I. 2.2.1 Records Management

Chapter 2 - General	Original Effective Date: April 2000
Section: 2.2 Information Management	Date Last Reviewed: July 2022
Responsible Entity: Vice President for Academic, Faculty and Student Affairs	Date Last Revised: July 2022

II. Purpose

To provide structure, responsibilities, and procedures for an active and ongoing records management program in accordance with applicable federal and state laws, regulations, and The University of Texas System (UT System) requirements.

III. Scope

This policy applies to all University of Texas Health Science Center (UT Health San Antonio) employees and contractors who create, manage, or maintain a state record.

IV. Policy

UT Health San Antonio recognizes the need for orderly management and retrieval of all official records and a documented records retention and destruction schedule congruent with all state and federal laws and related regulations. All official records (paper, microform, electronic, or any other media) will be retained for the minimum periods stated in UT Health San Antonio's Records Retention Schedule as approved by the Texas State Library and Archives Commission and the Texas State Auditor's Office in compliance with Texas Government Code, Chapter 441. After a specified period of time, official records must be disposed of in a manner that is consistent with, and systematically carried out in accordance with, prescribed records and information management guidelines and procedures.

Duplicate files, duplicate copies, library materials, and stocks of blank or obsolete forms, or pamphlets originally intended for distribution are not considered to be official records or record copies. Duplicates or non-record convenience copies should be destroyed when they cease to be useful and should never be kept longer than the official record copy.

A. Records Retention Schedule

1. The Records Retention Schedule is located at https://library.uthscsa.edu/wp-content/uploads/2025/07/RRS-2025.pdf. The Records Retention Schedule provides a list of official records for each department on campus, prescribes the periods of authorized retention and assists UT Health San Antonio in:

a. complying with legal requirements.
b. destroying records that no longer have value to UT Health San Antonio.
c. providing legal protection to UT Health San Antonio when destroying records.
d. retaining records of permanent value.
e. improving protection of vital records.
f. providing security for records with confidential or sensitive information.
g. using office space for access to active records.
h. moving inactive records into less expensive storage areas.
i. releasing equipment and reusable media for other productive uses; and
j. maintaining records in the formats offering optimum cost effectiveness.

2. The schedule is developed from data collected during a records inventory. State law requires an update of the Records Retention Schedule every five (5) years. In addition, it may be revised periodically to include a newly created record series, to change retention periods, or to delete a record series no longer useful. Appropriate approval procedures must be followed and completed before any revisions become effective.

3. All records are to be kept for the retention periods listed in the Records Retention Schedule, but no longer, except in the case of audits or litigation. All records must be maintained until all required audits are completed and should be retained beyond the listed retention periods when there is a probability of litigation either involving records or requiring their use.

   The Office of Legal Affairs will notify departments of any litigation holds affecting their records and procedures to follow to preserve them. Documents may be maintained for the prescribed retention periods in microform if the microform reproduction is accomplished pursuant to a procedure that complies with Texas Government Code, Section 441.188, 13 Texas Administrative Code Sections 6.21-6.35. Official records kept only in electronic format must be identified in the Records Retention Schedule and must comply with the administrative rules of the Texas State Library (13 Texas Administrative Code Sections 6.91 - 6.99).

4. Vital records should be identified in the Records Retention Schedule and protected in accordance with Texas Government Code Section 441.183. State law defines a vital state record as any state record necessary to the resumption or continuation of state agency operations in an emergency or disaster; the recreation of the legal and financial status of the agency; or the protection and fulfillment of obligation to the people of the state.

5. Archival documents should be identified in the Records Retention Schedule and maintained in accordance with Texas Government Code Section 441.181. An archival state record is any state record that is retained permanently for lasting historical value and is used for research and reference by UT Health San Antonio offices and the general public. Archival or historical records are to be preserved in UT Health San Antonio archives.

