

# Records Management

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User Guide  
2006



## *Welcome To Records Management*

This User Guide was produced by the Department of Logistics and is designed to provide general information and to clarify employee roles, responsibilities (both institutional and legal), and proper procedural outlines for the handling and maintenance of institutional records. The guide has been designed for administrators, supervisors, staff and any other individual whose responsibilities include the management of information and records at UTMB. Please share this information with any individuals who may be involved with your department's record-keeping systems.

Records Management is important at every level of local, state, and federal government as well as in private business. The State of Texas has a specific definition of what constitutes a [state record](#) and has written Records Management guidelines and policies into state law.

You are responsible for maintaining the integrity and accuracy of UTMB records and information and to comply with state and federal laws, rules, and regulations regarding records management. The Records Management program maintains a commitment to service. Our charge is to help you and your department manage records in a way that best serves your needs, while protecting you and the institution from legal and fiscal liability.

For additional questions, concerns or more information, please contact us at (409) 747-5900. We thank you for taking the time to carefully utilize this manual, and look forward to serving as a resource to support and guide you in your efforts to maintain UTMB's integrity and professionalism in this area.

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## **General Information**

### **Hours Of Operation**

Monday - Friday, 8 a.m. - 5 p.m.

### **Location**

1902 Harborside Drive  
The Records Center is housed on the 4th floor  
Offices - 4.128

### **Mailing Address**

Our campus mail address is:

TO: ATTENTION LINE (name of person)  
RECORDS MANAGEMENT - ROUTE 0918

Our incoming US mail address is:

NAME OF PERSON (optional attention line)  
RECORDS MANAGEMENT - 0918  
THE UNIVERSITY OF TEXAS MEDICAL BRANCH  
301 UNIVERSITY BLVD.  
GALVESTON, TX 77555-0918

### **Internet Address**

<http://www.utmb.edu/logistics>

On the Logistics home page click "Records"

### **Phone Numbers**

For Records Retention Questions:  
(409) 747-5900 or (409) 747-5906

For Records Center Questions:  
(409) 747-5904 or (409) 747-5907

Fax: (409) 747-5910

## State Laws And Rules

All state and local government agencies must comply with the following:

### Public Information Act

Texas Government Code, Chapter 552 ensures public access to any open state record. The definition of what constitutes a public record is, “any information created or received in connection with the transaction of official business regardless of physical form.”

The legislative intent in enacting Chapter 552 was to insure that governmental agencies function in the open, and therefore ensures public access to information and records of governmental agencies.

Certain records are exempt from public inspection, although they are not exempt from the other provisions of the public records law. An entire document or parts of a document may be exempted from public inspection and copying. However, there must be specific statutory authority for a record to be exempt. Examples of exemptions to inspection are information about students (other than directory information), medical records, and certain information concerning research.

### Records Management

Texas Government Code, Chapter 441 establishes the duties and responsibilities of state agencies regarding Records Management, which include:

- establish and maintain a Records Management Program on a continuing and active basis
- 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
- when necessary make certain that all records of the agency are passed to the agency head’s successor
- identify and take adequate steps to protect confidential and vital state records
- cooperate with the commission in the conduct of state agency Records Management surveys
- 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

## Electronic Record Rules

Administrative rules (13 TAC sections 6.91-6.99) establish the minimum requirements for the management of all electronic state records.

The head of each state agency, or the designated records management officer, is responsible for the program elements, which include:

- administering an agency-wide program for the management of records created, received, maintained, used, or stored on electronic media
- integrating the management of electronic records with other records and information resources management programs of the agency
- incorporating electronic records management objectives, responsibilities, and authorities in agency directives
- establishing procedures for addressing electronic records management requirements, including record keeping requirements and disposition
- ensuring that training is provided for users of electronic records systems in the operation, care, and handling of the equipment, software, and media used in the system
- ensuring the development and maintenance of up-to-date documentation about all electronic records systems that are adequate to specify all technical characteristics necessary for reading or processing the records and the timely, authorized disposition of records
- specifying the location and media on which electronic records are maintained to meet retention requirements; and maintaining inventories of electronic records systems to facilitate disposition
- appraising the agency’s electronic records to develop the agency records retention schedule
- securing approval of the records retention schedule and ensuring its implementation for use in the management and disposition of all agency records in all media

## **Records Management Responsibilities**

### **Entity Leaders And Department Administrators**

- Ensure that Records Retention Schedules (RRS) are applied to records
- Prevent the creation of unnecessary records in any media
- Promote the application of filing systems and structures for the efficient organization, maintenance and use of records to facilitate retrieval and use
- Ensure that records of continuing value are preserved, but that valueless or non-current information is disposed of or transferred to storage in a timely manner in accordance with departmental Records Retention Schedules
- Ensure that the acquisition and use of all direct paper to microfilm systems and equipment or electronic digital images are technically feasible, cost-effective and most appropriately satisfy program needs
- Ensure that appropriate criteria justifying the acquisition of information storage equipment is applied
- Preserve and protect information that is vital to the essential functions of UTMB during an emergency; or that information essential to the legal rights and interests of individual citizens and UTMB
- Provide for department-wide management of machine-readable and microfilm records in accordance with applicable statutes and regulations.
- Ensure that file custodians are designated within their areas of responsibility
- Appoint Department Records Coordinators

### **Department Records Coordinators**

- Act as liaison to the UTMB Records Management Program
- Assist Records Management in developing and maintaining an accurate record survey
- Review and suggest changes and/or deletions on the department's RRS
- Provide documentation of federal/state rules/regulations governing the retention period of specific records within the department
- Maintain Department Records Retention Manual
- Send eligible records to storage
- Complete appropriate forms accurately and

according to established Records Management procedures

- Manage disposition of office records according to the certified RRS
- Maintain Disposition Logs
- Identify vital records
- Notify Records Management of any changes in Department Records Coordinators and Alternate Coordinators, e.g., name changes, new phone, route, fax, new location, etc.
- Notify Records Management of organizational changes: e.g., department name changes, department head changes, new divisions created, mergers, etc.
- Authorize the Records Center to dispose of records in storage that have met their retention period
- Attend and/or request Records Management training when needed
- Educate others in the department on Records Management procedures
- Follow all published Records Management procedures

### **Records Management Department**

- Develop policies, directives, and instructional materials governing the organization, maintenance and disposition of all records, including machine-readable and audiovisual records
- Provide advice, guidance, assistance and training in all aspects of the Records Management Program
- Coordinate program efforts and evaluate program effectiveness by making periodic surveys of information systems, equipment and services
- Plan and coordinate the Vital Records Program
- Coordinate the retirement and retrieval of UTMB records to the Records Center
- Maintain the UTMB master RRS

## Preparing The Records Retention Schedule

Consulting with a records specialist ensures that retention of records is neither too short, nor too long. Records maintained for an insufficient retention period can constitute a legal and fiscal liability for your department and the Institution.

The UTMB RRS is developed by collecting information about all records. This information is documented on a records survey, then analyzed to determine retention requirements.

### Records Survey

The survey covers all records, regardless of volume, location or media. The survey identifies and gathers data on a records series basis, not on individual records or files. A records series is a group of records with the same function and the same retention period. Records series are not limited by volume or media.

Survey data provides facts on which to base an analysis of the records. The records survey becomes the working document for the creation of the RRS. An effective Records Management Program cannot be established or maintained without a complete records survey.

Texas Government Code § 441.185 states:

- a. Each records management officer, with the cooperation of any staff of a state agency that the officer considers necessary, shall survey the state records of the agency and prepare and submit a records retention schedule to the state records administrator.
- b. The records retention schedule must list the state records created and received by the agency, propose a period of time each record shall be maintained by the agency, and provide other information necessary for the operation of an effective Records Management Program.

The primary objective of the record survey is to develop and implement the RRS by:

- Identifying all records by records series
- Determining the physical location and medium of all records, including the record copy and any non-record copies (convenience)
- Identifying the function of the records

The record survey supports other goals by:

- Identifying the range of dates and quantity of each

records series

- Identifying the filing equipment and supplies used to maintain records
- Describing the current filing and retrieval systems
- Calculating the amount of space dedicated to active and inactive records
- Evaluating the costs of record keeping
- Identifying paths of distribution

Completion of the records survey is a collaborative effort between Records Specialists and Department Record Coordinators.

