TEXAS STATE UNIVERSITY

MEMBER THE TEXAS STATE UNIVERSITY SYSTEM



Basics of Records Management

Cait Burhans, MSIS

Records Manager & Archivist, University Libraries



Agenda

- What is a record?
- Benefits of records management
- TXST employee responsibilities
- Records Retention Schedule overview
- Disposition procedures
- Tips for managing records
- Other records management resources



What is a record?

A state record is “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.”

Texas Government Code (Chapter 441, Subchapter L)

So what is a record, really?

A record:

- documents the transaction of university business
- is created or received by an TXST employee or official
- can exist in any medium and on any device or platform
- may fulfill a specific regulatory recordkeeping requirement

A record is NOT:

- convenience copies (an extra copy of recorded information maintained only for reference);
- a stock of blank forms; or
- library or museum material made or acquired and maintained solely for reference or exhibition purposes.



Benefits of Records Management

Why does records management matter?

- Texas state agencies (including public universities) are legally required to maintain an active records management program that adheres to a records retention schedule certified by the Texas State Library and Archives Commission.
- There are potential legal consequences for intentionally mishandling university records.
- Implementing good records management practices in your office is also a practical tool to make work processes more efficient, reduce costs, and protect confidential information!

TEXAS STATE LIBRARY AND ARCHIVES COMMISSION

How can records management help you day-to-day?

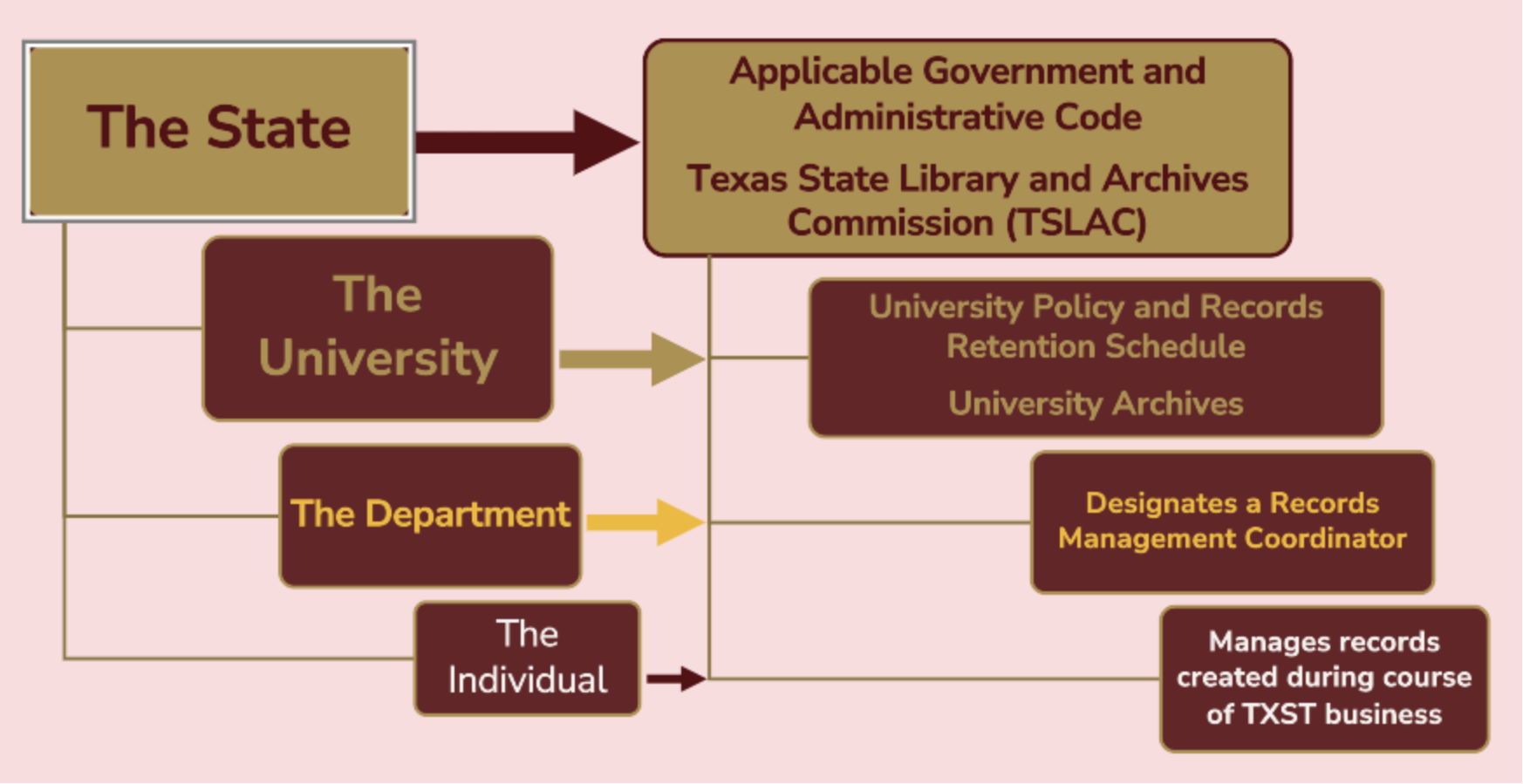
- Create space and reduce costs
- Enhance administrative efficiency
- Protect confidential and sensitive materials
- Increase transparency and trust
- Preserve historically valuable materials