B. Electronic Mail

1. Electronic mail messages (e-mail) created, received, retained, used, or disposed of using the electronic mail systems at UT Health San Antonio are also considered official state documents and must be retained or disposed of according to the Records Retention Schedule (see Institutional Handbook of Operating Policies (IHOP), policy 5.2.6 Electronic Mail Use and Retention*).* Electronic mail messages are not considered one record type for retention purposes. The content and function of the e-mail message determines the retention period for that message. It is the responsibility of the user of the e-mail system (the sender of e-mail messages within UT Health San Antonio's e-mail system and recipients of the messages received from outside UT Health San Antonio), with guidance and training from the records management officer, to manage e-mail messages according to the Records Retention Schedule, retaining the message for the approved retention period. Names of sender, recipient, date/time of the message, as well as any attachments must be retained with the message. Distribution lists must be able to identify the sender and recipient of the message. E-mail generally (but not always) falls into several common record series categories. These are (see the Records Retention Schedule for full definitions and examples):

    a. Transitory Information, 1.1.057 – 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 UT Health San Antonio or in the preparation of an on-going records series. Retention: AC (after purpose of record has been fulfilled).

    b. Administrative Correspondence, 1.1.007 - Subject to Archival review. Retention: four (4) years.

    c. General Correspondence, 1.1.008 - Retention: two (2) years.

2. Records created using e-mail system may be saved for their approved retention period by one of the following:

    a. Print message and file in appropriate hard copy file.

    b. Place in folders and save on a network drive or a drive on a local computer.

    c. Save to removable disk.

    d. Transfer to an automated records management software application.

    e. Manage at the server by an automated classification system.

C. Records Inventory

A records inventory identifies records, where they are located, and what record series they fall under in the Records Retention Schedule. All records should be inventoried, regardless of the media in which they are maintained. A Records Inventory Log (https://library.uthscsa.edu/wp-content/uploads/2022/03/Blank-Records-Inventory-22.pdf) is used for inventorying records and must be completed by each records

management representative for a department, showing all records series located in the department.

D. Destruction of State Records

No state records may be destroyed without permission from the Texas State Library and Archives Commission as outlined in Texas Government Code Section 441.187; 13 Texas Administrative Code Section 6.7. The Texas State Library and Archives Commission has two established methods for obtaining legal authority to destroy state records. Procedures differ for records listed on an approved Records Retention Schedule and any records not listed.

1. A state 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 record set in the approved institutional Records Retention Schedule.

   If no action as described above has been taken, records may be destroyed in accordance with the approved retention periods shown in the Records Retention Schedule. Authorization for destruction may be given by the designated records management representative or departmental head, as determined by the department. Prior to disposal of official records, all state and institutional records and information management regulations and policies must be followed.

2. State records not listed on the approved Records Retention Schedule may be destroyed after receiving approval by officials at the Texas State Library and Archives Commission. Form (RMD 102) *Request for Authority to Dispose of State Records*, must be completed and submitted to the Records Services Department of the Texas State Library and Archives Commission to obtain approval for the destruction of public or official records. Unlisted records must not be destroyed until the Texas State Library and Archives Commission administrator approves and returns the form to the appropriate university officials. All such requests should be submitted through the University's Records Management Officer (RMO) who will complete the form and forward it to the Texas State Library and Archives Commission after institutional approval has been obtained.

E. Department Responsibilities

1. Ultimately, departments are responsible for providing support documentation in the event of any litigation, claim, negotiation, audit, open records request, administrative review, or action involving a record. Depending on record type, the department should maintain fiscal records for state audit for the appropriate retention period found in the Records Retention Schedule.

2. Federal grant fiscal records should be maintained for six (6) years after the completion of the grant. In cases where documentation cannot be produced by the department, the department will be responsible for any reimbursements to state and federal agencies. These are considered vital records.

V. Definitions

When used in this document, the following words have the meaning set forth below unless a different meaning is required by context.

Record Series – a group of identical or related records that are normally used and/or filed together, and that permit evaluation as a group for retention scheduling purposes. For example, a purchasing department may have eight file cabinets full of purchase order and requisition records that are filed by fiscal year. The chronological arrangement of the files is for the purpose of making access to the records easier. Each fiscal year is not a separate records series; the entire group of files is one records series because they all document the same activity and have the same retention period. Therefore, only one entry on the inventory form would be completed for all the records in these eight file cabinets.

VI. Related References

For more information, please visit the Records Management webpage. Questions regarding this policy should be directed to the Records Management Officer at libraryrecordsmgtsvc@uthscsa.edu, or 210-450-8260.

UT System (UTS) Policy
UTS 115 Records and Information Management

VII. Review and Approval History

The approving authority of this policy is the University Executive Committee.

Effective Date	Action Taken	Approved By	Approved Date
04/2000	Policy Origination		
02/2016	Policy Revision		
07/2022	Policy Revision, discretionary edits	VPAFSA/ICPO	07/06/2022