



**TEXAS BOARD
OF
PARDONS AND PAROLES**

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BOARD DIRECTIVE

SUBJECT: RECORDS MANAGEMENT

PURPOSE: To establish guidelines for implementing a records management program to ensure all Texas Board of Pardons and Paroles' vital records, paper and electronic, are stored, managed, maintained, and disposed of in accordance with state law.

AUTHORITY: Texas Government Code Chapter 441
Texas Department of Criminal Justice Executive Directive ED-02.29

DISCUSSION: The Texas Board of Pardons and Paroles (Board) is required to establish and maintain a records management program on a continuing and active basis in cooperation with the Texas Department of Criminal Justice (TDCJ) and the Texas State Library and Archives Commission (TSLAC). The Board is required to establish a plan to protect confidential and vital records. The Board 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 TSLAC until the state archivist indicates, 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 of the Texas Government Code or other state or federal law.

Convenience Copy – a duplicate 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 create, use, maintain, retain, preserve, and destroy state records for the purposes of improving the efficiency of record keeping, ensuring access to public information under Chapter 552, Government Code, and reducing costs.

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

Regional Records Management Coordinator – the person(s) designated by the Records Management Officer to assist the Central Records Management Coordinator with the management, retention, and disposition of records within their section/region.

Records Management Officer – the Chief of Staff or designee who 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 Records Management Officer will coordinate the Board’s records management with the TDCJ’s Records Management Officer.

Records Management Plan – a document that includes a list of every record the department maintains, the type of storage facility used to store records, the procedures the department follows when disposing of records, and a purging schedule.

Records Retention Schedule – a document prepared in accordance with Section 441.185, 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 record 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 Board 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.

PROCEDURE:

I. General Procedures

The Presiding Officer of the Board designates the Chief of Staff as the Board’s Records Management Officer (RMO). The RMO shall designate a Central Records Management Coordinator (CRMC) to oversee records management, retention, and disposition. Based upon the CRMC’s recommendation, the Presiding Officer, Chief of Staff and General Counsel will designate Regional Records Management Coordinators (RRMC) to assist

the CRMC. The CRMC shall ensure all RRMCs receive training on records management and disposition.

- A. The RMO shall create a Records Management Plan (RMP) to guide the RRMCs in maintaining the records in their respective areas. The RMO shall submit the RMP to the TDCJ's RMO in accordance with the guidelines established in the TDCJ Records Management Manual.
- B. Each RRMC shall maintain a copy of the TSLAC's approved Schedule for the TDCJ, which provides the perpetual authority needed to dispose of appropriate state records.
- C. Each RRMC shall ensure that state records are retained for the time frames set forth in the Records Retention Schedule (Schedule). Records shall not be retained longer than the established retention period.
- D. Each RRMC shall establish a purging schedule for records to be reviewed and purged according to the Schedule. Records that are eligible for final disposition according to the Schedule shall be purged twice each year.
- E. It is required that a current list of the assigned RRMC(s) be sent to the RMO and CRMC once a year. Persons responsible for sending notification of the assigned RRMCs are:
 - 1. Board Members
 - 2. Chief of Staff
 - 3. General Counsel
 - 4. Directors of Hearing Operations, Support Operations, Human Resources, Information Technology, Staff Development, Victim Liaison Program, and Clemency
 - 5. Institutional Parole Operations Regional Supervisors and Hearing Operations Regional Operations Supervisors

II. Records Stored and Maintained

- A. Paper Records
 - 1. Each RRMC 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 protected from water, fire, vermin, and insect damage. The RMO or designee is responsible for approving requests for additional storage space.

2. The RMO shall ensure all personnel receive training to safeguard and maintain confidential and vital paper records, including proper records access and storage.

B. Electronic Records

The RMO shall ensure the Information Technology section (IT) has implemented and maintained an electronic records security program for office and storage areas that:

1. Ensures only authorized personnel have access to electronic records, including the RMO and appointed CRMC and RRMC.
2. Provides for backup and recovery of records to protect against information loss.
3. Ensures personnel are trained to safeguard confidential and vital electronic records.
4. Minimizes the risk of unauthorized alteration or erasure of electronic records.
5. Documents similar kinds of records generated and stored electronically are created by the same process each time and have a standardized retrieval approach.

III. Records Disposition

- A. Locate and Receive Records – Each RRMC shall locate or receive all records maintained for the time specified in the Schedule to prepare them for final disposition. Consequently, the RRMC may need to locate and review the records maintained in a former Board employee’s workstation, office, or computer. The Presiding Officer will authorize the RMO to coordinate access to the electronic records stored on a computer. The RMO will coordinate this access with the IT Manager.
- B. Retention Period Met – Once records have met their retention period as specified in the Schedule, the records shall be prepared for final disposition in one of two ways:
 1. Destruction of Records:
 - a. Shredding;
 - b. Deletion of electronic records; or
 - c. Contact with outside entities for disposal.
 2. Transfer of records to the state archivist for review and archiving.

- C. Litigation Claims – Records that reach their retention period and are involved in litigation claims shall not be disposed of until the litigation process is complete.
 - D. Documentation – Records disposition requires proper documentation. In conjunction with the final disposition of records, the CRMC shall complete and submit a Records Disposition Log (see Attachment A), signed by the Board’s RMO or designee, to the TDCJ’s RMO for monitoring and retention. RRMCs shall maintain a copy of each submitted Records Disposition Log until they verify receipt with the TDCJ’s RMO.
 - E. TSLAC Archive – If required by the Schedule, each RRMC shall establish a schedule to send items to the TSLAC for further archiving. Upon receipt of notification from the TSLAC that certain records have reached their retention date, each RRMC shall identify the items in the notice the Schedule mandates as ready for destruction.
 - F. Convenience Copies – The Schedule does not apply to convenience copies, which are not state records, and these may be disposed of without documentation when their purpose has been served. Convenience copies should be disposed simultaneously with the state record, as indicated in the Schedule.
- IV. Revisions or Additions to the RMS – Any suggested additions, revisions, or deletions to the RMS shall be submitted to the Presiding Officer for approval. The RMO shall submit the approved suggestions to the TDCJ Executive Services for inclusion in the periodic update of the Schedule.

SIGNED THIS, THE 1ST DAY OF MARCH, 2024.

DAVID GUTIÉRREZ, PRESIDING OFFICER (CHAIR)

**Signature on file.*

TEXAS DEPARTMENT OF CRIMINAL JUSTICE Records Disposition Log

When the Texas Department of Criminal Justice has retained records for the period specified in the TDCJ *Records Retention Schedule*, the records shall be prepared for final disposition, which will either be the destruction of the records, or their transfer to the state archivist for review and archiving. Provide the required information in the table below for each record series. Returned original to:

TDCJ Records Management Officer
Executive Services

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

Truck Mail:
TDCJ Headquarters Complex
Huntsville

Agency Item No.	Record Series Title	Retention Period	Dates of Records (detailed description not required)	Disposition	Signature Authorizing Disposition	Disposition Date

Signature of Person Performing Disposition

Unit/Division/Department Name

Signature of Warden/Division Director/Department Head or designee

() _____
Phone

Date Submitted to RMD