

# University of Texas at Tyler

## Records Management Training





**UTTyler**<sup>™</sup>  
THE UNIVERSITY OF TEXAS AT TYLER

# What will be discussed . . .

- Introduction to Records Management
- Records Management at UTT
- Review
- Tips



# Goals:

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

# What is Records Management?

## Definition:

Records management is the systematic control of the **life span** of records, from their creation through their final disposition.



# What is a Record?

The [Texas State Library and Archives Commission \(TSLAC\)](#) defines a “state record” as, 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.

The term includes any recorded information created or received by a Texas government official in the conduct of official business, including officials from periods in which Texas was a province, colony, republic, or state.

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; or
- a stock of publications or blank forms.

# So, what is a RECORD, really?

- ▶ Documents the transaction of university business;
- ▶ Is created or received by an UTT employee or official;
- ▶ May exist in any medium (on any device);
- ▶ Is a record whether it is open or closed;
- ▶ Anything that is created at UTT during regular business.



# It is important to remember that...

- Not every document is a record!
- It is important to distinguish between master records and convenience copies.
- Only master records should be retained.
- Convenience copies should be (properly) destroyed as soon as possible.
- Departments should also determine which vital records they are retaining, and which are unnecessary.

# Why have a Records Retention Program?

Texas State/Federal Open Records Laws mandate keeping records for,

- **Financial/Fiscal Accountability;**
- **Administrative Functionality;**
- **Legal;**
- **Historical Value.**



# Who is Responsible for Records Management at UT Tyler?

- In short, **WE ALL ARE**. All employees are responsible for proper records management and disposal of the university's records.
- The ultimate responsibility for the orderly maintenance and disposal of university records lies in the hands of the department to which the records belong to.
- Before disposing or deleting any records contact the Records Manager to discuss records.
- The Records Manager will create a records disposition log via DocuSign for all departments wishing to shred or dispose of records. Departments are required to fill in disposition log required information and series' information.

# The Hierarchy of Records Management

## The State

- **Applicable Government and Administrative Code**
- Texas State Library and Archives Commission (TSLAC)

## The University

- University Policy and Records Retention Schedule
- University Archives

## The Department

- Designates a Records Management Coordinator

## The Individual

# How can records management help you in the present and beyond?



Space;



Administrative efficiency;



Keeping sensitive materials private;



Accountability;



Saving historically valuable materials for future use.

# Required Documents

- Records Retention Schedule (RRS)  
<https://www.uttyler.edu/offices/record-retention/files/records-retention-schedule.pdf>; (The RRS will change soon)
- Disposition log sent via DocuSign, contact Joy Pitts, [jpitts@uttyler.edu](mailto:jpitts@uttyler.edu) or 903.566.7165;
- Disposition/Storage labels, contact Joy Pitts, [jpitts@uttyler.edu](mailto:jpitts@uttyler.edu) or 903.566.7165.

# What is a Records Retention Schedule (RRS)?

- 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.



# The Records Retention Schedule (RRS) objectives:

- Maintenance of the records in office while in active use.
- Storage of inactive records which must be temporarily retained after they are no longer needed by the department.
- Prompt disposal of inactive records whose retention period has ended. Not destroying records is not an excuse to keep the records “just in case”.
- Preservation of records which are long-term value (permanent).

# Electronic Records

- The rules apply to all electronic state records, regardless of the retention period.
- Electronic State Record – Information that meets the definition of a state record in the [Government Code, S441.180](#). and is maintained in electronic format for computer processing, including the product of computer processing of the information.
- 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 Records (cont.)

- Ensure that electronic state record and any software, hardware and documentation, including maintenance documentation, required to retrieve and read the electronic state record are retained as long as the approved retention period for the record and disposed of in accordance with the university certified Records Retention Schedule.
- All university official 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 e-mails are normally not considered official state records therefore do not need to be retained.



# Email Retention



- Correspondence conducting official state business may be delivered by surface mail or by e-mail and in both cases constitutes a state record that must be managed accordingly.
- It is the content and function of a message that determines its retention requirements.
- Each message must be retained or disposed of according to the University of Texas at Tyler Records Retention Schedule (RRS).

