

PRESIDENTIAL MEMORANDUM #35
1st Revision

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SUBJECT: Records Management and Control

DATE: July 1, 1992

The purpose of this memorandum is to establish university policy relative to records management, including the storage, transfer or disposition of all records.

Florida's Public Records Management Laws and Rules

THE PUBLIC RECORDS LAW

Florida Statute Chapter 119 is Florida's Public Records law and contains the states policy on the nature and inspection of public records. Basically, a public record is any information created or received pursuant to law or ordinance or in connection with the transaction of official business regardless of physical form. In addition to paper, Public Records include letters, maps, books, tapes, photographs, film and sound recordings. Chapter 119 describes provisions pertaining to public inspection of records and cites any records exempt from inspection. No public record may be disposed of without the consent of the Division of Library and Information Services.

FLORIDA'S RECORDS AND INFORMATION MANAGEMENT PROGRAM

Florida Statute Chapter 257.36 describes Florida's Records and Information Management Program and the duties and responsibilities of the Division of Library and Information Services. The statute includes requirements for the Division to establish and administer a program directed toward the efficient and economical creation, utilization, maintenance, retention, preservation, and disposal of public records.

Each public agency must establish an active and continuing records management program, comply with the provisions of the law, and designate a Records Management Liaison Officer (RMLO).

ADMINISTRATIVE RULES

Detailed standards and procedures relating to records management are found in the following three rules of the Florida Administrative Code.

- 1B-24 - Public Records Scheduling and Disposition
- 1B-26 - Records Management - Standards and Requirements
- 1B-27 - Records Management Services

RULES OF DEPARTMENT OF EDUCATION, DIVISION OF UNIVERSITIES,
FLORIDA ATLANTIC UNIVERSITY

Chapter 6c5-7.002 defines FAU's Records Management and Control Program.

Copies of the above laws and rules are available for reference in the Office of Records Management.

The Records Management Liaison Officer

Florida law requires every agency to designate a Records Management Liaison Officer (RMLO) to maintain an active records management program and to cooperate with the Division of Library and Information Services. The Director of Space Utilization and Analysis, Division of Administration and Finance, has been appointed RMLO for Florida Atlantic University. This appointment includes the responsibility for the development and implementation of the University's records management program and all communications between the University and the Division of Library and Information Services. The RMLO is responsible for administering an active and continuing program for the economical and efficient management of records.

The Records Management Center

The Records Management Center (ADM 14) is established as the service center for record retention and disposition. The Center has the responsibility to :

1. Provide a systematic procedure for the economic use of prime office space and filing equipment by (a) transfer of records to storage facilities and by (b) conversion of hard copy to microforms or optical disk.
2. Preserve records of continuing value. A small percentage of an agency's records may have legal, administrative or fiscal value which requires their retention for a long period.
3. Promptly and systematically dispose of records which have served their purpose.

The Records Management Center will offer information on techniques and equipment to make storage and retrieval of information more efficient, economical and effective. The Center will coordinate records retention scheduling and records disposition for all units of the University.

Florida law prohibits the disposal of public records without the consent of the Division of Library and Information Services of the Florida Department of State. Certain records should be disposed of when the information is no longer needed or current. This can be done, once a time schedule has been established for their retention, i.e., assignment of a minimum time a record type or series must be retained. When records have met retention requirements established by FAU's retention schedule, the Records Management Center may initiate disposal action by submitting a "Records Destruction

Request" form(s) to the Division.

Attached is a **representative** list of retention schedules for various FAU records. Copies of other retention schedules are available for reference in the Records Management Center and the office of the RMLO. In most cases, retention schedules have already been established for FAU's records. When the minimum retention time has expired, records may be destroyed (upon approval by the Division of Library and Information Services) or transferred to the State Archives for permanent preservation (few records merit preservation in an archives).

Preservation of Historical Records

The Archivist of the University Library is designated as the responsible person for the organization and maintenance of the University's Historical Archives. The function of the Historical Archives is to serve as a depository or central information source for all significant Florida Atlantic University publications, documents, correspondence, minutes of meeting, special reports, and other material of historical value.

College/Division/Department Responsibilities

The responsibility of reviewing and transferring all stored and inactive records to the Records Management Center should be delegated to a specific individual within each operational area. The duties of that individual would include the following:

1. Periodically survey departmental records to ensure that inactive records are transferred to the Records Center for storage or other disposition.
2. Coordinate with the Records Management Center to obtain information regarding retention and/or destruction of specific records and follow established guidelines of the Center.
3. Identify and separate documents for additional preservation and reference in the Florida Atlantic University Historical Archives.

Procedures for Storage and Disposal of Records

To receive additional information concerning procedures for storage and disposal of records, contact the Office of Space Utilization and Analysis, extension 2663.

