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Records Retention and Management

The Basics

Agenda

- Introduction to Records Management
- Records Management at UT Tyler
- In Review
- Tips to Remember

Goals

- To understand what Records Management (RM) is and why it's important
- To understand what a record is
- To gain knowledge of UT Tyler's RM practices and procedures
- To know what documentation is required and where to get required documents
- To know where to go for help



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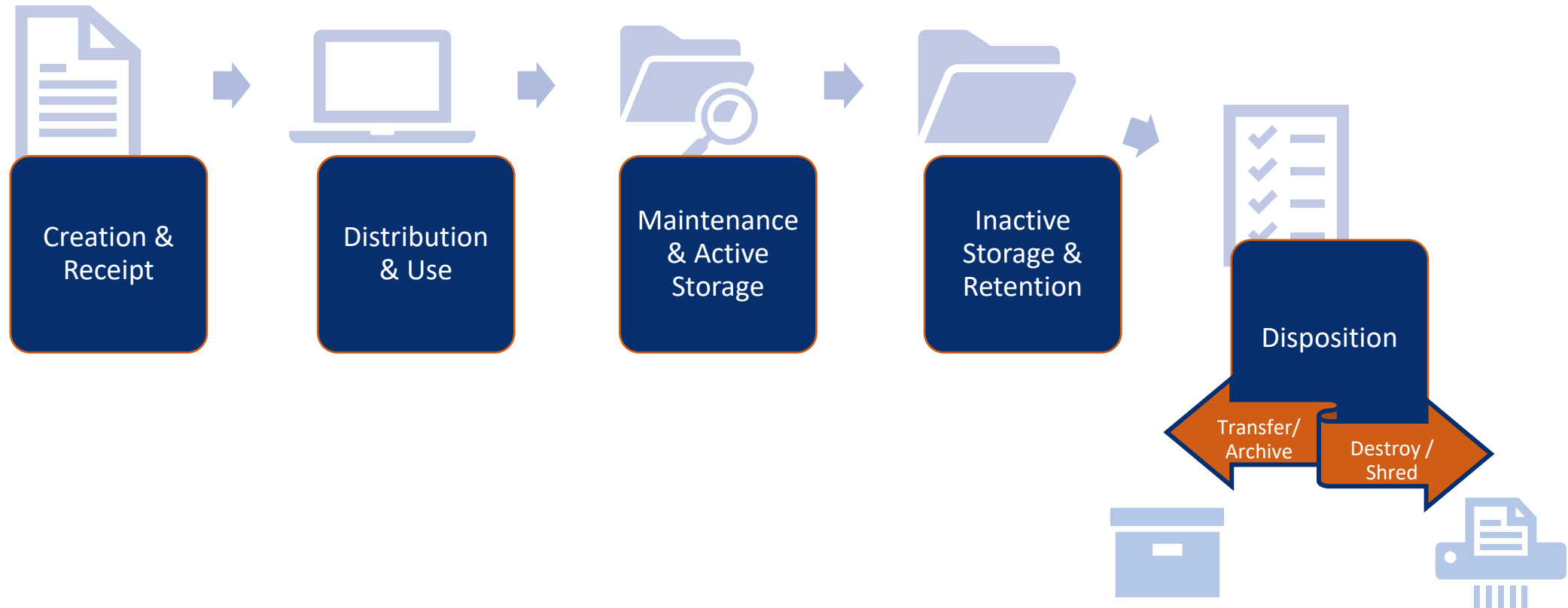
An Introduction to Records Management

What is Records Management?

“The application of management techniques to the creation, use, maintenance, retention, preservation, and destruction of state records for the purpose of improving the efficiency of recordkeeping, ensuring access to public information under Chapter 552 (Public Information), and reducing costs.”

- [Texas Government Code Section 441.180 – Definitions](#)

The Records Lifecycle



What is a Record?

The [Texas State Library and Archives Commission \(TSLAC\)](#) and the [Texas Government Code Section 441.180 – Definitions](#) defines a “state record” as, any written, photographic, machine-readable, or other recorded information [in any medium] 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.