### Analysis

Records Management staff will use the data collected during the records survey to develop and maintain the RRS. The official decisions to be made during the analysis process are:

1. Record classification
2. Unique records series number
3. Official records series title
4. In-office retention period
5. Offsite retention period (storage of records during inactive phase)
6. Total retention period (the sum of in-office and off-site retention periods)
7. Archival status
8. Any basis for retention period, e.g., legal citation, policy and/or other guidelines specific to the department

During the analysis process Records Management staff must follow the recommendations found in the Texas State Records Retention Schedule when making retention decisions. This document provides an authoritative guideline for minimum retention periods required of each records series. They are also recommended as appropriate maximum retention periods.

In addition to the common records listed in the state guidelines, UTMB has unique records series that must be included in the RRS. We commonly refer to these as program records.

### Certification of Records Retention Schedules

Compliance with Texas Administrative Code 6.3 requires UTMB to certify its RRS every three years from the last certification date. Prior to certification UTMB's RRS must:

1. List all records series regardless of medium
2. Identify archival records
3. Ensure that minimum retention periods prescribed by the Texas State Records Retention Schedule are met
4. Ensure that UTMB's program records are scheduled on the RRS for a length of time sufficient to meet administrative, legal, fiscal, and archival requirements
5. Be submitted in a manner and form prescribed by the state records administrator

When these requirements are met, Records Management will submit the RRS to the following agencies for review and approval:

- UT System
- Texas State Library and Archives Commission

Upon approval, the Texas State Library will forward the Certification and Approval form to UTMB. Records specialists will distribute them to Department Records Coordinators and schedule training sessions as needed.

### Maintenance Of The RRS

Records Management is responsible for approving and maintaining all revisions to the schedule.

#### ***Records Coordinator Responsibilities***

Between certifications, department records coordinators are responsible for providing Records Management with documentation regarding changes to their RRS. Changes may include:

1. Adding or dropping a records series
2. Changing in-office, storage, or total retention periods
3. Adding to or revising remarks relevant to citations of applicable federal or state laws or regulations or other information regarding records retention requirements.

### Decertification

UTMB's Records Retention Schedule will be decertified if the procedures outlined in Texas Administrative Code 6.3 are not followed.

If UTMB's RRS is decertified, no department will be authorized to destroy records based on the schedule and must request authorization from the director and librarian of the Texas State Library and Archives Commission.

## **Understanding And Using The Records Retention Schedule**

Only through use of the RRS can UTMB departments realize the benefits of Records Management.

### **Benefits**

- Compliance with legal requirements
- Authority to dispose of records that have met their retention requirements
- Legal protection to UTMB when destroying records
- Retention of records of permanent value
- Improved protection of vital records
- Security for records with confidential or sensitive information
- Use of office space for access to active records
- Storage of inactive records in less expensive storage areas, like the Records Center
- Release of equipment and reusable media for other productive uses
- Maintenance of records in the formats offering optimum cost-effectiveness

### **Objectives**

1. Maintenance of records in office while in active use
2. Storage of records that are no longer needed by your department but must be retained to meet total retention period
3. Prompt disposal of records with expired retention periods
4. Preservation of records that are of archival value

### **Records Retention Schedule Form**

Specific information is entered on the UTMB Records Retention Schedule to document decisions made during the records survey and analysis stages.

Use of the Texas State Library's "State of Texas Records Retention Schedule" (SLR 105) form, or a computer generated facsimile of the form, is required for all state agencies.

The form has 11 fields of information. Each field is explained below:

Field 1 – The current page and the total number of pages in the document.

Field 2 – The comptroller of public accounts has

assigned each Texas state agency an agency code number. UTMB's agency code number is 723.

Field 3 – UTMB's complete name is entered. The department name is placed below.

NOTE: The UTMB RRS is sectioned by department; the name of the department is placed below Field 2 and Field 3.

Field 4 – The five digit records series item number as shown on the Texas State Records Retention Schedule.

Note: UTMB program records are exceptions.

Field 5 – The unique agency item number assigned to each records series title. At UTMB, this number is 10 digits long, the first eight digits are the department's organization number, and the last two digits are sequenced, beginning with the number 1.

Field 6 – The official records series title.

NOTE: A Records Series Title must remain consistent throughout the life cycle of that series. Every Records Series Title must have a distinct name.

Field 7 – Retention Period – The period of time that the records series is to be kept in the agency (meaning department); the period of time the series is to be kept in inactive storage at the Records Center; and the total of the two amounts. The retention codes are explained at the bottom of the form.

Field 8 – Using the archival codes at the bottom of the form, indicate the archival value of each Records Series Title, if appropriate.

Field 9 – Any statutory references, other legal citations, or agency policy used as a basis for retention. The law requires that we supply the source of any documented restrictions applying to retention.

Field 10 – This field is not used by UTMB.

Field 11 – This field is not used by UTMB.

### **Records Disposition Authorization**

The approved RRS places UTMB in compliance with the law and grants authority for records disposition. If a records series has an archival code marked on the RRS, the records must be reviewed by Archives instead of being destroyed.

Any record that does not appear on UTMB's certified RRS, or a certified amendment, must receive authorization from the Texas State Library and Archives Commission prior to destruction. UTMB's Records Management Officer, or the agency head must receive approval for final disposition on a [Request for Authority to Dispose of State Records](#) form prior to destroying the records. This is a Texas State Library - Records Management Division form that has been approved for reproduction in this User Guide. Please contact Records Management if your department has a records series not listed on your RRS.

### Documenting Disposition Activity

Retention periods of records maintained within a UTMB department are the responsibility of the Records Coordinator.

#### Records Coordinator Responsibilities

1. Use a [Retention Codes / Disposition Worksheet](#) to determine records disposition eligibility.
2. If the record series is eligible, complete all data fields on the [Disposition Log of Records](#). Detailed instructions for completing the form can be found in the Appendix, [Disposition Log of Records - Instructions](#).
3. Prior to destroying the records, fax the Disposition Log to Records Management, at 747-5910 for review and approval.  
  
Note: A Records Specialist will review all information for accuracy.  
  
If any error is found, the Disposition Log will be returned with corrected information.  
  
CAUTION: Do not destroy the records until the deficiencies have been corrected.  
  
If no errors are found, the Records Specialist will call and advise to proceed with step 4 below.
4. Destroy the records.
5. Date and sign the Disposition Log, be sure to include the actual destruction date on the log.
6. Mail the completed original Disposition Log to Records Management, Route 0918.
7. File a copy of the completed log in the "Destruction/Disposition" section of the department's Records Retention Manual.

Records sent to storage are managed for retention by the Records Center. If the retention period is nearing expiration, the department record coordinator will be

required to authorize destruction.

The state recommends that a disposal log or file be maintained to include at least the following information:

- Records series title
- Retention period
- Volume of records eligible for final disposition
- Type of final disposition (if destruction, method used)
- Disposal date
- Signature(s) of personnel approving final disposition.

At UTMB, the Disposition Log of Records is used to document all record destruction.

Maintaining documentation of records disposal complies with administrative rules for state record keeping and provides information useful in evaluating the economic benefits of UTMB's records activities.

Records Management maintains a database of department and Records Center disposition activity.

Convenience copies may be disposed of at any time, without the use of the Disposition Log of UTMB Records. Convenience copies should never be kept longer than the retention period for the records series.

#### - CAUTION -

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 or anticipated before the expiration of a retention period 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 the action, or until the expiration of the retention period, whichever is later.

## Records Center Services

The UTMB Records Center provides departments with cost effective storage of inactive records in paper, electronic, and microfilm formats.

### Benefits of the Records Center

- You retain ownership of your records. All material is managed under the direct guidance of your Departmental Records Coordinator, and can be accessed and retrieved at any time. When appropriate, access to your records can be limited to designated individuals, thus ensuring confidentiality.
- Inactive low-use record storage in active office space is a very inefficient proposition. Moving inactive and low-use records to the off-site Records Center frees up valuable office space for other uses, and frees staff to do other more pressing tasks. The savings and cost-avoidance can be significant.
- Temporary record storage areas are hot, humid, dry, or subject to mildew. Many institutions lose their vital records in such conditions. By contrast, storing inactive and low-use records off-site at the Records Center, in a properly and professionally maintained facility, ensures continuity in the event of a localized disaster. It also slows the deterioration of vital historically, legally and fiscally relevant documents, thus providing increased peace of mind.
- Inactive records stored on-site are often poorly organized and cataloged, and in inconvenient locations. In contrast, Records Management requires that departments catalog the contents of each storage box. Upon arrival at the Records Center, each box is assigned a computerized location and given a unique bar code label. This process ensures that Records Management can access and deliver records to you in a timely way. Typical deliveries are same day if the request is received by 10:30 a.m., or the following day if the request is received later in the day. This saves research time and the records storage box is delivered directly to your office.

