

University of Florida Foundation, Inc.
Records Management

Policy #: 3.05
Effective Date: January 28, 2009
Responsible Department: Document Management

1. PURPOSE

To ensure that all Foundation legal, historical, fiscal, business, and administrative requirements are satisfied before records are destroyed; to conserve staff time, resources, and space by removing inactive or obsolete materials from files, thereby releasing equipment and facilities for other uses and avoiding further acquisition of file space; and to maintain a regular, controlled flow of records from offices to destruction or archival storage.

2. APPLICABILITY

All administrative units of the Foundation as a guide for the retention and disposition of records.

3. POLICY

The Foundation regulates and manages the creation, use, and preservation of records. Records are all written papers, letters, documents, photographs, tapes, microfiche, microfilm, photocopies, sound recordings, maps, and other documentary materials or information in any recording medium regardless of physical form or characteristics, including data processing devices and computers, made or received by the Foundation. All records created, received, or held by or on behalf of the University of Florida Foundation, Inc. belong to the Foundation. The Foundation is a direct support organization of the University of Florida and its records are confidential and exempt from the provisions of §119.07(1), as set forth in §1004.28. Confidentiality and disclosure of records are further governed by the policies adopted by the Foundation's Board of Directors.

Definitions

1. **ARCHIVAL STORAGE**—records transferred to archival storage represent the information that supports the mission of the organization for its lifetime. The decision to transfer to archival storage preserves information of the greatest value to the Foundation and reflects a continuing commitment to maintain these records.
2. **DESTRUCTION**—physical removal of records by certified recycling or shredding.

3. **RECORDS DISPOSITION**—destruction or systematic transfer to storage of records no longer needed for everyday operations, frequent reference, or satisfaction of external agency requirements.
4. **RETENTION PERIOD**—the length of time a record needs to be maintained to satisfy the purposes for which it was created and to fulfill legal, fiscal, and administrative requirements of the Foundation and interested external agencies. At the conclusion of the retention period, the record may be destroyed or transferred to storage depending on the actions prescribed in the records retention schedule.
5. **RECORDS RETENTION SCHEDULE**—official document showing all actions to be taken in relation to the disposition of records. The schedule enumerates the record title, number, office of record, and disposition schedule (retention period in years) for the record copy and other copies of administrative records. [Add link]
6. **OFFICE OF RECORD**—the office designated as the primary repository for a record with the primary responsibility for producing the record if needed for audit purposes. The office of record is not necessarily the office of origin.

Appraisal of Records

All records should be appraised in relation to their purpose, period of usefulness, and value to a department. Records that reach a file or other housing should have administrative, legal, fiscal, research, or historical value.

1. **ADMINISTRATIVE PURPOSE**—Records created for accomplishing departmental responsibilities have administrative value as long as they assist the office in performing current or planned activities.
2. **LEGAL PURPOSE**—Records have legal value if they contain evidence of legally enforceable rights or obligations of the Foundation, or constitute items to fulfill legal requirements. Examples are records that provide the basis for actions such as legal decisions and opinions; documents representing agreements such as leases, deeds, and licenses; and records of action in particular cases such as claim papers and legal dockets.
3. **FISCAL PURPOSE**—Records of fiscal value are those that pertain to financial transactions such as budget, ledgers, payrolls, and vouchers. After records have served their basic administrative function they may still have sufficient fiscal value to justify their retention for a time to assist the office in accounting for the expenditure of funds.

4. **RESEARCH, HISTORICAL, OR ARCHIVAL PURPOSE**—Some records have enduring value to the Foundation because they reflect significant historical events or document the history and development of an office. Donor records contain copies of pertinent gift information, donor activity, and correspondence, proposals and guidelines, research profiles, and reference materials, which support the activities and mission of the Foundation.

Two kinds of Foundation records are classified as vital – those essential to the protection of the rights of individuals and those essential to the Foundation’s rights or execution of its institutional mission and purpose and its contractual obligations. These records are annotated in the Records Retention Schedule. Departments designated as the office of record for these records are responsible for ensuring they are adequately protected.

Records Destruction procedure – Normal Administrative Procedure (NAP)

RECORDS MAY BE DESTROYED AS A NORMAL ADMINISTRATIVE PRACTICE.

