

**TEXAS SOUTHERN UNIVERSITY  
MANUAL OF ADMINISTRATIVE POLICIES AND PROCEDURES**

**SECTION: Operations NUMBER: 04.05.01**

**AREA: Institutional Compliance Records**

**TITLE/SUBJECT: Records Management Program**

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**I. POLICY STATEMENT:**

1. The Records Management Policy sets out the methods and manner of maintaining and destroying records at Texas Southern University.

**II. PURPOSE AND SCOPE:**

1. Texas Southern University is committed to maintaining a continuing and active state records management program as required by the Texas Government Code.
2. The purpose of this document is to establish principles and policies necessary to preserve the state records of Texas Southern University and to implement a program to store, access, and destroy these records in accordance with state guidelines.
3. The Texas Government Code, § 441.183 requires state agencies to establish and maintain a records management program on a continuing and active basis, and to manage and retain state records according to the Texas Southern University Record Retention Schedule (Schedule) and applicable laws. This MAPP applies only to state records as defined in § 441.031 as stated in Section III (9).

**III. DEFINITIONS:**

1. ***Archival State Record:*** Any state record of enduring value that will be preserved on a continuing basis by the institutional archives until its archivist indicates that, based upon a reappraisal of the record, it no longer merits further retention.
2. ***Certification:*** The process, inclusive of recertification, by which a records retention schedule or amendments to a schedule are approved for use by a state agency during a certification period.
3. ***Certification Period:*** The period of time during which a records retention schedule, including certified amendments to the schedule, may be used by a state agency in the final disposition of state records without additional authorization from the director and librarian.

4. **Commission:** The Texas State Library and Archives Commission.
5. **Confidential State Record:** Any state record to which public access is denied under Government Code, Chapter 552, or other state or federal law.
6. **Final Disposition:** The final processing of state records by either destruction or archival preservation by the Commission, by a state agency, or by an alternate archival institution as permitted by Government Code, Chapter 441, Subchapter L.
7. **Record Management:** The application of management techniques to the creation, use, maintenance, retention, preservation, and destruction of state records for the purpose of improving the efficiency of recordkeeping, ensuring access to public information under Chapter 552, and reducing costs. The term includes: (a) the development of retention schedules; (b) the management of filing and information retrieval systems in any media; (c) the adequate protection of state records that are vital, archival, or confidential according to accepted archival and record management practices; (d) the economical and space-effective storage of inactive records; (e) control over the creation and distribution of forms, reports, and correspondence; and (f) maintenance of public information in a manner to facilitate access by the public under Chapter 552.
8. **Records Series:** A group of identical or related records that are normally used and/or filed together, and that permit evaluation as a group for retention scheduling purposes.
9. **State Record:** "State record" means a document, book, paper, photograph, sound recording, or other material, regardless of physical form or characteristic, made or received by a state department or institution according to law or in connection with the transaction of official state business. The term does not include:
  - (1) library or museum material made or acquired and preserved solely for reference or exhibition purposes;
  - (2) an extra copy of a document preserved only for convenience of reference;
  - (3) a stock of publications or of processed documents; or
  - (4) any records, correspondence, notes, memoranda, or documents, other than a final written agreement described by Section 2009.054(c), associated with a matter conducted under an alternative dispute resolution procedure in which personnel of a state department or institution, local government, special district, or other political subdivision of the state participated as a party, facilitated as an impartial third party, or facilitated as the administrator of a dispute resolution system or organization.
10. **Vital State Record:** Any state record necessary to the resumption or continuation of the state agency operations in an emergency or disaster; the recreation of the legal and financial status of the agency; or the protection and fulfillment of obligations to the people of the state.

11. ***State Records Administrator:*** means the person designated by the director and librarian to administer the state records management program.
12. ***Director and Librarian:*** means the chief executive and administrative officer of the Texas State Library and Archives Commission.

#### **IV. RECORDS MANAGEMENT PROGRAM:**

1. The Record Management Officer (RMO), within the Office of Compliance, will coordinate the University's record management program, as required by law, and will ensure that University personnel have current information on record management laws and procedures, including providing or making available necessary employee training.
2. The RMO shall submit the Schedule, including any amendments for certification to the Texas State Library and Archives Commission (Commission). The Schedule will be available on the University's website.
3. Each agency schedule must be reviewed, updated and submitted for recertification annually for the first two years after the initial approval of the schedule and every five years thereafter. By way of example, the deadline for submission of the records retention schedule for its next recertification is the last working day of September 2024.

#### **V. RECORDS RETENTION SCHEDULE:**

1. The Records Retention Schedule provides a list of state records for each department, college, or school on the campus and prescribes the periods of authorized retention. The schedule may be revised periodically to include newly created records series, to change retention periods, or to delete records series no longer held.
2. The online link to the Records Retention Schedule can be accessed through the Commission's website at <https://www.tsl.texas.gov/slrn/state/schedules>.
3. State records shall be maintained for the prescribed retention periods in electronic format or microfilm in compliance with the Texas State Library and Archives Commission's Regulations. *See* 13 Tex. Admin. Code, §§ 6.1-6.97.
4. Vital records shall be identified and protected as required by Texas Government Code § 441.183.
5. The Records Retention Schedule shall identify and maintain Archival Documents in accordance with Texas Government Code §§ 441.181; 441.186.

#### **VI. VITAL RECORDS INVENTORY:**

1. Each Department, College or School shall have their records manager attain a record

inventory log from the RMO annually.

2. Using the record inventory log, the records manager shall list the department's records and complete each field for the record series.
3. The RMO will contact you periodically for updates and to answer any questions you may have.
4. Once the record inventory log is complete for your department, the records manager shall send a copy of the records inventory log to the RMO.
5. The RMO will inform you if your department's records inventory is accepted or if changes are needed.

## **VII. DESTRUCTION OF STATE RECORDS:**

1. A state record may be destroyed by a department, college, or school if:
  - (i) The record appears on the Records Retention Schedule approved by the Director, Librarian, and the State Auditor as required by Texas Government Code § 441.185, and the record's retention period has expired;
  - (ii) A records destruction request is submitted to the State Records Administrator and approved by the Director and Librarian, or the designee of the director and librarian, for a state record that does not appear on the approved records retention schedule of the agency; or
  - (iii) The record is exempted from the need to be listed on a records destruction request under rules adopted by the Commission.
2. A state record must not 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 a retention period for the record set by the Commission or in the approved records retention schedule of the agency until the completion of the action and the resolution of all issues that arise from the action, or until the expiration of the retention period, whichever is later.

**VIII. APPROVAL:**

*DeAnna M. Nwankwo*

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Vice President of Compliance, DeAnna M. Nwankwo

*Kenneth Huewitt*

Kenneth Huewitt (Apr 15, 2021 20:17 CDT)

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Interim President, Kenneth Huewitt

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