



# UC San Diego

## Policy & Procedure Manual

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### RECORDS MANAGEMENT

#### Section: 480-1

Effective: 10/01/2003

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### UCSD RECORDS MANAGEMENT PROGRAM

#### I. PURPOSE

UCSD is responsible for adequately documenting the operations of the campus to meet its administrative, financial, legal and historical needs. All administrative records are owned by The Regents of the University of California and are governed by sound records management practices.

All employees responsible for University administrative records are responsible for knowing and following the laws and University policies and guidelines that govern those records.

#### II. REFERENCES

##### A. Systemwide Business and Finance Bulletin Manual (BFB)

<a href="#">IS-3</a>	Electronic Information Security
<a href="#">RMP-1</a>	University Records Management Program
<a href="#">RMP-2</a>	Records Disposition Program and Procedures
<a href="#">RMP-4</a>	Vital Records Protection
<a href="#">RMP-7</a>	Privacy of and Access to Information Responsibilities
<a href="#">RMP-8</a>	Legal Requirements on Privacy of and Access to Information

##### B. UCSD Policy and Procedure Manual (PPM)

<a href="#">135-5</a>	Network Security
<a href="#">480-20</a>	Records Disposition Schedules Handbook

#### III. DEFINITIONS

**Administrative Record:** A category of record. The phrase is used to describe any record that documents or contains valuable information related to the organization, functions, policies, decisions, procedures, operations, or other business activities of the university.

**Record:** Any writing, regardless of physical form or characteristics, containing information relating to the conduct of the public's business prepared, owned, used, or retained by an operating unit or employee of the university. "Writing" means handwriting, typewriting, printing, photostating, photographing, and every other means of recording



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upon any form of communication or representation, including letters, words, pictures, sounds, or symbols, or combination thereof, and all papers, maps, magnetic or paper tapes, photographic films and prints, magnetic or punched cards, discs, drums, and other documents.

- Record Custodian:** The individual with responsibility for a repository of records.
- Record Proprietor:** The individual with management responsibility for the records associated with a university administrative function.

## IV. RESPONSIBILITIES

### A. Records Management Coordinator

The Records Management Coordinator at each campus and the Office of the President shall be responsible for the development, coordination, implementation, and management of the Program at that location. Implementation includes providing advice, information, and training, as necessary, to local personnel regarding records management. The local program shall include development and maintenance of retention schedules specific to the location, as appropriate.

For University Records Management Committee proposals and initiatives, the Coordinator shall be the conduit from the Committee to the location.

The Coordinator shall convey the interests of his or her campus to the Committee.

The Coordinator shall report periodically to the Committee on the status of the program at his or her location.

Information practices aspects of the University Records Management Program are handled by the Information Practices Coordinator, as outlined in RMP-7, "Privacy of and Access to Information Responsibilities." The roles of Records Management Coordinator and Information Practices Coordinator may but need not be filled by the same individual.

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### B. University Librarian

The University Librarian at each campus shall appoint a library staff member to serve as the local University Archivist.

### C. University Archivist

The University Archivist at each campus is responsible for the preservation of that location's administrative records that deal with the history of the university. The University Archivist collects, preserves, administers, and provides access to records of enduring value,



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concentrating on records documenting the university's decision-making process and the essential cultural history of each campus.

#### D. Record Proprietor

The manager of an operational unit shall be the Record Proprietor for the records associated with the unit's administrative function. Consistent with sound business practices, university policy, and applicable law, the Proprietor determines which records will be created, gathered, and maintained to attain the goals and meet the fiscal and legal obligations of the operational unit and the university. The role of Record Proprietor encompasses management responsibilities such as production of records for audit and other purposes.<sup>4</sup> For electronic records, the Record Proprietor shall serve as the Electronic Information Resource Proprietor (see Business and Finance Bulletin IS-3, "Electronic Information Security").

The office of the Record Proprietor may or may not have custody of the records associated with the function. The Proprietor may entrust the records to Record Custodians or may choose to have the records maintained by non-university records service providers. The Proprietor shall ensure that the records, whether kept or entrusted to another unit or provider, are maintained consistent with the University Records Management Program, including their ultimate disposition (i.e., transfer to University Archives or disposal).

When the maintenance of administrative records is contracted to a non-university provider, the Proprietor shall ensure that the business contract requires the service provider to meet all university record requirements.

#### E. Record Custodian

The manager of a university department or unit (e.g., central records, electronic information systems department) that has been designated by the Record Proprietor to maintain the records shall serve as the Record Custodian. The Custodian is responsible for complying with University Records Management Program guidelines. In the case of electronic records maintained under this arrangement, this role equates to the role of the Electronic Information Resource Custodian as defined in Business and Finance Bulletin IS-3, "Electronic Information Security."