

**PRAIRIE VIEW A&M UNIVERSITY  
UNIVERSITY ADMINISTRATIVE PROCEDURE**

**61.99.01.P0.01 Records Management**

Approved August 08, 2011

Next Scheduled Review (August 2012)

**1. PURPOSE**

- 1.1 The purpose of this procedure is to ensure the viable maintenance of a state records management program in compliance with federal and state laws. This procedure defines the duties of the records officer and the method for the retention, disposition, and security of state records in compliance with the law and system regulations. This records management program applies only to state records and does not include convenience copies.

**2. DEFINITIONS**

- 2.1 **Archival state record** – A state record of enduring historical value that will be preserved on a continuing basis. See Texas Gov't Code 441.180(2).
- 2.2 **Convenience copies** – The 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.
- 2.3 **Electronic state records** – The records created or received and maintained in electronic formats, including electronic mail and the product of computer processing. See Texas Gov't Code 441.189 (13) and Texas Admin Code 6.91(5).
- 2.4 **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.
- 2.5 **Records 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 Gov't Code 441.180(11).
- 2.6 **Records series** – The groups of related state records that are normally used and/or filed together, and are evaluated as a group for retention scheduling purposes. See Texas Admin Code 6.1(13).
- 2.7 **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 Gov't Code 441.180(11)
- 2.8 **Transitory information** – The 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 Texas Admin Code 6.91(8).

- 2.9 **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 Gov't Code 441.180(3).

### 3. PROCEDURES AND RESPONSIBILITIES

- 3.1 The President shall designate an individual as the Records Officer (RO) to manage the retention and disposition of state records.
- 3.2 Records Officer Responsibilities:
- 3.2.1 Ensure that the System Records Retention Schedule lists all the records series created or received and maintained by the University.
  - 3.2.2 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.
  - 3.2.3 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 the University is in compliance with auditing requirements.
  - 3.2.4 The RO will work in cooperation with the President to identify records with historical significance to the University, and ensure they are preserved.
  - 3.2.5 Validate 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.
  - 3.2.6 The RO will conduct employee training on compliance with records management and procedures as necessary.
- 3.3 Record Retention:
- 3.3.1 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.
- 3.4 Destruction of State Records:
- 3.4.1 State records may not be destroyed or otherwise disposed of without the written approval of the RO 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.

3.4.2 State records listed on the retention schedule cannot be destroyed until the designated retention period has expired and the RO 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.

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

3.4.4 Destruction of state records must be done in a manner that ensures protection of sensitive or confidential information as defined at University Administrative Procedure 29.01.03.P0.22.

3.4.5 The final disposition of state records must be documented by the University RO.

3.4.6 The third week of every Semester will be deemed as Records Retention Awareness Week. All records coordinators will verify the status for records destruction and proceed as required.

### 3.5. Training

3.5.1 Department heads shall appoint a records coordinator. The Department head will notify the RO of the appointee in order for the RO to assign the person to take required training. The Departmental Records Coordinators will be required to take the System online course "Retention of State Records" every two years. This training is available through Train Traq. Departmental Records Coordinators may recommend that additional departmental personnel take the online class, or they can require others to take the class by contacting the RO and having these individuals assigned to the class.

3.5.2 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.

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