Anthony James Catanese
President and Professor

Attachment

- 8) ADMINISTRATIVE SUPPORT RECORDS - This record series consists of, but is not limited to, records accumulated relative to internal administrative activities rather than the functions for which the office exists. Normally, these records document procedures; the expenditure of funds, including budget material; day-to-day management of office personnel including training and travel; supplies and office services and equipment requests and receipts and other recorded experiences that do not serve as official documentation of the programs of the office. However; because the content of these records vary so greatly in content and value (containing some duplicates and record master copies), a relatively large proportion of them are of continuing value and may be subject to the audit process.

RECOMMENDED RETENTION:

- a) Record (master) copy - Three (3) fiscal years provided applicable audits have been released.
- b) Duplicates - Retain until obsolete, superseded or administrative value is lost.

- 39) DEPARTMENT LEDGERS - This series consists of a computer generated monthly report sent to each department by the fiscal office and includes a detailed account of each department and project.

RECOMMENDED RETENTION:

- a) Fiscal Department, master (record) copy - Three (3) fiscal years provided applicable audits have been released.
- b) Duplicates - Retain until obsolete, superseded or administrative value is lost.

- 51) GRANT FILES - This record series consists of, but is not limited to, financial, management and any other related material which is generated subsequent to application for and/or expenditure of grant funds.

RECOMMENDED RETENTION:

- a) Record (master) copy, Not funded - Retain one (1) year after denial of grant.
- b) Record (master) copy, funded - Three (3) years after completion of grant provided applicable audits have been released. **Check with applicable granting agency for any additional requirements.**
- c) Record (master) copy, GEPA-related grants - Retain five (5) years after completion of grant provided applicable audits have been released.
- d) Duplicates - Retain until obsolete, superseded or administrative value is lost.

- 57) INSTRUCTOR EVALUATIONS - This record series consists of, but is not limited to, evaluations of faculty members complete by students each term.

RECOMMENDED RETENTION:

- a) Record (master) copy - One (1) semester after evaluation is submitted.
- b) Duplicates - Retain until obsolete, superseded or administrative value is lot.

- 61) INVOICES - This record series consists of, but is not limited to, vendor invoices for items purchased, received and paid for, and billings to students, corporations, and governmental agencies. Also, see "Checks, Canceled," Item #31, for further description.

RECOMMENDED RETENTION:

- a) Record (master) copy - Three (3) fiscal years provided applicable audits have

been released.

b) Duplicates - Retain until obsolete, superseded or administrative value is lost.

80) PAYROLL CERTIFICATION REPORT - This series consists of records signed by the supervisor of each department approving the hours worked by the employees.
RECOMMENDED RETENTION:

a) Master (record) copy - Two (2) calendar years provided applicable audits have been released.

b) Duplicates - Retain until obsolete, superseded, or administrative value has been lost.

93) PROMOTION AND TENURE FILES - This series documents the review process for promotion and tenure and contains forms, letters and accompanying data. If granted, the complete file of the promotion and tenure documents is placed in the permanent personnel file.

RECOMMENDED RETENTION:

a) Record (master) copy for granted promotion and tenure - Fifty (50) years after termination of employment, microfilm optional.

b) Promotion and tenure denied - Five (5) calendar years then destroy, provided no litigation is pending.

c) Duplicates - Retain until obsolete, superseded or administrative value is lost.

98) PURCHASING RECORDS - This record series consists of, but is not limited to, all purchase orders issued for the procurement of goods, services or property which contain the name of the vendor, items to be purchased, date, the purchase order number and the purchasing agent's signature. Also contained in this file may be copies of the requisitions for purchase, specifications, a vendor's list, bids and related correspondence or memoranda. Also, see "Bid Records," Item #20, for further description and/or retention period.

RECOMMENDED RETENTION:

a) Record (master) copy - Three (3) fiscal years provided applicable audits have been released.

b) Duplicates - One (1) fiscal year.

99) READING FILE - This record series consists only of duplicates of all out-going correspondence which is filed chronologically. Also, see "Correspondence (Non-Routine)," Item #36, and/or "Correspondence (Routine)," Item #37, for further description and/or retention period.

RECOMMENDED RETENTION:

a) Record (master) copy - One (1) fiscal year provided applicable audits have been released.

b) Duplicates - Retain until obsolete, superseded or administrative value is lost.

129) TRAVEL RECORDS - This record series consists of, but is not limited to, records containing detailed information pertaining to expenses incurred during travel and the authorized per diem rate indicated, unless reimbursement is to be made on the actual cost of lodging and meal allowances. The appropriate supporting documents may also be included with the voucher.

RECOMMENDED RETENTION:

- a) Record (master) copy - Three (3) fiscal years provided applicable audits have been released.
- b) Duplicates - Retain until obsolete, superseded or administrative value is lost.