Records Management *at* UCF

RM1001 Records Custodian Training
May 6, 2019

A haiku.

**Knowing what you have,
Where you have it, and how long
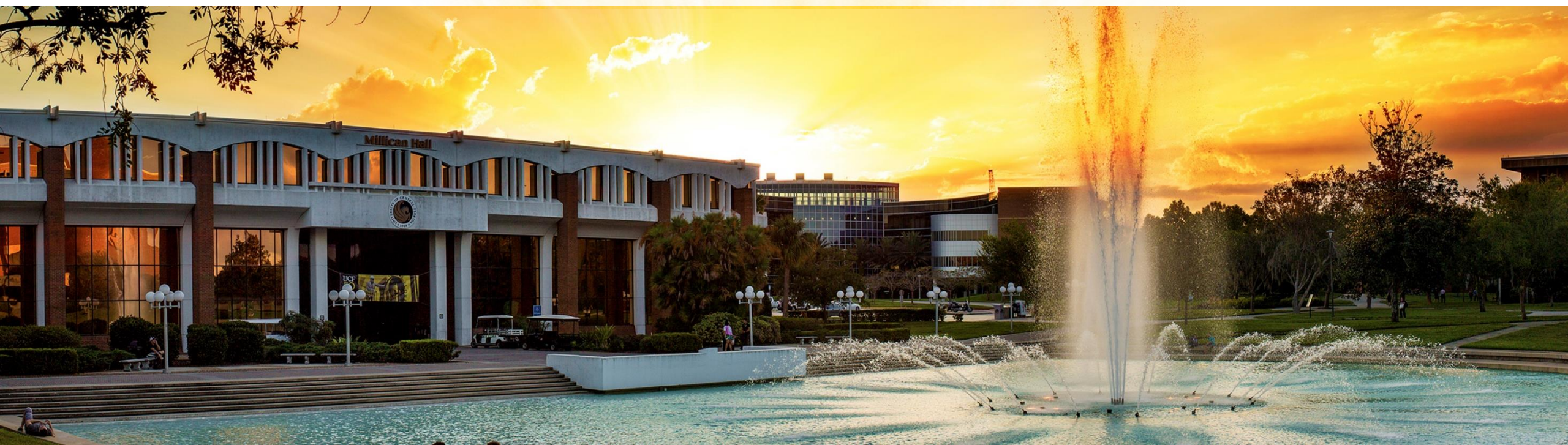You have to keep it.**

Today's Topics

1. Who is a Records Custodian?

2. Why is Records Management important?

3. What is a Public Record?

4. What is Records Management?
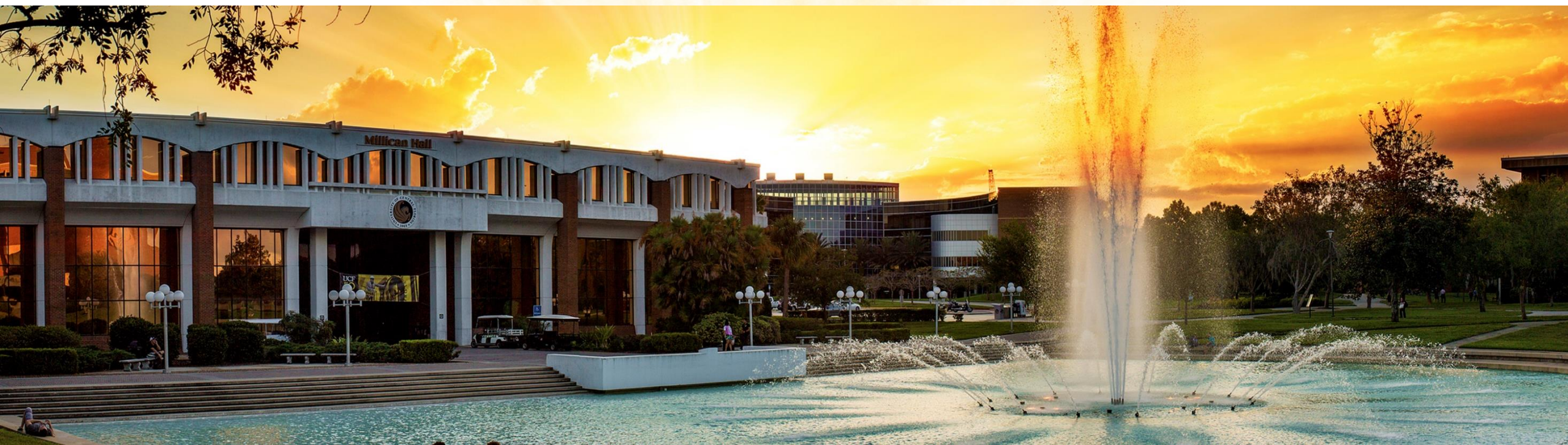
5. Resources

1.

