

EQUIPMENT, SUPPLIES, AND OFFICE MANAGEMENT
RECORDS MANAGEMENT PROGRAM

CIA
(REGULATION)

DEFINITIONS

Definitions used in records management follow:

1. "Department head" means the officer who by administrative policy is in charge of an office of the College that creates or receives records.
2. "Essential record" means any record of the College necessary to the resumption or continuation of operations of the College in an emergency or disaster, to the re-creation of the legal and financial status of the College, or to the protection and fulfillment of obligations to the people of the state.
3. "Permanent record" means any record of the College for which the retention period on a records control schedule is given as permanent.
4. "Records control schedule" means a document prepared by or under the authority of the Records Management Officer listing the records maintained by the College, their retention periods, and other records disposition information that the records management program may require.
5. "Records management" means the application of management techniques to the creation, use, maintenance, retention, preservation, and disposal of records for the purposes of reducing the costs and improving the efficiency of record keeping. The term includes the development of records control schedules; the management of filing and information retrieval systems; the protection of essential and permanent records; the economical and space-effective storage of inactive records; control over the creation and distribution of forms, reports, and correspondence; and the management of micrographics and electronic and other records storage systems.
6. "Records liaison officers" means the persons designated under Section 6 of this policy.
7. "Records Management Committee" means the committee established in Section 4 of this policy.
8. "Records Management Officer" means the person designated in CIA(LOCAL).
9. "Records management plan" means the plan descriptor in this regulation.
10. "Retention period" means the minimum time that must pass after the creation, recording, or receipt of a record, or the fulfillment of certain actions associated with a record, before it is eligible for destruction.

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All local government records as defined in CIA(H) are hereby declared to be the property of the College. No official or employee has, by virtue of his or her position, any personal or property right to such records even though he or she may have developed or compiled them. The unauthorized destruction, removal from files, or use of such records is prohibited.

RECORDS
MANAGEMENT
COMMITTEE

A Records Management Committee shall be formed and shall:

1. Assist the Records Management Officer in the Development of policies and procedures governing the records management program.
2. Review the performance of the program on a regular basis and propose changes and improvements if needed.
3. Review and approve records control schedules submitted by the Records Management Officer.
4. Give final approval to the destruction of records in accordance with approved records control schedules.
5. Include the College attorney as a member of this committee.

RECORDS
MANAGEMENT PLAN

The Records Management Officer and the Records Management Committee shall develop a records management plan containing policies and procedures designed to reduce the costs and improve the efficiency of record keeping, to adequately protect the essential records of the College, and to properly preserve those records that are of historical value.

The records management plan shall be binding on all offices, departments, divisions, programs, boards, committees, or similar entities of the College and records shall be created, maintained, stored, microfilmed, or disposed of in accordance with the plan.

DUTIES OF RECORDS
MANAGEMENT
OFFICER

In addition to other duties assigned in this policy, the Records Management Officer shall:

1. Administer the records management program and provide assistance to department heads in its implementation.
2. Plan, formulate, and prescribe records disposition policies, systems, standards, and procedures.
3. In cooperation with department heads, identify essential records and establish a disaster plan for each office and department to ensure maximum availability of the records in order to reestablish operations quickly and with minimum disruption and expense.

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4. Develop procedures to ensure the permanent preservation of the historically valuable records of the College.
5. Establish standards for filing and storage equipment and for record-keeping supplies.
6. Establish a uniform filing system and a forms design and control system for the College.
7. Provide records management advice and assistance to all departments by preparation of a manual or manuals of procedure and policy and by on-site consultation.
8. Monitor records retention schedules and administrative rules issued by the Texas State Library and Archives Commission to determine if the records management program and records control schedules are in compliance with state regulations.
9. Disseminate to the department heads information concerning state laws and administrative rules relating to local government records.
10. Instruct records liaison officers and other personnel in policies and procedures of the records management plan and their duties in the records management program.
11. Direct records liaison officers or other personnel in the conduct of records inventories in preparation for the development of records control schedules as required by state law, local policy, and regulations.
12. Ensure that the maintenance, preservation, microfilming, destruction, or other disposition of records is carried out in accordance with the policies and procedures of the records management program and the requirements of state law.
13. Maintain records on the volume of records destroyed under approved records control schedules, the volume of records microfilmed or stored electronically, and the estimated cost and space savings as the result of such disposal or disposition.
14. Report annually to the Board on the implementation of the records management plan in each department of the College including summaries of the statistical and fiscal data compiled under item 13 above.
15. Bring to the attention of the College President and Board noncompliance by department heads or other personnel with the policies and procedures of the records management program or the local government records act.

