section 17-312 Retention Period, a. Awards (2)Records that document the financial transactions of sponsored activities are found in Financial and Procurement Records - Accounts Payable/Receivable, Procurement and Banking/Cash Handling Records - Records used as supporting documentation for sponsored activities section of the UC Records Retention Schedule (see 0005A1). (3)Records that document research misconduct or false claims investigations and activities are found in the Compliance Records - Investigation Records section of the UC Records Retention Schedule (see 0006B). (4)According to RMP-1, the UC Records Retention Schedule does not apply to faculty and principal investigators' research materials. Research materials do not include administrative records incidental to award administration such as financial records, contract and grant records, etc. Such administrative records generated by University researchers are the
00126*	12. Research Administration Records	Research Administration Records document the application, evaluation, awarding, administration, monitoring, and status of extramural grants, cooperative agreements, and contracts for research, scholarly or professional training, or public service programs relating either to research, scholarly or professional training. These records document the administrative activities of research projects in which the University is engaged. Records that document the financial aspects of sponsored projects are not included in this part of the UC Records Retention Schedule; see the Financial and Procurement Records section for those records. Records that document research misconduct or false claims investigative activities are not included in this part of the UC Records Retention Schedule. Faculty research materials, those records that document principal investigators' actual research activities such as notebooks and raw data, are not included in the UC Records Retention Schedule.	B. Research Integrity Records	Research Integrity Records document all activities related to identifying and ameliorating conflicts of interest, as well as the activities related to protecting and assuring compliance under the laws and policies that protect the rights and welfare of human and animal subjects used in UC research. (Records that document the financial aspects of sponsored projects, and research misconduct or false claims investigative activities, and non-research-related conflict of interest records are not included in this part of the UC Records Retention Schedule. See the Comments section for information.) These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • Research-Related Conflict of Interest records, including financial disclosure records, conflict resolution records, reports, and statements; • Institutional Animal Care and Use Committee (IACUC) records, including applications, proposals, proposed significant changes, minutes, inspections, relevant animal records, and reports; • Institutional Review Board (IRB) records, including proposals, scientific evaluations,	B.1. Research-Related Conflict of Interest records for sponsored projects funded by governmental bodies	Conflict of interest, conflicts, COI, financial disclosures, resolve, conflicting, governmental bodies	Official Record: Retain records for 3 years after the end of the calendar year in which the expiration/termination of the sponsored agreement occurs. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	11/20/2015	Default Division	(1)21 CFR §54.6(b) 42 CFR §50.604(f) NSF Grant Policy Manual Chapter V, Section 510, g. California Code of Civil Procedure, § 335.1 California Code Government Code, § 810091) Regulations of the Fair Political Practices Commission, Title 2, Division 6, California Code of Regulations., Conflict of Interest records, § 18755 (2)Records that document the financial transactions of sponsored activities are found in Financial and Procurement Records - Accounts Payable/Receivable, Procurement and Banking/Cash Handling Records - Records used as supporting documentation for sponsored activities section of the UC Records Retention Schedule (see 0005A1). (3)Records that document research misconduct or false claims investigations and activities are found in the Compliance Records - Investigation Records section of the UC Records Retention Schedule (see 0006B). (4)Records that document Non-Research-Related Conflict of Interest records are found in the Compliance Records - Compliance Certification Records section of the UC Records Retention Schedule (see 0006C). The retention period
00128*	12. Research Administration Records	Research Administration Records document the application, evaluation, awarding, administration, monitoring, and status of extramural grants, cooperative agreements, and contracts for research, scholarly or professional training, or public service programs relating either to research, scholarly or professional training. These records document the administrative activities of research projects in which the University is engaged. Records that document the financial aspects of sponsored projects are not included in this part of the UC Records Retention Schedule; see the Financial and Procurement Records section for those records. Records that document research misconduct or false claims investigative activities are not included in this part of the UC Records Retention Schedule. Faculty research materials, those records that document principal investigators' actual research activities such as notebooks and raw data, are not included in the UC Records Retention Schedule.	B. Research Integrity Records	Research Integrity Records document all activities related to identifying and ameliorating conflicts of interest, as well as the activities related to protecting and assuring compliance under the laws and policies that protect the rights and welfare of human and animal subjects used in UC research. (Records that document the financial aspects of sponsored projects, and research misconduct or false claims investigative activities, and non-research-related conflict of interest records are not included in this part of the UC Records Retention Schedule. See the Comments section for information.) These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • Research-Related Conflict of Interest records, including financial disclosure records, conflict resolution records, reports, and statements; • Institutional Animal Care and Use Committee (IACUC) records, including applications, proposals, proposed significant changes, minutes, inspections, relevant animal records, and reports; • Institutional Review Board (IRB) records, including proposals, scientific evaluations,	B.2. Research-Related Conflict of Interest records for sponsored projects funded by non-governmental bodies	Conflict of interest, conflicts, COI, financial disclosures, resolve, conflicting, non-governmental bodies	Official Record: Retain records for 7 years after the end of the calendar year created. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	11/18/2015	Default Division	(1)21 CFR §54.6(b) 42 CFR §50.604(f) NSF Grant Policy Manual Chapter V, Section 510, g. California Code of Civil Procedure, § 335.1 California Code Government Code, § 810091) Regulations of the Fair Political Practices Commission, Title 2, Division 6, California Code of Regulations., Conflict of Interest records, § 18755 (2)Records that document the financial transactions of sponsored activities are found in Financial and Procurement Records - Accounts Payable/Receivable, Procurement and Banking/Cash Handling Records - Records used as supporting documentation for sponsored activities section of the UC Records Retention Schedule (see 0005A1). (3)Records that document research misconduct or false claims investigations and activities are found in the Compliance Records - Investigation Records section of the UC Records Retention Schedule (see 0006B). (4)Records that document Non-Research-Related Conflict of Interest records are found in the Compliance Records - Compliance Certification Records section of the UC Records Retention Schedule (see 0006C). The retention period

Records Code	Function	Function Description	Category	Category Description	Sub-Category Title	Keywords	Retention Period	Retention Rule	Publish Date	Primary Owner Override	Comments
001283*	12. Research Administration Records	Research Administration Records document the application, evaluation, awarding, administration, monitoring, and status of extramural grants, cooperative agreements, and contracts for research, scholarly or professional training, or public service programs relating either to research, scholarly or professional training. These records document the administrative activities of research projects in which the University is engaged. Records that document the financial aspects of sponsored projects are not included in this part of the UC Records Retention Schedule; see the Financial and Procurement Records section for those records. Records that document research misconduct or false claims investigative activities are not included in this part of the UC Records Retention Schedule; see the Compliance Records section for those records. Faculty research materials, those records that document principal investigators' actual research activities such as notebooks and raw data, are not included in the UC Records Retention Schedule.	B. Research Integrity Records	Research Integrity Records document all activities related to identifying and ameliorating conflicts of interest, as well as the activities related to protecting and assuring compliance under the laws and policies that protect the rights and welfare of human and animal subjects used in UC research. (Records that document the financial aspects of sponsored projects, and research misconduct or false claims investigative activities, and non-research-related conflict of interest records are not included in this part of the UC Records Retention Schedule. See the Comments section for information.) These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • Research-Related Conflict of Interest records, including financial disclosure records, conflict resolution records, reports, and statements; • Institutional Animal Care and Use Committee (IACUC) records, including applications, proposals, proposed significant changes, minutes, inspections, relevant animal records, and reports; • Institutional Review Board (IRB) records, including proposals, scientific evaluations,	B.3. Institutional Animal Care and Use Committee Records	IACUC, Animal Health, Animal Welfare, AWA 2.35, USDA, PHS, NIH, CBRA, protocol, lab reports, facility inspection, NIH-OLAW, USDA-AWA, mice, rats, fish, minutes, reports, amendments, laboratory, protocols, program reviews, recommendations, applications, APHS	Official Record: Retain records for 3 years after the protocol has ended. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	11/20/2015	Default Division	(1) (9 CFR § 2.351) California Code of Civil Procedure, § 340(c) (2) Records that document the financial transactions of sponsored activities are found in Financial and Procurement Records - Accounts Payable/Receivable, Procurement and Banking/Cash Handling Records - Records used as supporting documentation for sponsored activities section of the UC Records Retention Schedule (see 0005A1). (3) Records that document research misconduct or false claims investigations and activities are found in the Compliance Records - Investigation Records section of the UC Records Retention Schedule (see 0006B). (4) For Institutional Animal Care and Use Committee Records, UC will interpret "activity" as protocol which is in accordance with the June 2010 Guidance issued by the California Biomedical Research Association. Thus, the retention period is 3 years from the protocol's end date or termination, whichever later occurs. If the initial protocol approval is followed by a de novo review and approval, this does not change the retention time frame associated with the initial protocol.
