

## WHAT WE DO

UC Santa Cruz creates and maintains information (both paper and electronic) while managing the activities that are central to University of California's mission of teaching, research, and public service.

**The University of California Records Management Program** governs the ownership, roles and responsibilities, protection, use, retention and disposal of university business records.

The Campus Records Manager provides guidance, outreach, and training to assist those who manage the lifecycle of university business records.

Program objectives:

- Guidance on the classification, organization, access to information.
- Consultation on information system design to meet UC records management policies.
- Protection of records vital to the University.
- Secure and compliant destruction of records.
- Compliance with information security and privacy policies.
- Preserve records of historical importance.
- Oversee the Chancellor's Administrative Archive.
- Consult on all digitization projects and system implementation/upgrade projects to ensure simple design requirements such as retention disposition modules, archivable format, and strategic management of unstructured data (data not in tables such as email, reports, presentations, and graphics).

## RECORDS & INFORMATION MANAGEMENT

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## WHAT IS A RECORD?

The UC Records Management Program defines a record as any writing, regardless of physical form or characteristics, containing information relating to the conduct of the public's business prepared, owned, used, or maintained by an operating unit or employee of the university.

This means university business records are media neutral - no matter the means of creation, the content of the record is key, not the format. When determining whether or not information should be retained, we ask the following questions:

- Are you or your department the creator of the record?
- Did you generate or receive the information to use for your technical or administrative work?
- Does it contain informational value as evidence of your group's functions, policies, decisions, procedures, operations, mission, programs, projects, or activities?
- Is it something that originated in another office or outside UC, but you commented or took action on?
- Does it document UC actions, such as: what happened, what advice was given, who was involved, when it happened, the order of events, or decisions?
- Is it related to UC business and does not exist elsewhere?

Not a record:

- A draft or interim document that has not been circulated to others, does not contain substantive comments, and for which there is a final version being maintained.
- Published or processed information that you received and use as a reference.
- A copy kept only for convenience or reference with no action is taken.
- Information accumulated and maintained at the workplace, but does not affect or reflect the transactions of your program/business.
- Junk mail, spam, or documentation that has no work-related information or evidentiary value.



**INFORMATION  
MANAGEMENT TO  
THE POWER OF  
I**

**"I CAN DO THIS!"**

**"I WILL DO THIS!"**

**"I THINK THIS IS  
HELPFUL!!"**



## MANAGEMENT OF EMAIL RECORDS

Responsible management of email means that you discard non-business related emails, identify and classify business-related email, store inactive emails in a separate and accessible long-term depository such as a server, and adhere to the UC Records Retention Schedule;  
<http://recordsretention.ucop.edu>.

Just like its paper counterparts, un-managed emails can present legal risk and expense to the University if stored beyond its retention period.

## WHAT IS YOUR PLAN?

**STEP 1>>** Determine responsible staff, functions, activities, procedures, resources, and get leadership support.

**STEP 2>>** Understand what type of information your office has and identify all the storage locations.

**STEP 3>>** Make a strategic roadmap or 'Information Management Plan' for how information *should* be handled (best practices, nomenclature, records retention, university policy, rights and privileges, disaster recovery, etc.).

**STEP 4>>** Create a culture of good practices through careful change management. Introduce these practices as a part of onboarding, continually train on the key aspects, and consistently communicate the value of good records management (cost containment, client service, productivity, etc.).

**STEP 5>>** Be accountable and audit-ready. Perform routine status checks to ensure outlined practices are effective and tools are sufficient.

*Control your duplicates!*



*Be an office hero. Participate in our annual events:*

## DISPOSITION DAY

Just after fiscal year close each year, our office sponsors Disposition Day to encourage the safe and secure destruction of confidential university records and promote the university's record management program, retention schedule, information management policies, and best practices. Participating is a great way to stay in compliance, create space, and save your budget. Watch the campus events calendar or check out our website for information on how to reserve your free recycling bin.

## DIGITAL COMPLIANCE WEEK

Spring cleaning for your digital life! Each year our office offers tips for buckling down and making a focused effort to declutter your digital world, both at work and at home. A good spring cleaning reduces the risk of hacking, information loss; and increases security, and the performance of your devices.