



61.99.01.D0.01 Records Management

Approved: September 9, 2010

Revised: June 28, 2013

December 3, 2015

Next Scheduled Review: December 3, 2018

Procedure Statement

Texas A&M University-Central Texas (A&M–Central Texas) is committed to maintaining a viable state records management program in compliance with federal and state law. The records management program applies only to state records and does not include convenience copies.

Reason for Procedure

This standard administrative procedure defines the duties of the records officer and the method for the retention, disposition, and security of state records in compliance with law and system regulation, including records of a historical nature.

Procedures and Responsibilities

1. RECORDS OFFICER

- 1.1 The President shall designate an individual as the Records Officer (RO) to manage the retention and disposition of state records. The RO for A&M–Central Texas reports to the President.
- 1.2 The RO will ensure that the System Records Retention Schedule lists all the records series created or received by and maintained by the university. The RO will periodically survey state records at the university and provide the System Records Management Officer with a written list of proposed changes to the retention schedule.
- 1.3 The RO will identify university records subject to internal, state, or federal audits in addition to those listed on the records retention schedule, if any, and ensure that the university is in compliance with auditing requirements.
- 1.4 The RO will work in cooperation with the President to identify records with historical significance to the university, and ensure that they are preserved.

- 1.5 The RO will develop procedures for the retention, disposition, and security of state records at the university. Special attention will be given to vital, archival and electronic records and litigation holds.
- 1.6 The RO will conduct employee training on compliance with records management and procedures.

2. RECORDS RETENTION SCHEDULE

- 2.1 The records management program at A&M-Central Texas will follow the schedule as submitted by the RMO to the Texas State Library and Archives Commission. The retention periods on the schedule apply only to the record copy of state records as defined in system regulation. State records maintained in electronic format or microfilm must comply with the Commission's administrative rules (see links in system regulation 61.99.01). The RO will ensure that the schedule lists all records series maintained by A&M-Central Texas.
- 2.2 The record copy of state records maintained by the university, including electronic formats, should be readily accessible for any purpose, such as university business, public information requests, audits, or litigation.
- 2.3 The President and RO will identify any state records that are subject to audit by internal, state, or federal auditors and will ensure that A&M-Central Texas is in compliance with the audit requirements. State records subject to audit must be retained until the expiration of the audit period or the period specified in the schedule, whichever is later. The schedule identifies some of these state records; however, it is the responsibility of the RO to identify any additional state records that are subject to internal, state, or federal audit and ensure that they are retained accordingly.

3. DESTRUCTION OF STATE RECORDS

- 3.1 State records may not be destroyed or otherwise disposed of without the written approval of the RO or designee using the records destruction form. This requirement does not apply to duplicates, convenience copies or transitory information which can be destroyed when the purpose of the document has been fulfilled. Copies should not be kept longer than the official record copy.
- 3.2 State records listed on the retention schedule cannot be destroyed until the designated retention period has expired and the RO or designee has approved the destruction. The retention periods on the schedule apply only to the record copy of state records. A state record cannot be destroyed if any litigation, claim, negotiation, audit, open records request, administrative review, or other action involving the record is initiated before the expiration of the retention period. The record must be retained until the completion of the action and the resolution of all issues that arise from it, or until the expiration of the retention period, whichever is later.

3.3 State records not listed on the records retention schedule cannot be destroyed until the Records Management Officer (System) obtains written approval from the Texas State Library and Archives Commission.

3.4 Destruction of state records must be done in a manner that ensures protection of sensitive or confidential information.

3.5 The final disposition of state records must be documented by the RO or designee.

4. TRAINING

4.1 Department heads shall appoint a records coordinator using the form available on the University's Records Management web page. This designation form shall be sent to the RO in order to assign the person to required training. Departmental records coordinators will be required to take the System online course "Retention of State Records" every two years. This training is available through HR Connect (or subsequent online training system). Departmental Records Coordinators can recommend that additional departmental personnel take online class, or they can require others to take the class by contacting the RO and having these individuals assigned to the class.

4.2 Annual training classes shall be scheduled. Additional training can be arranged by contacting the RO. This training does not substitute for the online training for those individuals required to take that training.

5. RECORDS OF HISTORICAL SIGNIFICANCE

5.1 The president is responsible for identifying state records, in addition to those within the schedule, that are of historical significance and that should be preserved as archival state records.

Related Statutes, Policies, or Requirements

[Texas Government Code Chapter 441.182](#)

[Texas Government Code Chapter 552](#)

System Regulation [61.99.01 Retention of State Records](#)

System Regulation [61.01.02 Public Information](#)

Definitions

Archival state record – state record of enduring historical value that will be preserved on a continuing basis. See Texas Government Code § 441.180(2).

Convenience copies – other copies of a record held by other offices in the university. These copies should not be retained after the destruction of the record copy.

Electronic state records – state records as defined in this regulation that are maintained in electronic format, including electronic mail and the product of computer processing. See Texas Government Code § 441.189; 13 Texas Administration Code § 6.91(5).

Record copy – the official copy of a state record that must be retained for the retention period designated on the retention schedule and destroyed at the end of the specified amount of time.

Record management – the application of management techniques to the creation, use, maintenance, retention, preservation, and disposition of records for the purpose of improving the efficiency of recordkeeping, ensuring access to public information under the Public Information Act, and reducing costs. See Texas Government Code § 441.180(7).

Records series – groups of related state records that are normally used and/or filed together, and are evaluated as a group for retention scheduling purposes. See 13 Texas Administration Code § 6.1(13).

State records – any written, photographic, machine readable, or other recorded information created or received by or on behalf of the university that documents activities in the conduct of state business or the use of public resources. See Texas Government Code § 441.180(11).

Transitory information – records of temporary usefulness that are not an integral part of a records series, that are not regularly filed within a recordkeeping system and that are required only for a limited period of time for the completion of an action by an employee or in the preparation of an on-going records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of university functions. See 13 Texas Administration Code § 6.91(8).

Vital record – any state record necessary to the resumption or continuation of university operations in an emergency or disaster, for the re-creation of the legal and financial status of the university, or the protection and fulfillment of obligations to the people of Texas. See Texas Government Code § 441.180(13).

Appendix

[Texas State Library and Archives Commission Resources for Records Managers](#)

[Texas State Library and Archives Commission State Agency Bulletin # 4 State Records Management Laws](#)

Contact Office

Office of Institutional Compliance
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