001284*	12. Research Administration Records	Research Administration Records document the application, evaluation, awarding, administration, monitoring, and status of extramural grants, cooperative agreements, and contracts for research, scholarly or professional training, or public service programs relating either to research, scholarly or professional training. These records document the administrative activities of research projects in which the University is engaged. Records that document the financial aspects of sponsored projects are not included in this part of the UC Records Retention Schedule; see the Financial and Procurement Records section for those records. Records that document research misconduct or false claims investigative activities are not included in this part of the UC Records Retention Schedule; see the Compliance Records section for those records. Faculty research materials, those records that document principal investigators' actual research activities such as notebooks and raw data, are not included in the UC Records Retention Schedule.	B. Research Integrity Records	Research Integrity Records document all activities related to identifying and ameliorating conflicts of interest, as well as the activities related to protecting and assuring compliance under the laws and policies that protect the rights and welfare of human and animal subjects used in UC research. (Records that document the financial aspects of sponsored projects, and research misconduct or false claims investigative activities, and non-research-related conflict of interest records are not included in this part of the UC Records Retention Schedule. See the Comments section for information.) These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • Research-Related Conflict of Interest records, including financial disclosure records, conflict resolution records, reports, and statements; • Institutional Animal Care and Use Committee (IACUC) records, including applications, proposals, proposed significant changes, minutes, inspections, relevant animal records, and reports; • Institutional Review Board (IRB) records, including proposals, scientific evaluations,	B.4. Acquisition or Disposition of Dogs and Cats Records	certifications, license, registration, transport, USDA tag, animal description, buying, receiving, selling, disposing, euthanasia, certificate of health, APHS form 7001, APHS form 7006, USDA Interstate and International Certificate of Health Examination for Small Animals, Record of Disposition of Dogs and Cats	Official Record: Retain records for 3 years after the disposition of the animal. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	11/19/2015	Default Division	(1) (9 CFR § 2.351) California Code of Civil Procedure, § 340(c) (2) Records that document the financial transactions of sponsored activities are found in Financial and Procurement Records - Accounts Payable/Receivable, Procurement and Banking/Cash Handling Records - Records used as supporting documentation for sponsored activities section of the UC Records Retention Schedule (see 0005A1). (3) Records that document research misconduct or false claims investigations and activities are found in the Compliance Records - Investigation Records section of the UC Records Retention Schedule (see 0006B). (4) For Institutional Animal Care and Use Committee Records, UC will interpret "activity" as protocol which is in accordance with the June 2010 Guidance issued by the California Biomedical Research Association. Thus, the retention period is 3 years from the protocol's end date or termination, whichever later occurs. If the initial protocol approval is followed by a de novo review and approval, this does not change the retention time frame associated with the initial protocol.
001285*	12. Research Administration Records	Research Administration Records document the application, evaluation, awarding, administration, monitoring, and status of extramural grants, cooperative agreements, and contracts for research, scholarly or professional training, or public service programs relating either to research, scholarly or professional training. These records document the administrative activities of research projects in which the University is engaged. Records that document the financial aspects of sponsored projects are not included in this part of the UC Records Retention Schedule; see the Financial and Procurement Records section for those records. Records that document research misconduct or false claims investigative activities are not included in this part of the UC Records Retention Schedule; see the Compliance Records section for those records. Faculty research materials, those records that document principal investigators' actual research activities such as notebooks and raw data, are not included in the UC Records Retention Schedule.	B. Research Integrity Records	Research Integrity Records document all activities related to identifying and ameliorating conflicts of interest, as well as the activities related to protecting and assuring compliance under the laws and policies that protect the rights and welfare of human and animal subjects used in UC research. (Records that document the financial aspects of sponsored projects, and research misconduct or false claims investigative activities, and non-research-related conflict of interest records are not included in this part of the UC Records Retention Schedule. See the Comments section for information.) These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • Research-Related Conflict of Interest records, including financial disclosure records, conflict resolution records, reports, and statements; • Institutional Animal Care and Use Committee (IACUC) records, including applications, proposals, proposed significant changes, minutes, inspections, relevant animal records, and reports; • Institutional Review Board (IRB) records, including proposals, scientific evaluations,	B.5. IRB Records including Human Studies Exempted From IRB review records	human subjects, Institutional Review Board, IRB, informed consent, signed consent forms, member rosters, minutes, protocols, consent documents, scientific evaluations, research proposals, progress reports, investigations, reports of injuries, minutes, continuing review activities, written procedures, statements of significant findings, exempt, exempted, emergency use or investigational test article, emergency use beyond investigational drugs, human studies	Official Record: Retain records for 10 years after the end of the calendar year in which the research is completed, unless otherwise specified in the award agreement. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	11/19/2015	Default Division	(1) (21 CFR § 56.115) (45 CFR § 46.115) (45 CFR § 164.530) (2) California Code of Civil Procedure, § 333.1 California Code of Civil Procedure, § 340.4 California Code of Civil Procedure, § 340.5 California Code of Government Code, § 81009(e) The Contract and Grant Manual, Chapter 18: Protection of Research Subjects, section 18-200 University Policy on the Protection of Human Subjects in Research, sub-section 18-272 Records Retention, Inspection and Copying, a. Records Retention (2) Records that document the financial transactions of sponsored activities are found in Financial and Procurement Records - Accounts Payable/Receivable, Procurement and Banking/Cash Handling Records - Records used as supporting documentation for sponsored activities section of the UC Records Retention Schedule (see 0005A1). (3) Records that document research misconduct or false claims investigations and activities are found in the Compliance Records - Investigation Records section of the UC Records Retention Schedule (see 0006B). (4) According to RMP-1, the UC Records Retention Schedule does not apply to (1) Templates Memorandum of Understanding between Veterans Health Administration (VHA) Central Office and (Name of Local Veterans Affairs (VA) Facility) and (Name of Local VA Nonprofit Corporation) Guidance on VA Research Records and the Impact of the Federal Records Act, Office of Research and Development, Veterans Health Administration's dated March 8, 2013 (2) As per the Federal Veterans Health Administration, research records generated in the conduct of VA research programs and VA research are subject to the Federal Records Act. This requirement applies to research oversight committees, research office activities, and investigators' VA research activities. Currently, most local Federal VA Research records are not scheduled and must, therefore, be kept until they are covered under Federal Veterans Health Administration's records retention schedule, RCS 10-1. If a document meeting the definition of a Federal record is not listed in the current RCS 10-1, it must be preserved until a new record control schedule is published by VHA. According to
001286*	12. Research Administration Records	Research Administration Records document the application, evaluation, awarding, administration, monitoring, and status of extramural grants, cooperative agreements, and contracts for research, scholarly or professional training, or public service programs relating either to research, scholarly or professional training. These records document the administrative activities of research projects in which the University is engaged. Records that document the financial aspects of sponsored projects are not included in this part of the UC Records Retention Schedule; see the Financial and Procurement Records section for those records. Records that document research misconduct or false claims investigative activities are not included in this part of the UC Records Retention Schedule; see the Compliance Records section for those records. Faculty research materials, those records that document principal investigators' actual research activities such as notebooks and raw data, are not included in the UC Records Retention Schedule.	B. Research Integrity Records	Research Integrity Records document all activities related to identifying and ameliorating conflicts of interest, as well as the activities related to protecting and assuring compliance under the laws and policies that protect the rights and welfare of human and animal subjects used in UC research. (Records that document the financial aspects of sponsored projects, and research misconduct or false claims investigative activities, and non-research-related conflict of interest records are not included in this part of the UC Records Retention Schedule. See the Comments section for information.) These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • Research-Related Conflict of Interest records, including financial disclosure records, conflict resolution records, reports, and statements; • Institutional Animal Care and Use Committee (IACUC) records, including applications, proposals, proposed significant changes, minutes, inspections, relevant animal records, and reports; • Institutional Review Board (IRB) records, including proposals, scientific evaluations,	B.6. IRB records relating to VA research, including the investigator's research records	VA, VHA, veteran, veterans affairs, veterans health administration, Institutional Review Board for VA research, Department of Veterans Affairs, research protocol, consent documents, progress reports, reports of injuries, review activities, minutes, roster of members, resume, curriculum vitae, CV, written procedures, statement of significant new findings, informed consent, signed consent, waiver, Certificates of Confidentiality, HIPAA authorization, VA Form 10-0493, Authorization for Use & Release of Individually Identifiable Health Information for VHA Research, exempt, human subjects	Official Record: IRB records relating to VA research, including the investigator's research records, must be retained until disposition instructions are approved by the National Archives and Records Administration and are published in VHA's Records Control Schedule [RCS 10-1]. These records are considered Federal Records and are currently considered unscheduled Federal Records. As unscheduled records, the original format of the record must be retained as the official recordkeeping copy until a proposed record retention and disposition schedule is submitted for review, appraisal, and approval by NARA.	Unscheduled Federal records, do not destroy	11/20/2015	Default Division	(1) Templates Memorandum of Understanding between Veterans Health Administration (VHA) Central Office and (Name of Local Veterans Affairs (VA) Facility) and (Name of Local VA Nonprofit Corporation) Guidance on VA Research Records and the Impact of the Federal Records Act, Office of Research and Development, Veterans Health Administration's dated March 8, 2013 (2) As per the Federal Veterans Health Administration, research records generated in the conduct of VA research programs and VA research are subject to the Federal Records Act. This requirement applies to research oversight committees, research office activities, and investigators' VA research activities. Currently, most local Federal VA Research records are not scheduled and must, therefore, be kept until they are covered under Federal Veterans Health Administration's records retention schedule, RCS 10-1. If a document meeting the definition of a Federal record is not listed in the current RCS 10-1, it must be preserved until a new record control schedule is published by VHA. According to