### How to Store Records

If any of the records series on your RRS show a period of time in the Storage Retention Period field, you should be storing those records at the Records Center.

### Records Coordinator Responsibilities

#### 1. Determine Storage Eligibility

- The Records Series must be listed on the current approved RRS.

- The records must have at least one year of retention remaining.
- The records must be inactive.
- Records must be approved for storage, organized, packed, indexed, and labeled correctly. See steps 2 through 8.

The following items, for example, will be rejected:

- Hanging file folders
- Binders
- Supplies
- Magazines or articles (stocks of publications)

#### 2. Obtain Approval For Storage

- Initial approval to store a specific records series must be obtained by preparing the [Storage Approval](#) form.
- Complete all items according to the [Storage Approval - Instructions](#). Blank forms are located in the "Storage Approvals" section of your Records Retention Manual.
- Mail the original form to Records Management. Upon approval, a copy of the form is returned to you with an assigned RM 202 Approval Number.

The Storage Approval is completed only when requesting initial approval to store a records series, or if there are substantial changes that require the form to be superseded by updated information.

The form contains an access control feature to limit the people who may retrieve the record from storage, and ensure that the people who have rights to the records are allowed access.

When you check "Unlimited Access" we will release your departmental records to any employee of your department who requests them. When you check "Limited Access" we will release departmental records only to those individuals identified on the Storage Approval form.

#### 3. Prepare And Assemble Boxes

In estimating the number of boxes needed, figure two boxes per letter size file drawer and two and one-half boxes per legal size file drawer.

Use only letter/legal storage boxes from Logistics Supply Management, (order # 60471). The use of alternate storage containers is limited and must receive prior approval from Records Management.

Boxes must be assembled properly to ensure their structural integrity and to protect the contents. All flaps are designed to be tucked inside to strengthen the bottom and sides of the box. If requested, we will guide you with initial assembly.

**4. Pack the Records**

Determine how the records will be divided for placement in the records storage boxes. The records series can be divided monthly, quarterly, annually by fiscal or calendar year, closure date, or by any other logical subdivision. such as by closure date. Contents in the records box must be the same records series, and also be eligible for final disposition at the same time.

When packing records in the storage boxes, keep them in the original filing arrangement, provided it is a logical and systematic order, whether alphabetical, numerical or chronological.

- For files in numerical order, place lowest number to the front of each box.
- For files in alphabetical order, begin with “A” in the first box.
- For files in chronological order, place them in the box by consecutive dates.

If department records are not arranged in a logical order that can be used for retrieving files, they must be put in order before packing boxes. The appropriate order depends on the way the records will be retrieved by department staff when the box is delivered from storage. For example, if staff will be needing to see files A through D of a particular records series, the records should be arranged in alphabetical order.

Place legal size and letter size records upright in the box, as they would be arranged in a file drawer. Leave at least one inch of space at each end of the box so the box can be picked up easily.

Place letter size records in the box facing the front end, which has the box number.

Place legal size records in the box sideways, facing the left-hand side of the front end of the box. Stack computer printouts and ledgers on the bottom of the box facing the lid. Do not stack paper above hand holds.

**5. Index the Box Contents**

Each department is responsible for maintaining an index of files. As you pack the box, simply list the title of every file as it is placed in the box.

A copy of the index should be placed in your Records Retention Manual with the Transmittal and one placed in the corresponding box. Each time you request a box from storage, it is your responsibility to update the index of that box as you remove or add records to the box and return it to storage.

**6. Identify and Number the Boxes**

Use a black felt-tip marker to write the following information on the pre-printed end of the box:

- Below the hand-hold, on the first printed line, write the Agency Item Number found in field 5 of the RRS, see illustration 1 “Agency Item & Temp Number Placement”.
- In the upper right-hand corner, write the temporary box number, see Figure 1 “Agency Item & Temp Number Placement”.
- Do not duplicate the same box number on the same transmittal.
- Do not put numbers on the box lids.

Division: AGENCY ITEM NUMBER

Dept. \_\_\_\_\_

Submitted by: \_\_\_\_\_ Date \_\_\_\_\_

Received by: \_\_\_\_\_ Date \_\_\_\_\_

Contents: \_\_\_\_\_

Filed From: \_\_\_\_\_ To: \_\_\_\_\_

Classified As			
Permanent	Confidential		Vital
Important	Useful		Nonessential

Retention Period \_\_\_\_\_ To \_\_\_\_\_

Review Date \_\_\_\_\_ Destroy Date \_\_\_\_\_

Microfilm  No  Yes Date \_\_\_\_\_ By \_\_\_\_\_

Box No. TEMP Box No.

Location

Figure 1 - Agency Item & Temp Number Location

These are the only two markings that should appear on the outside of each box. We will not accept boxes that contain additional markings. If the box does have other markings, strike through them with a black felt tip marker. This is done to safeguard the confidentiality of the records.

**7. Stack Boxes**

- Stack boxes for each transmittal in one location within your department.
- Stack boxes in numerical order as shown in Figure 2 “Stacked Boxes.” The first box of the shipment will be on top of the first stack, the seventh box will be on top of the second stack, and so on. This is done to improve the efficiency of on-site inspection and accuracy of Records Center bar code label placement on each box.
- Stack boxes six high or less to prevent crushing of bottom boxes. See Figure 2 “Stacked Boxes”.

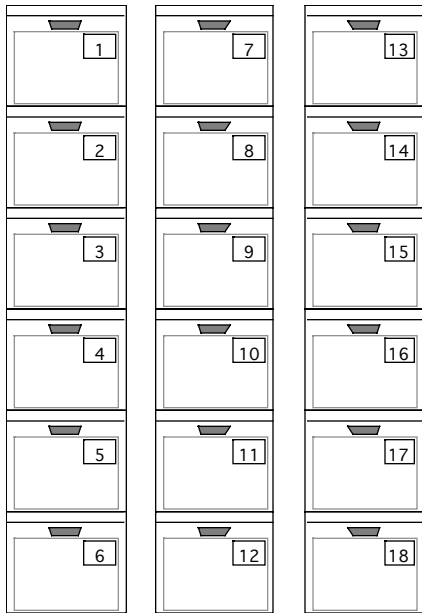


Figure 2 - Stacked Boxes

### 8. Prepare and Send the Records Transmittal

Complete all items according to the instructions for the [Transmittal of Records](#). See also [Transmittal of Records - Instructions](#). If the number of boxes is more than will fit on one page, use a [Transmittal of Records - Continuation Page](#).

- List only the first and last file in each storage box on the RM 203.
- Temporary box numbers on the RM 203 must agree with numbers on the boxes.
- Mail the original completed form to: Logistics Records Management, Route 0918
- File a suspense copy of the RM 203 in your department Records Retention Manual.

#### Inspection and Pickup

Once the Transmittal form is received and checked against your department's RRS, we will enter the data into our Records Center database.

The database generates unique box and bar code labels for each box. These codes must be referenced whenever your staff requests a box from storage. A Records Specialist will visit the Records Coordinator onsite to inspect each box to ensure that:

- Records are not packed too tightly.
- Boxes are only marked with agency item and

temporary box numbers in the appropriate locations.

- Boxes are the approved letter/legal boxes.
- Boxes are assembled properly.
- Box contents match the Transmittal form.
- The contents have been indexed, where applicable.
- No inappropriate items are in the box.

If no problems are found, the boxes are labeled and a copy of the Transmittal form complete with the box code numbers will be given to the Records Coordinator. The suspense copy of the transmittal must be replaced in your Records Retention Manual with the final version.

We will make arrangements with Logistics Distribution to have the boxes picked up and transported to the Records Center for storage.

#### Accessing Stored Records

The Department Record Coordinator, or any department staff identified with access rights on the Storage Approval form, completes a [Records Circulation Request](#). See also [Records Circulation Request - Instructions](#).

The key to retrieving records from storage is the box code number that was affixed to each box during the inspection process. These codes are listed on the final Transmittal form.

When you have filled out the form, fax it to the Records Center at 747-5910.

We will make arrangements to have the box delivered to you. You may also pick up or view the records on-site in the Records Center reference area.

Typical deliveries are same day if the request is received by 10:30 a.m., or the following day if the request is received later in the day. On rare occasions, an emergency request will be delivered as quickly as possible, please call the Records Center to make arrangements.

Once the requestor receives the boxes, he or she must sign the Records Request form showing that the records were delivered to the temporary custody of his or her department. Retain a copy of the completed form in the "Requests" section of your department Records Retention Manual.