Sometimes it is obvious that no valuable information will be lost if records are destroyed. To cover this, the normal administrative practice (NAP) provision allows administrative areas to dispose of records without formal authorization.

Destruction as a NAP usually occurs because the records are duplicated, unimportant, or for short-term use only, and covers both paper and electronic records.

The following records are examples of items that may be destroyed as a NAP:

- superseded manuals or instructions (except for a master set which includes the superseded portions);
- library materials (except for assets requiring write off);
- catalogs and trade journals;
- requests for copies of maps, plans, charts, advertising material, or other stock information;
- facsimiles, where a photocopy has been made for file;
- rough handwritten drafts of reports, correspondence, routine or rough calculations;

- routine statistical and progress reports compiled and duplicated in other reports;
- abstracts or copies of formal financial records maintained for convenient reference;
- telephone messages.

When deciding whether destruction as a NAP is appropriate, the question should be asked, “Will unique or valuable information be lost?”

The NAP provision must not be used to:

- destroy records that document the significant operations of the Foundation and may have long-term value;
- allow the destruction of records that document the rights and obligations of the Foundation or private individuals;
- cull papers from files unless allowed by a specific disposal authority. Such action destroys the integrity of the files, as one piece of paper may have little value, but collectively the papers may present a complete picture or activity documented.
- destroy business-related e-mail before it becomes part of the formal record. An e-mail document becomes a formal record when the message sets policy, establishes guidelines or procedures, certifies a business transaction, or becomes a receipt.

Records Destruction Procedure

The Foundation’s Document Manager must be contacted BEFORE destroying any records, unless they are being destroyed as a NAP.

1. The Document Manager will be contacted to arrange review of documents slated for destruction.
2. The Document Manager will complete a Memorandum of Records Destruction and forward it to the authorized unit official for approval. Records required for any outstanding legal, fiscal, or other known obligation will be retained pending resolution of action.
3. If all record retention and legal requirements have been met and the Memorandum for Records Destruction approved, the Document Manager will arrange for pickup and destruction of the records.

4. If records scheduled for destruction are housed in off-site storage, the Document Manager will initiate the Memorandum of Records Destruction and forward it to the authorized unit official for approval. Pending approval and, if needed, review by the Legal Department for any legal, fiscal or other known obligation, the Document Manager will arrange for destruction of these records.
5. The Document Manager will maintain a file of all Memorandum of Records Destruction forms in the records office.

Email

Email is part of the official business communication of the Foundation. Email sent or received contains information about business activities and therefore can function as evidence of the Foundation's business transactions.

All email messages created using Foundation systems are Foundation property. Courts have accepted email as a legitimate source of evidence and it is therefore subject to legal processes such as subpoena.

The value and retention requirements for email messages differ, as it does for all incoming and outgoing documents. Emails are considered official business communications when they provide evidence of Foundation business activities (*e.g.*, directives or development of policy issues; guidelines or procedures, certified business transaction, or receipt) and should be printed out, filed into a paper-based record keeping system and retained in accordance with retention schedule guidelines.

Information messages with a business context but not part of a business transaction (*e.g.*, notification of a meeting or a message containing an attached document) and personal or social messages should be destroyed as a NAP. While retained on the Foundation's electronic messaging system, such messages are subject to legal processes.

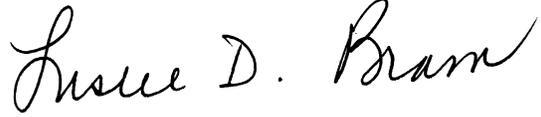
Hold Policy

A hold order is issued to suspend routine destruction of records and other documents upon a finding by the Legal Department that suspension is necessary due to actual or reasonably anticipated litigation, audit, or other governmental investigation. The Legal Department shall wholly or partially release a hold order and issue instructions to return to routine retention immediately after the matter has been wholly or partially resolved.

4. CLARIFICATION

Requests for clarification of this policy should be sent to the Director of Document Management (bharrell@uff.ufl.edu).

Approved Date: January 28, 2009

A handwritten signature in black ink that reads "Leslie D. Bram". The signature is written in a cursive style with a large initial 'L' and a long, sweeping tail on the 'm'.

Leslie D. Bram, Associate Vice President

Revision history: Original version
Revised January 28, 2009