

61.99.01.D0.01

Records Management



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Procedure Summary

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. All University departments will work in cooperation and coordination with University Records Management to manage and retain state records. See definitions in A&M System Regulation [61.99.01 Retention of State Records](#).

Procedures and Responsibilities

1. GENERAL

- 1.1 The President has designated the Chief Ethics & Compliance Officer 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 Department heads shall appoint records coordinators to maintain department records in accordance with System’s Retention Schedule by coordinating records disposition with the RO.

2. RECORDS OFFICER RESPONSIBILITIES

- 2.1 The RO will ensure that the System Records Retention Schedule lists all the records series created or received by and maintained by the university.
 - 2.1.1 If a record is located on the System Retention Schedule please contact the RO.
- 2.2 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.

- 2.3 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.
- 2.4 The RO will work in cooperation with the University Archivist to identify records with historical significance to the university, and ensure that they are preserved.
- 2.5 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, electronic records, and litigation holds.
- 2.6 The RO or designee will conduct employee training on compliance with records management and procedures.

3. RECORDS COORDINATORS

- 3.1 Each Department Requires a Records Coordinator. Department heads shall appoint a records coordinator(s) using the [Records Coordinators Designation Form](#). This designation form shall be sent to the RO in order to assign the person to the required training. Departmental records coordinators will serve as the contact between a department and the RO.
 - 3.1.1 If the Records Coordinator is relieved of their duties for any reason, it is the responsibility of the department head to appoint a new Records Coordinator to ensure their state records are maintained properly.
 - 3.1.2 Department head will fill the role for Records Coordinator within 30 days even if it is as interim.
- 3.2 Departmental records coordinators will be required to take online course #11015 “Retention of State Records” through System TrainTraQ every two years.
 - 3.2.1 Departmental Records Coordinators can recommend that additional departmental personnel take the online class by contacting the RO and having these individuals assigned to the class.
- 3.3 Mandatory university “Records Management” training classes shall be scheduled annually. Additional training can be arranged by contacting the RO.
 - 3.3.1 Training is required the first year in the role as Records Coordinator and then every three (3) years.
 - 3.3.2 This training does not substitute for the online training for those individuals required to take that training.

4. RECORDS RETENTION SCHEDULE

- 4.1 The record copy of state records maintained by A&M-Central Texas, including electronic formats, should be readily accessible for any purpose, such as university business, public information requests, audits, or litigation.
- 4.2 The records management program at A&M-Central Texas will follow the Texas A&M University System Records Retention Schedule. The time periods that each document should be retained is indicated in the retention schedule.
- 4.3 The retention periods on the schedule apply only to the record copy of state records as defined in system regulation.
- 4.4 State records maintained in electronic format or microfilm must comply with the Commission's administrative rules (see links in system regulation 61.99.01) and [State Standards and Procedures for Management of Electronic Records, 13 TAC §§ 6.91 – 6.97](#). These records need to be in the most unalterable format suitable for records retention.
- 4.5 Records that are classified as "Archival" have enduring value to the university and should be preserved on a continuing basis until the University Archivist indicates that based on a reappraisal of the record, it no longer merits further retention. The retention schedule identifies records that are to be archived as well as records that need to be reviewed by the archives to determine their historical value.

5. DESTRUCTION OF STATE RECORDS

- 5.1 State records may not be destroyed or otherwise disposed of without the written approval of the RO or designee using the Records Disposition Form.
 - 5.1.1 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, including electronic copies, should not be kept longer than the official record copy.
- 5.2 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.
 - 5.2.1 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.
- 5.3 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.

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

5.4.1 Use a level 3 or higher shredder that produces shred no larger than strip-cut 1/16 inch.

5.5 The final disposition of state records must be documented by the Records Coordinator on the Records Disposition Log and a copy submitted to the Office of Institutional Compliance no later than the last day of the Fiscal year (August 31st) with the Department's Annual Retention State Records Certification Form.

6. RECORDS OF HISTORICAL SIGNIFICANCE

6.1 Records that are identified as archival cannot be destroyed by the record coordinator and should be transferred to the University Archives to be stored permanently after written approval from the RO is obtained.

6.1.1 Records that are marked with "I" in the records retention schedule must be archived and records marked "O" in the records retention schedule require review by the archivist. If after review these records are marked by the archivist for destruction, the records will be returned to the requestor to request disposition of destruction.

6.1.2 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, including digital, should not be kept longer than the official record copy.

6.2 The President, the Archivist, and the RO are responsible for identifying state records, in addition to those within the retention schedule, that are of historical significance and that should be preserved as archival state records.

6.3 State records listed on the retention schedule cannot be sent to archives until the designated retention period has expired and the Records Disposition Form has been approved and signed by the RO. The retention periods on the schedule apply only to the record copy of state records.

6.4 The transfer of records to the University Archives must be documented by the Department Records Coordinator on the Records Disposition Log and submitted to the Office of Institutional Compliance with the Department's Annual Retention State Records Certification Form by the end of the fiscal year (August 31st).

Related Statutes, Policies, or Requirements

[Texas Government Code Chapter 441.182](#)

[Texas Government Code Chapter 552](#)

[Texas Administrative Code Title 13 Chapter 6](#)

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

System Regulation [61.01.02 Public Information](#)

Appendix

[Records Disposition Form](#)

[Annual Retention State Records Certification Form](#)

[Records Coordinator Designation Form](#)

[Records Disposition Log](#)

[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
254-519-5763

University Archives
254-519-5499