The term does not include:

- library or museum material made or acquired and maintained solely for reference or exhibition purposes
- an extra copy of recorded information maintained only for reference
- a stock of publications or blank forms

Records...

- Document the transaction of university business
- Are created or received by a UT Tyler employee or official
- May exist in any medium (on any device)
- Are records whether they are open or closed
- Can be anything that is created at UT Tyler throughout the course of regular business



It's important to remember that...

- Not every document is a **Record**
- There is a difference between **official record copies** and **convenience copies**
 - An **Official Record Copy** is the original or official record that must be kept for the full retention period
 - A **Convenience Copy** is a duplicate copy of an official record used for reference purposes that may be properly destroyed at any time unless...
 - The official record copy is prematurely/accidentally destroyed; or
 - The convenience copy has begun to serve a different function than previously intended

Why have a Records Retention Program?

Texas State Records Management laws & Federal Open Records laws mandate keeping records for:

- Financial/Fiscal Accountability
- Administrative Functionality
- Legal Needs and Protection
- Historical Value and Safekeeping



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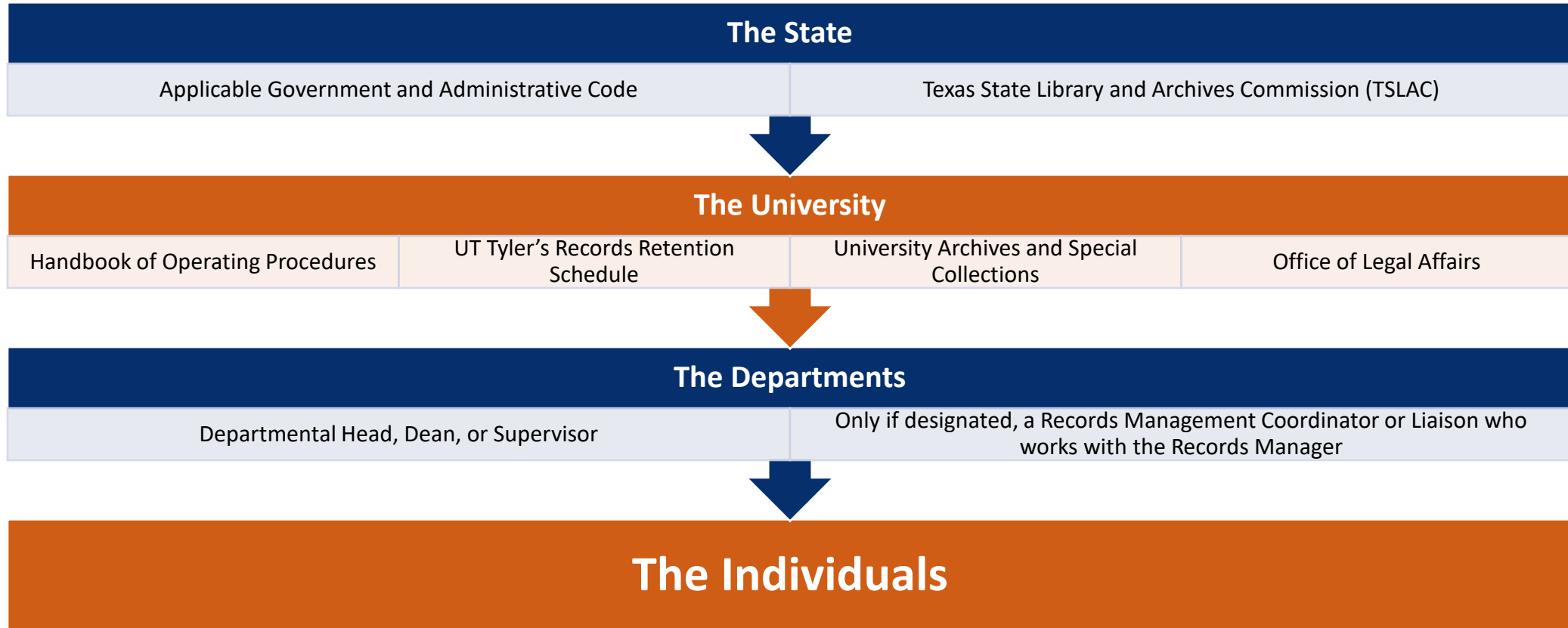
Records Management at the University of Texas at Tyler



Who is Responsible for Records Management at UT Tyler?

