

OFFICIAL POLICY

Subject/Title: Record Retention Policy

Policy Number: FPU- 1.0122P

New Revised Technical Revisions Only Emergency Policy

Date First Adopted: October 13, 2014

Date Revised: July 16, 2021

Responsible Division/Department: Office of the President

Initiating Authority: General Counsel

A. APPLICABILITY & PURPOSE

This policy is applicable to all University records and provides guidance for complying with chapters 119 and 257, Florida Statutes.

B. POLICY STATEMENT:

Employees must manage all University records to meet legal standards for protection, storage and retrieval related to records; to protect the privacy of employee and student information in records as required by law; and to optimize the use of storage. Employees may not destroy or delete University records in their possession and control except in accordance with the applicable record retention schedule and the procedures outlined in this policy.

C. DEFINITIONS:

1. **University Record(s):** Any document, paper, letter, map, book, tape, photograph, film, sound recording, data set, data record in electronic information system, electronic mail or similar electronic message (and attachments), data processing software or other material, regardless of physical form or characteristic, system or device used, or means of transmission, made, received or maintained pursuant to law or ordinance or in connection with the transaction of official University business which is used to perpetuate, communicate or formalize knowledge.
2. **General Records Schedule:** Also called a Record 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.
3. **Records Management Liaison Officer (RMLO):** An individual appointed by 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. The RMLO coordinates the University's retention and disposition of records as required by section 257.36(5)(a), Florida Statutes.
4. **Duplicate:** Reproductions of records, prepared simultaneously or separately, that are designated as not being the official copy. A Duplicate may also be called a convenience copy.
5. **Record Series:** A group of related public records arranged under a single filing arrangement or kept together as a unit (physically, electronically, or intellectually) because they consist of the same form, relate to the same subject, result from the same activity, document a specific type of transaction, or have some other relationship arising from their creation, receipt, or use. Examples of series might be personnel files, client case files, project research files, equipment maintenance and

repair records, or procurement files. Each record series might contain records in a variety of forms and formats that document a particular program, function, or activity of the University.

6. **Record Retention Period.** The amount of time a record must be retained by the University before disposition of the record may occur. The record retention period is based on the nature of the information included in the record and varies from immediate destruction to permanent retention. 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. Retention periods can be found in the retention schedules adopted by the State of Florida. See State of Florida General Records Schedule GSI-SL for State and Local Government Agencies <https://dos.myflorida.com/library-archives/records-management/general-records-schedules/> and State of Florida General Records Schedule GS5 for Universities and Community Colleges <https://files.floridados.gov/media/693588/g505.pdf>

D. PROCEDURES:

1. All Vice Presidents are responsible for ensuring that all University Records under their jurisdiction are maintained and disposed pursuant to the State of Florida Public Records Disposal Procedures, and such schedules are followed in the management of records. All Vice Presidents may designate a records management officer for departments and divisions under their jurisdiction to fulfill these responsibilities.
2. Each department should have an inventory of the records it is responsible for. The inventory should, at minimum, identify and describe each record series created and maintained by the department. Each record series should have a record series title, description, inclusive dates, volume, and retention period.
3. Essential records (those that would enable the department to perform essential functions during the course of a disaster and that would enable the department to resume operations and fulfill its obligations following the disaster) must be identified by each department, duplicated, and stored in an area with adequate protection against theft and physical/electronic damage.
4. **Disposition of University Records.** The RMLO is responsible for overseeing the record disposition process.
 - (a) A record may be disposed of when a Vice President or records management officer reviews the record and determines that the record has met its retention period as determined by the applicable retention schedule and has lost its institutional value.
 - (b) The Vice President or designee or records management officer must submit a Records Disposition Request Form to the RMLO.
 - (c) The RMLO will review the request. Once the RMLO determines that all criteria are met, approval for disposition of the record and guidance on method of disposition will be sent to the submitting person.
 - (d) Records should be disposed of in the least burdensome method consistent with the character of the records. Some documents may be recycled; however, when documents contain sensitive or confidential information, they should be destroyed by secure shredding, etc. Electronic records should be disposed using the appropriate process defined by Technology Services for the storage location and medium holding the electronic records.
 - (e) After disposition of the records, the Vice President or records management officer

- must return the completed form to the RMLO.
- (f) The department or division 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.
 - (g) Duplicates. Duplicate records may be destroyed without documentation. Duplicates should be destroyed as soon as their use is completed. The maximum retention period for a Duplicate should be consistent with the retention schedule for the Official Copy of the record. Duplicates retained after the Official Copy of the record has been disposed are subject to public records requests. If it cannot be determined whether a record is a Duplicate, it must be treated as the Official Copy.”
 - (h) Obsolete, Superseded, or Administrative Value Lost. 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.

POLICY APPROVAL	
Policy No.: FPU-1.0122P	
_____	Date _____
Initiating Authority	
_____	Date _____
Policies Committee Chair	
_____	Date _____
President	
Approved by Florida Polytechnic University BOT, if required Date _____	
EXECUTED SIGNATURE PAGES ARE AVAILABLE IN THE OFFICE OF THE GENERAL COUNSEL	