Who is a Records Custodian?

We are!

2.

Why is Records Management Important?

Florida Statutes
Title X Chapter 119 Public Records

It is the policy of this state that all state, county, and municipal records are open for personal inspection and copying by any person. Providing access to public records is a duty of each agency.

See also:

Florida Statutes, Title XIX Chapter 286.011, *governing public meetings*
Florida Constitution, Article 1, Section 24, *Public Records and Meetings*

- Understanding the life cycle of our records
- Ability to access records
- saves money and space
- Dispose of records no longer needed

VITAL RECORDS
Continuity of Operations Plan (COOP)

Emergency Operating Records
Directives, contact information, delegations of authority, alternate location plan, etc.

AND

any records you need to continue your services and operations in the event of an emergency

emergency.ucf.edu/coop.html

HISTORICAL RECORDS

Mary Rubin
Special Collections and Archives
407-823-5427

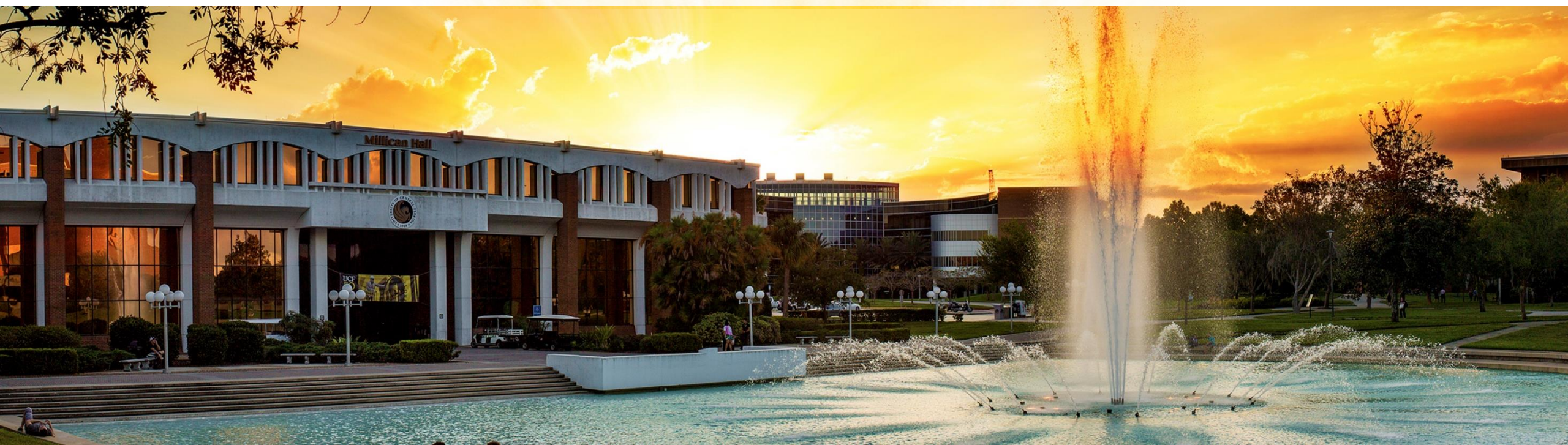|			
Budgets, Reports	Legal Documents	Audio Recordings	Certificates and Awards
Charters	News Clippings, Press releases	Articles of Incorporation	Speeches
Minutes	Directories	Memorabilia	Photographs
Announcements	Publications	Programs	Audio or Video Recordings

Photo by Damayra Burgos

3.

What is a Public Record?

Public Records vs. Records Management

- The General Counsel's Office is the Custodian of Public Records. They manage compliance related to public records requests.

- Records Management is about how we maintain our records and comply with retention and disposition of documents.

Public Record: intended to perpetuate, communicate, or formalize university knowledge.

"<u>All materials regardless of the physical form</u>…, made or received pursuant to law or ordinance or in connection with the transaction of official business by any agency."