Records Code	Function	Function Description	Category	Category Description	Sub-Category Title	Keywords	Retention Period	Retention Rule	Publish Date	Primary Owner Override	Comments
0012B**	12. Research Administration Records	Research Administration Records document the application, evaluation, awarding, administration, monitoring, and status of extramural grants, cooperative agreements, and contracts for research, scholarly or professional training, or public service programs relating either to research, scholarly or professional training. These records document the administrative activities of research projects in which the University is engaged. Records that document the financial aspects of sponsored projects are not included in this part of the UC Records Retention Schedule; see the Financial and Procurement Records section for those records. Records that document research misconduct or false claims investigative activities are not included in this part of the UC Records Retention Schedule. See the Compliance Records section for those records. Faculty research materials, those records that document principal investigators' actual research activities such as notebooks and raw data, are not included in the UC Records Retention Schedule.	B. Research Integrity Records	Research Integrity Records document all activities related to identifying and ameliorating conflicts of interest, as well as the activities related to protecting and assuring compliance under the laws and policies that protect the rights and welfare of human and animal subjects used in UC research. (Records that document the financial aspects of sponsored projects, and research misconduct or false claims investigative activities, and non-research-related conflict of interest records are not included in this part of the UC Records Retention Schedule. See the Comments section for information.) These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • Research-Related Conflict of Interest records, including financial disclosure records, conflict resolution records, reports, and statements; • Institutional Animal Care and Use Committee (IACUC) records, including applications, proposals, proposed significant changes, minutes, inspections, relevant animal records, and reports; • Institutional Review Board (IRB) records, including proposals, scientific evaluations,	B. 7. All Other Research Integrity Records	human anatomical specimens, applications, inventory, acquisition, disposition, transfer, use, management, oversight committee, procurement, donation, use, approval, controlled substances management, registration	Official Record: Retain records for 3 years after the end of the calendar year in which all activity has ended. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Delete or destroy after the retention period has lapsed	11/20/2015	Default Division	(1)2 CFR §200.333-45 CFR § 164.530(j)(2) California Code of Civil Procedure, § 335.1 California Code of Civil Procedure, § 340.4 California Code of Civil Procedure, § 340.5 The Contract and Grant Manual, Chapter 18: Protection of Research Subjects, section 18-200 University Policy on the Protection of Human Subjects in Research, sub-section 18-272 Records Retention, Inspection and Copying; a Records Retention (R)Records that document the financial transactions of sponsored activities are found in Financial and Procurement Records - Accounts Payable/Receivable, Procurement and Banking/Cash Handling Records - Records used as supporting documentation for sponsored activities section of the UC Records Retention Schedule (see 0005A1). (3)Records that document research misconduct or false claims investigations and activities are found in the Compliance Records - Investigation Records section of the UC Records Retention Schedule (see 0006B). (4)Records that document Non-Research-Related Conflict of Interest records are found in the Compliance
0012C1*	12. Research Administration Records	Research Administration Records document the application, evaluation, awarding, administration, monitoring, and status of extramural grants, cooperative agreements, and contracts for research, scholarly or professional training, or public service programs relating either to research, scholarly or professional training. These records document the administrative activities of research projects in which the University is engaged. Records that document the financial aspects of sponsored projects are not included in this part of the UC Records Retention Schedule; see the Financial and Procurement Records section for those records. Records that document research misconduct or false claims investigative activities are not included in this part of the UC Records Retention Schedule. See the Compliance Records section for those records. Faculty research materials, those records that document principal investigators' actual research activities such as notebooks and raw data, are not included in the UC Records Retention Schedule.	C. Stem Cell Research Records	Stem Cell Research Records document the activities surrounding the use of human embryo stem cells and donated primary biological materials in research at the University. (Records that document the financial aspects of sponsored projects, and research misconduct or false claims investigative activities are not included in this part of the UC Records Retention Schedule. See the Comments section for information.) These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • Records of Chain of Custody, including donation records; and • Embryonic Stem Cell Research Oversight (ESCR) committee records.	C.1. Records of Chain of Custody	Donations, stem cell, biological materials, chain of custody, cells, immortal cell line, adult, embryonic, SCRO, material transfer agreements, MTA	Official Record: Permanent. As noted in RMP-2: record proprietors may contact University archivists for advice on the continuing maintenance of permanent retention records that are not pre-designated for transfer to University Archives. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Permanent records	11/20/2015	Default Division	(1)California Institute for Regenerative Medicine, Grants Administration Policy for Academic and Non-Profit Institutions, III. Pre-Award and Award, C. Public Policy Requirements, page 22 (2)Records that document the financial transactions of sponsored activities are found in Financial and Procurement Records - Accounts Payable/Receivable, Procurement and Banking/Cash Handling Records - Records used as supporting documentation for sponsored activities section of the UC Records Retention Schedule (see 0005A1). (3)Records that document research misconduct or false claims investigations and activities are found in the Compliance Records - Investigation Records section of the UC Records Retention Schedule (see 0006B). (4)According to RMP-1, the UC Records Retention Schedule does not apply to faculty and principal investigators' research materials. Research materials do not include administrative records incidental to award administration such as financial records, contract and grant records, etc. Such administrative records generated by University researchers are the
0012C2*	12. Research Administration Records	Research Administration Records document the application, evaluation, awarding, administration, monitoring, and status of extramural grants, cooperative agreements, and contracts for research, scholarly or professional training, or public service programs relating either to research, scholarly or professional training. These records document the administrative activities of research projects in which the University is engaged. Records that document the financial aspects of sponsored projects are not included in this part of the UC Records Retention Schedule; see the Financial and Procurement Records section for those records. Records that document research misconduct or false claims investigative activities are not included in this part of the UC Records Retention Schedule. See the Compliance Records section for those records. Faculty research materials, those records that document principal investigators' actual research activities such as notebooks and raw data, are not included in the UC Records Retention Schedule.	C. Stem Cell Research Records	Stem Cell Research Records document the activities surrounding the use of human embryo stem cells and donated primary biological materials in research at the University. (Records that document the financial aspects of sponsored projects, and research misconduct or false claims investigative activities are not included in this part of the UC Records Retention Schedule. See the Comments section for information.) These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • Records of Chain of Custody, including donation records; and • Embryonic Stem Cell Research Oversight (ESCR) committee records.	C.2. All Other Stem Cell Research Records	stem cell, biological materials, cells, immortal cell line, adult, embryonic, SCRO, ESCRO, report of unforeseen issues, human embryonic stem cells, amendments, application	Official Record: Retain records for 5 years after the end of the calendar year in which the project closed. All high-profile, watershed, noteworthy and historically significant records are part of the Program Administration Records of Enduring Historical Value records section of the retention schedule and have a permanent retention period. All Other Copies: Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.	Permanent records	11/20/2015	Default Division	(1)California Institute for Regenerative Medicine, Grants Administration Policy for Academic and Non-Profit Institutions, III. Pre-Award and Award, C. Public Policy Requirements, page 22 (2)Records that document the financial transactions of sponsored activities are found in Financial and Procurement Records - Accounts Payable/Receivable, Procurement and Banking/Cash Handling Records - Records used as supporting documentation for sponsored activities section of the UC Records Retention Schedule (see 0005A1). (3)Records that document research misconduct or false claims investigations and activities are found in the Compliance Records - Investigation Records section of the UC Records Retention Schedule (see 0006B). (4)According to RMP-1, the UC Records Retention Schedule does not apply to faculty and principal investigators' research materials. Research materials do not include administrative records incidental to award administration such as financial records, contract and grant records, etc. Such administrative records generated by University researchers are the
