

	Florida Gulf Coast University Policy Manual	Policy: 3.032 Approved: 7/14/11
	Title: Records Management Policy	Responsible Executive: Vice President for Administrative Services and Finance Responsible Office: Director, Campus Reservations and Records Management

I. POLICY STATEMENT

The purpose of this policy is to establish a records management program for Florida Gulf Coast University that is maintained on a continuing basis and administered by the designated University Records Management Liaison Officer (RMLO).

II. REASON FOR POLICY

This policy formalizes the Records Management Program and describes the responsibilities of employees as it relates to their records management practices.

III. APPLICABILITY AND/OR ACCOUNTABILITY

This policy is applicable to all Divisions, Departments and Colleges within the University.

IV. DEFINITION OF TERMS

- A. *Duplicate Records* - Copies of the original Record, prepared simultaneously or separately, which are designated as not being the official copy.
- B. *Electronic Record* - Any information that is recorded in a machine readable format.
- C. *Information Security* - The protection of information and information systems from unauthorized access, use, disclosure, disruption, modification, or destruction in order to provide confidentiality, integrity, and availability.
- D. *Official University Business* - Any activities of employees, agents, and departments of Florida Gulf Coast University performed pursuant to the direction of the administration. Such activity involves the expenditure of public funds, decision-making, and policy development.
- E. *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. Section 119.011(12), Florida Statute.

- F. *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 department, agency or archives.
- G. *Record Copy* - The document specifically designated by the records custodian as the official record.
- H. *Records Custodian* - The person(s) responsible for maintaining public records within the University.
- I. *Records Management* - The management of records in an economical and efficient administrative process from their creation to their final disposition.
- J. *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.
- K. *Records Retention Schedule* - Identifies records and establishes minimum periods of time for which the record must be retained. 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, although additional federal, state or professional guidelines may apply.
- L. *Retrieval* - The ability to produce the requested records in a timely and efficient manner

V. **FUNCTIONS**

This policy applies to all public records related to official University business. This includes, but is not limited to, records retention, security, retrieval, and disposition.

A. **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 refer to their respective department's Records Custodian for assistance with completion of the proper records management forms necessary for security, retention and disposition.

B. ROLE OF UNIVERSITY DIVISIONS/DEPARTMENTAL RECORDS CUSTODIAN:

1. Division/Department custodians 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, as well as state and federal law.
2. Each department or division will designate a records custodian to facilitate records management in conjunction with the University RMLO. 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 for proper disposition, transfer, or archiving of records which have met their retention period.

C. ROLE OF UNIVERSITY RECORDS MANAGEMENT LIAISON OFFICER:

1. 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.
2. Establish and coordinate the scheduling of records disposition in accordance with department records inventories.
3. Communicate new records retention schedules as needed, in conjunction with the Florida Division of Library and Information Services, to ensure the appropriate retention and/or disposition of records.
4. 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.
5. Report annually to the Florida Division of Library and Information Services regarding the University's compliance with records management statutes and rules.

D. RECORDS DISPOSITION

1. Disposition of Records
 - a) 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. University departments may also be required to follow additional federal retention requirements, if any. The FGCU Records Management website provides links to the state retention schedules, disposition form, and shredding options and instructions.

- b) Disposition may be by physical destruction, transfer to another department, or transfer to State or University Archives. For documents that require destruction, the RMLO will coordinate on-campus shredding or other destruction services.

2. Physical Destruction of Records

- a) Physical destruction of public records should be in accordance with the guidelines set forth in 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.
- b) The Records Management Department provides for the safe and secure destruction of records for paper and electronic media such as hard drives, DVDs, CDs, VHS tapes, jump drives and the like. The University RMLO will assist departments with individual disposition requests.
- c) When an electronic or microfilmed document is designated as the record copy, then the paper original will be designated as the duplicate and may be disposed of in accordance with the applicable retention and disposition requirements.

3. Transfer of Records

Records may be transferred to another department, 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

VI. RELATED INFORMATION

General Records Schedule GS5 for Universities and Community Colleges; General Records Schedule GS1-SL for State and Local Agencies; Records Management Procedures Manual; Rule 1B-24.003(10), F.A.C.

VII. HISTORY

New: 7/14/11

APPROVED

*s/Wilson G. Bradshaw
President

July 14, 2011
Date

**NOTE: This policy reflects changes to the formatting only. No changes have been made to the text.*

APPROVED