Florida Department of State,
Division of Library & Information Services

Examples of public records

- Drafts for comment
- **Text messages**
- Correspondence
- Electronic files
- Recordings
- **Emails** received or created by UCF employees about official business

- Receipts
- Software
- Employment info (salary, address, email)
- Closed investigation reports
- Memos
- Minutes
- Voice Mails
- And more

This includes emails and documents created or stored on personal devices.

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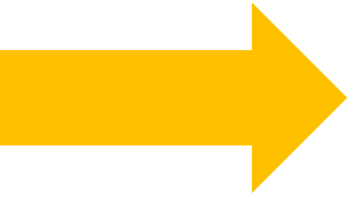
VERY LITTLE

- Notes for personal use *if NOT shared with another person*

- Draft documents not circulated for comment

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Limited Access or Confidential and Exempt from Public Records Law

The General Counsel's Office determines limitations and redactions when they review the public records request.

Some examples, which may have limitations and time frames

- Open Investigations
- Sealed bids / proposals in competitive solicitation
- Emergency evacuation plans
- Academic evaluations of faculty
- Certain research records

- DSO records
- Testing materials
- Records protected by FERPA or HIPAA
- Social Security Numbers, Banking information (such as credit card info)
- Law enforcement personnel information

- Be intentional about what you put in writing, especially in an email.

- Marking something confidential does NOT make it confidential or keep it from being accessed in public records requests.

In general, all public records must be made available for inspection and/or copying in response to a request for them.

See http://policies.ucf.edu, 2-100 Florida Public Records
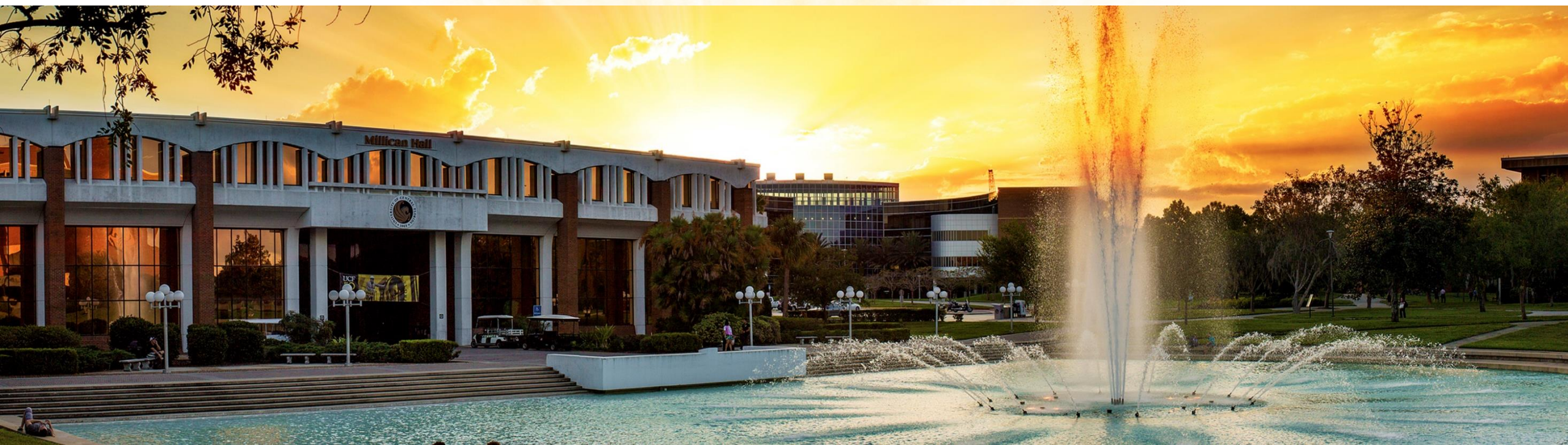
WHAT TO DO IF YOU GET A PUBLIC RECORDS REQUEST
Contact the Office of General Counsel
- gcounsel@ucf.edu or 407-823-2482
- Information: ucf.edu/public-records-requests/

4.

What is Records Management?

Records
Management

Knowing what you have,
Where you have it, and how long
You have to keep it.

