UAP Purpose

The purpose of this University Administrative Procedure (UAP) is to establish the guidelines for maintaining an active and continuing state records management program in compliance with state and federal laws. This records management program applies only to state records and does not include convenience copies.

Definitions

Archival State Record – a 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 – records created or received and maintained in electronic formats, including electronic mail and the product of computer processing. See Texas Government Code § 441.189(13) and 13 Texas Administrative 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.

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 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 Administrative 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 Administrative 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].

**Official Procedures and Responsibilities**

1. **GENERAL**
   1.1 Prairie View A&M University (PVAMU) recognizes the need for all departments of the university to manage and retain state records in accordance with The Texas A&M University System (System) Records Retention Schedule and applicable laws. All departments will work in cooperation and coordination with the Office of Information Resource Management to manage and retain state records.

   1.2 This UAP defines the duties of the Records Officer (RO) and the departmental records coordinators and the method for the retention, disposition, and security of state records in compliance with Texas Government Code § 441, 13 Texas Administrative Code Part I, Chapter 6, and System Regulation 61.99.01 Retention of State Records.

   1.3 The President shall designate an individual as the Records Officer (RO) to manage the retention and disposition of state records. The RO for PVAMU is the Information Technology Professional II in the Office of Information Resource Management. Department heads shall appoint departmental records coordinators to work with the RO.

2. **RECORDS OFFICER RESPONSIBILITIES**

   2.1 Ensure that the System Records Retention Schedule lists all the records series created or received by and maintained by the university.

   2.2 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 Work with departmental records coordinators and other individuals within each division to 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.

   2.4 Work in cooperation with the President and the University Archivist to identify records with historical significance to the university, and ensure they are preserved.

   2.5 Validate procedures for the retention, disposition, and security of state records at the university. Refer to https://www.pvamu.edu/irm/records-management/ for
further guidance. Special attention will be given to vital, archival and electronic records, and litigation holds.

2.6 Conduct employee training on compliance with records management procedures as necessary.

3. DEPARTMENTAL RECORDS COORDINATORS

3.1 Department heads shall appoint a departmental records coordinator using the Records Coordinator Designation Form. This designation form shall be sent to the RO in order to assign the person to required training. This is an important position within a department, requiring an employee who has familiarity with all records created and received by the department. Departmental records coordinators will serve as the contact between a department and the RO.

3.2 Departmental records coordinators will be required to take the System TrainTraq online course #11015 “Retention of State Records” every two years. Departmental records coordinators may recommend that additional departmental personnel take the online class.

3.3 Monthly training classes will 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.

4. RECORD RETENTION

4.1 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.

4.1.1 University records that are maintained in an electronic format will be managed in the same manner as those in paper or other format(s), and in accordance with the 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.

4.2 All records will be held in accordance with The Texas A&M University System Records Retention Schedule. The time periods that each document should be retained is indicated in the retention schedule. In some instances, there may be some records that are governed by federal laws and may have to be retained for a longer time period than required by the state of Texas.

4.3 There are records that are classified as “Archival”. These records 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 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 Destruction 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 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 System Records Management Officer obtains 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 as defined in UAP 29.01.03.P0.22 Encryption of Confidential and Sensitive Information.

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

5.6 Records that are sent to Archive cannot be destroyed and should be stored permanently.

Related Statutes, Policies, Regulations and Rules

13 Texas Administrative Code Part I, Chapter 6

Texas Government Code 441, Subch. L, Preservation and Management of State Records and Other Historical Resources

System Regulation 61.01.02 Public Information

System Regulation 61.99.01 Retention of State Records

The Texas A&M University System Records Retention Schedule

UAP 29.01.03.P0.22 Information Resources - Encryption of Confidential and Sensitive Information

PVAMU Records Retention Schedule
Appendix

Texas State Library and Archives Commission Resources for Records Managers

Forms

Annual System Member Retention of State Records Compliance Certification Form
Records Destruction Form
Records Coordinator Designation Form

Contact Office

Office of Information Resources Management 936-261-9350