29	Admin. Applications, Requests		SCUBA Certification, Application for	SCUBA Certification, Application for		SCUBA, certification, application	7-22 years after termination, graduation, or withdrawal	Delete or destroy after the retention period has lapsed	9/30/2013	Environmental Health & Safety	
30	Admin. Certificates, Licenses, Permits, Registration, Warrantees		Aircraft Registrations	Aircraft Registrations		registration, aircraft, airplane	1 year following disposal of aircraft	Delete or destroy after the retention period has lapsed	9/30/2013	Executing Office	
31	Admin. Certificates, Licenses, Permits, Registration, Warrantees		Alcohol Use Permit	Alcohol Use Permit		permit, alcohol, alcohol use, alcohol use permit	3 years following expiration	Delete or destroy after the retention period has lapsed	9/30/2013	Material Manager	
33	Admin. Certificates, Licenses, Permits, Registration, Warrantees		Controlled Substances/Narcotics Certificate	Controlled Substances/Narcotics Certificate		drugs, certificate, controlled substances, narcotics	3 years following expiration	Delete or destroy after the retention period has lapsed	9/30/2013	Material Manager	
35	Admin. Certificates, Licenses, Permits, Registration, Warrantees		Copyright Licenses	Copyright Licenses		copyright, licenses	3 years following expiration	Delete or destroy after the retention period has lapsed	9/30/2013	Executing Office	
36	Admin. Certificates, Licenses, Permits, Registration, Warrantees		Copyright Registrations	Copyright Registrations		copyright, registration	Until expired	Delete or destroy after the retention period has lapsed	7/30/2013	Executing Office	
37	Admin. Certificates, Licenses, Permits, Registration, Warrantees		Distribution of Literature Permit, Non-University Organizations	Distribution of Literature Permit, Non-University Organizations		distribution permit, literature permit, permit, Non-University Organizations	0-2 years then to Archives	Permanent records	9/30/2013	Dean of Students	
45	Admin. Certificates, Licenses, Permits, Registration, Warrantees		Private Automobile, Use Permit	Private Automobile, Use Permit		Private Automobile, Use Permit	1 year following expiration	Delete or destroy after the retention period has lapsed	9/30/2013	Issuing Office	
50	Admin. Certificates, Licenses, Permits, Registration, Warrantees		Vehicle Registration	Vehicle Registration		Vehicle Registration, car, registration, vehicle	Until disposal of vehicle	Delete or destroy after the retention period has lapsed	7/30/2013	Executing Office	
51	Admin. Certificates, Licenses, Permits, Registration, Warrantees		Vessel and Trailer Registration	Vessel and Trailer Registration		Vessel and Trailer Registration, vessel registration, trailer registration, registration, vessel, trailer	Until disposal of vessel/trailer	Delete or destroy after the retention period has lapsed	7/30/2013	Purchasing	
52	Admin. Certificates, Licenses, Permits, Registration, Warrantees		Vehicle Warrantees	Vehicle Warrantees		vehicle warrantees, vehicle, warrantee	Life of warranty	Delete or destroy after the retention period has lapsed	7/30/2013	Garage	

Records Code	Function	Function Description	Category	Category Description	Sub-Category Title	Keywords	Retention Period	Retention Rule	Publish Date	Primary Owner Override	Comments
99	Admin: Leases		Personal Property Leases/Rentals (e.g. equipment)	Personal Property Leases/Rentals (e.g. equipment)		personal property, leases, rentals, equipment lease, lease, rental, property, equipment	1-3 years following termination - see comment section	Delete or destroy after the retention period has lapsed	9/30/2013	Executing Office	(1)Records documenting the use of bond funds include but are not limited to invoices, payment receipts, journals, ledgers, work papers, and correspondence related to expenditures for the construction of bond financed buildings. They also include records that document operational activities that are conducted in bond financed facilities, including research activity or use authorized by management contracts. Retention Period: Final bond maturity + 5 years
152	Admin: Other		Radiation Usage Records (Includes records concerning: receipt, transfer & disposal; inventory; instrument calibration; sealed source leak tests; internal citations.)	Radiation Usage Records (Includes records concerning: receipt, transfer & disposal; inventory; instrument calibration; sealed source leak tests; internal citations.)		Radiation Usage, receipt, transfer, disposal, inventory, instrument calibration, sealed source leak tests	3 years	Delete or destroy after the retention period has lapsed	9/30/2013	Environmental Health & Safety or Radiation Facility	
156	Admin: Patents		Patent Case Files: Patent Not Issued	Patent Case Files: Patent Not Issued		Patent Case Files, Patent Not Issued, patents, patent	10 years after the last action or expiration of the license or other agreement, then to archives	Permanent records	9/30/2013	Patent, Trademark, & Copyright	
157	Admin: Patents		Patent Case Files: Patent Issued	Patent Case Files: Patent Issued		Patent Case Files: Patent Issued, patents, patent	7 years after the last patents have expired, then to archives	Permanent records	9/30/2013	Patent, Trademark, & Copyright	
158	Admin: Patents		Patent License Agreement	Patent License Agreement		Patent License Agreement	7 years after the date of termination of the license, then to archives	Permanent records	9/30/2013	Patent, Trademark, & Copyright (V)	
159	Admin: Patents		Financial Records, Patent Income, Patent Expense, Inventor	Financial Records, Patent Income, Patent Expense, Inventor's Share Payments		Financial Income, Patent Expense, Inventor's Share Payments	7 years after the last payment, last patent expires, or termination of the license, whichever date is last, then to archives	Permanent records	9/30/2013	Patent, Trademark, & Copyright (V)	
195	Admin: Reports, Rosters		Controlled Substances/Narcotics Inventories	Controlled Substances/Narcotics Inventories		Controlled Substances, Narcotics Inventories, inventory	3 years following certificate expiration	Delete or destroy after the retention period has lapsed	9/30/2013	Purchasing	
204	Admin: Reports, Rosters		Waiver of Liability, Personal Property Reports on Campus	Waiver of Liability, Personal Property Reports on Campus		Waiver of Liability, Personal Property Reports	1-5 years after termination	Delete or destroy after the retention period has lapsed	9/30/2013	Purchasing; Inventory	
206	Admin: Risk Management		BUS-28 - Loss Report (Including Schedule of Clean-up, Repair and Replacement Costs)	BUS-28 - Loss Report (Including Schedule of Clean-up, Repair and Replacement Costs)		Loss Report, Schedule of Clean-up, Repair Costs, Replacement Costs, Repair and Replacement, clean up	5 years after settlement	Delete or destroy after the retention period has lapsed	9/30/2013	OP-RM&S	
207	Admin: Risk Management		DMV Form SR-1, Financial Responsibility	DMV Form SR-1, Financial Responsibility		DMV, SR-1, Financial Responsibility	5 years	Delete or destroy after the retention period has lapsed	9/30/2013	Campus Risk Mgmt. Office	
208	Admin: Risk Management		Domestic Transportation Insurance Report (Domestic Transit Policy)	Domestic Transportation Insurance Report (Domestic Transit Policy)		Domestic Transportation Insurance Report, transportation, insurance, reports, domestic	2-3 years after expiration	Delete or destroy after the retention period has lapsed	9/30/2013	OP-RM&S	
209	Admin: Risk Management		Fine Arts Collections - Section II Schedule Changes	Fine Arts Collections - Section II Schedule Changes		Fine Arts Collections, Section II Schedule Changes, fine arts, collections, schedule changes	3 years after expiration	Delete or destroy after the retention period has lapsed	9/30/2013	OP-RM&S	
210	Admin: Risk Management		Monthly Foreign Transit Insurance Report ("Open Cargo Policy") Insurance Company Form	Monthly Foreign Transit Insurance Report ("Open Cargo Policy") Insurance Company Form		Monthly Foreign Transit Insurance Report, Open Cargo Policy, Insurance Company Form	2 years after expiration	Delete or destroy after the retention period has lapsed	9/30/2013	OP-RM&S	
211	Admin: Risk Management		Prior Approval Form - Domestic Transit	Prior Approval Form - Domestic Transit		Prior Approval Form, Domestic Transit	2 years after expiration	Delete or destroy after the retention period has lapsed	9/30/2013	OP-RM&S	
212	Admin: Risk Management		Proof of Loss - Off Campus	Proof of Loss - Off Campus		Proof of Loss	3 years after expiration	Delete or destroy after the retention period has lapsed	9/30/2013	OP-RM&S	
213	Admin: Risk Management		Property Loss or Damage Report	Property Loss or Damage Report		Property Loss, Damage Report	5 years after settlement	Delete or destroy after the retention period has lapsed	9/30/2013	OP-RM&S	
215	Admin: Risk Management		Report of Vehicle Physical Damage Form	Report of Vehicle Physical Damage Form		Report of Vehicle Physical Damage Form, vehicle damage, report, damage, form	5 years after settlement	Delete or destroy after the retention period has lapsed	9/30/2013	OP-RM&S	
216	Admin: Risk Management		Transit Claim Loss Report	Transit Claim Loss Report		Transit Claim Loss Report	5 years after expiration	Delete or destroy after the retention period has lapsed	9/30/2013	OP-RM&S	
230	Enterprise: Garage		Vehicle Maintenance Ticket	Vehicle Maintenance Ticket		Vehicle Maintenance Ticket	Life of vehicle	Delete or destroy after the retention period has lapsed	7/30/2013	Garage	
283	Enterprise: Storehouse and Receiving		Loss and Damage Claim	Loss and Damage Claim		Loss and Damage Claim, claims, loss, damage	2-5 years	Delete or destroy after the retention period has lapsed	9/30/2013	Purchasing; Receiving	
286	Enterprise: Storehouse and Receiving		Stock Issue Cards, University Storehouse	Stock Issue Cards, University Storehouse		Stock Issue Cards, University Storehouse, stock card	3 years	Delete or destroy after the retention period has lapsed	9/30/2013	Storehouse; Purchasing	
345	Fiscal: Budget and Budget Control		Departmental Background Matl. for Budget Preparation	Departmental Background Matl. for Budget Preparation		Departmental Background, material, Budget Preparation, background, budget, prep	5 years	Delete or destroy after the retention period has lapsed	9/30/2013	Department; Accounting; Chancellor	
346	Fiscal: Budget and Budget Control		Departmental Budget Requests for Each Year	Departmental Budget Requests for Each Year		Departmental Budget Requests, budget request, department	5 years	Delete or destroy after the retention period has lapsed	9/30/2013	Chancellor; Accounting; Budget	
415	Fiscal: Cash Receipts and Receivables		Deferment of Fees	Deferment of Fees		Deferment of fees, fee, deferment	2 years	Delete or destroy after the retention period has lapsed	9/30/2013	Accounting	
437	Fiscal: Equipment Inventory		Equipment Inventory Modification Request	Equipment Inventory Modification Request		Equipment Inventory Modification Request,	5 years	Delete or destroy after the retention period has lapsed	9/30/2013	Equipment Mgmt.	
439	Fiscal: Equipment Inventory		Locator Card/Equipment Property Card	Locator Card/Equipment Property Card		Locator Card, Equipment Property Card, property card, locator, equipment	0-Until equipment disposal	Delete or destroy after the retention period has lapsed	7/30/2013	Custodian Dept.	
447	Fiscal: Equipment Inventory		Report of Equipment Valued at Over \$10,000	Report of Equipment Valued at Over \$10,000		Report of Equipment Valued at Over \$10,000, report, equipment, over 10,000, value 10k	5 years, Subject to the "Gift & Private Grant Requirements"	Delete or destroy after the retention period has lapsed	9/30/2013	Equipment Mgmt.	