ACTIVE RECORDS

Creation &
Capture

Organization &
Dissemination

+

Maintenance &
Protection

INACTIVE RECORDS

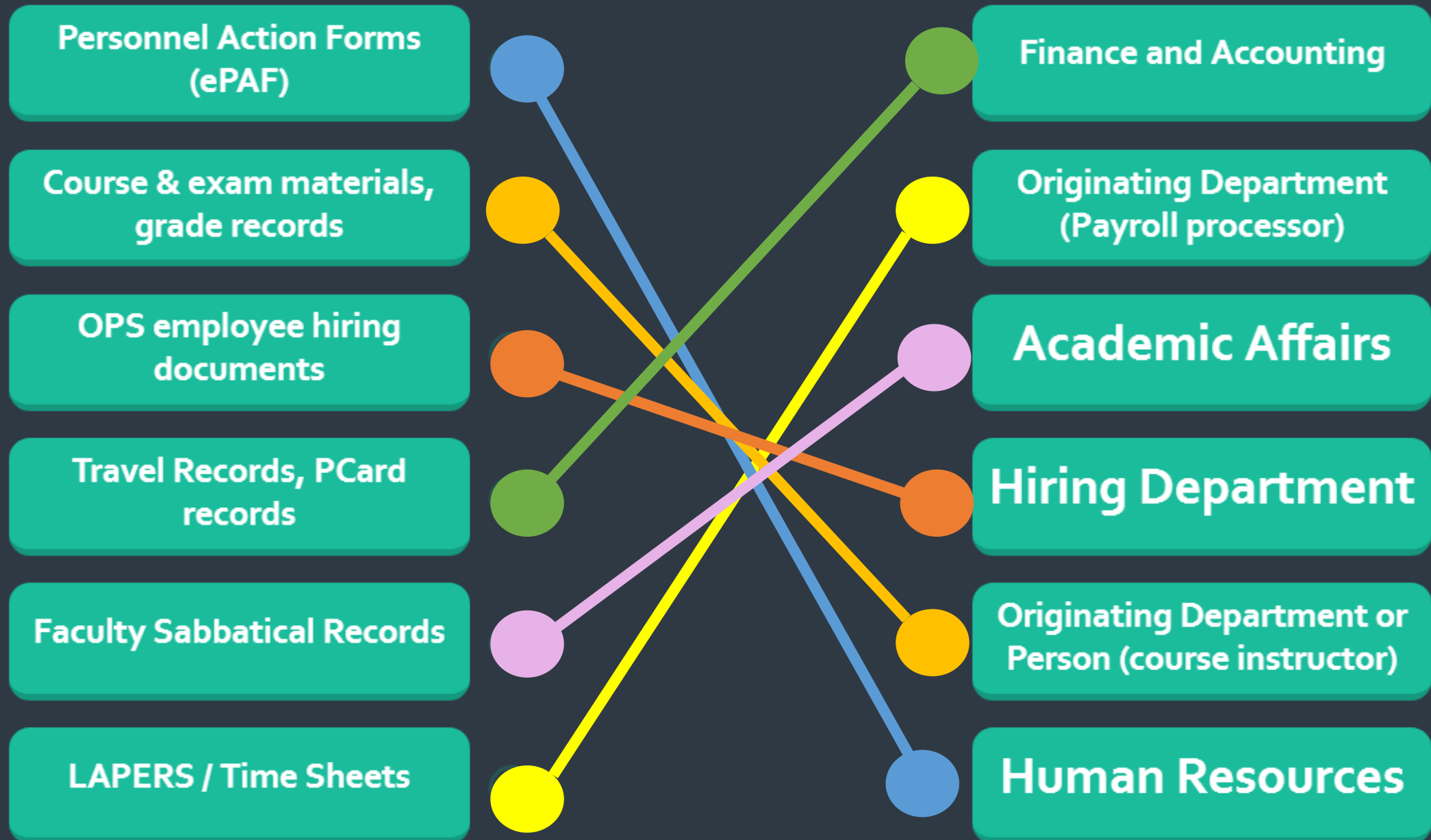Archiving &
Preservation

Purging &
Disposal

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Record of Copy vs.
Duplicates or Convenience Copies

- **Record of Copy:**
  the university's official copy of the record.

- *Duplicate:*
  NOT the university's official copy of the record.

Who Holds the Record of Copy?

