



PRAIRIE VIEW A&M UNIVERSITY

# RECORDS MANAGEMENT

Office of Compliance



# OBJECTIVES

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- Four main objectives of a Records Management Program:
  - Increase efficiency of record keeping.
  - Protection of important legal, financial and vital records.
  - Efficient retrieval and disposal of state records.
  - Preservation of historical records.

# What is State Records?

- Any *written, photographic, or other* recorded information
  - created or
  - received by or
  - on behalf of a state agency or
  - an elected state official
- that documents activities in the conduct of the state business (Texas Government Code §441.180)

# What is Record Copy?

The Record Copy is the original or official document that is kept on file.

- These records are subject to the retention schedule and they are listed in the retention schedule.
- These records require internal approval before they can be disposed of when retention periods expire.
- Record destruction form and record disposition log must be completed before final disposition of the record copies.

# What is a Convenience Copy?

- The convenience copies are all other copies of the record copy created for convenience, reference, or research.
  - Convenience copies can be destroyed any time.
  - No approval is needed.
  - You do not have to complete any forms for convenience copies disposition.

# Problems with Convenience Copies!

- **Convenience copies must be disposed of before the end of retention period or as soon as they have served their purpose.**
- **They can not be kept longer than record copy.**
- **If convenience copies are kept after record copies are destroyed then:**
  - *Convenience copy becomes the record copy*
  - *You have subjected yourself to the record custodian responsibilities and are liable for disciplinary action if it is determined that the records are not in compliance.*

**Do not risk your position by keeping convenience copies!**

# What is Transitory Records?

- Transitory records are records of temporary usefulness and they are not an integral part of a record series of an agency. They are not regularly filed with an agency's records, and required only for a limited period of time.
- Examples:
  - Routine messages.
  - Internal meeting notices.
  - Routine information used for communication, but not for the documentation of a specific transaction.
- These records should be disposed of as soon as they have served their purpose.

# What is Records Management?



It is the application of management techniques to the

- creation,
- use,
- maintenance,
- retention,
- preservation and,
- destruction

of state records. (Texas Government Code §441.180)

# Record Management Program:

**Records Management Program should be established for all three phases of the records life cycle:**

## **Phase One: Creation and Receipt**

Establish control over the creation and distribution of records.

## **Phase two: Use and Maintenance**

- Manage filing and information retrieval system.
- Establish procedure for efficient storage of inactive records.
- Provide protection to state records that are archival, vital and confidential.
- Maintain public information to facilitate access under the *Public information act, chapter 552* (Open Records Requests).

## **Phase three: Retention and Disposal**

- Develop Retention Schedule.
- Establish procedure for timely and proper disposal of records eligible for final disposition.

# Retention Schedule:

- Retention Schedule is the most important tool for records management.
- It is the document that lists the most common records series and specifies how long these records must be kept.
- The Retention Schedule is on the PVAMU Records Management website.
- <http://www.pvamu.edu/pages/2272.asp>

		STATE OF TEXAS Records Retention Schedule				SLR 105 <i>Form SLR 105C must accompany this form.</i>	
2. Agency Code <b>715</b>		3. Agency Name <b>Prairie View A&amp;M University (A Part of The Texas A&amp;M University System)</b>				Page 1 of 92	
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. PVAMU Official Record Custodian
			Agency	Storage	Total		
<b>ADMINISTRATION RECORDS</b> Section 1.1 - General							
1.1.002	01.100.10	Audits – Audits and reviews performed by or on behalf of an agency, including the working papers that support the audit. Also includes audits performed on the agency audits	AC+7		AC+7	AC=Publication or release of final audit findings. The State Auditor's Office retains any copies of its audits performed on Texas state agencies.	Director of Compliance
1.1.004	01.101.10	Legislative Appropriations Requests – Including any supporting documentation created and/or used to justify and support legislative appropriations requests by an agency.	AC+6		AC+6	A AC = September 1 of odd-numbered calendar years.  Records with archival value will be retained in the agency archives.	Vice President for Business Affairs
1.1.006	01.102.10	Complaint File – Complaints received by an agency from the public concerning the agency and records pertaining to the resolution of the complaint.	AC+2		AC+2	AC=Final disposition of the complaint  CAUTION: if a complaint becomes the subject of litigation, it must be included in and is subject to the minimum retention period of item number 1.1.048.	Staff= Assistant VP for Human Resources Faculty & Students = Provost Ethnicities Point = Vice President for Business Affairs Department = Applicable Department Head
Retention Code AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value		CE – Calendar Year End FE – Fiscal Year End		LA – Life of Asset MO – Months		PM – Permanent US – Until Superseded	
		Archival Codes A – Retain in Archives R – Review by Archivist					

