

61.99.01.X1.01 Retention of State Records

Approved August 21, 2009
Next Scheduled Review August 21, 2011

Procedure Statement

Texas AgriLife Extension Service (Extension) will maintain an active and continuing state records management program in compliance with the Texas A&M University System Policies and Regulations, and Federal and State law. All Extension units will work with the AgriLife Research/Extension Records Officer to manage and retain state records.

Reason for Procedure

Extension recognizes the need for all units to manage and retain state records according to the Texas A&M University System Regulations, Records Retention Schedule, and applicable laws.

Procedures and Responsibilities

1. The Director of Extension will designate an individual as the Records Officer (RO) to manage the retention and disposition of state records. The RO reports to the Director through the Assistant Vice Chancellor for Administrative Services.
2. Records Officer Responsibilities.
 - 2.1 Ensure that the Texas A&M University System Records Retention Schedule lists all the records series created or received by and maintained by Extension. The RO will periodically survey the state records of Extension and provide the System Records Management Officer with a written list of proposed changes to the Schedule based upon the survey.
 - 2.2 Identify records subject to internal, state, or federal audits and ensure that Extension is in compliance with the audit requirements.
 - 2.3 Work in cooperation with the System Records Management Officer, the Office of General Counsel, and AgriLife Units for any litigation holds.

- 2.4 Develop procedures for the retention, disposition, management, and security of state records, including the identification of those eligible for destruction or other disposition.
- 2.5 Provide employee training on compliance with records management procedures.
3. Unit Records Coordinators.
 - 3.1 Unit heads will appoint a records coordinator using an [AG-903, Records Coordinator Designation](#) form.
 - 3.2 Records Coordinator Responsibilities.
 - 3.2.1 Serve as the official records representative for his/her unit
 - 3.2.2 Coordinate a records inventory for the unit consisting of identifying vital and archival records and identifying official records and records series.
 - 3.2.3 Coordinate records retention for the unit
 - 3.2.4 Coordinate records destruction for the unit.
4. Records Retention
 - 4.1 The record copy of Extension records, including those in electronic format, should be readily accessible for any purpose such as Extension business, public information requests, audits, or litigation.
5. Electronic Records
 - 5.1 AgriLife records that are maintained in an electronic format will be managed in the same manner as those in paper or other format and in accordance with the State Standards and Procedures for Electronic Records, 13 TAC §§ 6.91-6.99.
 - 5.2 Electronic Document Management System
 - 5.2.1 The AgriLife Laserfiche Electronic Document Management System (EDMS) should be used for the storage of Extension State Records. Records in this system will be retained until the end of the retention period or other period if the record is a part of any litigation, audit, open records request, administrative review or other such action.
 - 5.2.2 The EDMS will be surveyed periodically to ensure that the system meets the requirements of 13 TAC §§ 6.91-6.99 for hardware and software, and the capability to retain records for the full retention period, capability to migrate records to another system if necessary, and that records are maintained in a standard interchange format.

- 5.2.3 Management of the EDMS will be provided by the Extension RO, and systems administrator(s).
- 5.2.4 The EDMS, whenever possible, will be incrementally backed up nightly during the normal work week, and have a full back up weekly. Approximately every fourth full backup will be partially restored to a temporary repository which should be validated by three to five units. This validation should include an examination of selected documents to ensure that they are retrievable, and usable as a record.
- 5.2.5 Backup copies of the EDMS will be maintained off-site, away from the main EDMS hardware, and be secured in accordance with IT procedures for offsite storage.
- 5.2.6 After a validation, a notice will be sent to the EDMS Unit Administrators indicating that a successful validation has been conducted and indicating that the paper documents input to the system are considered convenience copies.
- 5.2.7 Documents that contain 6 point or smaller type that are scanned or otherwise placed into the EDMS or retained as an official record in electronic format must be at a resolution of 300 DPI.
- 5.2.8 Records considered archival or vital will be so annotated on the record series properties in the EDMS.

6. Destruction and disposition of state records.

- 6.1 State records may not be destroyed or otherwise disposed of without the written approval of the RO or designee using an [AG-901, Records Destruction Form](#).
 - 6.1.1 This requirement does not apply to duplicates, convenience copies, or transitory information which can be destroyed when the purpose of the document has been fulfilled. Copies should not be retained longer than the official record copy.
- 6.2 State records listed on the retention schedule cannot be destroyed until the designated retention period has expired and the RO or designee has approved the destruction. The retention periods on the schedule apply only to the record copy of Extension records.
 - 6.2.1 A state record cannot 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. The record must be retained 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.
- 6.3 State records not listed on the records retention schedule cannot be destroyed until the RO obtains written approval from the Texas State Library and Archives Commission through the System Records Management Officer.

- 6.4 Destruction of state records must be done in a manner that ensures protection of sensitive or confidential information.
- 6.5 The [AG-901, Records Destruction Form](#) will be filed in the EDMS when the destruction is completed.
- 6.6 Records that are historical in nature and which are sent to the State Library and Archives Commission must be in paper or microfilm format.

7. Training

- 7.1 Training for employees and records coordinators will be offered on an as needed basis, but no less than once per fiscal year.
- 7.2 Unit records coordinators will be required to take the System online course, “Retention of State Records” training annually.

Related Statutes, Policies, or Requirements

- Texas Government Code Chapter 441,
<http://tlo2.tlc.state.tx.us/statutes/docs/GV/content/pdf/gv.004.00.000441.00.pdf>
- 13 Texas Administrative Code Part 1, Chapter 6,
[http://info.sos.state.tx.us/pls/pub/readtac\\$ext.ViewTAC?tac_view=4&ti=13&pt=1&ch=6](http://info.sos.state.tx.us/pls/pub/readtac$ext.ViewTAC?tac_view=4&ti=13&pt=1&ch=6)
- System Regulation *61.01.02, Public Information*
<http://tamus.edu/offices/policy/policies/pdf/61-01-02.pdf>
- A&M System Records Retention Schedule
<http://www.tamus.edu/offices/admin/records/retention-schedule.html>
- AG-901 *Records Destruction Form*
<http://agservices.tamu.edu/forms/AG-901.pdf>
- AG-901 Records Destruction Form Instructions
http://agdocsinfo.tamu.edu/references.AG-901_instructions

Definitions

- See System Regulation *61.01.02, Public Information*
<http://tamus.edu/offices/policy/policies/pdf/61-01-02.pdf> page 4 for Records Management definitions.

Contact Office

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