

**TEXAS SOUTHERN UNIVERSITY
OFFICE OF INSTITUTIONAL COMPLIANCE**



**Records Management Guide
FY2011**



TEXAS SOUTHERN UNIVERSITY

INTRODUCTION

The Office of Institutional Compliance is please to provide the TSU family with the FY2011 Records Management Guide. This guide provides an overview of the records management process.

If you have any questions or comments about this manual, please contact the following individuals:

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TEXAS SOUTHERN UNIVERSITY

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WHY FOCUS ON RECORDS MANAGEMENT

The three main reasons why an effective records management program is necessary are: 1.) it improves efficiency; 2.) it is required by state law; and 3.) compliance.

Efficiency:

An effective records management program provides control over the entire life cycle of the record from creation or receipt to its eventual disposal. The benefit derived is both time and cost savings. Those records that have reached their retention period are disposed of which reduces storage cost. An effective program includes physical inventoring of the records on regularly scheduled intervals. The inventory helps identify where the vital or confidential records that require additional safeguard are stored. It also provides an updated list of university's records which helps reduce the time required to pull records for routine operations and open records request.

State Law:

Government Code Section 441.183 states that The agency head of each state agency shall: (1) establish and maintain a records management program on a continuing and active basis; (2) create and maintain records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the agency designed to furnish information to protect the financial and legal rights of the state and any person affected by the activities of the agency; (3) make certain that all records of the agency are passed to the agency head's successor in the position of agency head; (4) identify and take adequate steps to protect confidential and vital state records; 5) cooperate with the commission in the conduct of state agency records management surveys; and (6) cooperate with the commission, the director and librarian, and any other authorized designee of the director and librarian in fulfilling their duties under this subchapter.

Compliance:

An effective records management program (1.) helps avoid adverse consequences during litigation, investigations or audits; (2) ensures that confidential records in both electronic and paper forms are secure; (3) provides protection for vital records; and (4) is a component of the university's emergency management plan.



THE "TSYOU" PROCESS FOR RECORDS MANAGEMENT

Key Players:

- Agency Head: Responsible for the establishment and maintenance of the university's record management program.
- Department Head: Responsible for the department's records management program.
- Record Management Officer: Administers the university's record management program and assists the agency head in fulfilling his statutory record management duties. Submits the university's records retention schedule for certification by the Texas State Library and Archives Commission. Authorizes the destruction of records that have reached the end of their retention period.

Procedures:

Secondary Storage: The university has contracted with Harris County Department of Education (HCDE) to provide storage for our state records. Only the official record copy (no convenience copies) should be sent to HCDE.

- Records being transferred to the HCDE warehouse must be placed in standard (12x10x15) size boxes that can be purchased from the TSU warehouse. The department will fill-out the [HCDE Record Center Transfer Form](#) and contact the TSU Warehouse Manger on extension 4214 to schedule a date for your records to be transferred to secondary storage.
 - Records being transferred to storage must be labeled with the agency item number (block 5 of the TSU retention schedule), the retention period (block 7) and the destroy date.



THE "TSYOU" PROCESS FOR RECORDS MANAGEMENT cont.

Final Disposition: Records at the end of their retention period are eligible for final disposition (destruction or archiving). The university archivist in concert with the Texas State Library and Archives Commission determines which records must be archived.

- Record Destruction: The Department Record Management Liaison begins the process by completing sections 1 – 5 of the records disposition form (TSURM002) and the certification section. Approval is requested from the Records Management Officer (RMO) for the destruction of the records. Once approval is obtained the records are destroyed and a copy of the records disposition form is returned to the RMO for filing.
 - For records stored at the HCDE their [Record Center Destruction Certificate](#) form must also be completed
- Record Archive: The department record management liaison contacts the university archivist and informs him of the records that will be sent to archives. Upon approval of the archivist the records are sent to the archives and the liaison forwards the completed records disposition form to the RMO. The RMO signs the form and sends the original back to the department and retains a copy for his records.



RECORDS MANAGEMENT POLICY

Texas Southern University
MANUAL OF ADMINISTRATIVE POLICIES AND PROCEDURES

SECTION: Operations **NUMBER:** 04.05.01
AREA: Institutional Compliance
SUBJECT: Records Management Program

1. PURPOSE AND SCOPE

- 1.1. Texas Southern University is committed to maintaining a continuing and active state records management program in compliance with federal and state laws.
- 1.2. 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.

2. POLICY STATEMENT

The Texas Government Code, Chapter 441, §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, which does not include convenience copies, library or museum materials, and certain stocks of publications or forms.

3. DEFINITIONS

- 3.1. "Archival State Record" means 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.
- 3.2. "Certification" means 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.
- 3.3. "Certification Period" means 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.
- 3.4. "Commission" means the Texas State Library and Archives Commission.
- 3.5. "Confidential State Record" means any state record to which public access is denied under Government Code, Chapter 552, or other state or federal law.



