



## **PROCEDURE 61.99.01.W0.01**

### **Records Management**

*Approved March 1, 2023*

*Supplements System Regulation 61.99.01 Retention of State Records*

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## **Procedure Statement**

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West Texas A&M University shall maintain an active and continuing state records management program, in compliance with state and federal laws. All University departments will work in cooperation and coordination with the University Records Officer to manage state records.

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## **Reason for Procedure**

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

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## **Responsibilities and Requirements**

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

### **2. Records Officer Responsibilities:**

- 2.1 The RO will periodically survey records at the University and provide the A&M System Records Management Officer with any proposed changes to the retention schedule to include records created or received by the University.
  - 2.1.1 The RO will assist University departments in identifying records subject to internal, state, or federal audits to ensure that the University is in compliance with auditing requirements.
  - 2.1.2 The RO will notify the University Library Archivist of any records identified and marked for archival in the records retention schedule.
- 2.2 Develop procedures for the retention, disposition and security of state records at the University. These can be found at: <https://www.wtamu.edu/business-finance/risk-management/records-management-retention.html>.

- 2.2.1 Special attention will be given to vital, archival and electronic records, and litigation holds.
  - 2.3 The RO will have employee training assigned to comply with records management procedures.
- 3. Destruction of State Records
  - 3.1 State records may not be destroyed or otherwise disposed of without the written approval of the Records Officer or designee using the approved records destruction form available at: <https://www.wtamu.edu/business-finance/risk-management/records-management-retention.html>.
    - 3.1.1 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.
  - 3.2 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.
    - 3.2.1 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.
  - 3.3 Destruction of state records must be done in a manner that ensures protection of sensitive or confidential information by using cross-cut shredders and/or the locked destruction bins provided by an approved University vendor.
  - 3.4 The final disposition of state records must be documented by the University department removing the records, along with a final destruction form copy sent to the RO or designee.
- 4. Training
  - 4.1 Each department head shall appoint a records coordinator for the department and notify the RO in order to assign the required training.
    - 4.1.1 Departmental records coordinators will be assigned the System online course “Retention of State Records” every two years. This training is available through Train-Traq. Records coordinators can also recommend other additional departmental personnel be assigned records training.

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## Related Statutes, Policies, or Requirements

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Texas Government Code Chapter 441.182

<http://www.statutes.legis.state.tx.us/DOCS/GV/htm/GV.441.htm#441.182>

Texas A&M University System Regulation 61.99.01 Retention of State Records

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

TAMU System Regulation 61.01.02 Public Information

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

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## Definitions

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**Archival State Record** – state record of enduring historical value that will be preserved on a continuing basis. See Texas Gov't 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 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).

**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).

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## **Appendix**

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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>

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## **Contact Office**

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Vice President for Research and Compliance/Risk Management

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## **Approval**

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President/CEO

March 1, 2023,  
Date