TXST Employee Responsibilities

Records Management Hierarchy



Who creates records?

All TXST employees create records in the course of performing their job functions, although not every document that is created, received, or maintained is necessarily an official record.

Who is responsible for managing records?

All TXST employees are responsible for managing the records they create and collect according to records management policies and procedures.

What are TXST employees' records management responsibilities?

All TXST employees are responsible for:

- Securely storing and providing access to active records
- Maintaining records for their full required retention period
- Properly disposing of records that have met retention
- Attending records management training to learn records management policies and procedures

Ask your supervisor about department and position-specific records management expectations and recordkeeping systems.



Records Retention Schedule Overview

About the Records Retention Schedule (RRS)



The RRS is the official policy for retaining and disposing of university records as required by state records management laws.



For all records created at the university, the RRS lists:

- a functional category (record series)
- how long each category of record must be kept (retention period)
- archival requirement, if applicable



Records **must be retained for their full retention period** as defined in the RRS before becoming eligible for disposition.



An unscheduled record (meets the definition of a record but is not listed on the RRS) **cannot be disposed of** until it is added to the schedule.

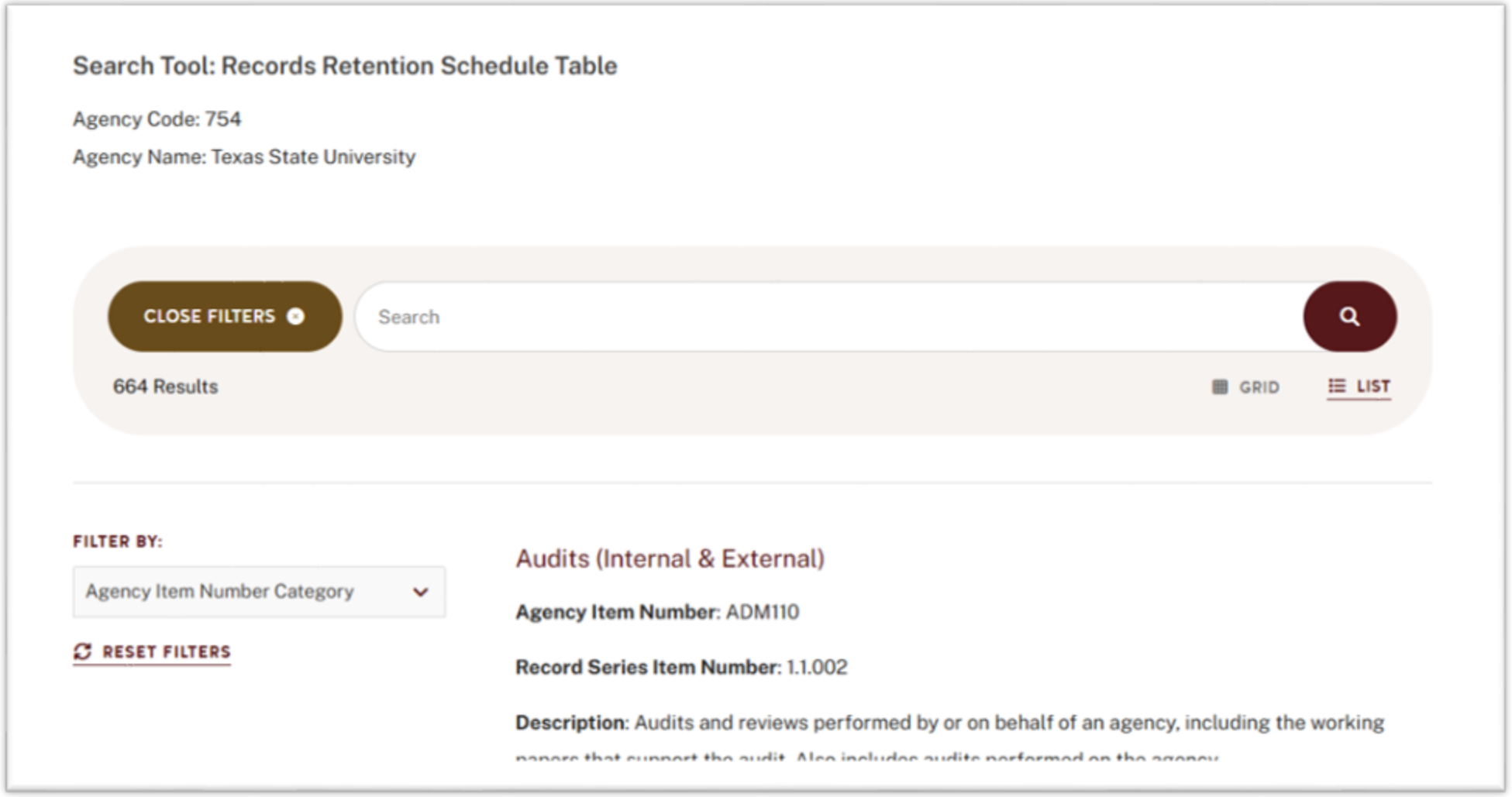
TXST Records Retention Schedule

	A	B	C	D	E	F	G	H	I	J	K	L
1	1. Agency Code: 754			2. Agency Name: Texas State University								
2	3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Ret. Period Years	8. Ret. Period Months	8. Ret. Period Days	9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
