



61.99.01.N0.01 – Records Management

Approved: September 19, 2006

Revised: May 4, 2012

Revised: October 15, 2015

Revised: January 19, 2022

Next Scheduled Review: January 19, 2027

Summary

This document describes procedures related to the retention, destruction and archival of state records.

Definitions

Archival state record – a state record of enduring historical value that will be preserved on a continuing basis.

Convenience copies – other copies of a record that are held by other offices in the Texas A&M University System or TEEX. These copies should not be retained after the destruction of the record copy

Electronic state records – state records as defined in this regulation that are maintained in electronic format, including electronic mail and the product of computer processing. State records maintained in electronic format or microfilm must comply with the Commission's administrative rules (Gov't Code § 441.189; 13 Tex. Admin. Code § 6.91(5)).

Record copy – the official copy of a state record that must be maintained for the retention period designated on the Schedule and destroyed at the end of the specified amount of time, along with all convenience copies, including electronic records

Records series – groups of identical or related state records that are normally used and/or filed together and are evaluated as a group for retention scheduling purposes. Such groups of state records are in the same records series, regardless of the span of years covered.

State records – any written, photographic, machine-readable or other recorded information created or received by or on behalf of TEEX that documents TEEX's activities in the conduct of state business or use of public resources.

Records Retention Schedule – the document that identifies and describes a state agency's records and the lengths of time that each type of record must be retained. TEEX follows the Texas A&M University System retention schedule certified by the Texas State Library and Archives Commission (TSLAC).

Transitory information – records of temporary usefulness that are not an integral part of a records series of TEEEX, are not regularly filed within a TEEEX’s recordkeeping system and are required only for a limited period of time for the completion of an action by an official or employee of TEEEX 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 TEEEX functions.

Vital state record – any state record necessary to the resumption or continuation of system operations in an emergency or disaster; the re-creation of the legal and financial status of the system; or the protection and fulfillment of obligations to the people of the state.

Requirements

TEEX is committed to maintaining active and continuing state records in compliance with state and federal laws, in accordance with the Texas A&M System record retention schedule.

1. RESPONSIBILITIES

1.1. Records Officer

1.1.1. Designation

- 1.1.1.1. The TEEEX chief executive officer (CEO) has designated the risk and compliance manager as the TEEEX Records Officer (RO).

1.1.2. Responsibilities

- 1.1.2.1. Ensure that the A&M System Records Retention Schedule lists all the records series created or received by and maintained by TEEEX. The RO will periodically survey the state records of TEEEX, and provide the A&M System Records Management Officer with a written list of proposed changes to the schedule based upon the survey.
- 1.1.2.2. Identify records subject to internal, state, or federal audits, and ensure that TEEEX is in compliance with the audit requirements.
- 1.1.2.3. Work in cooperation with the A&M System Records Management Officer, the A&M System Office of General Counsel, and TEEEX units for any litigation holds.
- 1.1.2.4. Develop procedures for the retention, disposition, management, and security of state records—including the identification of those eligible for destruction or other disposition.
- 1.1.2.5. Provide employee training on compliance with records management procedures.

1.2. Unit records coordinators

1.2.1. Designation

- 1.2.1.1. Department and division heads will appoint a records coordinator using an SES 170, *Records Coordinator Designation Form*.

1.2.2. Responsibilities

- 1.2.2.1. Serve as the official records representative for their department or division.
- 1.2.2.2. Coordinate a records inventory for the department or division consisting of identifying vital and archival records, and identifying official records and records series.
- 1.2.2.3. Coordinate records retention for the department or division.
- 1.2.2.4. Coordinate records destruction for the department or division.

2. RETENTION OF RECORDS

- 2.1. The record copy of agency records, including those in electronic format, should be readily accessible for any purpose, such as business purpose, public information requests, audits, investigations or litigation.
- 2.2. State records listed on the retention schedule cannot be destroyed until the designated retention period has expired and the Records Officer has approved the destruction.
- 2.3. A 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. DESTRUCTION OF RECORDS

3.1. Destruction of Records

- 3.1.1. State records may not be destroyed or otherwise disposed of without the written approval of the Records Officer using the *Records Destruction Form* (SES - 171).
 - 3.1.1.1. This requirement does not apply to duplicates, convenience copies or transitory information, which must be destroyed when the purpose of the document has been fulfilled. Copies should not be kept longer than the official record copy.
 - 3.1.1.2. If convenience copies either electronic or paper are not destroyed prior or simultaneously with official copy, then they become the official record and must follow destruction procedures.
- 3.2. Records associated with federal contract/grant should be retained according to the TAMUS Records Retention Schedule unless required longer by the federal sponsor.
- 3.3. Destruction of records must be done in a manner that ensures protection of sensitive or confidential information.

4. TRAINING

- 4.1. Training for employees and records coordinators will be offered on an as needed basis, but no less than once per fiscal year.
- 4.2. Department or division records coordinators will be required to take the A&M System online training course, *Retention of State Records*, annually.

Quality Assurance Measures

The Records Officer or designee monitors storage, retention and destruction of state records on an annual basis.

Related Statutes, Policies, or Requirements

[Texas Government Code Chapter 441.180](#)

[13 Texas. Administrative Code Part I, Chapter 6.](#)

[A&M System Regulation 61.99.01, Retention of State Records](#)

TEEX SAP 61.01.02.NO.01 *Public Information Act (PIA)*

Related Forms

SES 170 Records Coordinator Designation Form

SES 171 Destruction of Records

Appendix

[TAMUS Records Retention Schedule](#)

Office of Responsibility

Contact for SAP clarification and interpretation:

Strategic and Education Services - Ethics and Compliance

979-209-0904