- All **Employees** are responsible for the proper management and disposal of university records that they've created
 - [UT Tyler's HOP 1.14, Records Management Policy](#)
- **Departments** have ultimate say and responsibility for how their records are maintained and disposed of
 - Each department fills out their own Records Disposition Logs and works with the Records Manager to receive approval before final disposition of records occurs
- The **Records Manager** must be contacted before disposing or deleting any records
 - Some records must be transferred to the University Archives for permanent preservation

The Hierarchy of Records Management



Proper Records Management Helps You With....



What is a Records Retention Schedule?

- A **Records Retention Schedule (RRS)** is the establishment of written standards/laws for the retention and disposition of records
- Considerations are given to the legal, fiscal, administrative, and historical value of records in establishing retention periods and prescribing disposal methods

Objectives of a Records Retention Schedule

- **Maintenance** of records in office while in active use
- **Storage** of inactive records in office, as they must be temporarily retained after they are no longer actively needed by the department
- Prompt **disposal** of inactive records whose retention period has been met and thus ended
- **Preservation** of records which hold long-term value and have been designated for permanent retention

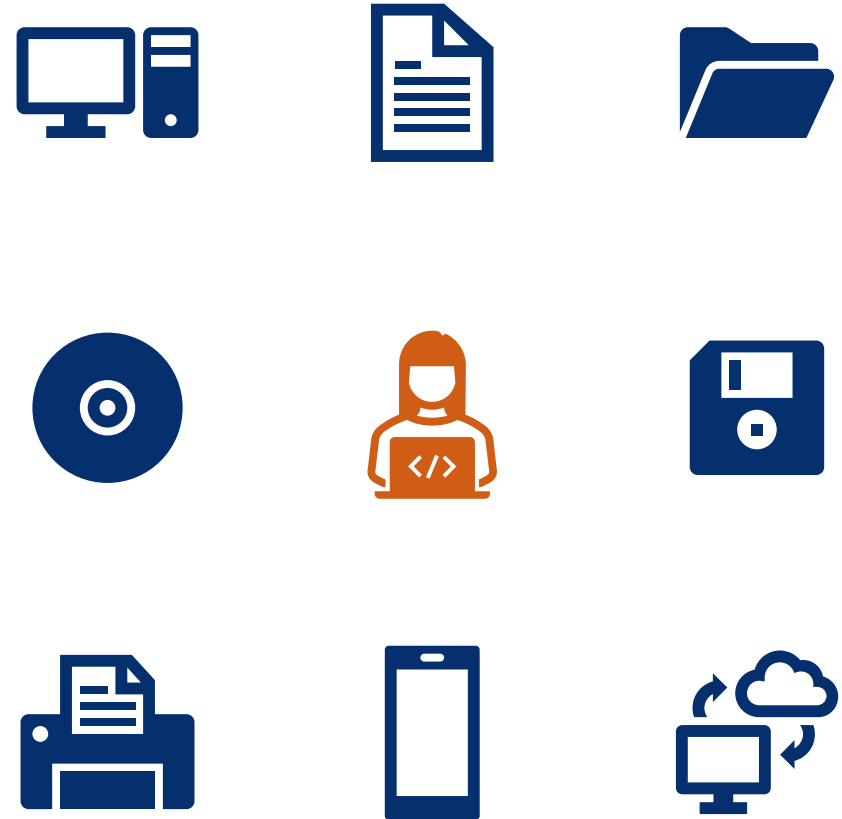
The Records Retention Schedule...