A box to be returned to storage after use by department staff will be checked out to the requester for 30 days. If the record needs to be kept at the department longer than 30 days, the department contact person should call the Records Center to extend the time period or to request a permanent transfer back to the department. To request the permanent transfer of an entire box of records back to the department, please contact the Records Center to initiate the transfer.

To maintain file integrity, records should be returned to storage as soon as possible or the Records Center should be notified that the record is "Not To Be Returned" (NTBR). Should department staff decide that a record needs to be returned to storage after it has been designated "NTBR" and removed from the storage index, the record will be processed as a new entry.

NOTE: If stored records have a high access rate or they are currently needed in your department, do not return them to storage.

To return a box to storage, complete a Records Request, marked "returning" and fax it to Records Management.

The return to storage requestor must sign the Records Request form showing that the records were picked up. Retain a copy of the completed form in the "Requests" section of your department Records Retention Manual.

### Dispositioning Stored Records

For records stored at UTMB's Records Center, staff members review records series disposition dates on a monthly basis to identify records that have reached the end of their retention period. Based on this review, the records center staff does the following:

- Checks all boxes scheduled for disposition to ensure that they are under no legal or other holds.
- Checks to make sure that all eligible boxes are in storage and none have been checked out by the department. If a box is checked out it must be returned before disposition can take place. Departments may not destroy records under the custody of the Records Center.
- Completes all data fields on the Disposition Log.
- Obtains departmental signature authorization to dispose of stored records.

- Completes the disposition process. Note: Final disposition of UTMB records may be destruction, archival review, or transfer to archives.
- Maintains a database of all UTMB records disposition activity.

### Helpful Form Tips

#### ***Disposition Log of UTMB Records....***

Must be faxed to Records Management for review and approval. Once a records specialist approves it and faxes it back, you must fill in the destruction dates, sign and date the form, and mail the original, signed copy to Records Management.

#### ***Storage Approval....***

Original, signed copy must be mailed to Records Management.

#### ***Transmittal of UTMB Records....***

Original, signed copy must be mailed to Records Management.

#### ***Records Request....***

Must be faxed to Records Management once completed.

#### ***Finding Forms....***

All forms are located in the Appendix of this User Guide. The PDF version of the guide contains Interactive data fields which allow the form to be completed electronically and printed.

The forms may also be found on our web site at:

[http://www.utmb.edu/logistics/forms/Records%20forms/forms\\_main.htm](http://www.utmb.edu/logistics/forms/Records%20forms/forms_main.htm)

Detailed instructions are on the back of each printed form, or included with each electronic version of the form.

#### ***Printing....***

When printing this handbook or our Adobe Acrobat forms, please set "Print Scaling", located in the Print Dialog, to "none". This will ensure that our documents print to their maximum designed size.

## Glossary of Terms

**Access** – Permission to use and reproduce records. May be limited or qualified (restricted by the department having legal custody).

**Accessioning** – The process of receiving records transferred from a UTMB department to the physical custody of the Records Center. Can also be used to mean the conveyance or transfer of the legal and physical custody of archival records from their offices of creation to an archival repository; also, the creation of records documenting receipt and acceptance of the records into the archives.

**Agency Head** – The appointed or elected official who serves by the state constitution, state statute, or action of the governing body of a state agency as the chief executive and administrative officer of a state agency.

**Alternate Records Coordinator** – The person responsible for department records management activities when the Department Records Coordinator is unavailable.

**Archival State Record** – Any state record of enduring value that will be preserved on a continuing basis by the commission or another state agency until the state archivist indicates that based on a reappraisal of the record it no longer merits further retention.

**Archives** – The noncurrent records of an organization preserved or appropriate for preservation because of their continuing, or enduring value. A place in which archival records or other important historical documentation are permanently maintained.

**Archivist** – A person responsible for or engaged in one or more of the following activities in an archives: records appraisal and disposition, accessioning, preservation, arrangement, description, reference service, and exhibition or publication of archival materials.

**Active Record** – Materials which are maintained in the office of an agency for current daily operations and are referred to frequently.

**Certification** – The process, inclusive of recertification, by which a records retention schedule or amendments to a schedule are approved for use by a state agency during a certification period.

**Certification Period** – The period of time during which a records retention schedule, including certified amendments to the schedule, may be used by a state agency in the final disposition of state records without additional authorization from the director and librarian.

**Commission** – The Texas State Library and Archives Commission.

**Component** – A division, department, program, or other subdivision of a state agency.

**Confidential State Record** – Any state record to which public access is denied under Government Code, Chapter 552, or other state or federal law.

**Convenience Copy** – A copy created for administrative ease of use, also called a working or reference copy; not the record copy.

**Custodian** – The guardianship of records. Features differ between physical and legal custody. See also Physical Custody and Legal Custody.

**Decertification** – The process by which an approved records retention schedule of a state agency is disapproved because of failure of the state agency to adhere to the requirements of Government Code, Chapter 441, Subchapter L, and these rules adopted under that subchapter.

**Department Records Coordinator** – Individual responsible for coordinating records management activities within a department and acting as liaison between the department and Logistics Records Management.

**Destruction** – The process of obliterating or otherwise rendering illegible, irretrievable, or unusable information contained in a record.

**Destruction Suspension** – The procedure to cease the routine destruction of records when it is determined that those records may be relevant to foreseeable or pending litigation, a government investigation, or a regulatory audit.

**Director and librarian** – The chief executive and administrative officer of the Texas State Library and Archives Commission.

**Disaster Recovery Plan** – A plan consisting of information about structures, occupants, and hazardous materials, as well as procedures to safeguard records.

**Discovery** – The legal process that permits parties involved in a legal proceeding to obtain records and information relevant to the proceeding that are in the possession of another party.

**Document** – An instrument containing recorded information.

**Duplicate Copy** – See “Convenience Copy”.

**Electronic Mail Record** – An electronic state record sent or received in the form of a message on an electronic mail system of a state agency, including any attachments transmitted with the message.

**Electronic Mail System** – A computer application used to create, receive, retain, and transmit messages and other attached records. Excluded from this definition are file transfer utilities.

**Electronic Records System** – Any information system that produces, manipulates, and stores electronic state records by using a computer.

**Electronic State Record** – Information that meets the definition of a state record in the Government Code, § 441.180, and is maintained in electronic format for computer processing, including the product of computer processing of the information. Electronic records are stored in a format that only a computer can process and are also called machine-readable or machine-sensitive records.

**Final Disposition** – Final processing of state records by either destruction or archival preservation by the commission, by a state agency, or by an alternate archival institution as permitted by Government Code, Chapter 441, Subchapter L.

**Historical Resources** – Any manuscript, map, photograph, artistic depiction, printed material, flag, or other recorded information or copies of that information, in the possession of this state, an individual, a private institution, another state, or another nation relating to the history and culture of Texas as a province, colony, republic, or state.

**Inactive Record** – Records that are not needed to be readily available, but which must be kept for administrative, fiscal, legal, historical, or governmental purposes.

**Index** – An organized finding aid to the contents of a document, database, or filing system, arranged in a logical array, giving document or data location

in storage. Usually a list or file that is arranged alphabetically or numerically for the purpose of facilitating references to topics, names, numbers, or captions within a body of information.

**Legal Custody** – Control of, access to, possession of, or responsibility for records based on specific statutory authority. Ownership of title to documentary materials. Departments that store records in the UTMB Records Center still maintain legal custody of their records.

**Life Cycle of Records** – The management concept that records pass through three stages: creation, maintenance and use, and disposition.

**Official Record** – The record which furnishes the most conclusive information on a particular business function or activity. It is usually the original record, but a duplicate copy may be legally recognized as the official record, including official copies of outgoing correspondence, which document policy, operations, property, financial transactions, and legal obligations.

**Permanent Records** – Records having sufficient historical or other value to warrant permanent or continued preservation beyond the time they are needed for administrative, legal, or fiscal purposes. Records considered so valuable or unique in documenting the history of UTMB, or for informational content, that they should be preserved “indefinitely.”

**Physical Custody** – The actual housing and maintenance of records without legal ownership, as authorized by the legal custodian. The Records Center at UTMB has physical custody of the records it stores.

**Program Record** – A records series that is unique to UTMB, rather than common to all components of UT System.

**Records Appraisal** – The analysis of records with the objective of establishing retention policy.

**Records Center** – The depository established by UTMB Administration for the housing of non-current, inactive, or permanent records pending ultimate disposition in accordance with the UTMB Records Retention Schedules.

