



STANDARD ADMINISTRATIVE PROCEDURE

61.99.01.M0.01 Records Management

Approved November 4, 2022

Next Scheduled Review: November 4, 2027

Standard Administrative Procedure Statement

Texas A&M University will maintain an active and continuing state records management program, in compliance with state and federal laws. All University units will work in cooperation and coordination with University Records Management to manage and retain state records.

Reason for Procedure

The University recognizes the need for all units of the University to manage and retain state records according to the Texas A&M University System (System) Records Retention Schedule and applicable laws.

Definitions

Archival state record – state records that document transactions or activities of the University designated by the University Archives as having enduring historical value that will be preserved on a continuing basis by the University Archives as part of the University Libraries. See Texas Gov't Code § 441.180(2) and Texas Gov't Code § 441.186(f).

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 Gov't Code § 441.189; 13 Texas Admin. 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 Gov't 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 Admin. 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 Gov’t 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 Admin. Code § 6.91(8).

University Archives – Situated within the University Libraries, the University Archives serves as the official repository for archival state records created or received by the University and has mandated responsibility to preserve the records of enduring value of university units and individuals, including faculty, staff, administrators, and students. As such, it has the duty and authority to collect, appraise, describe, preserve, and make available archival state records, in all formats, after resolution to any pending legal matter and expiration of applicable record retention period.

University Disposition Log – Document for recording destruction or archival transfer of official university records that have met retention requirements listed in the Texas A&M University System (System) Records Retention Schedule.

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(13).

Responsibilities and Requirements

1. DELEGATION

The President shall designate an individual as the Records Officer (RO) to manage the retention and disposition of state records. The Records Officer for Texas A&M University reports to the President through the University Librarian and University Archivist.

2. RECORDS OFFICER RESPONSIBILITIES

2.1 Ensure that the Texas A&M University System Records Retention Schedule lists all the records series created or received by and maintained by the University. The RO will periodically survey records at the University and provide the System Records Management Officer (RMO) with a written list of proposed changes to the retention schedule.

2.1.1 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.

- 2.1.2 The RO will work in cooperation with the University Archivist to identify archival state records with historical significance to the University and ensure that they are preserved in the University Archives.
 - 2.2 Develop procedures for the retention, disposition, and security of state records at the University.
 - 2.2.1 Special attention will be given to vital state records, archival state records and electronic state records, and litigation holds.
 - 2.3 The RO will conduct employee training on compliance with records management procedures.
- 3. RECORD RETENTION
 - 3.1 The record copy of University records, including electronic formats, should be readily accessible for any purpose, such as university business, public information requests, audits, or litigation.
- 4. PRESERVATION OF ARCHIVAL STATE RECORD
 - 4.1 To promote its mission of teaching, research, and service, the University has decided to make available archival state records in custody of the University Archives for inspection, copying, and general/public research use, subject to those constraints that may apply by virtue of federal or state law or regulation, University policy, guidelines, or standards.
 - 4.2 Archival state records as designated in the Texas A&M University System Records Retention Schedule, must be reviewed and upon approval by the University Archivist, transferred to the University Archives for preservation after they have met their retention requirements and recorded in the University Disposition Log.
- 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 University 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 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.
 - 5.5 The final disposition of state records must be documented by the University RO or designee in the University Disposition Log.
6. TRAINING
- 6.1 Department heads shall appoint one or more records coordinator(s) who is primarily responsible for ensuring compliance with records management policy and procedures. Required training for records coordinators will be assigned by the RO.
 - 6.1.1 Departmental records coordinators will be encouraged to take the System online course “Retention of State Records” every two years. This training is available through TrainTraq. Departmental records coordinators can 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.
 - 6.2 Quarterly training classes are available. Small group or individual 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.

Related Statutes, Policies or Requirements

Texas Government Code Chapter 441.183

<https://statutes.capitol.texas.gov/DOCS/GV/htm/GV.441.htm#441.183>

Texas Government Code Chapter 552

<http://www.legis.state.tx.us/>

TAMU System regulation 61.99.01 Retention of State Records

<http://policies.tamus.edu/61-99-01.pdf>

TAMU System regulation 61.01.02 Public Information

<http://policies.tamus.edu/61-01-02.pdf>

Appendix

Texas State Library and Archives Commission Resources for Records Managers
<http://www.tsl.state.tx.us/slr/resources/index.html>

Texas State Library and Archives Commission State Agency Bulletin # 4 State Records Management Laws
<https://www.tsl.state.tx.us/slr/recordspubs/stbull04.html>

Contact Office

Contact [Texas A&M University Records Management](#) for SAP interpretation or clarification.

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