

Policies of the University of North Texas	Chapter – 04 Administration
10.10 Records Management and Retention	

Policy Statement.

Texas State law requires a records and information management program that is maintained on a “continuing and active basis” and is administered by a designated Records Management Officer. All university records should be retained for the retention periods stated in the institution’s Records Retention Schedule as approved by the Texas State Library and Archives Commission and the Texas State Auditor’s Office.

Application of Policy.

This policy applies to all employees working with university records.

Definitions.

1. Final Disposition. "Final Disposition" is the terminal treatment of a record, either by destruction or permanent storage in the University Archives.

2. University Record. "University Record" is any written, photographic, machine-readable, or other recorded information created or received by or on behalf of the University that documents activities of the university or use of public resources. The term does not include: library or museum material made or acquired and maintained solely for reference or exhibition purposes; an extra copy of recorded information maintained only for reference; or a stock of publications or blank forms.

3. Records Management. "Records Management" is 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.

4. Record Retention Schedule. The "Records Retention Schedule" lists the records series and the associated retention period, security designation, archival value, vital status and final repository for university records. This document is certified by the University’s Records Management Officer, the Texas State Library and Archives Commission and the Texas State Auditor’s Office.

Procedure and Responsibilities.

The Institutional Records Management Program is part of the Office of Institutional Compliance. The Assistant Director for Institutional Records Management leads and directs the Institutional Records Management Program.

Records Retention Schedule

The proper use of the Records Retention Schedule is conducive to: compliance; timely disposition of records; permanent retention of valuable records; improved management and protection of vital records; providing security for confidential and sensitive records; maintaining records in formats which will offer maximum cost effectiveness; and improving filing and storage systems.

All university records must be maintained for the minimum periods listed in the Records Retention Schedule. If any litigation, claim, negotiation, audit, public information request, administrative review, or other action involving a record is initiated, then the record may not be destroyed even when the applicable retention period has expired. Such records may only be destroyed after the completion of the action and the resolution of all issues that arise from it.

Texas state law requires state agencies to recertify their Records Retention Schedules every three years. In addition, the Records Retention Schedule may be periodically revised by the Records Management Officer to include newly created records series, to change retention periods, or to delete a records series that is no longer needed. Appropriate approval procedures within the University, and with the Texas State Library and Archives Commission are required before any modifications to the Records Retention Schedule become official. A current copy of the approved Records Retention Schedule for the University is available on the Institutional Records Management Program website.

Final Disposition of Records

A university 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 the retention period for the records series in the approved Records Retention Schedule. If no action as described above has been taken, records may be disposed in accordance with the approved retention periods shown in the Records Retention Schedule. Final disposition should occur in a manner that ensures protection for any sensitive or confidential information. Prior to disposal of university records, all applicable laws and university policies must be followed.

Any disposition of a university record must be documented on the Final Disposition Log. The Final Disposition Log and associated procedures can be downloaded from the Institutional Records Management Program website. University records not listed on the approved Records Retention Schedule may only be disposed when approval has been received by the Texas State Library and Archives Commission and the Assistant Director for Institutional Records Management. This process must be coordinated through the Institutional Records Management Program.

References and Cross-references.

Texas Government Code, Chapter 441

Texas Administrative Code, Title 13, Part 1, Chapter 6.1-6.10

Texas Government Code, Chapter 552

Forms and Tools.

Final Disposition Log: <http://records.unt.edu>.

Records Management, Retention and Final Disposition Procedures: <http://records.unt.edu>.

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