- Complies with state records management laws
- Lists all known records series maintained by the University
- Outlines the retention rules and mandatory minimum retention periods for all records series
- Provides guidance to departments and individuals for managing records throughout their entire records lifecycle

	A	B	C	D	E	F	G	H	I	J	K	L
1	1. Agency Code: 750			2. Agency Name: The University of Texas at Tyler								
2	3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Ret. Period Years	9. Ret. Period Months	10. Ret. Period Days	11. AC Definition	12. Archival	13. Remarks	14. Legal Citations
3	Category 1: Administrative Records											
4	Section 1.1 – General											
5	750.1.1.002	1.1.002	Audits-External & Internal	Audits and reviews performed by or on behalf of an agency, including the working papers that support the audit. Also includes audits performed on the agency.	AC	7			AC = Publication or release of final audit findings.		See RSIN 5.4.018 and 5.4.019 for Audit Plan records. The State Auditor's Office (SAO) retains any copies of its audits performed on Texas state agencies.	
6	750.1.1.004	1.1.004	Legislative Appropriation Requests (LAR)	Including any supporting documentation created and/or used to justify and support legislative appropriations requests by an agency.	AC	6			AC = September 1 of odd-numbered calendar years. period.		ARCHIVAL NOTE: The archive requirement is met by UT System sending the required copies of the requests to the Texas State Publications Depository Program, Texas State Library and Archives Commission. Only copies of supporting documentation submitted to the Legislative Budget Board are archival.	
7	750.1.1.006	1.1.006	Complaint and Feedback Records	Complaints and other unsolicited feedback received by an agency from the public concerning the agency and records pertaining to the resolution of complaints.	AC	2			AC = Date of receipt, action taken, or final disposition of the complaint, whichever later.		CAUTION: If a complaint becomes the subject of litigation, it must be included in and is subject to the minimum retention period of RSIN 1.1.048.	
	750.1.1.007	1.1.007	Correspondence	Incoming/outgoing and internal		4				O	ARCHIVES NOTE: Only the	

Don't Forget, Electronic State and Mail Records...

- Are also subject to the **Records Retention Schedule**
 - All records in the RRS are classified by type and function, not by media or format
- Should be categorized by **type and function**, too



An Electronic Record...

- Also meets the definition of a **state record**
- Is **machine-readable**
 - Maintained in electronic format for computer processing
 - A product of computer processing of information
- Can be:
 - **Born digital** – original record was created electronically
 - **Digitized** – original record was created in an analog format but then made electronic

An Electronic Mail Record...

Is defined as an electronic state record sent or received in the form of a message on an electronic mail system of a state agency (i.e., a university), including any attachments transmitted with the message

- Just like surface mail, correspondence conducting official business sent by email should be managed accordingly, just like any other state record, as it's the content and function of the message that determines its retention requirements
- Each message must be retained or disposed of according to the UT Tyler Records Retention Schedule (RRS) and the record series it falls under

Examples of Some Common RRS Records Series for Emails

Correspondence –Administrative

- Incoming/outgoing and internal correspondence pertaining to all aspects of the programs, services, or projects of an agency such as the University, and the administrative regulations, policies, and procedures that govern them

Correspondence –General

- Non-administrative incoming/outgoing and internal correspondence pertaining to or arising from the routine operations of the policies, programs, services, or projects of an agency such as the University

Transitory Information

- Records of temporary usefulness not classified as general or administrative as they are non-essential to the fulfillment of statutory obligations or to the documentation of agency functions, and that does not pertain to case or project files or other record series listed in the RRS
- Examples includes announcements and memos for non-business-related staff events, personal emails, unsolicited advertisements, and information (the department/person sending the information announcement should keep one copy)

Reminder to Not Forget Social Media

- Social Media Content can be a Record
 - Supported by the definition of a state record as records can exist in any medium or format
 - When the information presented within a post is unique and documents the fulfillment of agency functions and legal obligations
- Social Media is not always a Record
 - Social media content is often duplicated or exists elsewhere in a different format as an official record
- Examples of some common RRS records series for social media content
 - Public Relations Records
 - Student Organization Administrative Records
 - Correspondence –General
 - Transitory Information
 - Complaint and Feedback Records

Special Notes on Electronic Records

Ensure that electronic records* are retained for the full duration of their record retention period and are then properly disposed of in accordance with state and university guidelines.

