



Policy Chapter: Chapter 4 Administration

Policy Number and Title: 04.008 Records Management and Retention

I. Policy Statement

All University records must be retained and disposed of in accordance with state law and the University's record retention schedule as approved by the Texas State Library and Archives Commission.

II. Application of Policy

This policy applies to all employees working with University records.

III. Policy Definitions

A. Archival University Record

"Archival University Record," in this policy, means a university record of enduring value that will be preserved on a continuing basis in the University Archives until the University Archivist determines, based on a reappraisal of the record, that it no longer merits further retention.

B. Final Disposition

"Final Disposition," in this policy, means the terminal treatment of a UNT record, either by destruction or permanent storage in the University Archives.

C. Records Management

"Records Management," in this policy, mean the application of management techniques for 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 the [Texas Public Information Act](#), and reducing costs.

D. Records Management Representative

"Records Management Representative," in this policy, means the employee within a business unit responsible for managing the unit's records.

E. UNT System Consolidated Core Records Retention Schedule

"UNT System Consolidated Core Records Retention Schedule," or "Records Retention Schedule," in this policy, means the document that identifies and describes records and the length of time that each type of record (called a "record series") must be retained for the UNT System, UNT, and other component institutions of the UNT System. Other information contained in the [Records Retention Schedule](#) includes a record's security designation, archival value, designation as a vital record, and determination regarding final disposition. The University's Records Management Officer and the Texas State Library and Archives Commission certify the official Record Retention Schedule.

F. University Record

"University Record," in this policy, means any written, photographic, machine-readable, or

other recorded information created or received by or on behalf of the University or an employee of the University that documents activities in the conduct of official university 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, or a stock of publications or blank forms.

G. Vital University Record

“Vital University Record,” in this policy, means a university record that is necessary to the resumption or continuation of the university’s operations in an emergency or disaster, the re-creation of the legal and financial status of the university, or the protection and fulfillment of obligations to the people of the State of Texas.

H. University Archives

The “University Archives,” in this policy, means the repository for university records, which have met retention, and are of continuing historical value as designated by the university [records retention schedule](#) or as determined by the University Archivist.

I. Special Collections

“Special Collections,” in this policy, means the repository for non-UNT records and materials of continuing historical value that have been reviewed by the University Librarian, Head of Special Collections, University Archivist, or their designee, and that have been accepted by UNT for placement in Special Collections.

IV. Policy Responsibilities

A. Adherence to Law

Each employee of the University is responsible for the proper management of state records.

B. Records Management Representative (RMR)

1. Each business unit of the university must appoint at minimum, a primary RMR and an alternate, if applicable, to assist in the Records Management Program in the application of management techniques for 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 the [Texas Public Information Act](#), and reducing costs. The unit must also report who the designated RMR(s) are to the Institutional Record Management Program Office.
2. The RMR must:
 - a. be a full-time employee;
 - b. have operational knowledge of the records and information created and

maintained by the unit and the systems used to manage and maintain the records and information; and

- c. complete initial training and then bi-annually regarding the university's record retention program.

C. Institutional Records Management Program

The Institutional Records Management Program (IRMP) must develop processes for the efficient maintenance, retention, preservation, and destruction of university records. The IRMP must include, at a minimum, the following components:

1. Records Retention

- a. All university records must be maintained for the minimum period of time listed in the [UNT Records Retention Schedule](#). Records must be filed and stored in a manner that facilitates timely and efficient access by the public under the [Texas Public Information Act](#).
- b. University employees are responsible for knowing the types/categories/series of records generated or maintained by their job duties and office; and for retaining and disposing of records in accordance with the [UNT Records Retention Schedule](#).

2. Records Management

a. Record Retention Schedule

The retention policy for each record series title included within it. The policies within the [Record Retention Schedule](#) are maintained by the Institutional Records Management Program office staff and overseen by the Records Compliance Officer.

b. Changes to Record Retention Schedule

Requests to modify; add records to; or delete records from the retention schedule, or to revise the schedule for existing records must be submitted to the Institutional Records Management Program office. All changes to the schedule must be approved by the Texas State Library and Archives Commission before any modifications to the [Records Retention Schedule](#) become official. This schedule must be recertified periodically according to and as required by state law.

c. Filing and Retrieving Information

When a record is created and filed, there must always be a mechanism for retrieval. This includes electronic, database, paper, or any other filing system used.

d. Protection of Vital, Archival, or Confidential Records

Vital records are designated throughout the [records retention schedule](#) and should be stored in a format that will last as long as the records are needed. If a record is

in a specific format that can only be accessed by a specific source, an alternate procedure for accessing the information must be arranged.

e. Storage of Inactive Records

Records that no longer are in active use but are being maintained in accordance with the university Record Retention Schedule should be stored in a cost- and space-effective manner until final disposition.

f. Forms, Reports & Correspondence

The Records Retention Office must develop and publish the forms, reports, and correspondence necessary to administer the University record retention program.