Personnel Action Forms (ePAF)
Course & exam materials, grade records
OPS employee hiring documents
Travel Records, PCard records
Faculty Sabbatical Records
LAPERS / Time Sheets

Finance and Accounting
Originating Department (Payroll processor)
Academic Affairs
Hiring Department
Originating Department or Person (course instructor)
Human Resources

- The **minimum** amount of time we are required to retain a record

- Determined by the records custodian using the records retention **schedule**

- Based on the **content** of the record

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Public Records Requests

- UCF Public Records Requests

General Records Schedules

- UCF Schedules – Quick Reference

State of Florida Schedules & Links

- All Schedules with descriptions
- GS1-SL-2017
- GS1-SL-2017 (table)
- GS2-2017
- GS2-2017 (table)
- GS4-2015
- GS5-2015
- GS5-2015 (table)
- GS15-2015

UCF Regulations and Policies

All policies are located at Policies.ucf.edu. Policies relevant to records management and retention include:

- 2-003 Records Management and Retention
- 2-100 Florida Public Records Act
- 6-002 Public Information and Media Relations
- 4-001 Retention Requirements for Electronic Mail
- 4-007 Security of Mobile Computing, Data Storage, and Communication Devices
- 4-012 Collection and Use of Social Security Numbers
- 4-016 Email Provisioning, De-provisioning, and Use

Records Management is governe
Information Services. They estal
with requirements.

Records Management is an esser
university records for the period

What is a record? Any written
refers to or pertains to universit
record "is any material prepared
intended to perpetuate, commur

Why is this important? The ber
reduced expenditures (filing equ
(related to cyber attack and lega
protection of vital records, and p

Read more about Records

- Basics of Records Managemen
- State Records Management Tr
- Electronic Records Practices
- Files Management Handbook
- The Sunshine Manual (Florida
- Electronic Record Keeping (FL

State of Florida

**GENERAL RECORDS SCHEDULE GS5
FOR PUBLIC UNIVERSITIES AND COLLEGES**

EFFECTIVE: FEBRUARY 19, 2015
R. 1B-24.003(1)(e), *Florida Administrative Code*

Florida Department of State
Division of Library and Information Services

Tallahassee, Florida

850.245.6750

http://dos.myflorida.com/library-archives/records-management/

Retention Schedule Example: Correspondence with Student

GS5 Item #	GS5 Record Series Title	Description	Retention
89	Student Education Records: Supporting Documents	This record series consists of records relating to the maintenance of the active student record/transcript. The series may include, but is not limited to, correspondence, letters of recommendation, drop/add forms, applications for degree, request for Florida residence affidavit, registration information, applications to change undergraduate classification, change slips, notice of admission, credit by exam notes, transcript verification forms, student petition records, student transcript flag notices, national test scores, and graduation information. See also "ADMISSION RECORDS: REGISTERED STUDENTS" and "STUDENT EDUCATION RECORDS: PERMANENT ACADEMIC FILE."	5 anniversary years after graduation, transfer or withdrawal provided applicable audits have been released.

Item Number

Document Title

Description

Minimum Retention Period

Retention Period = 5 Anniversary Years (duplicates OSA)

Correspondence Dates = Jan 4, 2015 – May 15, 2016

Date of Approved Destruction = Depends on when the student leaves UCF.

Student Graduates on December 5, 2020 = December 6, 2025

23

Filling out the request forms

Information found in the schedules

Information about your documents

After approval to dispose

SCHEDULE NO.	ITEM NO.	TITLE	RETENTION PERIOD	INCLUSIVE DATES	VOLUME IN CUBIC FT.	TO BE FILLED OUT AFTER DESTRUCTION: DISPOSITION METHOD AND DATE COMPLETED
GS5	100	Examination: Graduation, Certification	1 year *Ann.*	January 1,2016- January 18, 2018 ✓	6.192	Secure Shred Iron Mountain 4/22/2019
GS5	89	Student education records:supporting docs	5 years *Ann.*	January 10, 2009- January 15, 2011 ✓	3.096	

DISPOSAL AUTHORIZATION: Disposal for the above listed records is authorized. Any deletions or modifications are indicated.

Tee Rogers

Tee Rogers, Records Management Liaison Officer (RMLO)

DISPOSAL CERTIFICATE: The above records have been disposed of on the date and manner indicated above.

Ima Knight

Signature   Date

SCANNING OR MICROFILMING REQUEST

Records Management Team
Administration and Finance
http://admfin.ucf.edu/records-management
RMLO@ucf.edu | 407-823-2351

UCF RETAINS DIGITAL RECORD

UNIVERSITY OF CENTRAL FLORIDA

Submitted by: _____

         NAME   DEPARTMENT   DATE

The records listed below are being scanned or microfilmed by our department.
I certify that (**initial each**):

_____ The records are being microfilmed or retained in at least 300 dpi resolution digital format;

_____ Each page of the scan is reviewed for quality, accuracy, and completeness;

_____ We/I have a standardized naming protocol for digital files and can efficiently access individual records and track retention schedules; and

_____ We/I have a policy or procedure in place for managing digital files to include documenting disposition of electronic or microfilm records.