3	ADM110	1.1.002	Audits (Internal & External)	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.		The State Auditor's Office (SAO) retains any copies of its audits performed on Texas state agencies. See RSK190 for Audit Plan records and RSK195 for Audit Peer Review - Working Papers [5.4.018 and 5.4.019].	
4	ADM120		Notary Public Records			10					Local Schedule DC 2275-01.	
5	ADM210	1.1.056	ADA (Americans with Disabilities Act) Documentation	Self-evaluations and plans documenting compliance with the requirements of the Americans with Disabilities Act.		3						28 CFR 35.105(c).
6	ADM220	1.1.021	Public Information Requests - Excepted (Not Filled)	Includes all correspondence and documentation relating to requests for records that are excepted under the Public Information Act (Chapter 552, Government Code), including records provided to the legislature under section 552.008.	AC	2			AC = Date of notification that records are excepted.			
7	ADM230	1.1.020	Public Information Requests - Not Excepted (Fulfilled)	Includes all correspondence and documentation relating to requests for records that are furnished to the public under the Public Information Act (Chapter 552, Government Code). Also includes withdrawn requests.	AC	1			AC = Date request fulfilled or withdrawn.			
8	ADM235	1.1.02	Public Information Requests - both exempt and not exempt	Includes all correspondence and documentation relating to requests for records that are requested under the public under Public Information Act (Chapter 552, Government Code), where records requested are a mix of non-excepted (fulfilled) and those that are excepted (non-fulfilled) because they are protected from required disclosure by the Public Information Act or other statutes.	AC	2			AC = Date request is closed, with non-excepted records provided and notification that some records are excepted.		New series requested in 2023 by the TSUS Office of General Counsel, as most of their requests include both types.	
				Reports made to the Office of Attorney								

