



Records Management

Policy Number	2.003
Responsible Authority	Vice President and Chief Operating Officer
Initiating Authority	President
Effective Date	7/10/2019
Date of Origin	7/10/2019

APPLICABILITY/ACCOUNTABILITY

This policy applies to all university and direct support organizations, colleges, departments, units, employees, and volunteers and to vendors, contractors, and consultants to the extent that they meet the definition of contractor under the Florida Statutes section 119.0701.

POLICY STATEMENT

The university must effectively manage the retention and disposal of records in compliance with federal and state regulations. This policy applies to the retention and disposition of university records. The university records management liaison officer (RMLO) is designated by the university president. The RMLO provides oversight and guidance in the records management process and acts as the liaison between UCF and the Florida Department of State Division of Library and Information Services. The holder of the Record of Copy is responsible for ensuring the retention and documented disposition of that record. The university will provide support and resources to university personnel, all of whom serve as records custodians and are responsible for the records they generate and maintain.

DEFINITIONS

Duplicate. Copies produced by duplicating, as defined in the Florida Statute section 283.30. (Florida Statute § 119.011(7)). Duplicates may also be called convenience copies.

Florida Department of State Division of Library and Information Services. The department at the state level that coordinates and supports records management for public agencies.

Personal Records. Personal items employees have or receive at work that are not related to university business. These records are not subject to public record disclosure or retention requirements.

Public Records. All documents, papers, letters, maps, books, tapes, photographs, films, sound recordings, data processing software, or other material, regardless of the physical form, characteristics, or means of transmission, made or received pursuant to law or ordinance or in connection with the transaction of official business by the agency, according to the Florida Statute, section 119.011(12).

Record Copy. The official record of a document which is subject to the records retention schedule requirements and the University of Central Florida records management process. The Record Copy may not be the original and may also be called the “Master Copy.”

Records Custodian. An employee who has supervision and control over a public record or who has a legal responsibility for the care, keeping, or guardianship of the record is a records custodian as to that record. “Custodian of public records” under Florida Statute section 119.011(5) is defined as the elected or appointed state, county, or municipal officer charged with the responsibility of maintaining the office having public records, or his or her designee.

Records Custodian Liaison. An employee within a department who serves as a point of contact with the university RMLO and manages records retention and disposition for that department.

Records Management Liaison Officer. The point of contact within the university that assists with records management and acts as a liaison between the university and the Florida Department of State Division of Library and Information Services.

Records Retention Schedule. A document that provides minimum retention periods for categories of records as determined by the Florida Department of State Division of Library and Information Services.

Retrospective Scanning or Microfilming Project. A bulk microfilming or digitizing of existing records that are currently in another media format (e.g., paper). The university retains a copy of the record (on microfilm or digital); however, approval for disposition of the physical copies is required.

Storage. The maintenance of records in physical or digital form in accordance to Florida Statute 119.021, Custodial Requirements; maintenance, preservation, and retention of public records.

PROCEDURES

1. Creation and Maintenance of Active and Archived Records
 - a. Employees will refer to [Records Management at UCF](#) for current procedures for appropriate storage and maintenance of records.

2. Disposal of Records

- a. The records custodian or records custodian liaison will use the appropriate retention schedules to determine when records have both 1) met its retention period as determined by the applicable retention schedule and 2) have lost its institutional value. The most current retention schedules are available at [Records Management at UCF](#) and can be updated by the state of Florida at any time.
 - i. For document types not found in the retention schedules, the RMLO will assist in determining the retention schedule and if necessary will work with the state for a determination. Once determined, the retention schedule will be the official retention period for that document type.
 - ii. Duplicates may be destroyed without documentation. Duplicates should be destroyed according to the retention policy. Duplicates retained after the Record Copy has been disposed are subject to public records requests. If it cannot be determined whether a document is a duplicate, it must be treated as a Record Copy.
- b. The records custodian or records custodian liaison will submit the Records Disposition Request form to RMLO@ucf.edu.
- c. The RMLO will review the request. Once it is determined that all criteria are met, approval for disposition of documents and guidance on method of disposition will be sent to the records custodian.
- d. Records are kept until disposition approval is received.
 - i. Dispositions should be implemented through the least burdensome method consistent with the character of the documents. Some documents may be recycled; however, when documents contain sensitive information, they should be destroyed by secure shredding, incinerating, etc.
- e. After disposal, the records custodian shall return the completed form by email to RMLO@ucf.edu. This final document must include all signatures.
 - i. The department or unit is responsible for permanently maintaining a digital or physical record of their disposition forms that are accessible in the event of a public records request.
- f. The disposition process is now complete.