SLR 105  
Rev. 06/05

# Disposition of State Records:

- There are two ways a state record can be disposed of:
  - Archival Preservation: If a record is designated as an archival record, then that record has to be preserved. “An archival state record is of enduring value that will be preserved on a continuing basis by the Texas state library and Archives commission or another state agency.”
    - Please contact Phyllis Earles, the University Archivist at 936-261-1516 or by e-mail at [plearles@pvamu.edu](mailto:plearles@pvamu.edu) if you have any questions about archival documents.
  - Destruction: If a record is in the System Record Retention Schedule and has met the retention period then it should be destroyed in a timely manner. This process has to be approved and documented.




# Destruction of State Records:

The following steps are necessary before record copies can be destroyed:

1. Ensure that the records are listed in the system record retention schedule.
2. Verify that the retention period for these records has expired.
3. Notify the university records officer.
4. Complete the record disposition log.
5. Complete the record destruction form.
6. Obtain necessary authorization.
7. Keep copies of the completed form for yourself and send the originals to PVAMU Records Officer.
8. Shred or burn the records in the presence of a witness.

# Record Destruction Form:

- 2. Record Destruction Form:
- This form is necessary *only* for records that have been identified for final disposition through destruction.
- Along with Department Head's signature, University's Records Officer's signature is required.
- These forms must be completed before the actual destruction of records.
- Signature by a witness who is present during the destruction process is a must.

 <b>Prairie View A&amp;M University – Records Management</b> <b>RECORDS DESTRUCTION FORM</b>		Page ____ of ____
Department Name:		Total # of Boxes:
Date:	Office Address:	Telephone:

**CAUTION:** A state record may not 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 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. Section 441.187(b) Texas Government Code. Any record subject to federal audit must be retained until the expiration of the audit period or the period specified in the TAMUS Records Retention schedule, whichever is later.

Required Approval		Departmental Destruction
Department Records Coordinator:	Date:	Date of Records Destruction:
Department Head:	Date:	Destruction Method:
University Records Officer:	Date:	Shredding _____
		Discard _____
		Outside Vendor _____
		Destruction Witness:

**Request for Department Destruction**

I certify that these OFFICIAL RECORD COPIES are past the retention period specified by the System Records Retention Schedule and that all audit and administrative requirements have been satisfied.

I certify that no HOLD has been placed on these OFFICIAL RECORDS due to any litigation, claim, negotiation, audit, or open records requests and all administrative requirements have been satisfied.

**Note:** Please read the instructions on page 3 concerning Departmental Records Destruction.

User Box #	Retention Schedule Agency Item#	Description of Records. The contents of each box should be listed separately.	Inclusive Dates	Retention Period	Medium

# CAUTION!!

- **Records that cannot be destroyed:**

- any

- litigation,
- claims,
- negotiations,
- audits,
- open records requests or
- administrative reviews

pending!

# Storage of Inactive Records

- Store inactive records in such a way that it is easy to locate, easy to retrieve and protected from harm or unauthorized access:
  - Use records boxes whenever possible.
  - Label the boxes with
    - a description of the records ,
    - a record series agency Item number, and
    - the date of the records.
  - Write a unique box number on the outside of each box.
  - Enter the disposition date on the box.
  - Store boxes in such a way that boxes with common disposition dates are grouped together.

# Benefits

- Benefits of proper management of records:
  - Compliance with legal requirements.
  - Efficient use of resources which leads to increased productivity and it is cost effective.
  - Easy access to state records for open records requests.
  - Protection, control and maintenance of state records.

# Useful Websites

PVAMU Records Management Webpage:

<http://www.pvamu.edu/recordsmanagement>

TAMU Records Management Webpage:

<http://tamus.edu/offices/admin/records/>

Texas Records Management Laws:

<http://www.tsl.state.tx.us/slr/recordspubs/index.html#statebulletins>

Trainings at Texas State Library and Archives Commission

<http://www.tsl.state.tx.us/slr/>

# PVAMU Records Management

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