

SAP 61.99.01.T0.01 Records Management



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Procedure Summary

Tarleton State University (Tarleton or university) maintains an active and continuing state records management program in compliance with state and federal laws and Texas A&M University System (system) Regulation 61.99.01, *Retention of State Records*. This standard administrative procedure (SAP) supplements System Regulation 61.99.01 and provides guidelines for the retention, disposition and security of state records at Tarleton.

Definitions

Refer to System Regulation 61.99.01 for [Definitions](#).

Procedure

1. UNIVERSITY RECORDS MANAGEMENT PROGRAM

- 1.1. Tarleton is committed to maintaining an active and continuing state records program in compliance with System Regulation 61.99.01 and applicable federal and state laws.
- 1.2. The president designates the manager of university compliance as Tarleton's records officer (RO) to manage the retention and disposition of state records, under the direction of the university compliance officer.
- 1.3. All university units will work in cooperation and coordination with the RO to manage and retain state records at Tarleton in accordance with System Regulation 61.99.01 and applicable federal and state laws.

2. RECORDS OFFICER RESPONSIBILITIES

- 2.1 Ensures [The Texas A&M University System Records Retention Schedule \(schedule\)](#) 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.

- 2.2 Collaborates with university faculty and staff in identification of state records that are eligible for destruction or other disposition, with special attention being given to vital state records, archival state records, electronic state records and litigation hold.
- 2.3 Collaborates with university faculty and staff to identify records subject to internal, state, or federal audits in addition to those listed on the schedule, if any, and ensures that the university is in compliance with auditing requirements.
- 2.4 Collaborates with the university archivist to identify records with historical significance for preservation in the university's archives.
- 2.5 Consults with the RMO as needed to ensure the university's compliance with System Regulation 61.99.01 and applicable federal and state laws at Tarleton.
- 2.6 Recommends, when appropriate, employee training on compliance with records management procedures and retention of state records.
- 2.7 The RO will maintain all final disposition records.
- 2.8 Ensures the Annual System Member Retention of State Records Compliance Certification Form is completed, signed and submitted to the Office of General Counsel (OGC) in accordance with System Regulation 61.99.01.

3. RECORD RETENTION AND ACCESSIBILITY

- 3.1 The record copy of university state records, including records in electronic formats, should be maintained according to records retention requirements set forth in the schedule and be readily accessible for any purpose, such as university business, public information requests, audits, or litigation.

4. DESTRUCTION OF STATE RECORDS

- 4.1 State records may not be destroyed or otherwise disposed of without the written approval of the RO or designee using the [Records Destruction Form](#).
 - 4.1.1 This requirement does not apply to duplicates or convenience copies of state records, which can be destroyed when the purpose of the document has been fulfilled. Copies should not be kept longer than the official record copy.
- 4.2 State records must be destroyed in accordance with this rule, System Regulation 61.99.01 and applicable state and federal laws and cannot be destroyed until the designated retention period listed on the schedule 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.

- 4.3 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. The RO will coordinate with the university public information officer, the RMO and, as necessary, the Office of General Counsel, to ensure compliance.
- 4.4 Destruction of state records must be done in a manner that ensures protection of sensitive or confidential information.
- 4.5 The final disposition of state records must be documented on the university's [*Records Destruction Form*](#).
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Related Statutes, Policies, or Requirements

[13 Tex. Admin. Code Part 1, Ch. 6, State Records](#)

[Tex. Gov't Code Ch. 441, Subch. L, Preservation and Management of State Records and Other Historical Resources](#)

[System Regulation 61.99.01 Retention of State Records](#)

[System Regulation 61.01.02 Public Information](#)

[The Texas A&M University System Records Retention Schedule](#)

[Annual System Member Retention of State Records Compliance Certification Form](#)

[Records Destruction Form](#)

Contact Office

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