3. Retrospective Scanning or Microfilming Project

- a. The records custodian or records custodian liaison will identify records that have been kept in one format (e.g., paper) that can be converted to digital or microfilm format and will conduct the scanning or microfilming project.
 - i. Scanned documents must be in at least 300 dpi resolution, reviewed for quality, accuracy, and completeness, and stored using a standardized naming protocol for efficient access to individual records.
 - ii. The records custodian, or department or unit, must have a documented process or procedure for managing digital files to include tracking retention periods according to the appropriate schedules and documenting disposition. As with paper documents, the content of scanned or microfilmed documents determines the retention period.
- b. The records custodian or records custodian liaison will submit the Scanning or Microfilming Request form to RMLO@ucf.edu.
- c. The RMLO will review the request and once it is determined that all criteria have been met, approval for disposal of the records in the original format will be sent to the records custodian.
- d. Once approved, the department may now dispose of the original documents.

- e. After disposal, the records custodian shall return the completed form to RMLO@ucf.edu. The final document must include all signatures.
4. Exceptions
 - a. Items with an Obsolete, Superseded, or Administrative value lost (OSA) retention in the records retention schedules do not need to be documented unless they are part of a retrospective conversion project.
 - i. Examples of OSA items include duplicates, transitory messages, and blank forms.
 - b. “Exempt records” and “confidential and exempt records” are two different categories of records that have specific requirements for destruction. Please refer to university policy 2-100 Florida Public Records Act: Scope and Compliance for a list of exempt records. Further questions should be directed to the Office of the General Counsel which serves as the university’s custodian of public records.
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BACKGROUND INFORMATION

Each public agency in the state of Florida is required to designate a records management liaison officer, and to establish and maintain a program for the management of agency records. This policy institutes procedures for complying with such requirements when related to university records.

RELATED DOCUMENTS

- 4-001 Retention Requirements for Electronic Mail, <http://policies.ucf.edu>
- 2-100 Florida Public Records Act, <http://policies.ucf.edu>
- UCF-3.045 Sensitive Information Disclosure, <https://regulations.ucf.edu>
- Florida Administrative Code Rule 1B-24.003, *Public Records Scheduling and Disposition*: <https://www.flrules.org/gateway/RuleNo.asp?title=PUBLIC RECORDS SCHEDULING AND DISPOSITION&ID=1B-24.003>
- Florida Statutes Chapter 119, Public Records: http://www.leg.state.fl.us/Statutes/index.cfm?App_mode=Display_Statute&URL=0100-0199/0119/0119.html
- Florida Administrative Code Chapter 1B-26: <https://www.flrules.org/gateway/ChapterHome.asp?Chapter=1B-26>
- State of Florida General Records Schedules: <http://dos.myflorida.com/library-archives/records-management/general-records-schedules/>

RELATED INFORMATION

Email archiving tutorial:

<https://publishing.ucf.edu/sites/itr/cst/Documents/Exchange/Archiving%20in%20Outlook%202010.pdf>

<http://admfin.ucf.edu/records-management> includes additional resources for:

- Retention schedules
 - Storage of records, locations and guidelines
 - Disposition guide
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FORMS

- Records Disposition Request: https://admfin.ucf.edu/wp-content/uploads/sites/13/RECORDS_DISPOSITION_REQUEST-1-1.pdf
 - Scanning or Microfilming Request: https://admfin.ucf.edu/wp-content/uploads/sites/13/SCANNING_MICROFILMING_REQUEST-1-1.pdf
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CONTACTS

Records Management Liaison Officer and Records Management Advisory Board Web:

<http://admfin.ucf.edu/records-management>

Email: RMLO@ucf.edu

POLICY APPROVAL (For use by the Office of the President)	
Policy Number: 2-003	
University Policies and Procedures Committee Chair: 	Date: <u>6/27/19</u>
President or Designee: 	Date: <u>7/10/19</u>