3. Records Disposition

University records will be destroyed or archived after the expiration of their retention period or the final resolution of legal action, whichever is later. The manner in which records are disposed will be documented in accordance with this section.

a. Destruction of Records

If no action as described above has been taken, records may be disposed in accordance with the approved retention periods shown in the [Records Retention Schedule](#). Final disposition should occur in a manner that ensures protection for any sensitive or confidential information. Prior to disposal of university records, all applicable laws and university policies must be followed.

b. Retaining Records Past Expiration Disposition Date

Records should never be held past their expiration unless the record is on hold or there is a justifiable reason for holding the record longer than its specified retention. In the case of the latter, a written justification must be submitted to the IRMP for review.

c. Holds

If any litigation, claim, negotiation, audit, public information request, administrative review, or other action involving a record is initiated, then the record may not be destroyed even when the applicable retention period has expired. Such records may only be destroyed after the completion of the action and the resolution of all issues that arise from it. A university record may not 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 for the records series in the approved [Records Retention Schedule](#).

d. Archiving Records

The University Archives is responsible for the preservation of historical records. Archival records are identified in the [Records Retention Schedule](#). After an archival record has met its retention or a permanent archival record is no longer active within the unit, they are to be transferred to the archives per IRMP procedures.

4. Documenting Final Disposition

- a. Disposition of any university record must be documented and approved by the Institutional Records Management Program Office.
- b. University records that have met retention or otherwise may not be disposed of until approved by the Institutional Records Management Program Office.
- c. University records that are not listed on the approved [Records Retention Schedule](#) may be disposed of only when approved by the Texas State Library and Archives Commission. The IRMP must submit requests to the Texas State Library and Archive Commission to dispose of records that are not included in the approved [Record Retention Schedule](#).

D. University Archives and Special Collections

The University Archives serves as the repository for University records of continuing historical value as designated in the [Records Retention Schedule](#) or as determined by the University Archivist. Special Collections serves as the repository for items unrelated to UNT that have historical value and that UNT has accepted for continued preservation.

The University Archivist is responsible for overseeing and administering the University Archives. The Head of Special Collections is responsible for administering the Special Collections Department. Special Collections and University Archives are located within the University Libraries. Access to the University Archives and Special Collections will be provided by the University Libraries. The University Archives and Special Collections staff does not provide a monetary appraisal for items included in University Archives and Special Collections.

1. Donations

Donations must be reported to Advancement to ensure compliance with [UNT Policy 09.002, Fundraising and Private Support](#).

The University Archives and Special Collections department may collect rare and unique materials including but not limited to rare books, oral histories, historical manuscripts, photography, maps, microfilm, photographs, art, and artifacts and documents with important historical value for the purpose of historical research and preservation. If these documents and materials are unrelated to UNT, they must be located in Special Collections. Although exempted from required disclosure under the [Texas Public Information Act](#), some

of these items, such as historical manuscript collections and oral history interviews, may be made available to the public as stipulated by gift agreements entered into between UNT and the donors.

2. Final Disposition

Records which are not required to be archived under the [Records Retention Schedule](#) may be referred to the University Archivist for “archives review” if the Records Management Representative or the Records Management Officer believe that the records may have lasting historical value. If the University Archivist or their designee determine that University records provided for review should be included in the University Archives, that determination must be noted on the [Final Disposition Log](#). Transfer of records to the University Archivist for inclusion in the University Archives or for review must be coordinated with the Institutional Records Management Program prior to transfer.

V. Resources/Forms/Tools

[UNT System Consolidated Core Records Retention Schedule](#)
[Final Disposition Log](#)
[Records Management, Retention and Final Disposition Procedures](#)

VI. References and Cross-References

[Texas State Records Management Laws, State Agency Bulletin No. 4, 2009](#)
[Texas Administrative Code §§ 6.1 & 6.10](#)
[Texas Government Code, Chapter 441](#)
[Texas Government Code, Chapter 552 \(Texas Public Information Act\)](#)
[UNT Policy 04.017, University Archives and Special Collections](#)
[UNT Policy 09.002, Fundraising and Private Support](#)

VII. Revision History

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