525	Fiscal: Purchasing and Disbursements		Transfer Order Excess Personal Property (Filled)	Transfer Order Excess Personal Property (Filled)		Transfer Order Excess Personal Property	5 years	Delete or destroy after the retention period has lapsed	9/30/2013	Inventory	
556	Fiscal: Other		Abstract of Judgment and Affidavit	Abstract of Judgment and Affidavit		Abstract, Judgment, Affidavit	1 year	Delete or destroy after the retention period has lapsed	9/30/2013	VC-Business & Finance	
599	Fiscal: Other		Proof of Loss	Proof of Loss		Proof of Loss	2 years	Delete or destroy after the retention period has lapsed	9/30/2013	OP-Risk Management	
721	Medical: Student Health Services		Inpatient Medical Records	Inpatient Medical Records		Inpatient Medical, in-patient, patient medical	10-25 years after last update	Delete or destroy after the retention period has lapsed	9/30/2013	Student Health Service	(1)Some of these records will have restricted information in them. Records containing restricted information (regardless of media) must be protected from unauthorized access, disclosure and disposition, in accordance with University policy and California and Federal laws. Restricted information includes "Notice-Triggering Information" as defined in UC Business and Finance Bulletin Information Series Policy IS-2: (name plus Social Security Number, driver's license or California identification card number, financial account number with a security code, medical information or health insurance information). (2)Since some of these records may contain restricted information, creating copies is discouraged. If created, they must be protected from unauthorized access, disclosure and disposition in accordance with University policy and California and Federal laws.

Records Code	Function	Function Description	Category	Category Description	Sub-Category Title	Keywords	Retention Period	Retention Rule	Publish Date	Primary Owner Override	Comments
723	Medical: Student Health Services		Radiographic Films	Radiographic Films		Radiographic Films	7-10 years after last date of activity	Delete or destroy after the retention period has lapsed	9/30/2013	Student Health Service	(1)Some of these records will have restricted information in them. Records containing restricted information (regardless of media) must be protected from unauthorized access, disclosure and disposition, in accordance with University policy and California and Federal laws. Restricted information includes "Notice-Triggering Information" as defined in UC Business and Finance Bulletin Information Series Policy IS-2: (name plus Social Security Number, driver's license or California identification card number, financial account number with a security code, medical information or health insurance information). (2)Since some of these records may contain restricted information, creating copies is discouraged. If created, they must be protected from unauthorized access, disclosure and disposition in accordance with University policy and California and Federal laws.
727	Medical: Student Health Services		Student Health Service Insurance records	Student Health Service Insurance records		Student Health Service Insurance records, student insurance	2 years	Delete or destroy after the retention period has lapsed	9/30/2013	Student Health Service	
728	Medical: Student Health Services		Student Health Service Patient Clinic Registration and Appointment Listings	Student Health Service Patient Clinic Registration and Appointment Listings		Student Health Service, Patient Clinic, Registration, Appointment Listings	5-2 years	Delete or destroy after the retention period has lapsed	9/30/2013	Student Health Service	
730	Medical: Teaching and Research Hospital		Hospital Admissions and Services, Daily and Monthly	Hospital Admissions and Services, Daily and Monthly		Hospital Admissions, Services, Daily, Monthly	Upon completion of yearly report	Delete or destroy after the retention period has lapsed	7/30/2013	Hospital	
731	Medical: Teaching and Research Hospital		Hospital Admissions and Discharge Records	Hospital Admissions and Discharge Records		Hospital Admission, Discharge, admission, discharges, hospital	6 years	Delete or destroy after the retention period has lapsed	9/30/2013	Hospital	
732	Medical: Teaching and Research Hospital		Appointment Books - Clinics, Laboratory, Therapy, and X-ray	Appointment Books - Clinics, Laboratory, Therapy, and X-ray		Appointment Books, Clinics, Laboratory, Therapy, X-ray	2 years	Delete or destroy after the retention period has lapsed	9/30/2013	Hospital	
733	Medical: Teaching and Research Hospital		Bacteriological Testing of Ice	Bacteriological Testing of Ice		Bacteriological Testing of Ice, ice test, bacteria test, ice bacteriological test	2 years	Delete or destroy after the retention period has lapsed	9/30/2013	Hospital	
734	Medical: Teaching and Research Hospital		Birth Records and Certificates	Birth Records and Certificates		Birth Records, Birth Certificates	Permanent	Permanent records	7/30/2013	Hospital	(1)Some of these records will have restricted information in them. Records containing restricted information (regardless of media) must be protected from unauthorized access, disclosure and disposition, in accordance with University policy and California and Federal laws. Restricted information includes "Notice-Triggering Information" as defined in UC Business and Finance Bulletin Information Series Policy IS-2: (name plus Social Security Number, driver's license or California identification card number, financial account number with a security code, medical information or health insurance information). (2)Since some of these records may contain restricted information, creating copies is discouraged. If created, they must be protected from unauthorized access, disclosure and disposition in accordance with University policy and California and Federal laws.
735	Medical: Teaching and Research Hospital		Birth Room Record - List from Maternity Department	Birth Room Record - List from Maternity Department		Birth Room Record, List from Maternity Department, birth room list, maternity room, delivery room list	Permanent	Permanent records	7/29/2013	Hospital	
736	Medical: Teaching and Research Hospital		Blood Donor Histories	Blood Donor Histories		Blood Donor Histories	7 years	Delete or destroy after the retention period has lapsed	9/30/2013	Hospital	
737	Medical: Teaching and Research Hospital		Blood Transfusions	Blood Transfusions		Blood Transfusions	10 years, except for minors	Delete or destroy after the retention period has lapsed	9/30/2013	Hospital	
738	Medical: Teaching and Research Hospital		Census	Census		Census	6 years	Delete or destroy after the retention period has lapsed	9/30/2013	Hospital	
739	Medical: Teaching and Research Hospital		Controlled Substances: Alcohol (Tax Free) Inventory and others	Controlled Substances: Alcohol (Tax Free) Inventory and others		Controlled Substances, Alcohol, Tax Free alcohol, Inventory	6 years	Delete or destroy after the retention period has lapsed	9/30/2013	Hospital	
740	Medical: Teaching and Research Hospital		Controlled Substances: Narcotics Inventory	Controlled Substances: Narcotics Inventory		Controlled Substances, Narcotics Inventory	2 years	Delete or destroy after the retention period has lapsed	9/30/2013	Hospital	
741	Medical: Teaching and Research Hospital		Controlled Substances: Methadone Dispensing - Record of Drug Dispensed	Controlled Substances: Methadone Dispensing - Record of Drug Dispensed		Controlled Substances, Methadone Dispensing, Drug Dispensed, log, drug dispensary	3 years	Delete or destroy after the retention period has lapsed	9/30/2013	Hospital	
743	Medical: Teaching and Research Hospital		Controlled Substances Dispensed	Controlled Substances Dispensed		Controlled Substances Dispensed	3 years	Delete or destroy after the retention period has lapsed	9/30/2013	Hospital	
744	Medical: Teaching and Research Hospital		Controlled Substances: Prescriptions	Controlled Substances: Prescriptions		Controlled Substances, Prescriptions	3 years	Delete or destroy after the retention period has lapsed	9/30/2013	Hospital	
745	Medical: Teaching and Research Hospital		Radioactive Drugs	Radioactive Drugs		Radioactive Drugs	3 years	Delete or destroy after the retention period has lapsed	9/30/2013	Hospital	
746	Medical: Teaching and Research Hospital		Radioisotopes (Including: Receipt, Transfer, Use, Storage, Delivery, Disposal and Reports of Overexposure)	Radioisotopes (Including: Receipt, Transfer, Use, Storage, Delivery, Disposal and Reports of Overexposure)		Radioisotopes, receipts, transfer, use, storage, delivery, disposal, Reports, Overexposure	Permanent	Permanent records	7/29/2013	Hospital	
747	Medical: Teaching and Research Hospital		Controlled Substances: Recall Records	Controlled Substances: Recall Records		Controlled Substances, Recall Records	2 years	Delete or destroy after the retention period has lapsed	9/30/2013	Hospital	
748	Medical: Teaching and Research Hospital		Inspection by Pharmacist of Emergency Drug Supplies	Inspection by Pharmacist of Emergency Drug Supplies		Inspection, Pharmacist, Emergency Drug, Supplies	3 years	Delete or destroy after the retention period has lapsed	9/30/2013	Hospital	
749	Medical: Teaching and Research Hospital		Cytology Reports	Cytology Reports		Cytology Reports	10 years	Delete or destroy after the retention period has lapsed	9/30/2013	Hospital	
750	Medical: Teaching and Research Hospital		Cytology Slides and Cell Blocks	Cytology Slides and Cell Blocks		Cytology Slides, Cell Blocks	5 years	Delete or destroy after the retention period has lapsed	9/30/2013	Hospital	

Records Code	Function	Function Description	Category	Category Description	Sub-Category Title	Keywords	Retention Period	Retention Rule	Publish Date	Primary Owner Override	Comments
751	Medical: Teaching and Research Hospital		Death Records and Certificates	Death Records and Certificates		Death Records, Death Certificates	Permanent	Permanent records	7/30/2013	Hospital	(1)Some of these records will have restricted information in them. Records containing restricted information (regardless of media) must be protected from unauthorized access, disclosure and disposition, in accordance with University policy and California and Federal laws. Restricted information includes "Notice-Triggering Information" as defined in UC Business and Finance Bulletin Information Series Policy IS-2: (name plus Social Security Number, driver's license or California identification card number, financial account number with a security code, medical information or health insurance information). (2)Since some of these records may contain restricted information, creating copies is discouraged. If created, they must be protected from unauthorized access, disclosure and disposition in accordance with University policy and California and Federal laws.