SCHEDULE NO.	ITEM NO.	TITLE	INCLUSIVE DATES	DATE ELIGIBLE FOR DESTRUCTION	VOLUME IN CUBIC FT.	TO BE FILLED OUT AFTER DESTRUCTION OF ORIGINAL DOCUMENTS: DISPOSITION METHOD AND

- Requires form and approval

- Transferring one format to another.
  - *E.g., paper to digital*

- Maintain using appropriate records schedule
  - standardized naming format
 - Include content and retention information

- 📁 Communications GS1-373 OSA
- 📁 Compliance Statements GS1-322 1FY
- 📁 Contact Lists GS1-29 OSA Annual Update
- 📁 Disposition Requests GS1-45 Permanent
- 📁 INTERNSHIP GS1-66 3FY
- 📁 Policy GS1-186 2AY
- 📁 Resources and Printables GS1-373 OSA
- 📁 RM Advisory Board Mtngs GS1-32 Permanent
- 📁 RM Operational Files GS1-291 3FY after proj termination
- 📁 RM Trainings
- 📁 RMLO Designation GS1-322 1FY-Historical-Permanent
- 📁 UCF Specific Schedules GS1-45 Permanent

- 📁 Evaluations GS5-68 1Semester
- 📁 Presentations GS1-198 90Day
- 📁 Training Materials GS5-34 2FY
- 📁 Webcourse Draft & Development OSA
- 📄 Attendance OSA.xlsx
- 📄 Employee Orientation Slide OSA.pptx

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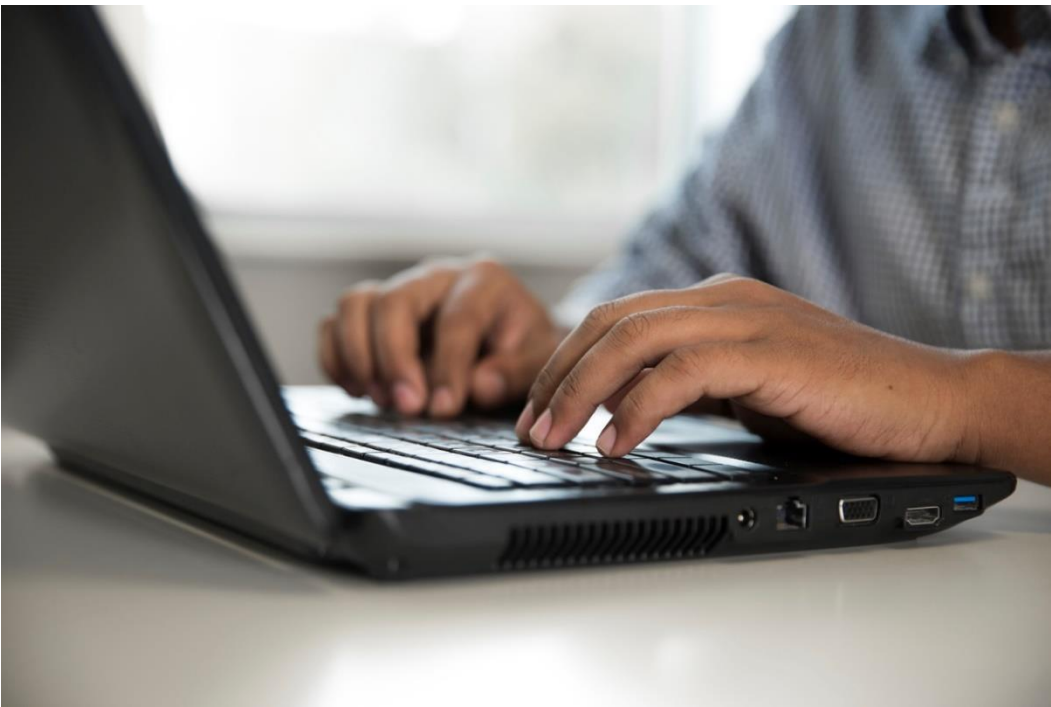
🔒 Dedicated folder with permissions / access controlled by your IT manager

🔒 Individual document encryption

PRIORITY: the safety, security, and privacy of individuals and safeguard the interests of the state and UCF.