**Records Management** – The application of management techniques to the creation, use, maintenance, ensuring access [sic] to public information under Chapter 552, and reducing costs. The term includes:

(A) the development of records retention schedules;

<p>(B) the management of filing and information retrieval systems in any media;</p> <p>(C) the adequate protection of state records that are vital, archival, or confidential according to accepted archival and records management practices;</p> <p>(D) the economical and space-effective storage of inactive records;</p> <p>(E) control over the creation and distribution of forms, reports, and correspondence; and</p> <p>(F) maintenance of public information in a manner to facilitate access by the public under Chapter 552.</p> <p>Records Management Officer – The agency head or the person appointed by the agency head to act as the state agency’s representative in all issues of records management policy, responsibility, and statutory compliance pursuant to Government Code, §441.184.</p> <p>Records Recovery Plan – A plan for restoring damaged vital records to a usable condition following a disaster. Usually part of a vital records protection or disaster recovery plan.</p> <p>Records Retention Schedule – A document prepared in accordance with §6.2 of this title (relating to Submission of Records Retention Schedules for Certification). A document that identifies the length of time a records series must be retained in active and inactive storage before its final disposition to permanent storage, archival preservation, or destruction.</p> <p>Records Series – A group of identical or related records that are normally used and/or filed together, and that permit evaluation as a group for retention scheduling purposes.</p> <p>Records Survey – A complete and accurate listing of the records holdings in an office or department, including types of filing equipment used, the classification system, descriptive data on the records, location of the records, and the volume of the records.</p> <p>Records Value, Administrative – In records appraisal, records have administrative value because they aid in the conduct of day-to-day business (sometimes called operational value), define policy and procedure, or ensure administrative consistency and continuity.</p> <p>Records Value-Fiscal – In records appraisal, records having fiscal value are those relating to financial transactions and the movement and expenditure of funds.</p> <p>Records Value-Historical – In records appraisal,</p>	<p>documents may be considered to have historical value for one or both of the following reasons: 1) They provide important and primary evidence of government functions; 2) They contain information that is of enduring value to the public. Also referred to as archival value.</p> <p>Records Value, Legal – In records appraisal, records that provide proof of government authority and contractual obligations. Legal value also refers to information that forms the basis for legal actions.</p> <p>Reference Files – Technical manuals, catalogs, etc., typically generated outside the organization.</p> <p>Regulation – A rule or order issued by an executive authority or regulatory agency of a government and having the force of law.</p> <p>Retention Period – The period of time during which state records must be maintained before final disposition.</p> <p>Staging Area – An area used for intermediate or temporary storage of records awaiting accession or disposal processing.</p> <p>State Agency – Any department, commission, board, office, or other agency in the executive, legislative, or judicial branch of state government created by the constitution or a statute of this state, including an eleemosynary institution; any university system and its components; any institution of higher education as defined by §61.003, Education Code, except a public junior college, not governed by a university system board; the Texas Municipal Retirement System and the Texas County and District Retirement System; and any public nonprofit corporation created by the legislature whose responsibilities and authority are not limited to a geographical area less than that of the state.</p> <p>State Archivist –The person designated by the director and librarian to administer the state archives program under Government Code, §441.181.</p> <p>State Record – Any written, photographic, machine-readable, or other recorded information created or received by or on behalf of a state agency or an elected state official that documents activities in the conduct of state business or use of public resources. The term does not include library or museum material made or acquired and preserved solely for reference or exhibition purposes; an extra copy of recorded information preserved only for reference; a stock of publications or blank forms; or</p>
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any records, correspondence, notes, memoranda, or other documents associated with a matter conducted under an alternative dispute resolution procedure in which personnel of a state department or institution, local government, special district, or other political subdivision of the state participated as a party, facilitated as an impartial third party, or facilitated as the administrator of a dispute resolution system or organization.

**State Records Administrator** – The person designated by the director and librarian to administer the state records management program under Government Code, §441.182.

**Statute** – A law enacted by the legislative branch of a government.

**Statutes of Limitations** – Laws containing provisions specifying the period of time during which a party can sue or be sued on a matter. Records are often considered to possess varying degrees of legal value during this time period, and decisions to retain them are often based on this value. Also referred to as limitations of action.

**Texas State Records Retention Schedule** – A record listed in the Texas State Records Retention Schedule (Third Edition) must be retained for the minimum retention period indicated by any state agency that maintains a record of the type described.

**Transitory Information** – Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's record keeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an on-going records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions.

**Vital State Record** – Any state record necessary to the resumption or continuation of state agency operations in an emergency or disaster; the re-creation of the legal and financial status of the agency; or the protection and fulfillment of obligations to the people of the state.

***Citations***

State Records Manual  
Robek, Brown & Stephens  
Ricks, Safford & Gow

**Policy 2.1.3 - Release of Information Under the Texas Public Information Act****Audience**

The information in this document is for use by all employees.

**Policy**

Under provisions of the Texas Public Information Act (Texas Government Code, Chapter 552), the Chancellor and the President of each U.T. System component institution may delegate their authority as the custodians of records to Public Information Officers. The Vice President for Business and Administration (VPBA) is the Public Information Officer for UTMB.

Written requests for public information under the Texas Public Information Act must be forwarded to the VPBA or his/her designee within twenty-four (24) hours of receipt.

**Information Subject to Disclosure**

All information collected, assembled or maintained by UTMB in the course of its official business is public information subject to disclosure under the provisions of the Texas Public Information Act, unless information falls within the Act's specified exceptions.

Under the Act, failure of good faith compliance with its disclosure and/or withholding requirements can result in civil and criminal penalties.

Medical records and the information therein are not, as a general rule, public information.

**Custodian of Records**

The VPBA at UTMB is the designated custodian of records at UTMB.

**Authority**

The VPBA or his/her designee has the exclusive authority to release any records (See Procedures).

**Requests for Public Information**

All requests to view or copy UTMB public information must be in writing and should be addressed to the VPBA. UTMB does not accept or respond to oral requests. If an oral request is received, the requesting party should be directed to address the request in writing to the VPBA.

Note: A written request received but not addressed specifically to the VPBA is still valid and remains

subject to a 10 business day time limit (from the date of receipt) for UTMB to seek an Attorney General opinion on disclosure. However, a request made by electronic mail or facsimile transmission must be addressed to the VPBA.

**Department of Legal Affairs Responsibilities**

The Department of Legal Affairs is responsible for:

- Providing, within 48 hours of receipt of the written request, legal analysis and guidance to the VPBA or his/her designee regarding the decision to withhold or disclose UTMB information. When it is unquestionably clear that the Texas Public Information Act requires release of the requested information, the Department of Legal Affairs will advise the VPBA to fill the request, notifying the President as appropriate.
- Consulting with the Office of General Counsel for the U.T. System, whether the information in question should be withheld or released.
- Assisting the Office of General Counsel in preparing requests for Attorney General opinions within the ten business day time frame when UTMB wishes to deny release of information and the Office of General Counsel determines that there is no prior determination by the courts or the Attorney General that the records are the type that fall within the claimed exception to the act.
- Reviewing all responses or releases of information and submitting the same to the VPBA and President or designee for approval following appropriate consultation with the Office of General Counsel, and the Vice Chancellor for Business Affairs in the case of multiple component responses.

### **Policy 2.1.4 - Records and Information Management and Retention**

#### **Audience**

This policy applies to all UTMB employees.

#### **Policy**

The University of Texas Medical Branch recognizes the need for orderly management and retrieval of all official records and a documented records retention and destruction schedule congruent with all state and federal laws and related regulations. All official records (paper, microfilm, electronic, or any other media) will be retained for the minimum periods stated in the Institutional Records Retention Schedule as approved by the Texas State Library and Archives Commission and the Texas State Auditor's Office in compliance with Texas Government Code, Chapter 441. After a specified period of time, official records must be disposed of in a manner that is consistent with, and systematically carried out in accordance with, prescribed records and information management guidelines and procedures.

Duplicate files, duplicate copies, library materials, and stocks of obsolete forms or pamphlets originally intended for distribution are not considered to be official records or record copies. Duplicates or non-record convenience copies should be destroyed when they cease to be useful and should never be kept longer than the official record copy.

#### **Records Retention Schedule**

The institutional Records Retention Schedules provide a list of official records for each UTMB department, and prescribe the periods of authorized retention. The schedules may be revised periodically to include a newly created records series, to change retention periods, or to delete a record no longer useful. Appropriate approval procedures must be followed and completed before any revisions would become effective. Newly created or revised Records Retention Schedules must be approved by the Records Management Department.

All records are to be kept for the minimum periods listed in the Records Retention Schedule. Notwithstanding such minimum retention periods, all records must be maintained until all required audits are completed and should be kept beyond the listed retention periods where there is a probability of litigation either involving records or requiring their use.