Retention and Archival Codes

Code	Meaning	Explanation
AC	After Closed / After Completion / After Cessation / After Cutoff	Retention period begins **after a specific action or event**, such as project completion or termination of employment.
AV	As Long as Administratively Valuable	Keep the record **until it's no longer useful** for administrative purposes.
CE	Calendar Year End	Retention starts **at the end of the calendar year** in which the record was created.
FE	Fiscal Year End	Retention begins **after the end of the fiscal year**. Often used for financial or budget records.
PM	Permanent	**Must be retained indefinitely** in the Special Collections and Archives following retention period. Often applies to vital or historical records.
US	Until Superseded	Retain **until replaced by a more current version**. Common for policies, directories, or manuals.
O	Archival Review (Offer)	Record **should be reviewed for possible permanent retention** by Special Collections and Archives or TSLAC.
I	Archival - Permanent (Informational or Historical)	Record is considered **archival and must be preserved permanently** in Special Collections and Archives following retention period.
TAC	Texas Administrative Code	Indicates that a retention period or rule is based on the **TAC citation**.

Retention Schedule Search Tool





Disposition Procedures

Disposition Steps

Step 1

Review the RRS to verify that your records have met retention.

Step 2

Complete a Records Disposition Request. Wait for the Records Manager and Archivist to review and approve.

Step 3

Approval received! Securely dispose of your records.

If your records are archival, you will complete an additional Archives Transfer form.

Step 4

Notify the Records Manager and Archivist of the final disposition date for the records. Your request becomes part of the institutional disposition log.