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DEPARTMENT HEAD
RESPONSIBILITIES

The department head shall:

1. Cooperate with the Records Management Officer in carrying out the policies and procedures for the efficient and economical management of records and in carrying out the requirements of this policy.
2. Adequately document the transaction of government business and the services, programs, and duties for which the department head and his or her staff are responsible; and
3. Maintain the records in his or her care and carry out their preservation, microfilming, destruction, or other disposition only in accordance with the policies and procedures of the records management program of the College.

Each department head shall designate a member of his or her staff to serve as Records Liaison Officer for the implementation of the records management program in the department. Persons designated as records liaison officers shall be thoroughly familiar with all the records created and maintained by the department and shall have full access to all records maintained by the department.

In the event of a vacancy, the department head shall promptly designate another person to fill the vacancy. A department head may serve as Records Liaison Officer for his or her department.

RECORDS LIAISON
OFFICERS DUTIES

In addition to other duties assigned in this regulation, liaison officers shall:

1. Conduct or supervise the conduct of inventories of the records of the department in preparation for the development of records control schedules.
2. In cooperation with the Records Management Officer, coordinate and implement the policies and procedures of the records management program in their departments.
3. Disseminate information to department staff concerning the records management program.

RECORDS CONTROL
SCHEDULES

The Records Management Officer, in cooperation with department heads and records liaison officers, shall prepare records control schedules on a department-by-department basis listing all records created or received by the department and the retention period for each record. Records control schedules shall also contain such other information regarding the disposition of records as the records management plan may require.

Each records control schedule shall be monitored and amended as needed by the Records Management Officer on a regular basis to

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ensure that it is in compliance with records retention schedules issued by the state.

A records control schedule for a department that has been approved and adopted under the records management plan shall be implemented by department heads and records liaison officers according to the policies and procedures of the records management plan.

DESTRUCTION OF
RECORDS

A record whose retention period has expired on a records control schedule shall be destroyed unless an open records request is pending on the record, the subject matter of the record is pertinent to a pending law suit, or the department head requests in writing to the Records Management Committee that the record be retained for an additional period.

Prior to the destruction of a record under an approved records control schedule, authorization for the destruction must be obtained by the Records Management Officer from the Records Management Committee.

A record that has not yet been listed on an approved records control schedule may be destroyed if its destruction has been approved in the same manner as a record destroyed under an approved schedule and the Records Management Officer has submitted to and received back from the director and librarian an approved destruction authorization request.

RECORDS CENTER

A records center, developed pursuant to the records management plan, shall be under the direct control and supervision of the Records Management Officer. Policies and procedures regulating the operations and use of the records center shall be contained in the records management plan.

MICROGRAPHICS

Unless a micrographics program in a department is specifically exempted by order of the Board, all microfilming of records will be centralized and under the direct supervision of the Records Management Officer. The records management plan will establish policies and procedures for the microfilming of records, including policies, to ensure that all microfilming is done in accordance with standards and procedures for the microfilming of local government records established in rules of the Texas State Library and Archives Commission. The plan will also establish criteria for determining the eligibility of records for microfilming, and protocols for ensuring a microfilming program that is subject to periodic review by the records management officer as to cost effectiveness, administrative efficiency, and compliance with commission rules.