Digging Out: How to Reduce Paper in the Workspace

Some tips and tricks!
Step 1: Look for Non-Records. Delete/destroy those that are no longer being used.
Non-record:

“Material that is of immediate value only. Non-records are not maintained as university administrative records, are not assigned retention periods, and are not subject to records disposition guidelines.”

Business and Finance Bulletin RMP-2 Records retention and disposition: principles, processes, and guidelines
B. Identification of non-records

“Non-records are defined as materials that are of immediate value only. Non-records may share some characteristics with administrative records; however, they are distinguished from administrative records by their transitory usefulness.”
Examples of non-records

- Envelopes
- Routing slips
- Data entry-sheets and work-sheets
- Rough drafts
- Multiple copies of publications
- Blank forms
- Unofficial (“informational” or “courtesy”) copies
- Notes/recordings that have been transcribed
More from RMP-2 about non-records

“Non-records are not managed under the university’s records management program; they should be disposed of once their period of immediate usefulness has passed. If non-records are not handled in accordance with their temporary nature, the unnecessary use of university resources may occur. If not disposed of, non-records may be subject to disclosure (e.g., under the California Public Records Act, Information Practices Act, or discovery of evidence in a legal proceeding).”
Non-Records

• Include but are not limited to:
  – Catalogs, trade journals, manuals
  – Transmittal letters
  – Copies of directives & issuances from other offices
  – Commercially available software
Non-Records (continued)

- Electronic information may be “non-record” if it fails to meet the definition of a “record”
Something is *not* a Record when:

- Another copy is in an official file
- It has no evidential or informational value
- It consists of processed or printed material maintained for reference or distribution
Technical Reference File

Non-record copies of articles, periodicals, reports, studies, vendor catalogs, and similar material only needed for reference and information
Personal Papers

- **Non-official** private papers relating solely to an individual's affairs
  - Must be **clearly** designated
  - Should be kept separate from records
  - Removed or destroyed at owner's discretion
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.”

RMP-2
Record, continued:

“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.

RMP-2
Record, continued:

“The term “administrative record” 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.”

Definition is modeled on language contained in the California Public Records Act (see Ca. Govt. Code § 6252(e) and (f)).

RMP-2
Is It A Record?

Recorded Information

Are you or your department the creator of the record? Did you generate or receive the information to use for your technical/administrative work here at UC?

NO

Does it contain informational value as evidence of your group’s functions, policies, decisions, procedures, operations, mission, programs, projects, or activities?

NO

Is it something that originated in another office or outside UC, but you commented or took action on it?

NO

Does it document UC actions, such as: what happened, what was decided, what advice was given, who was involved, when it happened, the order of events and decisions?

NO

Is it related to UC business and does not exist elsewhere?

NO

Is it a draft or interim document that has not been circulated to others or does not contain substantive comments and for which there is a final version being maintained?

NO

Is it published or processed information that you received and use as reference?

NO

Is it a copy kept only for convenience of reference on which no action is taken?

NO

Is it information accumulated and maintained at the workplace, but which does not affect or reflect the transaction of your program business?

NO

Is it junk mail, spam, or documentation that has no work-related informational or evidentiary value?

YES RECORD

NO YES RECORD

YES RECORD

YES RECORD

YES RECORD

Questions?

Contact the Records Manager, Laurie Sletten, 510-987-9411, for information.

http://ucop.edu/information-technology-services/initiatives/records-retention-management/index.html

March 11, 2014

Adapted from Sandia National Laboratories, Anna W. Nusbaum, CRM
Step 2: Look for Inactive Records.

- Store those with unexpired retention periods.
- Delete/destroy those with lapsed retention periods.

UNLESS . . .
Circumstances when you should not follow the retention schedule

- if a Public Records Act Request has not been satisfied
- 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.*

This is called a “Records Freeze”. 
# What are Records Quiz

After reading the examples given, place a checkmark (%) in the appropriate square. The R column is for those examples that identify records; the NR column, for non-records; and the PP column, for personal papers.

<table>
<thead>
<tr>
<th></th>
<th>R</th>
<th>NR</th>
<th>PP</th>
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</thead>
<tbody>
<tr>
<td>1. Original negative of a motion picture film about UC produced under contract.</td>
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<td>4. An e-mail message regarding reorganization of OP, sent out by the President.</td>
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<td>5. Computer output microfilm (COM) of various financial transactions.</td>
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<td>6. “As-built” blueprints of the Franklin building.</td>
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<td>7. E-mail from UCOP News about latest Link newsletter.</td>
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<td>8. Copies of directives/policies/laws maintained by various offices in UCOP.</td>
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<td>9. Directives and related correspondence at the originating office.</td>
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<tr>
<td>10. Notes and handouts from a professional conference someone attended.</td>
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<td>11. A citizen’s telephone request for an informational pamphlet.</td>
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<tr>
<td>12. A copy of a letter to a travel agency booking a “Love Boat” cruise.</td>
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<tr>
<td>13. Preliminary draft of a report on shared drive.</td>
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<tr>
<td>14. Vendor catalog, trade journals, and UCOP publications used for reference.</td>
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What are Records Quiz

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15. A master set of directives maintained by the UCOP. R

16. An e-mail, summarizing your boss’s phone call about UCOP business. NR

17. Your notes of a meeting before they have been transcribed. NR

18. Web-site page showing programmatic changes from the new administration. NR

19. Records created and held by a contractor regarding the changes made (including justifications and approvals) in a specific UC program. PP

20. A Winter 2002 newsletter from the Institute of Certified Records Managers. NR
Important Websites

- UC Records Retention Schedule (http://recordsretention.ucop.edu/)
- UC-Office of the President Records Retention Management (http://www.ucop.edu/information-technology-services/initiatives/records-retention-management/index.html)
- Shredding Records (http://www.ucop.edu/building-administrative-services/services/records-shredding.html)
- Storing Records Off-Site at a Commercial Records Center (http://www.ucop.edu/building-administrative-services/services/records-storage.html)
- UC-Wide Records Management (http://www.ucop.edu/information-technology-services/initiatives/records-management/index.html)
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