Records Management Compliance
Introduction

• Definitions
• Records Management Laws and Policy
• Responsibilities
• Learn More
Definitions

Records Management

- “The application of management techniques to the creation, use, maintenance, retention, preservation, and destruction of state records for the purposes of improving the efficiency of recordkeeping, ensuring access to public information under Chapter 552 (the Public Information Act) and reducing costs.”
- “Systematic control of records throughout their life cycle”
- Records life cycle: (from creation or receipt) until disposition (destruction or long-term preservation as historical records)
- Promotes compliance, accountability, and transparency
Definitions

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 the state business or use of public resources.”
- “Contemporaneous evidence of a business transaction”
- “Information created, received and maintained as evidence by our university or an employee in pursuance of legal obligations or in transaction of business”
Definitions

Record Retention Schedule

- “A document that lists all department records by categories with the respective period of time that they must be retained.”
- Records Series
- A university policy document
- Promotes compliance
Records Management Laws & Policy

Laws

- **TGC 552**… *The right of the public to access information about the affairs of its government*
- **TGC Chapter 441, Subchapter L**… *The head of each state agency shall establish and maintain an active and on-going records management program*
- **13 TAC Chapter 6**… *relates to Submission of Records Retention Schedules for Certification*

Policy

- **IHOP 6.1.5**… *Records & Information Management & Retention*
YOUR Responsibilities

- Appoint Department Records Coordinators
- Ensure that Records Retention Schedules (RRS) are applied to records
- 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
- 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
YOUR Department Records Coordinators (DRC) Responsibilities

- Act as liaison to the UTMB Records Management Program
- Assist Records Management in developing and maintaining an accurate record survey
- Provide documentation of federal/state rules/regulations governing the retention period of specific records within the department
- Maintain Department Records Retention Manual
- Manage disposition of office records according to the certified RRS
- Notify Records Management of any organizational changes
Records Management Responsibilities

- Create, certify, and maintain the UTMB master RRS
- 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 the retirement and retrieval of UTMB records to the Records Center
- Annual reporting of UTMB department compliance to EICC
Learn More

• **Web Address**
  - [http://www.utmb.edu/compliance/records/rmdefault.asp](http://www.utmb.edu/compliance/records/rmdefault.asp)
  - Education & Training, FAQ’s, Managing e-Email

• **Training**
  - Blackboard/Tegrity Class – must be registered
  - In addition to scheduled training that is open to everyone, we will schedule training on request for individuals, staff meetings, or other groups

• **Main Office number**
  - 409.747.5905