

Policies of the University of North Texas Health Science Center	Chapter 04 – Administration
04.310 Records and Information Management Program	

Policy Statement.

The University of North Texas Health Science Center recognizes, as described in the Texas State Records Management Manual, that “the records of Texas state government are an important resource for citizens as well as public officials.” State records may provide proof of a particular action, contain evidence to protect the rights of individuals or the government, and provide decision support or other information valuable to the progress of state business.

Records and information management is a science that provides reasonable assurance that the business and technology environments are aware that it is necessary to manage the University’s “recorded information” as an asset to support effective decision-making and in order to meet operational, legal, contractual, fiscal, regulatory, research, and historical requirements. Records, regardless of medium, are the memory of the University of North Texas Health Science Center at Fort Worth. Records are created to document specific business activities so that those actions and activities can be substantiated and evaluated at a later point in time. Records must be systematically controlled and managed from the time of creation/receipt to the time of destruction.

All records must be recorded in the regular course of business, at or near the time that events took place, by someone who had knowledge of the events, and the record of those events must have been maintained in manner to demonstrate authenticity of the record.

Ownership

The University of North Texas Health Science Center holds ownership and title to all records and information created, received, acquired, or maintained in the normal course of business by any employee or organizational component. These records are the property of The University of North Texas Health Science Center.

Records and Information Management Program

The Records and Information Management program includes, but is not limited to, records management and storage, imaging services, historical archives, retention scheduling, and records disposition. In addition, issues such as forms management, identification of vital records, and disaster recovery for vital records are also addressed.

Creation and Retrieval

Each health science center division is responsible for maintaining an accurate, timely record of business transactions and events as normally maintained in the regular course of business. Specifically, it is the responsibility of each department to ensure that records are indexed in a manner as to be identified and retrieved in a timely manner per regulatory, contractual, and business requirements.

Archival

All records are to be archived in accordance with the Records Management Archives Policy. Each business operation, in partnership with Records and Information Management, is responsible for maintaining archived records in a manner as to be identified and retrieved in a timely manner pre regulatory, contractual, and business requirements. Each business operation is required to maintain an accurate inventory of records archived.

Disposition

All records are to be destroyed in accordance with the Records Management Disposition Policy. Records that have been identified as candidates for destruction will undergo a review by the Records Manager and the manager of the appropriate business operation prior to destruction. Records series that require additional review will be submitted to the Audit Department and General Counsel.

Application of Policy.

This policy applies to anyone who creates or maintains business records that are either required or would be normally maintained in the regular course of business.

Definitions.

None

Procedures and Responsibilities.

Procedure / Duty

Responsibilities of Agency Heads in the State of Texas regarding records management programs, according to Texas Government Code, Chapter 441.183 are described as follows:

Responsible Party

Agency head of each state agency

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.

Source: Added by Acts 1997, 75th Leg., ch. 873, sec. 1, eff. Sept. 1, 1997.

Responsibilities of the Records Management Officer, according to Texas Government Code, Chapter 441.184, are as follows:

Records
Management
Officer

(a) Each state agency head shall act as or appoint a records management officer for the state agency to administer the agency's records management program. An employee of an agency is eligible to be appointed as the agency's records management officer only if the employee holds a position in which the employee reports directly to the agency head or to a person with a title functionally equivalent to deputy executive director.

(b) The records management officer for each state agency shall:

(1) administer the records management program established under Section 441.183;

(2) assist the agency head in fulfilling all of the agency head's duties under this subchapter and rules adopted under this subchapter;

(3) disseminate to employees of the agency information concerning state laws, administrative rules, and agency policies and procedures relating to the management of state records; and

(4) fulfill all duties required of records management officers under this subchapter and rules adopted under this subchapter.

Source: Added by Acts 1997, 75th Leg., ch. 873, sec. 1, eff. Sept. 1, 1997.
Amended by Acts 1999, 76th Leg., ch. 321, sec. 1, eff. Sept. 1, 1999.

The Director of Records and Information Management is designated as the Institutions Records Management Officer.

COMMUNICATION

Updates

Records and Information Management will form a key network within the University that is concerned about records and information management activities. Members of the network will serve as intermediaries between business operations and the records and information management program to ensure compliance.

Director of Records
and Information
Management

Records and Information will work with business departments, technology services, risk management, and internal audit functions to address records and information management deficiencies as applicable.

MEASUREMENT & MONITORING

Tracking & Oversight

The Records and Information Management program is subject to audit by Internal Audit and all parties authorized due to regulatory, contractual, or business requirements.

References and Cross-references.

Statutory Requirements

The Texas Government Code, Chapter 441, Subchapter L, establish the responsibilities of State Agencies and Universities, the State and Local Records Management Division of the Texas State Library, and the State Archives in managing the state's records. Each State Agency and University or University System has a Records Management Officer, who acts as a liaison for records and information management functions between the two agencies.

Acts 1997, 75th Leg., ch. 873, sec. 1, eff. Sept. 1, 1997.

Acts 1997, 75th Leg., ch. 873, sec. 1, eff. Sept. 1, 1997. Amended by Acts 1999, 76th Leg., ch. 321, sec. 1, eff. Sept. 1, 1999.

Forms and Tools.

SUPPORTING DOCUMENTS

Texas State Library and Archives Commission Records Management Manual

RELATED DOCUMENTS

Records Management Manual

- * Records Management Policies
 - * Records Management Procedures
 - * UNT Health Science Center Records Retention Schedule
- Records Management Division Procedures Manual

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