- Documents **containing** information that is confidential or exempt from disclosure: **destruction method must ensure the information cannot be read, reconstructed, or recovered**.

- Where possible, recycle items **after** appropriate destruction.

5.

RESOURCES

RECORDS MANAGEMENT *at* UCF
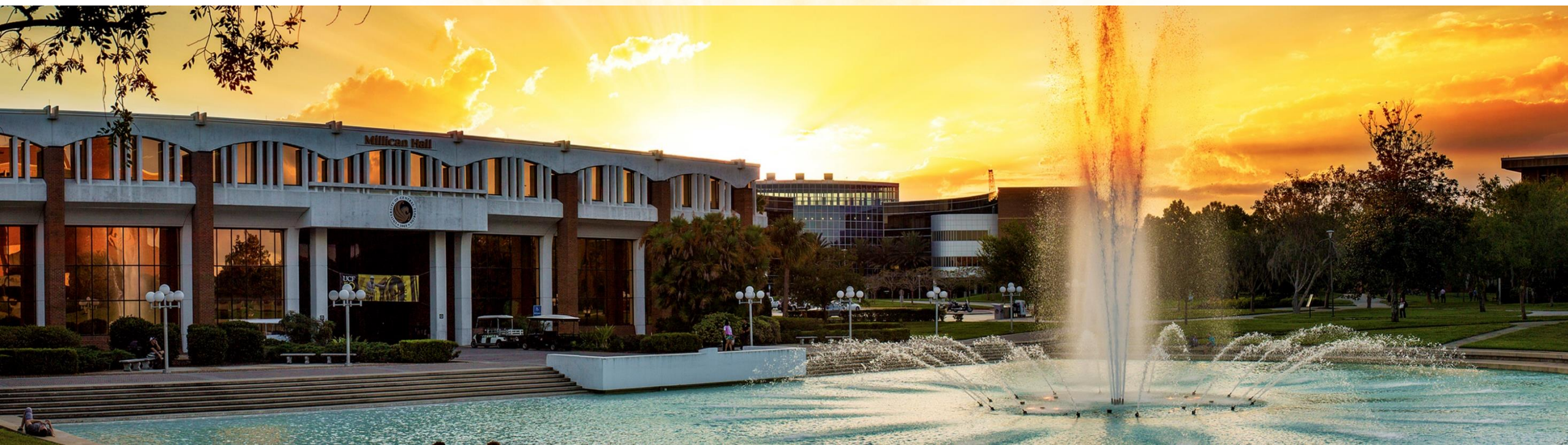
Forms

Records Disposition Form   Scanning and Microfilming Form   Form Instructions

NEW

New! **Retention Period Calculator.** This calculator will determine the Fiscal, Calendar, or Anniversary Year records retention period. Click in the button below to download the excel file.

Retention Period Calculator

Welcome to Records Management at UCF

> *Records Management at UCF is here to help you by phone, Skype, or in person. We can also schedule a presentation for your department. Click on Contact to reach our team at any time or call 407-823-2351.*

Records Management is governed by the Florida Department of State, Division of Library and Information Services. They establish guidelines, provide assistance, and oversee compliance with requirements.

Records Management is an essential function of the institution, ensuring that we maintain university records for the period established by law.

What is a record? Any written or digital document, form, email, note, or other item that refers to or pertains to university business. According to the Florida Supreme Court, a public record "is any material prepared in connection with official agency business which is intended to perpetuate, communicate, or formalize knowledge of some type".

Why is this important? The benefits of effective records management include space savings, reduced expenditures (filing equipment, staff hours, digital back-up charges), reduced risk (related to cyber attack and legal risks), efficiency of information retrieval, compliance, protection of vital records, and preservation of historical records.

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General Records Schedules

UCF Quick Reference Guide

- UCF Schedules – Quick Reference

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Schedules

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admfin.ucf.edu/records-management

Records Custodian

Records Custodian Liaison

Office of the General Counsel

Records Management Team / RMLO

Records Management Advisory Board

Custodian of Public Records

We are here to help.

Tee Rogers, *RMLO*
Carmen Jarquin, *Records Request Processor*

- ✦ RMLO@ucf.edu
- ✦ 407-823-2351
- ✦ admfin.ucf.edu/records-management

Please fill out the evaluation – help us serve you better!