



**TEXAS BOARD
OF
PARDONS AND PAROLES**

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Supersedes: None

EXECUTIVE DIRECTIVE

SUBJECT: RECORDS MANAGEMENT

PURPOSE: To establish guidelines for implementing a records management program to ensure all Board of Pardons and Paroles (BPP) vital records are stored, managed, and disposed of in accordance with state law.

AUTHORITY: Texas Government Code, Section 441

Reference: Texas Department of Criminal Justice (TDCJ) Executive Directive ED-02.29

DISCUSSION: The BPP is required to establish and maintain a records management program on a continuing and active basis, in cooperation with the TDCJ and the Texas State Library and Archives Commission. The BPP shall use the Records Retention Schedule created and maintained by the TDCJ.

DEFINITIONS:

Archival state record - a State record of enduring value that will be preserved on a continuing basis by the Texas State Library and Archives Commission until the state archivist indicates, that based on a reappraisal of the record, it no longer merits further retention.

Confidential state record - any state record to which public access is or may be restricted or denied under Chapter 552 or other state or federal law.

Convenience Copy - an exact identical copy of a State record maintained only for reference purposes.

Final Disposition - the final processing of State records by either destruction or archival preservation.

Records Management - the application of management techniques to the creation, use, maintenance, retention, preservation, and destruction of State records for the purposes of improving the efficiency of record keeping, ensuring access to public information under Chapter 552 of the Texas Government Code, and reducing costs.

Records Management Coordinator (Coordinator) - the person(s) designated by the Records Management Officer to oversee records management, retention and disposition within their section.

Records Management Officer (Officer) - the Board Administrator or designee; administers the Agency's records management program, provides general guidance in developing department specific Records Management Plans, and maintains the Agency's Records Retention Schedule. The Officer will coordinate the BPP's records management with TDCJ's Records Management Officer.

Records Retention Schedule (Schedule) - a document prepared in accordance with Section 441.185 of the Texas Government Code listing the records series maintained by an agency, retention periods, final disposition, and other information that the records management program may require.

Records Series - a group of identical or related records with the same function and the same retention period that is evaluated as a unit for retention scheduling purposes.

Retention Period - the amount of time a record or records series must be retained before destruction or archival preservation.

State Record - any written, photographic, machine-readable, or other recorded information created or received by or on behalf of the BPP that documents activities in the conduct of State business or use of public resources. This does not include library or museum material that has been acquired or maintained for reference or exhibition copies, convenience copies, or a stock of publications or blank forms.

DIRECTIVE:

- I. The BPP Officer is responsible for designating a Coordinator for all BPP offices with more than three employees. The BPP Officer shall ensure all BPP coordinators are trained on records management and disposition.
 - A. The BPP Officer shall create a Records Management Plan (RMP) to guide the Coordinators in maintaining the records in their respective areas. The BPP Officer shall submit the BPP plan to the TDCJ Officer in accordance with the guidelines established in the TDCJ Records Management Manual.
 - B. Each Coordinator shall maintain a copy of the Texas State Library and Archive Commission's approved Records Retention Schedule (Schedule) for TDCJ, which provides the perpetual authority needed to dispose of appropriate State records.
 - C. Each Coordinator shall ensure that State records are retained for the time frames set forth in the Schedule. Records shall not be retained longer than the established retention period.

- D. Each Coordinator shall establish a purging schedule for records to be reviewed and purged according to the Records Retention Schedule. Records that are eligible for final disposition according to the schedule shall be purged twice each year.

- II. Each Coordinator shall ensure that records are stored in an organized manner and located in an area with adequate storage space that is easily accessible to authorized personnel. Additionally, to the extent possible, records should be stored in an area that is climate-controlled and is protected from water, fire, vermin, and insect damage. Request for additional storage space should be coordinated through the Board Administrator or designee.

- III. Once records have been maintained for the amount of time specified in the Schedule, they shall be prepared for final disposition. Final disposition will either be the destruction of records (i.e., shredding or contract with outside entities to shred), or the transfer of records to the Texas State Library and Archives Commission for review and/or further archiving. *Caution: Records that reach their retention period and are involved in litigation claims shall not be disposed of until the litigation process is complete.*

It is not the intent of the schedule to address convenience copies, which are not State records, and these may be disposed of as necessary, without documentation, when their purpose has been served. Convenience copies should not be retained longer than the State record, as indicated in the schedule.

- A. The disposition of records must be properly documented. In conjunction with the final disposition of records, the Coordinator shall complete and submit a Records Disposition Log (See Attachment A), signed by the Board Administrator or designee, to the TDCJ Records Management Officer for monitoring and retention. Coordinators shall maintain a copy of each submitted Records Disposition Log until they verify receipt with the TDCJ Records Management Officer.

- B. If applicable, each BPP Coordinator shall establish a schedule to send items to the Texas State Library and Archives Commission for further archiving in accordance with the Schedule. Upon receipt of notification from the Texas State Library and Archives Commission that certain records have reached their retention date, each BPP Coordinator shall identify the specific items to be destroyed in accordance with the Schedule.

- IV. Any suggested additions, revisions, or deletions to the records management plan shall be submitted to the BPP Officer for approval. The approved suggestions shall then be forwarded to TDCJ Executive Services, care of the Records Management Officer, for inclusion in the periodic update of the Records Retention Schedule.

TROY FOX, BOARD ADMINISTRATOR

* *Signature on file.*

TEXAS DEPARTMENT OF CRIMINAL JUSTICE
Records Disposition Log

Once records have been maintained for the required amount of time, as specified in the Records Retention Schedule, they shall be prepared for final disposition. Final disposition will either be the destruction of records, or the transfer of records to the State Archivist for review and/or further archiving. Upon disposition, the information below must be completed for each record series and a copy returned to:

TDCJ Records Management Officer
 Executive Services

U.S. Mail:
 P.O. Box 99
 Huntsville, TX 77342-0099

TruckMail:
 TDCJ Headquarters Complex
 Huntsville

Record Series Title	Agency Item No.	Retention Period	Dates of Records / Additional Description	Disposition	Signature Authorizing Disposition	Disposition Date

Submitted by: _____ Unit/Department/Division Name: _____

Warden/Department Head: _____ Phone #: () _____ Date Submitted: _____