752	Medical: Teaching and Research Hospital		Diet Patient Cards	Diet Patient Cards		Diet Patient Cards	0-1 year after discharge	Delete or destroy after the retention period has lapsed	9/30/2013	Hospital	
753	Medical: Teaching and Research Hospital		Electrocardiograms	Electrocardiograms		Electrocardiograms	10-25 years following last recorded activity, with records of minors kept 1 yr past age of majority, or permanent.	Delete or destroy after the retention period has lapsed	7/30/2013	Hospital	
754	Medical: Teaching and Research Hospital		Electroencephalograms	Electroencephalograms		Electroencephalograms	10-25 years following last recorded activity, with records of minors kept 1 yr past age of majority, or permanent.	Delete or destroy after the retention period has lapsed	7/30/2013	Hospital	
755	Medical: Teaching and Research Hospital		Hospital Employee Health Records	Hospital Employee Health Records		Hospital Employee Health Records, employee medical	5 years after termination of employment	Delete or destroy after the retention period has lapsed	9/30/2013	Hospital	
756	Medical: Teaching and Research Hospital		Fetal Heart Rate Monitor	Fetal Heart Rate Monitor		Fetal Heart Rate Monitor	10 years	Delete or destroy after the retention period has lapsed	9/30/2013	Hospital	
759	Medical: Teaching and Research Hospital		Inhalation Notes	Inhalation Notes		Inhalation Notes	0-5 years	Delete or destroy after the retention period has lapsed	9/30/2013	Hospital	
760	Medical: Teaching and Research Hospital		Laboratory Test Registers	Laboratory Test Registers		Laboratory Test Registers	10 years	Delete or destroy after the retention period has lapsed	9/30/2013	Hospital	
761	Medical: Teaching and Research Hospital		Requests for Laboratory Tests	Requests for Laboratory Tests		Requests for Laboratory Tests, lab tests request	2 weeks	Delete or destroy after the retention period has lapsed	7/30/2013	Hospital	
762	Medical: Teaching and Research Hospital		Laboratory Test Results, excluding X-ray, Pathology, EKG, & EEG Tracings	Laboratory Test Results, excluding X-ray, Pathology, EKG, & EEG Tracings		Laboratory Test Results, Pathology, EKG, EEG Tracings, lab, lab results	3 months	Delete or destroy after the retention period has lapsed	7/30/2013	Hospital	
764	Medical: Teaching and Research Hospital		Medical Records History (see also Patient Record)	Medical Records History (see also Patient Record)		Medical Records History, Patient Record, medical record	10-25 years following last recorded activity, with records of minors kept 1 yr past age of majority, or permanent.	Delete or destroy after the retention period has lapsed	7/30/2013	Hospital	(1)Most of these records will have restricted information in them. Records containing restricted information (regardless of media) must be protected from unauthorized access, disclosure and disposition, in accordance with University policy and California and Federal laws. Restricted information includes "Notice-Triggering Information" as defined in UC Business and Finance Bulletin Information Series Policy IS-2: (name plus Social Security Number, driver's license or California identification card number, financial account number with a security code, medical information or health insurance information). (2)Since most of these records contain restricted information, creating copies is discouraged. If created, they must be protected from unauthorized access, disclosure and disposition in accordance with University policy and California and Federal laws.
766	Medical: Teaching and Research Hospital		Medical Staff Records: Residents, Interns & Fellows	Medical Staff Records: Residents, Interns & Fellows		Medical Staff Records, Residents, Interns, Fellows	Permanent	Permanent records	7/29/2013	Hospital	
768	Medical: Teaching and Research Hospital		Medicare and Medi-Cal Records	Medicare and Medi-Cal Records		Medicare, Medi-Cal, billing, cost, costs, reports, medical record, hospital, physician	3-5 years	Delete or destroy after the retention period has lapsed	9/30/2013	Hospital	
771	Medical: Teaching and Research Hospital		Nuclear Medicine: Calibration Records	Nuclear Medicine: Calibration Records		Nuclear Medicine, Calibration Records	3 years	Delete or destroy after the retention period has lapsed	9/30/2013	Hospital	
772	Medical: Teaching and Research Hospital		Nuclear Medicine: Exposure Records	Nuclear Medicine: Exposure Records		Nuclear Medicine, Exposure Records	Permanent	Permanent records	7/29/2013	Hospital	
773	Medical: Teaching and Research Hospital		Nuclear Medicine: Film Body Records	Nuclear Medicine: Film Body Records		Nuclear Medicine, Film Body	6 years	Delete or destroy after the retention period has lapsed	9/30/2013	Hospital	
774	Medical: Teaching and Research Hospital		Nuclear Medicine: Radiation Dose Records	Nuclear Medicine: Radiation Dose Records		Nuclear Medicine, Radiation Dose	Permanent	Permanent records	7/29/2013	Hospital	
775	Medical: Teaching and Research Hospital		Nuclear Medicine: Reports of Overexposure	Nuclear Medicine: Reports of Overexposure		Nuclear Medicine, Reports, Overexposure	Permanent	Permanent records	7/29/2013	Hospital	
776	Medical: Teaching and Research Hospital		Nuclear Medicine: Transfer and Disposal Records	Nuclear Medicine: Transfer and Disposal Records		Nuclear Medicine, Transfer, Disposal	Permanent	Permanent records	7/29/2013	Hospital	
777	Medical: Teaching and Research Hospital		Nuclear Medicine: Utilization Records	Nuclear Medicine: Utilization Records		Nuclear Medicine, Utilization Records	6 years	Delete or destroy after the retention period has lapsed	9/30/2013	Hospital	
779	Medical: Teaching and Research Hospital		Nursing - Methodology Used to Determine Staffing	Nursing - Methodology Used to Determine Staffing		Nursing, nurse, Staffing	1-6 years	Delete or destroy after the retention period has lapsed	9/30/2013	Hospital	
780	Medical: Teaching and Research Hospital		Nursing - Private Duty Name File	Nursing - Private Duty Name File		Nursing, Private Duty, Name File, nurse, list	6 years after last use	Delete or destroy after the retention period has lapsed	9/30/2013	Hospital	
781	Medical: Teaching and Research Hospital		Nursing - Private Duty Name File	Nursing - Private Duty Name File		Nursing, Private Duty, Name File, nurse, list	6 years after last use	Delete or destroy after the retention period has lapsed	9/30/2013	Hospital	
782	Medical: Teaching and Research Hospital		Pathology Reports	Pathology Reports		Pathology Reports	10-25 years following last recorded activity, with records of minors kept 1 yr past age of majority, or permanent.	Delete or destroy after the retention period has lapsed	7/29/2013	Hospital	
783	Medical: Teaching and Research Hospital		Pathology Slides	Pathology Slides		Pathology Slides	5-10 years	Delete or destroy after the retention period has lapsed	9/30/2013	Hospital	
784	Medical: Teaching and Research Hospital		Pathology: Specimen Records	Pathology: Specimen Records		Pathology, Specimen	6 years	Delete or destroy after the retention period has lapsed	9/30/2013	Hospital	

Records Code	Function	Function Description	Category	Category Description	Sub-Category Title	Keywords	Retention Period	Retention Rule	Publish Date	Primary Owner Override	Comments
785	Medical: Teaching and Research Hospital		Patient Medical Records, including: admission record; history; physical exam; temperature chart; nurses	Patient Medical Records, including: admission record; history; physical exam; temperature chart; nurses' notes; physicians' orders; progress notes; laboratory & consultation reports; summary or final diagnosis signed by attending physician		medical history, physical exam; temperature chart, charts, nurse notes, nurse's notes, nurses' notes, doctor notes, dr notes, doctor's notes, doctors' notes, physicians' orders, doctor orders, orders, notes, progress notes, laboratory, lab, consultation, consultations, reports, summary, final diagnosis, signed by attending physician	10 years or more following last recorded activity, with records of minors kept at least one year past age of majority, or permanent	Delete or destroy after the retention period has lapsed	7/30/2013	Hospital	(1)The majority of these records will have restricted information in them. Records containing restricted information (regardless of media) must be protected from unauthorized access, disclosure and disposition, in accordance with University policy and California and Federal laws. Restricted information includes "Notice-Triggering Information" as defined in UC Business and Finance Bulletin Information Series Policy IS-2: (name plus Social Security Number, driver's license or California identification card number, financial account number with a security code, medical information or health insurance information). (2)Since many of these records contain restricted information, creating copies is discouraged. If created, they must be protected from unauthorized access, disclosure and disposition in accordance with University policy and California and Federal laws. (3)Some of these records are vital records. See RMP-4 at http://policy.ucop.edu/doc/7020458/BFB-RMP-4 for more information.
