

UC Records Retention Schedule Glossary

Administrative use – is a retention period assigned to records that are no longer needed to support on-going administrative activities and that become valueless on an unscheduled basis.

Case – records, regardless of media, that documents a specific action, event, person, place, project, or other matter.

Claims – is a type of case that documents the conducting of negotiations, business matters, and the like to a particular conclusion or settlement.

Confidential information – applies broadly to information for which disclosure or access may be assigned some degree of sensitivity, and therefore, for which some degree of protection or restricted access may be identified. Unauthorized access to or disclosure of information in this category could seriously or adversely affect the University and cause financial loss, damage to the University's reputation, loss of confidence or public standing, or adversely affect a partner, e.g., a business or agency working with the University. Information in this category may have limited, moderate, or severe impact on University functions, which must be determined through risk assessment or business impact analysis. (UC Business & Financial Bulletin IS-2: Inventory, Classification, and Release of University Electronic Information §III.A.1.a)

Final Completion – That time when the work is fully completed and in accordance with the contract documents, as determined by the University's Representative. This term is used in the Capital Improvement Project Records section of the UC Records Retention Schedule.

LEED - Leadership in Energy & Environmental Design is a framework for identifying and implementing practical and measurable green building design, construction, operations and maintenance solutions. This term is used in the Capital Improvement Project Records section of the UC Records Retention Schedule.

LEED EBOM - Leadership in Energy & Environmental Design, Existing Buildings: Operations & Maintenance is the LEED certification for existing buildings. This term is used in the Capital Improvement Project Records section of the UC Records Retention Schedule.

Logistical Records – records that document all planning, implementation, and coordination of the details of a business or other operation such as interviews for positions or a conference, seminar, symposia or other professional education event.

Notice-triggering information – Section 1798.29 of the California Civil Code, which enacts the security breach notification requirement of the Information Practices Act (IPA), defines the specific personal information that is subject to that section of the IPA. This “notice-triggering information” (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) should be classified as restricted information (see Restricted Information). (UC Business & Financial Bulletin IS-2: Inventory, Classification, and Release of University Electronic Information §III.A.1.b)

Preservation hold – see **Records freeze**.

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Procurement – refers to contracting with firms to provide goods and services in support of the university's mission, sourcing the highest quality of products and services at the least total cost. At UC procurement includes leveraging university buying power through strategic and collaborative sourcing, adoption of proven technologies, and supplier performance management.

Proper recordkeeping system – is the collection, organization, and categorization of records to facilitate their preservation, retrieval, use, and disposition, allowing records to be:

- grouped with related records into classifications according to operational needs,
- retrieved easily and in a timely manner,
- retained in a usable format for the required retention period found in an approved records retention schedule, on-going investigation, or legal action,
- accessed by individuals who have a need for the records found within the system,
- secured from inappropriate access when the records contain notice-triggering information, restricted or confidential information,
- protected from inappropriate dissemination, modification or destruction, and
- disposed of in accordance with the approved retention schedule.

Record – any writing, regardless of physical form or characteristics, containing information relating to the conduct of the public's business that is prepared, owned, used, or retained by an operating unit or employee of the university. "Writing" means handwriting, typewriting, printing, photostating, photographing, photocopying, transmitting by electronic mail or facsimile, and every other means of recording upon any tangible thing any form of communication or representation, including letters, words, pictures, sounds, or symbols, or combination thereof, and any record thereby created, regardless of the manner in which the record has been stored. (UC Business and Finance Bulletin RMP-1 University Records Management Program)

Record Documents - Copies of the Drawings, Specifications, and all other contract documents that reflect the changes that have occurred since these documents were issued to bidders. This term is used in the Capital Improvement Project Records section of the UC Records Retention Schedule.

Records freeze – indicates that specific records cannot be destroyed on schedule because they may be needed as evidence in an investigation, foreseeable or on-going litigation, on-going audit, or other special circumstance until these actions have been completed or resolved. This is also known as **Records hold** or **Preservation hold**.

Records hold – see **Records freeze**.

Restricted information – describes any confidential or personal information that is protected by law or policy and that requires the highest level of access control and security protection, whether in storage or in transit. The term "restricted" should not be confused with that used by the UC managed national laboratories where federal programs may employ a different classification scheme. (UC Business & Financial Bulletin IS-2: Inventory, Classification, and Release of University Electronic §III.A.1.c)

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Retention period – is the maximum and the minimum length of time that a record must be kept in the university records retention schedule. The retention periods prescribed in the university records retention schedule are exact retention periods, which means that the department must keep a record at least as long as the schedule retention period (minimum), but no longer (maximum). An exception to the mandatory destruction of a record at the end of its retention period occurs when the record is required for or involved in litigation, criminal or civil investigation, audit, or is needed for ongoing administrative purposes. There is no exception to the requirements for the minimum retention of a record.

Retention schedule – identifies records and prescribes the time period that they must be retained before they reach their ultimate fate or disposition. The disposition of a record, as prescribed in a records retention schedule, may range from immediate destruction or destruction after a period of time to permanent retention in the University Archives or elsewhere.

RFP – Request for Proposal. A formal request, containing detailed specifications, to a potential vendor asking for a bid on satisfying those specifications.

RFI – Request for Information – has two definitions:

1. A preliminary step to a request for proposal (RFP), in which a number of potential vendors are solicited for information about their products and services.
2. An RFI is a question that a subcontractor may have for the design consultant concerning such things as design omissions, field conditions, a change in work, or if something needs further clarification, etc.

Source documents – has two definitions:

1. Reprographics – The original from which a copy (either in paper or scanned image) is made.
2. Computing – A document containing information entered into a computer during data entry; an input record.

[<http://www2.archivists.org/glossary/terms/s/source-document>]

Sponsored activity/activities – are contract-specified activities that are funded with some or all external money of a sponsor, such as activities of a project funded from a research grant or contract.

Until superseded – is a retention period assigned to records that are routinely updated or revised and where the previous version has no continuing value.

Vital records – are records that are essential for an organization to continue business-crucial functions both during and after a disaster, e.g., patent license agreements or records that establish university ownership; as well as records that are essential to protect the rights of individuals and the organization, e.g., payroll records or human resources records.