# Email Retention (cont.)

E-mail may be categorized into one of the following record series categories:

- Correspondence Administrative
- Correspondence General
- Transitory Information



# Email Retention Guidelines

- Guideline for Correspondence Administrative

- Incoming/outgoing and internal correspondence pertaining to the formulation, planning, implementation, interpretation, modification, or redefinition of the programs, services, or projects of an agency and the administrative regulations, policies, and procedures that govern them.
- **Retention Period: 4 years and all administrative correspondence should be assessed for archival value by the Records Manager/University Archivist at end of retention period.**

- Guideline for Correspondence General

- Non-administrative incoming/outgoing and internal correspondence, in any media, pertaining to or arising from the routine operations of the policies, programs, services, or projects of an agency.
- **Retention Period: 2 years.**

# Email Retention Guidelines (cont.)

- Transitory information is information that would not be classified as general or administrative and does not pertain to case or project files or other record series listed in the RRS may be categorized as transitory.
- This would include announcements and memos non-business-related staff events, personal e-mails, unsolicited advertisements, and information (the department/person sending the information announcement should keep one copy). See RRS for more information about transitory information.
- Retention Period: AC (after closed) or after the purpose of the record has been fulfilled.
- **NO Disposition form is required to dispose of Transitory Records.**
- **Note: Routinely delete or remove transitory e-mails as soon as they have served their purpose.**

# Special Cases Email Retention

## Correspondence to be Filed with Case or Project Files

- Correspondence that pertains to another record series should be filed with and retained for the same retention as that series. For example, correspondence about a particular building project would be filed with other documentation about the project under Building Project Files and retained for the full 10 years after the completion of the project (AC+10 yrs) retention requirement. Other examples include litigation files, complaint files, grant files, and other record series that frequently include collaboration, funding (external and internal) and correspondence.
- **CAUTION:** When an action has been initiated or is anticipated, an e-mail record may not be destroyed, even if it has met retention requirements. Actions may include audits, litigation, public information requests, or administrative reviews. Records must be retained until the resolution of the action and all issues arising from it.

# Archiving and Storage

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 archive electronic file) and/or the box is moved to the records storage at Physical Plant until it can be shredded/destroyed.
- It is the responsibility of each department to identify, group, label, enter disposition date(s) and pack your records into the [proper boxes](#) and keep disposition logs physically or electronically in departmental archives.
- For electronic records transfer to University Archives, please speak with University Archivist, [jpitts@uttyler.edu](mailto:jpitts@uttyler.edu), ext. 7165

# Archiving and Storage (cont.)

- To transfer records to the archives (UASC) contact University Archivist to set up transfer time.
- Records that are no longer needed for business and are not listed as A/I or R/O (archival) on the RRS but have not met their retention date can be transferred to the Physical Plant Records facility. These records may be shredded after their retention period is met.



# Review

- What is considered a record?
  - Documents the transaction of university business;
  - Is created or received by an UTT employee or official;
  - May exist in any medium (on any device);
  - Is a record whether it is open or closed;
  - Anything that is created at UTT during the course of regular business.

# Review (cont.)

What a record isn't . . . .

- Extra Copies/Convenience Copies
- Blank Forms (Blank Contracts, Blank Leave Forms, etc.)
- Three Dimensional Objects
- General Library/Reference Materials

# Review (cont.)

Why do we have records retention policies?

- Financial/Fiscal Accountability;
- Administrative Functionality;
- Legal;
- Historical Value.

How can records management assist you in your everyday work?

Why is records management important to UTT?

# Tips for Success

- Read through the [retention schedule](#) (RRS) at least once.
- Remember that a record's retention period and disposal requirements are the same whether it is electronic or physical.
- All of a record's "supporting" documents should be kept with it for its retention period. E.g., purchase orders made toward a grant contract should be kept as long as the relevant grant contract.
- Be careful with records with contracts – they have a different retention period on or before Aug. 31, 2015.
- Some important documents may not be in the retention schedule. This doesn't necessarily mean you can dispose of it!

# Tips for Success (cont.)

1

Remember that you are not alone!

2

When in doubt, call University Archivist & Records Manager for guidance!

- Joy Pitts, [jpitts@uttyler.edu](mailto:jpitts@uttyler.edu), ext. 7165





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