786	Medical: Teaching and Research Hospital		Patient Medical Records, Surgical Report, complete with: consent for operation; anesthetic record; pre- and post-operative diagnosis; operative procedure; findings; and tissue diagnosis	Patient Medical Records, Surgical Report, complete with: consent for operation; anesthetic record; pre- and post-operative diagnosis; operative procedure; findings; and tissue diagnosis		Patient Medical Records, Surgical Report, consent, consent forms, anesthetic record, pre-operative, pre- surgery, post- operative, post surgery, diagnosis, operative procedure, findings,tissue diagnosis	10 years or more following last recorded activity, with records of minors kept at least one year past age of majority, or permanent	Delete or destroy after the retention period has lapsed	7/30/2013	Hospital	(1)The majority of these records will have restricted information in them. Records containing restricted information (regardless of media) must be protected from unauthorized access, disclosure and disposition, in accordance with University policy and California and Federal laws. Restricted information includes "Notice-Triggering Information" as defined in UC Business and Finance Bulletin Information Series Policy IS-2: (name plus Social Security Number, driver's license or California identification card number, financial account number with a security code, medical information or health insurance information). (2)Since many of these records contain restricted information, creating copies is discouraged. If created, they must be protected from unauthorized access, disclosure and disposition in accordance with University policy and California and Federal laws. (3)Some of these records are vital records. See RMP-4 at http://policy.ucop.edu/doc/7020458/BFB-RMP-4 for more information.
787	Medical: Teaching and Research Hospital		Patient Medical Records: Labor Record	Patient Medical Records: Labor Record		Patient Medical Records, Labor Record	10 years or more following last recorded activity, with records of minors kept at least one year past age of majority, or permanent	Delete or destroy after the retention period has lapsed	7/30/2013	Hospital	(1)The majority of these records will have restricted information in them. Records containing restricted information (regardless of media) must be protected from unauthorized access, disclosure and disposition, in accordance with University policy and California and Federal laws. Restricted information includes "Notice-Triggering Information" as defined in UC Business and Finance Bulletin Information Series Policy IS-2: (name plus Social Security Number, driver's license or California identification card number, financial account number with a security code, medical information or health insurance information). (2)Since many of these records contain restricted information, creating copies is discouraged. If created, they must be protected from unauthorized access, disclosure and disposition in accordance with University policy and California and Federal laws. (3)Some of these records are vital records. See RMP-4 at http://policy.ucop.edu/doc/7020458/BFB-RMP-4 for more information.
788	Medical: Teaching and Research Hospital		Patient Medical Records: X-ray Reports	Patient Medical Records: X-ray Reports		Patient Medical Records, X-ray Reports	10 years or more following last recorded activity, with records of minors kept at least one year past age of majority, or permanent	Delete or destroy after the retention period has lapsed	7/30/2013	Hospital	(1)The majority of these records will have restricted information in them. Records containing restricted information (regardless of media) must be protected from unauthorized access, disclosure and disposition, in accordance with University policy and California and Federal laws. Restricted information includes "Notice-Triggering Information" as defined in UC Business and Finance Bulletin Information Series Policy IS-2: (name plus Social Security Number, driver's license or California identification card number, financial account number with a security code, medical information or health insurance information). (2)Since many of these records contain restricted information, creating copies is discouraged. If created, they must be protected from unauthorized access, disclosure and disposition in accordance with University policy and California and Federal laws. (3)Some of these records are vital records. See RMP-4 at http://policy.ucop.edu/doc/7020458/BFB-RMP-4 for more information.

Records Code	Function	Function Description	Category	Category Description	Sub-Category Title	Keywords	Retention Period	Retention Rule	Publish Date	Primary Owner Override	Comments
789	Medical: Teaching and Research Hospital		Patient Medical Records: Autopsy, including permission for autopsy & report	Patient Medical Records: Autopsy, including permission for autopsy & report		Patient Medical Records, Autopsy, permission for autopsy, report	10 years or more following last recorded activity, with records of minors kept at least one year past age of majority, or permanent	Delete or destroy after the retention period has lapsed	7/30/2013	Hospital	(1)The majority of these records will have restricted information in them. Records containing restricted information (regardless of media) must be protected from unauthorized access, disclosure and disposition, in accordance with University policy and California and Federal laws. Restricted information includes "Notice-Triggering Information" as defined in UC Business and Finance Bulletin Information Series Policy IS-2: (name plus Social Security Number, driver's license or California identification card number, financial account number with a security code, medical information or health insurance information). (2)Since many of these records contain restricted information, creating copies is discouraged. If created, they must be protected from unauthorized access, disclosure and disposition in accordance with University policy and California and Federal laws. (3)Some of these records are vital records. See RMP-4 at http://policy.ucop.edu/doc/7020458/BFB-RMP-4 for more information.
790	Medical: Teaching and Research Hospital		Patient Medical Records: Card File and/or Index	Patient Medical Records: Card File and/or Index		Patient Medical Records, Card File, Index	10 years or more following last recorded activity, with records of minors kept at least one year past age of majority, or permanent	Delete or destroy after the retention period has lapsed	7/30/2013	Hospital	(1)The majority of these records will have restricted information in them. Records containing restricted information (regardless of media) must be protected from unauthorized access, disclosure and disposition, in accordance with University policy and California and Federal laws. Restricted information includes "Notice-Triggering Information" as defined in UC Business and Finance Bulletin Information Series Policy IS-2: (name plus Social Security Number, driver's license or California identification card number, financial account number with a security code, medical information or health insurance information). (2)Since many of these records contain restricted information, creating copies is discouraged. If created, they must be protected from unauthorized access, disclosure and disposition in accordance with University policy and California and Federal laws. (3)Some of these records are vital records. See RMP-4 at http://policy.ucop.edu/doc/7020458/BFB-RMP-4 for more information.
791	Medical: Teaching and Research Hospital		Hospital accident or incident reports	Hospital accident or incident reports		Hospital accident reports, incident reports, accident report, incident report	6 years	Delete or destroy after the retention period has lapsed	9/30/2013	Hospital	
792	Medical: Teaching and Research Hospital		Hospital Admission or Discharge Reports	Hospital Admission or Discharge Reports		Hospital Admission, Discharge Reports	6 years	Delete or destroy after the retention period has lapsed	9/30/2013	Hospital	
795	Medical: Teaching and Research Hospital		Communicable Disease Reports to State and Local Health Departments	Communicable Disease Reports to State and Local Health Departments		Communicable Disease Reports	3 years	Delete or destroy after the retention period has lapsed	9/30/2013	Hospital	
796	Medical: Teaching and Research Hospital		Emergency Room Reports	Emergency Room Reports		Emergency Room Reports	10 years	Delete or destroy after the retention period has lapsed	9/30/2013	Hospital	
798	Medical: Teaching and Research Hospital		Inspection Reports by Local, State, or Federal Agencies	Inspection Reports by Local, State, or Federal Agencies		Inspection Reports	3 years	Delete or destroy after the retention period has lapsed	9/30/2013	Hospital	
800	Medical: Teaching and Research Hospital		Psychiatric Reports to State Health Department	Psychiatric Reports to State Health Department		Psychiatric Reports	6 years	Delete or destroy after the retention period has lapsed	9/30/2013	Hospital	
801	Medical: Teaching and Research Hospital		Hospital Reports: Unusual Occurrences	Hospital Reports: Unusual Occurrences		Hospital Reports, Unusual Occurrences	2 years, longer if of continuing interest	Delete or destroy after the retention period has lapsed	9/30/2013	Hospital	
802	Medical: Teaching and Research Hospital		Social Services Confidential Case Histories	Social Services Confidential Case Histories		Social Services Confidential Case Histories	5 years	Delete or destroy after the retention period has lapsed	9/30/2013	Hospital	
803	Medical: Teaching and Research Hospital		Surgery Operating Room Schedule	Surgery Operating Room Schedule		Surgery Operating Room Schedule	10 years	Delete or destroy after the retention period has lapsed	9/30/2013	Hospital	
804	Medical: Teaching and Research Hospital		Surgery, Register of Operations	Surgery, Register of Operations		Surgery, Register, Operations	10 years-Permanent	Delete or destroy after the retention period has lapsed	9/30/2013	Hospital	
805	Medical: Teaching and Research Hospital		Hospital Surveys	Hospital Surveys		Hospital Surveys	3 years	Delete or destroy after the retention period has lapsed	9/30/2013	Hospital	
806	Medical: Teaching and Research Hospital		Therapy Treatment Records when not included in Patient Records, both inpatient & outpatient	Therapy Treatment Records when not included in Patient Records, both inpatient & outpatient		Therapy Treatment Records, inpatient, outpatient	10-25 years following last recorded activity, with records of minors kept 1 yr past age of majority, or permanent.	Delete or destroy after the retention period has lapsed	7/30/2013	Hospital	
807	Medical: Teaching and Research Hospital		Tumor Registry Files	Tumor Registry Files		Tumor Registry Files	Permanent	Permanent records	7/29/2013	Hospital	
809	Medical: Teaching and Research Hospital		Welfare Agency Records	Welfare Agency Records		Welfare Agency Records	7 years	Delete or destroy after the retention period has lapsed	9/30/2013	Hospital	
810	Medical: Teaching and Research Hospital		X-ray Films	X-ray Films		X-ray Films	10-25 years following last recorded activity, with records of minors kept 1 yr past age of majority, or permanent.	Delete or destroy after the retention period has lapsed	11/17/2015	Hospital	
822	Medical: Student Health Services		Outpatient Records	Outpatient Records		Outpatient, outpatients, medical, patient	10-25 years after last date of activity	Delete or destroy after the retention period has lapsed	9/30/2013	Student Health Service	
1186	P/P/B: Employment		Disclosure of Personal Information Records	Disclosure of Personal Information Records		Disclosure of Personal Information	3 years or until disclosed record is destroyed, whichever is shorter	Delete or destroy after the retention period has lapsed	9/30/2013	Various	
1596	Library: Acquisitions		Library Purchase/Lease Agreements	Library Purchase/Lease Agreements		Library Purchase, Library Lease Agreements	5 years after expiration	Delete or destroy after the retention period has lapsed	9/30/2013	Library	
1600	Library: Acquisitions		Open Order Cancellation File	Open Order Cancellation File		Open Order Cancellation File	1-5 years	Delete or destroy after the retention period has lapsed	9/30/2013	Library	
1601	Library: Acquisitions		Library Donor File	Library Donor File		Library Donor File	Permanent	Permanent records	7/29/2013	Library	
1602	Library: Acquisitions		Library Gifts-Exchange File	Library Gifts-Exchange File		Library Gifts, Exchange File	Until superseded	Delete or destroy after the retention period has lapsed	7/30/2013	Library	
1603	Library: Cataloging		Author and/or Subject Authority File-On Line and On Paper	Author and/or Subject Authority File-On Line and On Paper		Author, Subject, Authority File	One file is permanent; one until superseded	Permanent records	7/29/2013	Library	(1)Some of these records are vital records. See RMP-4 at http://policy.ucop.edu/doc/7020458/BFB-RMP-4 for more information.
