

UC Records Retention Schedule FAQs

Is the UC Records Retention Schedule a new requirement?

No, this is an extensive update of the existing retention schedule (Records Disposition Schedules Manual). The schedule is established by the University Records Management Committee in accordance with [Business and Finance Bulletin RMP-1, "University Records Management Program."](#)

Who has to use the UC Records Retention Schedule?

Everyone at UC who handles administrative records. Per [Business and Finance Bulletin RMP-2, "Records Retention and Disposition: Principles, Processes, and Guidelines,"](#) the UC Records Retention Schedule governs the retention of records universitywide. It is to be accessible to any university employee with record-keeping responsibilities and is to be followed by all university units. The policy further states that "All employees who handle administrative records are responsible for applying the guidelines contained in this Bulletin."

Per RMP-1, the schedule does not apply to

- Administrative records held by the Principal Officers of The Regents,
- Teaching and research records (e.g., library materials, faculty research and teaching materials, student examinations), or
- Records pertaining to individual patient care (medical records).

How do I use the UC Records Retention Schedule?

Search by typing into the search box keywords related to the type of records you are looking for, or browse one of the following options:

- Full schedule
- Category

The record items have hyperlinks that you can click on to view the entry in its entirety.

Can I obtain a schedule of just the records that pertain to my office?

You can click on Print Full Schedule and download an Excel spreadsheet of the retention schedule. Then you can delete the sections that do not apply to your area. However, be sure to regularly check the on-line database for any updates.

Will UC continue to update its retention schedule?

Yes. UC is engaged in a phased project to update its retention schedule. It is reformatting the structure of the schedule, updating retention periods, and replacing the application in which the schedule is presented to users. Once an updated section of the schedule is published, it is immediately effective and the new retention period supersedes any previously published periods.

The University Records Management Committee will continually update the schedule as legislative, regulatory, or business practices changes occur.

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What is the effective date for the new retention schedule?

All retention periods published in the UC Records Retention Schedule are effective immediately.

What is different in the updated retention schedule – the retention periods or the types of materials being retained?

Both. In many cases retention periods are prescribed by law, regulation, contract and/or policy and must be changed to conform to those requirements. In other cases, business need necessitates a certain retention period. In addition, the updated retention schedule provides retention periods for record categories by function, rather than specific records, which the previous schedule provided.

Why does the revised retention schedule look different than the previous one?

The new schedule organizes records by large functional categories, or buckets, and is in a searchable database. Items from the previous schedule that have not yet been updated and put into the bucket format are also found in the searchable database, although they do not appear in categories. When these items are revised, they will be grouped in functional categories and their published retention periods will supersede the previous ones.

Why does the schedule organize records by functional category or bucket?

A bucket is a type of retention schedule that identifies records in broad categories, aggregates, or functions. This type of schedule provides fewer categories from which to choose, making it easier to use. The functions very rarely change, thus reducing the need to update the schedule. Most new records will fall into an existing functional category and thus already have an approved schedule.

The categories do not correspond to divisions or departments because most functions commonly occur across the University and are not unique to a department. Each functional category provides a description of the function and some of the records that typically are found within that function, the length of time the records must be kept and why, whether the records are confidential and vital, and other relevant information pertinent to the function (this is found in the “Comments” section). Sometimes there are secondary functions within the functional categories, as well as groups within the secondary functions, due to the retention requirements of the records within the function.

Are there any circumstances when I should not follow the retention schedule?

Yes, there are several important situations that must be considered:

- If pending, foreseeable, or ongoing litigation; an investigation; or an ongoing audit pertaining to the records is taking place, *the records cannot be destroyed* until these actions have been completed or resolved.

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- If a federal or state statute or regulation specifies a longer retention period for any records, the statute or regulation overrides this schedule. Please notify your campus Records Management Coordinator about the requirement. The Records Management Coordinator will work with the University Records Management Committee to change the schedule.
- If there is a legitimate business need to retain records longer than the period identified in the retention schedule, please contact your campus Records Management Coordinator to identify the needs. The Records Management Coordinator can also discuss with the University Records Management Committee to determine if the schedule should be changed.

Who do I contact for more information?

Contact your campus [Records Management Coordinator](#) for help or to discuss having your records included in the retention schedule. Note the schedule does not include

- Administrative records held by the Principal Officers of The Regents,
- Teaching and research records (e.g., library materials, faculty research and teaching materials, student examinations), or
- Records pertaining to individual patient care (medical records).

What does “Until Action Taken” mean?

Note: This retention period is found on items from the previous schedule, which is being updated in phases. This means that the retention may vary according to need, but the records should not be retained longer than 0 – 1 year. This retention period will be eliminated when the schedule has been completely updated.

How do I interpret retention periods that are just numbers, like 0 – 5?

Note: This retention period is found on items from the previous schedule, which is being updated in phases.

- Retention periods of single numbers (e.g., 5) identify the number of years you should retain the records. For example “5” means the records need to be retained for 5 years after the end of the fiscal year in which the records were produced/received unless otherwise indicated.
- Retention periods with inclusive years (e.g., 5 – 10) mean the documents must be retained at least the minimum stated years (5) and destroyed no later than the maximum stated years (10) after the end of the fiscal year in which the records are produced/received.
- Retention periods that begins with “0” (e.g., 0 – 3 or 0 – 5) mean that the record may be destroyed upon receipt or at any time up to 3 or 5 years after the end of the fiscal year in which the records are produced/received.

This retention period will be eliminated when the schedule has been completely updated.