Documents may be maintained for the prescribed minimum retention periods in microfilm if the microfilm reproduction is accomplished pursuant to a procedure that complies with Texas Government Code Section 441.188; 13 Texas Administrative Code Sections 6.21-6.35.

Official records kept only in electronic format must be identified in the Retention Schedule and must comply with the administrative rules of the Texas State Library (13 Texas Administrative Code Sections 6.91-6.99).

Vital records should be identified in the Retention Schedule

and protected in accordance with Texas Government Code Section 441.183. State law defines a vital state record as any state record necessary to the resumption or continuation of state agency operations in an emergency or disaster; the recreation of the legal and financial status of the agency; or the protection and fulfillment of obligation to the people of the state.

Archival documents should be identified in the Retention Schedule and maintained in accordance with Texas Government Code Section 441.181. An archival state record is any state record that is retained permanently for lasting historical value and is used for research and reference by university offices and the general public. Archival and historical records are to be preserved in the archives of the institution.

#### **Destruction of State Records**

No state records may be destroyed without permission from the Texas State Library as outlined in Texas Government Code Section 441.187; 13 Texas Administrative Code Section 6.7. The Texas State Library has two established methods for obtaining legal authority to destroy records. Procedures differ for records listed on an approved Records Retention Schedule and any records not listed.

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 the retention period for the record set in the approved institutional Records Retention Schedule. If no action as described above has been taken, records may be destroyed in accordance with the approved retention periods shown in the Records Retention Schedule. Prior to disposal of official records, all state and institutional records and information management regulations and policies must be followed.

State records not listed on the approved Records Retention Schedule may be destroyed after receiving approval by officials at the Texas State Library. All such records not listed on a department's certified Records Retention Schedule must be processed through the Records Management program for assistance prior to disposition. Form RMD 102, Request for Authority to Dispose of State Records, must be completed and submitted to the Record Services Department of the Texas State Library to obtain approval for the destruction of public or official records. Unlisted records must not be destroyed until the State Library administrator approves and returns the form to the appropriate university officials.

#### **References**

- Texas Government Code, Chapter 441.
- UT System Records Retention Schedule
- Institutional Handbook of Operating Procedures Policies:
  - 2.1.3 Release of Information Under the Texas Public Information Act
  - 2.19.6 Information Resources Security
  - 2.19.7 Email Use

**Policy 2.19.7 - Email Use****Audience**

UTMB email policies and standards apply equally to all individuals granted access privileges to any UTMB information resource with the capacity to send, receive, or store electronic mail.

**Definitions**

**Electronic mail system:** Any computer software application that allows electronic mail to be communicated from one computing system to another.

**Electronic mail (email):** Any message, image, form, attachment, data or other communication sent, received, or stored within an electronic mail system.

**Policy**

Under the provisions of the Information Resources Management Act, information resources are strategic assets of the State of Texas that must be managed as valuable state resources. This policy establishes

- compliance with applicable statutes, regulations, and mandates regarding the management of information resources, specifically electronic mail (email).
- prudent and acceptable practices regarding the use of email.
- education for individuals who may use email with respect to their responsibilities associated with such use.

UTMB provides email capability for legitimate business use in the course of assigned duties for the purpose of enhancing productivity and maintaining effective communications in support of the mission of UTMB.

**Privacy**

Electronic mail sent, received, or stored on computers owned, administered, or otherwise under the custody and control of UTMB is not private. Electronic mail content may be accessed by appropriate personnel in accordance with the provisions and safeguards provided in The University of Texas System Business Procedures Memorandum 53-02-96 – Policy for the Use and Protection of Information Resources (BPM#53). Saved messages must not be encrypted. Encryption is permitted and encouraged where appropriate, during transmission of messages.

**Email Usage**

The following activities are prohibited by policy:

- Do not send email that is intimidating or harassing.

- Do not use email for conducting a personal business.
- Do not use email for purposes of political lobbying or campaigning.
- Do not violate copyright laws by inappropriately distributing protected works.
- Do not pose as anyone other than oneself when sending email, except when authorized to send messages for another when serving in an administrative support role.

The following activities are prohibited because they impede the functioning of network communications and the efficient operations of electronic mail systems:

- Do not send or forward chain letters.
- Do not send unsolicited messages to large groups except as required to conduct university business.
- Do not send excessively large messages.
- Do not send or forward email that is likely to contain computer viruses.

Prohibited activities identified in this section are not all inclusive. UTMB electronic mail must never be used in a manner that violates federal law, state law, U.T. System policy, UTMB policy, or UTMB practice standards.

**Incidental Use**

As a convenience to employees, incidental use of electronic mail is allowed. The following restrictions apply:

- Incidental personal use of UTMB provided electronic mail is restricted to UTMB employees; it does not extend to family members or friends.
- Incidental use must not result in direct costs to UTMB.
- Incidental use must not interfere with the normal performance of an employee's work duties.
- No personal messages should be sent or saved that may cause embarrassment to UTMB.
- No personal messages should be sent, read, or saved that have high likelihood to expose university computer systems to computer viruses or other harmful programs.
- Storage of personal email messages, attachments, or files within UTMB's electronic mail system(s) should be nominal.
- Employees should remove themselves from any personal mail lists that send messages containing content incompatible with this policy.

- All messages – including personal messages – are owned by UTMB, may be subject to open records requests, and may be accessed in accordance with this policy and BPM#53.

### **Records Retention**

Electronic mail is subject to the same records retention rules that apply to other documents and must be retained in accordance with departmental records retention schedules. The following guidelines apply:

- The retention requirement associated with any document is determined by its content, not the method of delivery. Each UTMB department has a records retention schedule that specifies the retention period to be applied to various documents.

The responsibility of retaining an internally created and distributed document (or message) most often falls on the author – not the recipients. Recipients may delete such as:

- Received messages when their use has been fulfilled.
- Employees who receive messages from outside UTMB are responsible for proper records retention of those messages.
- Most casual email messages are “transitory records” and can be discarded as their purpose is served.
- For record retention purposes, electronic mail that is digitally signed must be filed electronically rather than on paper if the signature is of importance to the legal status or business usefulness of the document.
- Email that has been requested in a subpoena or public information request must be retained until the request has been addressed, even if the retention period has expired.

Refer to 2.1.4 Records And Information Management And Retention.

### **Electronic Mail Backup and Recovery**

Institutional backup tapes are created solely for the purpose of restoring the entire electronic mail system in the event of a disaster. Backup tapes do not allow for the restoration of departmental electronic mail systems or individual mailboxes and cannot be used as a convenience to retrieve ‘deleted’ messages.

Backup tapes do not serve a records retention function. Each UTMB department must make provisions to retain documents and messages in accordance with their departmental records retention policy.

### **Disciplinary Actions**

Violation of this policy may result in disciplinary action up to and including termination for employees; a termination of employment relationship in the case of contractors or consultants; or suspension or expulsion in the case of a student. Additionally, individuals may be subject to loss of access privileges and civil and/or criminal prosecution.

### **References**

- Texas Penal Code, Chapter 33 (Texas Computer Crimes Statute)
- Texas Penal Code, Chapter 33A (Telecommunications Crimes)
- Texas Administrative Code 1 TAC § 201.14 (Digital Signatures)
- Texas Administrative Code 1 TAC § 202 (Information Security Standards)
- General Appropriations Act, Section 135 of Article IX
- Texas Government Code, Section 441 & Section 2054.001(a)(1)
- Texas Ethics Commission Advisory Opinion No. 372
- State of Texas Department of Information Resources, Standards Review and Recommendation Publication (SRRPUB13) ‘Digital Signatures & Public Key Infrastructure (PKI) Guidelines’
- The University of Texas System, Business Procedures Memorandum 53-02-96, A Policy for the Use and Protection of Information Resources
- The University of Texas System Administration Electronic Mail Policy
- UTMB Handbook of Operating Procedures Policies:
  - 2.13.2, Release of Information Under the Texas Public Information Act
  - 2.13.5, Records Retention Management
  - 2.19.5, Acceptable Use of Information Resources
  - 2.19.6, Information Resources Security
  - 2.19.8, Internet Use
  - 9.2.11, Confidentiality of Patient Information
- UTMB Information Resources Security Management Practice Standards
- UTMB Standards of Conduct Digest
- UTMB Records Retention Schedule

# Records Management

## RETENTION CODES / DISPOSITION WORKSHEET



### AC = After close, termination, completion, settled, expiration, etc.

Count forward from the date closed, terminated, completed, settled, or expired. Example: If the Total retention period is AC+3, and the record closed 06/22/01.....