*This also includes any software, hardware, and documentation, including maintenance documentation, required to retrieve and read the electronic records

Remember, all university correspondence and business records* are subject to the records retention policy whether in electronic or other tangible form.

*Preliminary drafts of letters, memos, spreadsheets, and transitory emails are normally not considered official state records and therefore don't need to be retained

The Disposition Stage

- Each record goes through two basic stages during its lifecycle
 - **Active Stage** – the record is kept in the office for immediate reference (file cabinet or electronic drawer)
 - **Inactive Stage** – the record is seldom referred to and is moved into a storage area within the office (boxed up or electronic file archive)
- A record reaches the **Disposition Stage** only when the end of its retention period has been met
 - This only happens after the record has been in an inactive stage for an amount of time

Disposition: What to do?

Utilizing the Records Retention Schedule, each department is responsible for determining when their records are ready for disposition and must work with the Records Manager to make sure that only records that have met their retention period are transferred or destroyed



To Transfer...?

Records that are no longer needed for business, have finished their retention period, and have been listed as A/I or R/O within the Records Retention Schedule, must be transferred to the University Archives

- This can only be done after completing a Records Transfer Form
- The University Archivist, and designated Records Manager, can assist with questions and completing the transfer form

...Or To Destroy?

Records that are no longer needed for business, and have reached the end of their retention period, must be destroyed or shredded by their originating department

- This can only be done after completing a Records Disposition Log
- While the Records Disposition Log Instructions can be found online, the Records Manager can also assist with questions and completing the disposition log



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Records Management in Review

In Review

A record...

- Documents the transaction of university business
- Is created or received by a UT Tyler employee or official
- May exist in any medium (on any device)
- Is a record whether it is open or closed
- Can be almost anything that is created at UT Tyler throughout the course of regular business

Records aren't:

- Extra copies / convenience copies
- Blank Forms
- Three Dimensional Objects
- General Library / Reference Materials

To Review

Records retention policies are legally required for:

- Financial/Fiscal Accountability
- Administrative Functionality
- Legal Needs and Protection
- Historical Value and Safekeeping

Electronic Records, Correspondence, and Social Media are still Records

- Their contents and functions determine its records retention requirements per the Records Retention Schedule
- Correspondence and attached supplemental documents must be kept with the official record(s) they relate to, and follow that records' retention requirements

For Further Review

UT Tyler Records Management (RM) resources can be found at...

- [The University of Texas at Tyler Record Retention and Management](#)
 - [Forms and Training](#)
 - [Links To Other Resources](#)
 - [UT Tyler Records Retention Schedule](#)
 - [Frequently Asked Questions](#)

Other official RM resources relevant to this basic introduction:

- [Texas Government Code Section 441.183. Records Management Programs in State Agencies](#)
- [Texas Government Code Section 441.180 – Definitions](#)
- [Records Management | Texas State Library](#)
- [The Texas Record](#)



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Tips to Remember for Records Management

Tips for Success

- Read through the UT Tyler [retention schedule](#) (RRS) periodically
- Remember that a record's retention period and disposal requirements are the same whether it is electronic or physical
- All “supporting” documents for a record should be kept with it for its full retention period.
 - An example being purchase orders made toward a grant contract should be kept as long as the grant contract
- Some important documents may not be in the UT Tyler Retention Schedule. This doesn't necessarily mean you can dispose of it!

More Tips for Success

- Routinely delete or remove transitory emails as soon as they have served their purpose
- Consider exploring the trainings, resources, and publications posted to the Texas State Library and Archives Commission [Records Management](#) website
- Take time to read through posts from [The Texas Record](#), including articles such as:
 - [FAQ: Why Use a Disposition Log?](#)
 - [FAQ: How Long Do I Keep Email?](#)
 - [How Does Records Management Benefit Us, Anyway?](#)
 - [Are Notes Records?](#)
 - [Official Record Copy](#)
 - [FAQ: When is Social Media a Record?](#)

Top Tips to Takeaway



1

Remember that you are not alone!



2

When in doubt, contact the designated
Records Manager for guidance.



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