1604	Library: Cataloging		Card Catalog or Catalog Records-Author, Title, Subject	Card Catalog or Catalog Records-Author, Title, Subject		Card Catalog, Catalog Records, Author, Title, Subject	Until superseded	Delete or destroy after the retention period has lapsed	7/30/2013	Library	
1605	Library: Cataloging		Shelf Lists	Shelf Lists		Shelf Lists	Until superseded	Delete or destroy after the retention period has lapsed	7/30/2013	Library	
1606	Library: Circulation		Authorization Cards-Library Card Application/Info	Authorization Cards-Library Card Application/Info		Authorization Cards, Library Card Application	0-5 years after expiration	Delete or destroy after the retention period has lapsed	9/30/2013	Library	
1609	Library: Circulation		Document Delivery Request Form	Document Delivery Request Form		Document Delivery Request Form	1 year	Delete or destroy after the retention period has lapsed	9/30/2013	Library	
1610	Library: Circulation		Document Delivery Authorization Form	Document Delivery Authorization Form		Document Delivery Authorization Form	1 year	Delete or destroy after the retention period has lapsed	9/30/2013	Library	

Records Code	Function	Function Description	Category	Category Description	Sub-Category Title	Keywords	Retention Period	Retention Rule	Publish Date	Primary Owner Override	Comments
1611	Library: Circulation		Library Loans: Returned Late Files	Library Loans: Returned Late Files		Library Loans, Returned Late Files	Until action taken-5 years	Delete or destroy after the retention period has lapsed	9/30/2013	Library	
1612	Library: Circulation		Library Loans: Returned On-Time Files	Library Loans: Returned On-Time Files		Library Loans, Returned On-Time Files, on time returns	Until action taken-2 years	Delete or destroy after the retention period has lapsed	9/30/2013	Library	
1613	Library: Circulation		Library Loans: Replacement Bill Files	Library Loans: Replacement Bill Files		Library Loans, Replacement Bill Files	Until action taken-5 years	Delete or destroy after the retention period has lapsed	9/30/2013	Library	
1614	Library: Circulation		Library Loans: Reserve Book Cards/Lists	Library Loans: Reserve Book Cards/Lists		Library Loans, Reserve Book Cards, reserve lists	0-5 years	Delete or destroy after the retention period has lapsed	9/30/2013	Library	
1615	Library: Circulation		CLSI - "UC System" Logs	CLSI - "UC System" Logs		CLSI, UC System Logs	0-2 years	Delete or destroy after the retention period has lapsed	9/30/2013	Library	
1616	Library: Government Publications		Government Publication Claims	Government Publication Claims		Government, Publication, Claims	0-3 years	Delete or destroy after the retention period has lapsed	9/30/2013	Library	
1617	Library: Government Publications		Depository Item Cards	Depository Item Cards		Depository Item Cards	Permanent	Permanent records	7/29/2013	Library	
1619	Library: Government Publications		Govt. Publications Catalog Organized by Issuing Body	Govt. Publications Catalog Organized by Issuing Body		Government, Publications, Catalog, Issuing Body	Permanent	Permanent records	7/29/2013	Library	
1620	Library: Government Publications		Govt. Publications Item Selections List	Govt. Publications Item Selections List		Government, Publications, Item Selections List	Permanent	Permanent records	7/29/2013	Library	
1621	Library: Government Publications		Govt. Publications Shipping Lists	Govt. Publications Shipping Lists		Government, Publications, Shipping Lists	1-2 years	Delete or destroy after the retention period has lapsed	9/30/2013	Library	
1622	Library: Government Publications		Govt. Publications Address File	Govt. Publications Address File		Government, Publications, Address File	Permanent	Permanent records	7/29/2013	Library	
1623	Library: Government Publications		Govt. Publications Bills - Replacement Costs and Processing Fees	Govt. Publications Bills - Replacement Costs and Processing Fees		Government, Publications, Bills, Replacement Costs, Processing Fees	5 years	Delete or destroy after the retention period has lapsed	9/30/2013	Library	
1624	Library: Government Publications		Govt. Publications Circulation Records	Govt. Publications Circulation Records		Government, Publications, Circulation Records	Until action taken	Delete or destroy after the retention period has lapsed	7/30/2013	Library	
1625	Library: Government Publications		Govt. Publications Budget Records	Govt. Publications Budget Records		Government, Publications, Budget Records	Permanent	Permanent records	7/29/2013	Library	
1626	Library: Government Publications		Govt. Publications - Automated Information Retrieval Service Records	Govt. Publications - Automated Information Retrieval Service Records		Government, Publications, Automated Information Retrieval Service Records	2 years	Delete or destroy after the retention period has lapsed	9/30/2013	Library	
1627	Library: Serials		Serials Record	Serials Record		Serials Record	Permanent	Permanent records	7/29/2013	Library	
1628	Library: Serials		Serials - Correspondence with Vendors	Serials - Correspondence with Vendors		Serials - Correspondence with Vendors	Until action taken-5 years	Delete or destroy after the retention period has lapsed	9/30/2013	Library	
1629	Library: Serials		Serials - Follow-up Files	Serials - Follow-up Files		Serials, Follow-up, follow up	Until action taken-1 year	Delete or destroy after the retention period has lapsed	9/30/2013	Library	
1630	Library: Serials		Series Authority File	Series Authority File		Series Authority File	Permanent	Permanent records	7/29/2013	Library	
1631	Library: Serials		Serials - Cancellation Files	Serials - Cancellation Files		Serials, cancellation	0-10 years	Delete or destroy after the retention period has lapsed	9/30/2013	Library	
1632	Library: Serials		Serials - Retired Files	Serials - Retired Files		Serials, Retired	Until action taken-5 years	Delete or destroy after the retention period has lapsed	9/30/2013	Library	
1633	Library: Serials		Serials - Replacement Files	Serials - Replacement Files		Serials, Replacement	Permanent or until superseded	Permanent records	7/29/2013	Library	
1634	Library: Serials		Serials - Membership and Yearly Renewal Files	Serials - Membership and Yearly Renewal Files		Serials, Membership and Yearly Renewal, yearly renewal, membership renewal, annual renewal	Until superseded	Delete or destroy after the retention period has lapsed	7/30/2013	Library	
1635	Library: Serials		Newspaper File	Newspaper File		Newspaper, newspapers	Permanent	Permanent records	7/29/2013	Library	
1636	Library: Serials		Serials - Purchasing Authority	Serials - Purchasing Authority		Serials, Purchasing, Authority	Permanent	Permanent records	7/29/2013	Library	
1640	Library: Serials		NRLF (Northern Regional Library) - on line	NRLF (Northern Regional Library) - on line		NRLF, Northern Regional Library, on line	Permanent	Permanent records	7/29/2013	Library	
1641	Library: Serials		NRLF (Northern Regional Library) - on paper	NRLF (Northern Regional Library) - on paper		NRLF, Northern Regional Library	2 years	Delete or destroy after the retention period has lapsed	9/30/2013	Library	
1642	Library: Interlibrary Loans		Borrower Records	Borrower Records		ILL Borrower, interlibrary loan	2-5 years	Delete or destroy after the retention period has lapsed	9/30/2013	Library	
1643	Library: Interlibrary Loans		Lender Records	Lender Records		ILL Lender, interlibrary loan	0-5 years	Delete or destroy after the retention period has lapsed	9/30/2013	Library	
1645	Library: Interlibrary Loans		Interlibrary Loan Photoduplicating Orders (Transaction Slips)	Interlibrary Loan Photoduplicating Orders (Transaction Slips)		Interlibrary Loan, Photoduplicating Orders, Transaction Slips, ILL, photocopy order, order, slips, transactions	2-5 years	Delete or destroy after the retention period has lapsed	9/30/2013	Library	
1647	Library: Interlibrary Loans		Interlibrary Loan Photoduplicating Copyright File	Interlibrary Loan Photoduplicating Copyright File		Interlibrary Loan, Photoduplicating, Copyright, ILL, photocopy	4 years	Delete or destroy after the retention period has lapsed	9/30/2013	Library	
1649	Library: Bindery		Bindery Information Files	Bindery Information Files		Bindery Information	Permanent	Permanent records	7/29/2013	Library	