

	FGCU POLICY 3.032	Responsible Unit: Campus Reservations
	Records Management	

A. POLICY STATEMENT

The purpose of this Policy is to establish a Records Management program for the University.

B. REASON FOR POLICY

This Policy provides guidance to the University as to Records Management practices, including, but not limited to, the activities of records retention, security, Retrieval, and Disposition.

C. APPLICABILITY AND/OR ACCOUNTABILITY

This Policy is applicable to all Units within the University and applies to all Public Records made in the course of Official University Business.

D. DEFINITION OF TERMS

1. *Division of Library and Information Services:* The State of Florida, Department of State, Division of Library and Information Services, which is the state office responsible for developing and administering the Public Record management system for all public agencies of the State of Florida.
2. *Duplicate Records:* Copies of the original record, prepared simultaneously or separately, which are designated as not being the official copy.
3. *Electronic Records:* Any information that is recorded in a machine-readable format.
4. *Official University Business:* Any activities of University employees and agents, as well as all Units performed pursuant to the direction of the administration. Such activity includes the expenditure of public funds, decision-making, and policy development.
5. *Public Records:* All documents, papers, letters, maps, books, tapes, photographs, films, sound recordings, data processing software, or other material regardless of physical form, characteristics, or means of transmission, made or received pursuant to law or ordinance or in connection with the transaction of official business of any agency.
6. *Record Copy:* The document specifically designated by the Records Custodian as the official record.

7. *Records Disposal or Disposition*: Final actions taken for records that have met applicable retention requirements and are no longer needed for current business. Disposition may include destruction or transfer of records to another Unit, agency or archives.
8. *Records Custodian*: The person(s) responsible for maintaining Public Records within the University.
9. *Records Management*: The management of records in an economical and efficient administrative process from their creation to their final Disposition.
10. *Records Management Liaison Officer (RMLO)*: The individual designated by the University to serve as a contact person to the Division of Library and Information Services and is assigned Records Management responsibilities.
11. *Records Retention Schedule*: Document promulgated by the Division of Library and Information Services to set retention requirements for records that document administrative and program functions of the University.
12. *Retrieval*: The ability to produce the requested records in a timely and efficient manner.
13. *Units*: All divisions, departments, and colleges at the University.

E. FUNCTIONS

1. Role of University Employee

Every employee within the University performs Records Management. University employees are responsible for knowing what a Public Record is and how to secure, retain, and dispose of it in accordance with University policy. Employees will consult with their Unit's Records Custodian for assistance with completion of the proper Records Management forms necessary for security, retention, and Disposition.

2. Role of Unit Records Custodian

- a. A Unit Records Custodian must handle all records under their control in accordance with the requirements of this policy and are responsible for ensuring that University records under their control are retained, secured, and disposed of in accordance with University policy and the appropriate Record Retention Schedule.
- b. Each Unit will designate a Records Custodian to facilitate Records Management in conjunction with the University RMLO, or RMLO designee. Responsibilities of the Records Custodian in relation to Records Management will include, but is not limited to, maintaining records, securing records, and conducting regular records reviews to identify new or phased-out records. The Records Custodian must maintain an accurate inventory of active, inactive, and disposed records. Regular Disposition of records will include coordination with University RMLO, or RMLO designee, for

proper Disposition, transfer, or archiving of records which have met their retention period.

3. Role of University Records Management Liaison Officer

- a. Provide guidance and assistance to University personnel in establishing records and information management and in managing the Public Records and information they create and use.
- b. Establish and coordinate the scheduling of Records Disposition in accordance with Unit records inventories.
- c. Communicate new Records Retention Schedules when notified by the Florida Division of Library and Information Services, to ensure the appropriate retention and/or Disposition of records.
- d. Provide training and assistance in the areas of compliance with state laws, regulations, and policies. The RMLO will also assist with records retention and Disposition, storage, security, identification of vital records, records preservation, and associated services.
- e. Report annually to the Florida Division of Library and Information Services regarding the University's compliance with Florida Public Records retention requirements.

4. Records Disposition

a. Disposition of Records

- 1) Records may be disposed of only after they have met the minimum requirements for records retention time provided in the appropriate Records Retention Schedule. A Disposition form must also accompany the records to be disposed. Records with a retention period of OSA (obsolete, superseded or administrative value is lost) do not need to be included on the Disposition form. FGCU follows the General Records Schedule GS1-5L for state and local government, as well as General Records Schedule GS5 for Universities and Community Colleges. Units may also be required to follow additional state retention record schedules and may be required to follow certain federal records retention requirements. The University Records Management website provides links to the state retention schedules, Disposition form, and shredding options and instructions.
- 2) Disposition may be by physical destruction, deletion of Electronic Records, transfer to another Unit, or transfer to State or University Archives. For documents that require electronic or physical destruction, the RMLO, or RMLO designee, will coordinate on-campus shredding or other destruction services.

b. Physical and Electronic Destruction of Records

- 1) Physical destruction of Public Records should be in accordance with rule 1B-24.003(10), *Florida Administrative Code*, to ensure that destruction of records are conducted in a manner that safeguards the interests of the state and the safety, security, and privacy of individuals. In destroying records containing information that is confidential or exempt from disclosure, destruction methods will prevent unauthorized access to or use of the information and ensure that the information cannot practicably be read, reconstructed, or recovered.
- 2) The University RMLO, or RMLO designee, will assist Units with individual Disposition requests to provide for the safe and secure destruction of records for paper and electronic media such as emails, data storage in software systems, shared drives, hard drives, DVDs, CDs, VHS tapes, and USB drives and memory.
- 3) When an electronic or microfilmed document is designated as the Record Copy, then the paper original will be designated as the Duplicate Record and may be disposed of in accordance with the applicable retention and Disposition requirements.

c. Transfer of Records

Records may be transferred to another Unit, agency, or University archives based on their legal, historical, or administrative value. When transferring records, a Disposition form must be completed and approved by the RMLO, or RMLO designee.

Related Information

Department of State, Division of Libraries and Information Services, Records Management

Authority

Section 119.021, Florida Statutes

Rule 1B-24.003(10), Florida Administrative Code

BOG Regulation 1.001, University Board of Trustees Powers and Duties

History of Policy

New 07/14/11; Amended 12/11/20

APPROVED

*s/Michael V. Martin
Michael V. Martin, President

December 11, 2020
Date