

The University of North Texas at Dallas Policy Manual	Chapter 4.000
<b>4.003 Records and Information Management</b>	<b>Administration</b>

**Policy Statement.** The University of North Texas at Dallas recognizes 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. Therefore, university records shall 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.

**Definitions.**

1. **Final Disposition.** “Final Disposition” means the terminal treatment of a record, either by destruction or permanent storage in the University Archives.
2. **University Record.** “University Record” means 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” 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.
4. **Record Retention Schedule.** “Records Retention Schedule” means the records series and the associated retention period, archival value, vital status, and final repository for university records. This document is certified by the Texas State Library and Archives Commission and the Texas State Auditor’s Office.
5. **Records Management Representatives.** “Records Management Representatives” mean departmental representatives that maintain the department's records in accordance with the Records Retention Schedule and as instructed by the Records Management Officer.

## **Procedures and Responsibilities.**

1. **Institutional Records Management Program.** The program provides records and information management initiatives for the University. The Assistant Director for Institutional Records Management at the University of North Texas is designated as the Records Management Officer for UNT at Dallas.

Department heads are 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 head to index records in a manner as to be identified and retrieved in a timely manner per regulatory, contractual, and business requirements. Department heads shall designate one or more Records Management Representatives for the department.

Responsible Party: Records Management Officer; Department heads

2. **Duties of Records Management Representatives.** Serve as the representative from their division/department for the creation, approval and implementation of the department's records management procedures.

Responsible Party: Records Management Representatives

3. **Records Retention Schedule.** The proper use of the Records Retention Schedule is conducive to:
  - i. compliance;
  - ii. timely disposition of records; permanent retention of valuable records;
  - iii. improved management and protection of vital records;
  - iv. providing security for confidential and sensitive records;
  - v. maintaining records in formats which will offer maximum cost effectiveness; and
  - vi. 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 Institutional Records Management Program 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 UNT at Dallas is available on the Institutional Records Management Program website.

Responsible Party: Department heads and Records Management  
Representatives

4. **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 is coordinated through the Institutional Records Management Program at the University of North Texas.

#### **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

Records Management, Retention and Final Disposition Procedures

Approved: 8/30/2010

Effective: 9/1/2010

Revised: