

<b>Policies of the University of North Texas Health Science Center</b>	<b>Chapter 04 - Administration</b>
<b>04.315 Legal Holds and Termination of Legal Holds</b>	

Policy Statement.

Information related to a lawsuit, investigation, or audit record preservation is the responsibility of every employee and department. Notification in writing of legal hold and termination of legal holds must be reported to Records and Information Management department.

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

Responsible Party

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| <p>1. This policy requires Legal Affairs, Internal Audit, Human Resource, Risk Management, Compliance, or any other entity to notify Records and Information Management of the need to preserve information related to a lawsuit, investigation, or audit. The notification must be in writing and signed by the appropriate officer. The Legal Hold should be specific about what records that need to be preserved – records, documents, and drafts (paper or electronic) created in a specific time period that are about a specific business function. Upon receipt of this notice, Records and Information Management will review its record holdings and place a Legal Hold on all records identified.</p> | <p>Legal Affairs, Internal Audit, Human Resource, Risk Management, Compliance, or any other entity</p> |
| <p>2. This policy requires Legal Affairs, Internal Audit, Human Resource, Risk Management, Compliance, or any other entity to notify Records and Information in writing once the matter is concluded. A Notice of Termination of the Legal Hold must be sent to Records and Information Management indicating that regular keeping rules once again apply.</p>   | <p>Legal Affairs, Internal Audit, Human Resource, Risk Management, Compliance, or any other entity</p> |

References and Cross-references.

**Statutory Requirements**

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 it, or until the expiration of the retention period, whichever is later.

Section 441.187(b), Government Code

Texas Penal Code Section 37.10 TAMPERING WITH GOVERNMENTAL RECORD

Forms and Tools.

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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