	Example	Dates
AC Date =	06/22/01	_____
+ 1 Year =		_____
+ 2 Year =		_____
+ 3 Year =	06/22/04	_____
+ 4 Year =		_____
+ 5 Year =		_____
+ 1 Day =	06/23/04	_____

In the example above, 06/23/04 is the date this records series is eligible for disposition.

### CE = Calendar year end.

Count forward from the calendar year of the records. Example: If the Total retention period is CE+1.....

	Example	Dates
CE Date =	12/31/01	_____
+ 1 Year =	12/31/02	_____
+ 2 Year =		_____
+ 3 Year =		_____
+ 4 Year =		_____
+ 5 Year =		_____
+ 1 Day =	01/01/03	_____

In the example above, 01/01/03 is the date this records series is eligible for disposition.

### AV = As long as administratively valuable.

Records are dispositioned when they are no longer administratively valuable. This retention code is used sparingly and applies to titles such as: "Raw Data" or "Memberships to Professional organizations.

### FE = Fiscal year end.

Count forward from the end of the fiscal year of the records. UTMB's fiscal year starts September 1 (09/01) and ends August 31 (08/31) the following year. Example: If the Total retention period is FE+3 and the fiscal year started 09/01/00 and ended 08/31/01.....

	Example	Dates
FE Date =	08/31/01	_____
+ 1 Year =		_____
+ 2 Year =		_____
+ 3 Year =	08/31/04	_____
+ 4 Year =		_____
+ 5 Year =		_____
+ 1 Day =	09/01/04	_____

In the example above, 09/01/04 is the date this records series is eligible for disposition.

### LA = Life of the asset.

**PM = Permanent. A record series with this Total retention period does not expire; records will be maintained until the dissolution of UTMB.**

### US = Until superseded.

Count forward from the date the record was superseded. Example: If the Total retention period is US+2 and the record was superseded 06/22/01.....

	Example	Dates
US Date =	06/22/01	_____
+ 1 Year =	06/22/02	_____
+ 2 Year =	06/22/03	_____
+ 3 Year =		_____
+ 4 Year =		_____
+ 5 Year =		_____
+ 1 Day =	06/23/03	_____

In the example above, 06/23/03 is the date this records series is eligible for disposition.



## Disposition Log Of Records - Instructions

- Step 1: Calculate the disposition date. In the Records Retention Manual, yellow tab "Current RRS" locate the Records Series Title in Field 6. Find the Total retention period in Field 7 and calculate the disposition date. Call Records Management at 747 - 5900 if you need assistance.
- Step 2: If the Records Series can be dispositioned complete each field as follows:
- Field 1: Department name as shown on the Retention Schedule.
  - Field 2: RMAN (Records Management Assigned Number)
  - Field 3: Records Retention Schedule date.
  - Field 4: Records Coordinator name.
  - Field 5: Records Coordinator phone.
  - Field 6: Mail route number.
  - Field 7: Fax number.
  - Field 8: Leave blank, Records Management uses this field for records dispositioned by the Records Center.
  - Field 9: Agency Item Number found in field 5 of the Retention Schedule.
  - Field 10: Records Series Title, found in field 6 of the Records Retention Schedule.
  - Field 11: Total Retention period, found in field 7 of the Records Retention Schedule.
  - Field 12: Record medium codes: P = paper; M = microfilm; E = electronic; O = other.
  - Field 13: Volume for each records series listed on the form. If the code is P enter the linear file inches; if M enter the number of roles or number of fiche; if E enter bytes; if O call Records Management.
  - Field 14: Dates of records dispositioned (month and year).
  - Field 15: Disposition date, the date records are eligible for destruction.
  - Field 16: Destroy date, the date of actual destruction.
  - Field 17: Record Coordinator signature and date

CAUTION - State records 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 set by the Texas State and Archives Commission or in the approved Records Retention Schedule of UTMB 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.

- Step 3: Make a copy of the completed Disposition Log of Records, place it behind the "red" tab "Destruction/Disposition" in the Records Retention Manual.

- Step 4: Mail the original completed form to Records Management route 0918.

A Records Specialist will calculate the disposition date. If no problems are found, the Department Records Coordinator or Alternate Coordinator will be notified and the records may be destroyed by the department. If the disposition date cannot be confirmed the Department Records Coordinator or Alternate Coordinator will be contacted with further instructions. Records may not be destroyed until the disposition calculation has been confirmed by a Records Specialist.

# Records Management STORAGE APPROVAL



2. Department		3. Department Record Coordinator		1. Approval Number	
6. Pickup Address (Building / Room Number)		7. Location (L) #			
8. Records Title				9. Agency Item #	
10. RRS Date	11. Retention Agency	12. Retention Storage	13. Retention Total	14. Activity Rate - From Stored Records _____ References Per _____ Box <input type="checkbox"/> Mth <input type="checkbox"/> Year	

15. Access Authorization - Check One

Unlimited Access - Any employee in the department may request and sign for return of a stored record.

Limited Access - Only authorized department employees listed below may request and sign for return of a stored record.

Authorized Employee Name	Employee Number
(1)	
(2)	
(3)	
(4)	
(5)	
(6)	
(7)	
(8)	
(9)	
(10)	
(11)	
(12)	
(13)	
(14)	
(15)	

16. Department Records Coordinator \_\_\_\_\_ Date \_\_\_\_\_

For Records Management Use

17. Form Received By/Date	18. Assign Approval Number/Date	19. Records Management Officer/Date	20. Notify Department of Approval/Date
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## Storage Approval - Instructions

Step 1: Complete one Storage Approval form for each records series to be stored with the Records Center. Storage Approval forms are filed behind the “blue” tab in your Records Retention Manual.

Step 2: Go to the “yellow” tab in your department’s Records Retention Manual.

Step 3: Locate the Records Series title that you want to store and complete the form as follows:

Field 1: Leave this field blank, see step 5 below.

Field 2: Department name as listed on the Records Retention Schedule.

Field 3: Records Coordinator name.

Field 4: Records Coordinator phone.

Field 5: Fax number.

Field 6: The location of the boxes to be picked up, Building and room number.

Field 7: The “L” code. Each UTMB room has been assigned a location number, which is usually a bar code label affixed mid way up on the doors hinged side.

Field 8: Records Series Title, found in Field 6 of the Records Retention Schedule.

Field 9: Agency Item Number, found in Field 5 of the Records Retention Schedule.

Field 10: The Records Retention Schedule approval date, found at the top of the Records Retention Schedule.

Field 11: Retention Period Agency, found in Field 7 of the Records Retention Schedule.

Field 12: Retention Period Storage, found in Field 7 of the Records Retention Schedule.

Field 13: Retention Period Total, found in Field 7 of the Records Retention Schedule.

Field 14: Activity, reference rate for the records series. Estimate how many times the box will be referenced after transferring to storage. Note: Only inactive records may be sent to storage.

Field 15: Access authorization, check the appropriate box. If Limited Access is checked, please provide the name(s) and employee number(s).

Field 16: Signature and date of the Department Records Coordinator.

Step 4: Make a copy of the form, place it behind the “blue” tab “Storage Approvals” in your Records Retention Manual.

Step 5: Mail the original completed form to Records Management route 0918.

NOTE: Records Management will review the form and if approved, assign the Storage Approval Number. This number will be communicated back to you for future reference, write the number in Field 1 of your Storage Approval copy. NOTE: It is only necessary to complete one Storage Approval form per records series title. Storage Approval numbers are required on Transmittal forms for future shipments of the same records series.

Step 6: After receipt of the Storage Approval Number, use the Transmittal of Records” form to send the records to storage.





## Transmittal Of Records - Instructions

Step 1: In your Records Retention Manual, go to the “blue” tab “Storage Approval” and locate the approval form for the records series you want to send to storage.

Field 8: Write the Storage Approval Number.

Step 2: In your Records Retention Manual, turn to the “yellow” tab “Current RRS”.

Field 9: Write the Records Retention Schedule date found at the top of the schedule.

Step 3: Complete the remainder of the form as follows:

Field 1: Department name as shown on the Records Retention Schedule.

Field 2: Contact person.

Field 3: Phone number of the contact person.

Field 4: Mail route of the contact person.

Field 5: Fax number.

Field 6: The location of the boxes to be picked up, Building and room number.

Field 7: The “L” code. Each UTMB room has been assigned a location number, which is usually a bar code label affixed mid way up on the doors hinged side.

Field 10: Records Series Title, found in field 6 of the Records Retention Schedule.

Field 11: Agency Item Number

Field 12: Total retention period.