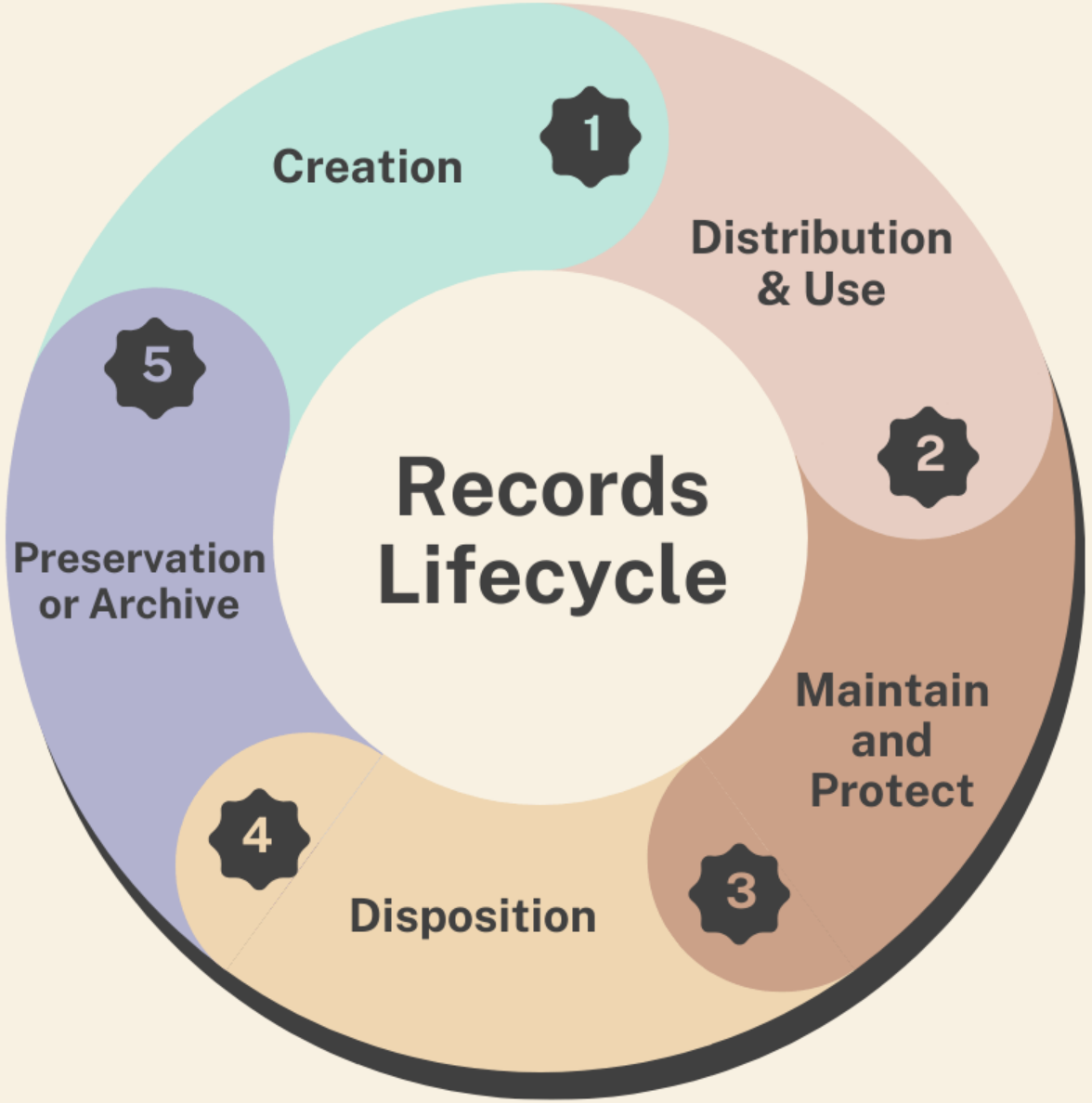
Disposition Request Form

https://services.txst.edu/TDClient/43/UL/Requests/Service/969/Records-Disposition

Tips for Managing Records



The Records Lifecycle



Identifying the Record Copy/Official Record

- Not every document is a record! Only **official records** are governed by the Records Retention Schedule.
  - Does it document or was it created while completing your job functions?
  - Are you the record custodian?
- Common types of **non-records**:
  - Convenience copies
  - Personal documents
- **Transitory records** ARE records but do not require approval for disposition (unlike other records).

Convenience Copies

- Convenience copies (duplicates kept for reference purposes) are non-records and can be (securely) destroyed at any time.
- Signs that a "record" may actually be a convenience copy are:
  - It was widely distributed and you/your department are not the creator.
  - It does not document you/your department's business processes or functions.
  - You were copied as an FYI or received it as an informational handout.
- Caution: In some cases, duplicate records can legitimately belong to several different departments or individuals and are not automatically considered convenience copies.

Transitory Records

“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 recordkeeping 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 ongoing records series. **Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions**.”

Retention is AC = After purpose has been fulfilled. Unlike other records, **there is no requirement to complete a Records Disposition Request prior to disposal**.

Drafts vs. Working Files

Drafts

- Per TSLAC, “drafts of non-substantial documents do not need to be retained” and are considered transitory information.
- The final document is considered the official record.

Working Files

- “Working Files have ongoing administrative value and substantially document the planning process of the record series. For this reason, they are grouped into the parent record series and must be held for the required retention.”
- Some series specifically note working files as a type of document included in the series.

Source: https://www.tsl.texas.gov/slrm/blog/2025/03/remarkable-records-drafts-vs-working-files/

What about electronic records?

- **The TXST Records Retention Schedule is format-neutral.** Retention and disposition requirements apply to the record series listed on the schedule, which may cover records in many different formats.
- Electronic records, like physical records, are categorized by their function, content, and context.
- Like physical records, disposition of all university records in electronic format requires authorization from the Records Manager and Archivist following submission of a Records Disposition Request form.
- Includes email, Teams messages, share drive and individual drive documents, social media posts, websites, database records, raw data, external media, etc.



Other Records Management Resources

Records Management Webpage

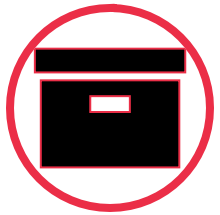
https://www.library.txst.edu/services/records-management.html



University Records Management Policy



Records Retention Schedule Links and Tools



Records Disposition Request Form and Archives Transfer Form



General Support Form, Training Opportunities, Frequently Asked Questions



Questions?

Cait Burhans, MSIS

Records Manager & Archivist, University Libraries

cburhans@txstate.edu

https://www.library.txst.edu/services/records-management