- 3.6. "Final Disposition" means 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.
- 3.7. "Record Management" means 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.
- 3.8. "Records Series" means 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.
- 3.9. "State Record" means any written, photographic, machine-readable, or other recorded information created or received by or on behalf of a state agency or an elected state official that documents activities in the conduct of state business or use of public resources. The term does not include library or museum material made or acquired and preserved solely for reference or exhibition purposes; an extra copy of recorded information preserved only for reference; a stock of publications or blank forms; or any records, correspondence, notes, memoranda, or other documents.
- 3.10. "Vital State Record" means 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.

4. RECORDS MANAGEMENT PROGRAM

- 4.1. The Record Management Officer (RMO) 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.

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.

4.2. RECORDS RETENTION SCHEDULE

The Records Retention Schedule provides a list of state records for each department on



MAPP NO. 04.05.01

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. Appropriate approval procedures must be followed and completed before any revisions would become effective.

Documents may be maintained for the prescribed retention periods in microfilm if the microfilm reproduction is accomplished pursuant to a procedure that complies with Texas Government Code §441.188; 13 Texas Administrative Code §6.21-6.35.

State records kept only in **electronic format** must be identified and must comply with the administrative rules of the Texas State Library (13 Texas Administrative Code §6.91-6.97).

Vital records should be identified and protected in accordance with Texas Government Code §441.183.

Archival documents should be identified in the Retention Schedule and maintained in accordance with Texas Government Code §441.181. Archival or historical records are to be preserved in the archives of the institution.

4.3. DESTRUCTION OF STATE RECORDS

A state record may be destroyed by a state agency if:

- (1) the record appears on a records retention schedule approved under §441.185 and the record's retention period has expired;
- (2) 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
- (3) the record is exempted from the need to be listed on a records destruction request under rules adopted by the Commission.

A state record may 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.

5. REVIEW AND RESPONSIBILITY

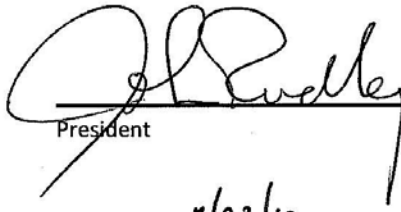
Responsible Party: Chief Operating Officer

Review: Every three years, on or before September 1



6. APPROVAL

Approved: 
Chief Operating Officer


President

7/22/10
Date of President's Approval



RETENTION SCHEDULES/ FORMS / WEBSITES

Schedule / Forms / Websites	USE	REQUIRED SIGNATURES	OWNERSHIP
TSU Retention Schedule Download: PDF	Used to establish the minimum retention period for Texas Southern University records	Must be certified by the Texas State Library & Archives Commission (TSLA)	Office of Institutional Compliance (OIC)
Forms			
RMD 102: Authority to Dispose of State Records Download: MS Word PDF	Use for records series not on retention schedule and for paper copies of microfilm permanent records.	<ul style="list-style-type: none"> Agency Head or the Records Management Officer (RMO) TSLA State Auditor Office (SAO) 	(TSLA)
RMD 103: Records Inventory Worksheet – Download: MS Word PDF	Used when conducting an inventory of state records.	<ul style="list-style-type: none"> Person taking the inventory 	TSLA
SLR 104: Designation of State Agency Records Management Officer – Download: MS Word PDF	Used to designate someone other than the agency head as the RMO for the agency. Provides the contact information for the RMO to the TSLA.	<ul style="list-style-type: none"> Agency Head 	TSLA
SLR 105: Records Retention Schedule – Download: MS Word PDF	Form used to build the agency’s retention schedule	<ul style="list-style-type: none"> None 	TSLA
SLR 105C: Records Retention Schedule - Certification – Download: MS Word PDF	Used when submitted corrections to the retention schedule or when submitting the schedule for certification.	<ul style="list-style-type: none"> Agency Head or RMO SAO TSLA 	TSLA
SLR 122: Records Retention Schedule Amendment – Download: MS Word PDF	Used to make changes to the retention schedule	<ul style="list-style-type: none"> None 	TSLA
TSURM002: Records Final Disposition Log – Download: MS Word PDF	Use to record the final disposition of state records (destruction or transfer to archive)	<ul style="list-style-type: none"> RMO Department Head or Dept RM Liaison 	OIC
Record Center Destruction Certificate Download: PDF	Used for destruction of records in the possession of / or picked up from the agency’s site for shredding by Harris Country Department of Education (HCDE)	<ul style="list-style-type: none"> RMO HCDE 	HCDE
Record Center Transfer Form Download: PDF	Used when records are moved to or from the HCDE Record Center	<ul style="list-style-type: none"> HCDE 	HCDE
Websites			
http://www.tsu.edu/pages/3730.asp	TSU Records Management Web Page	N/A	OIC
http://www.tsl.state.tx.us/slr m/state/index.html	TSLA’s Assistance Web Page for State Agencies	N/A	TSLA