Field 13: Record medium codes: P = paper; M = microfilm; E = electronic; O = other.

Field 14: Number of boxes transferred on this Transmittal. Letter/Legal boxes may be ordered from Materials Management - item number 60471.

Field 15: Leave this field blank, the Records Center will assign this number.

Field 16: Beginning with the number one (1), list consecutively each box being transferred. Write the temporary number on each box, use the Transmittal - Continuation page as needed.

Field 17: Enter the name of the first item in the box.

Field 18: Enter the name of the last item in the box.

Field 19: Inclusive dates, oldest record in the box to most recent.

Field 20: The date the records series is scheduled for disposition. Use the Retention Code / disposition Worksheet to calculate this date. Call Records Management at 747-5900 if you need help with calculating this date.

Step 4: Make a copy of the completed Transmittal form, place it behind the “purple” tab “Transmittals” in the Records Retention Manual.

Step 5: Mail the original completed form to Records Management route 0918.

**NOTE:** A Records Specialist will process the form upon receipt and complete an on-site inspection of each box listed on the Transmittal form. Records Center box code labels will be applied to each box. A complete list of all box code labels will be left with the Department Records Coordinator. This list must be filed in the Records Retention Manual behind the “purple” tab. Departments **MUST** have the box code number in order to retrieve the records from storage. The Records Specialist will schedule pickup with our Delivery Services.



# Records Management RECORDS CIRCULATION REQUEST

1. Department	2. RMAN	3. Requestor Name	4. Phone
5. Location (Building / Room Number)	6. Location (L) #	7. Request Is... <input type="checkbox"/> From Storage <input type="checkbox"/> To Storage	8. Limited Access... <input type="checkbox"/> No <input type="checkbox"/> Yes
9. Name of person(s) Authorized to sign for receipt:			
	1. _____	3. _____	
	2. _____	4. _____	

10. RC Box Code #	11. Shelf Number Records Mgmt Use	12. Found		13. If No - Enter Comments	14. Date Returned
		Yes	No		
(1)					
(2)					
(3)					
(4)					
(5)					
(6)					
(7)					
(8)					
(9)					
(10)					
(11)					
(12)					
(13)					
(14)					
(15)					
(16)					
(17)					

15. Records Specialist Signature / Date	16. Customer Signature / Date <small>NOTE: If Field 8 is Yes, delivery may only be to those person(s) named on the Storage Approval Form.</small>
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## Records Circulation Request - Instructions

Step 1: Complete the form by entering the following information:

Field 1: Department name as shown on the Retention Schedule.

Field 2: RMAN (Records Management Assigned Number) - If you don't know this number, it is the first 4 digits of the Storage Approval number.

Field 3: Name of the person requesting the records.

Field 4: Requestors phone number.

Field 5: The location of the boxes to be delivered to or picked up, Building and room number.

Field 6: The "L" code. Each UTMB room has been assigned a location number, which is usually a bar code label affixed mid way up on the doors hinged side.

Field 7: Check if the request is from storage, or to storage.

Field 8: Limited Access, check yes or no.

NOTE: Limited Access means only department employees listed on the Storage Approval form may request and sign for the return of a stored record.

Field 9: If yes, provide employee(s) names that are authorized to sign for delivery of the records.

Field 10: If this is a Request from storage, in your Records Retention Manual, go to the "purple" tab "Transmittals." Find the box code number for the box(es) you want returned. Enter that number in Field 10 for each box returning.

Field 11: For Records Management use.

Field 12: For Records Management use.

Field 13: For Records Management use.

Field 14: For Records Management use.

Step 2: Mail the completed form to Records Management - 0918, or fax it to 747-5910.

NOTE: A box to be returned to storage after use by department staff will be checked out to the requester for 30 days. If the record needs to be kept at the department longer than 30 days, the department contact person should call the Records Center to extend the time period or to request a permanent transfer back to the department.

# REQUEST FOR AUTHORITY TO DISPOSE OF STATE RECORDS

Texas State Library – Records Management Division

## RMD 102 (6/92)

Refer to instructions on reverse before completing.

Use typewriter or computer to complete this form.

RMD Control Number (RMD Use Only)

1. Agency Name and Division		2. Agency Code	3. Date
4. Agency Mailing Address		5. Agency Individual to Receive Final, Approved Copy	
6. Location of Records <input type="checkbox"/> TSL State Records Center <input type="checkbox"/> Other	7. Record Medium		8. Volume, in Cubic Feet

Under provision of Texas Government Code 441.035(3) Act of the 72nd Legislature, I hereby request permission to dispose of the following described state records which have no further legal, fiscal, administrative or historical use to this department for the

9.  The records have fulfilled their retention requirements.
10.  Microphotographic reproductions of the records, complying with the minimum standards established by the American National Standards Institute (ANSI), have been made and certified as original records for all legal purposes. The type and quality of the reproduction will fulfill the retention requirements of the original records.
- 10a.  The records are essential (vital) records as defined by Texas Government Code 441.052, Act of the 70th Legislature. A preservation duplicate of the original micrographic reproduction has been made and preserved in compliance with this Statute.
- 10b.  The records are non-essential and therefore a preservation duplicate is not required.

### 11. DESCRIPTION OF RECORDS

Includes Records Series Titles, Records Series Numbers (if applicable). If records are in storage at the Texas State Library Records Center, include Locator Numbers, and Transfer Dates, or attach a copy of the Transmittal Forms (Tx-R-5 or RMD 101) to this form.

### FOR RECORD MANAGEMENT DIVISION USE ONLY

### APPROVALS

12. Agency Head/Records Administrator Date:	13. Director & Librarian Date:	14. State Auditor (If Required, See Reverse) Date:
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Reproduction of this form at the agency level is authorized.

**INSTRUCTIONS FOR COMPLETING THE FORM RMD 102**  
**(Request for Authority to Dispose of State Records)**

- IMPORTANT:**
- This form must be used to obtain approval to destroy all official state records **not listed on the agency's approved Records Retention Schedule** [Texas Government Code, §441.035(d)].
  - Submit in triplicate with original signatures on all forms to: **Texas State Library - Records Management Division, Box 12927, Austin, Texas 78711**. This form will then be forwarded to the Director and Librarian and the State Auditor's Office as required.
  - The approval process usually takes two to three weeks. Do not destroy records until an approved copy has been returned to your agency.

1. Agency and Division Name: Enter Agency and Division name. You may enter department and/or section name if so desired.
2. Agency Code: Enter the three-digit agency code assigned by the Comptroller of Public Accounts. If you do not know the correct code number, contact the Comptroller's Office.
3. Date: Enter the date of the request.
4. Agency Mailing Address: Enter mailing address of agency individual who is to receive final, approved of copy of request.
5. Enter the name of agency individual who is to receive final, approved of copy of request.
6. Location of Records: Check the box indicating the location of the records to be disposed. ("Other" being any location other than the Texas State Library - State Records Center).
7. Record Medium: Enter the medium of the records, (i.e., paper, microfilm, magnetic tape).
8. Volume: Enter the total approximate volume (in cubic feet) of the records to be disposed, (a letter size file drawer is 1.5 cubic feet; a legal size file drawer is 2 cubic feet; a standard Records Center storage box is 1 cubic foot).
9. Check this box if the records have fulfilled all values to your agency (administrative, fiscal, legal, and historical).
10. Check this box if a microfilm copy has been made, and also check one of the following boxes if:
  - 10a. A duplicate of the original microfilm has been made as outlined by Texas Government Code §441.052.
  - 10b. These are non-essential records and no duplicate microfilm is required.
11. The description of records must include:
  - The Records Series Titles.
  - The Records Series Numbers.
  - The transfer date of the records (if applicable).
  - The inclusive dates of the records.
  - The Locator Numbers if stored at the State Records Center.
12. Signature of the Agency Head or Records Administrator approving the request and the date. Additional agency approval signatures may be included by adding signatures and dates in Field 11.
13. Signature of the State Librarian and the date.
14. Signature of the State Auditor assigned to the agency submitting the request and the date. The State Auditor reviews and approves RMD 102's only when the retention periods for the records to be disposed are less than the recommended retention periods.

**Electronic Form Instructions:**

Enter your agency's information into the blanks provided on RMD 102. The date will update automatically to the current date when you complete the form. To override the date field, click on it and then type over it.

**\*Note: This form must be printed for submission to the Texas State Library due to the necessity of signatures, e-mail submissions will not be accepted at this time.**

If you have any questions, please contact your agency Records Administrator or the **Texas State Library - Records Management Division at (512) 454-2705**.