



**TEXAS BOARD
OF
PARDONS AND PAROLES**

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Dated February 20, 2009

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
Records Management

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. 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 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, 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 of the Texas Government Code, and reducing costs.

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

Regional Records Management Coordinator (RRMC) – the person(s) designated by the RMO to assist the CRMC with records management retention and disposition within their section/region.

Records Management Officer (RMO) – the Director of Public Information or designee; administers the Agency’s records management program, provides general guidance in developing department specific Records Management Plans (RMPs), and maintains the Agency’s Records Retention Schedule. The RMO will coordinate the Board’s records management with TDCJ’s RMO.

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 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 Director of Public Information as the Board’s RMO. The RMO is responsible for designating a CRMC to oversee records management, retention, and disposition of records. The RMO will also designate RRMCs to assist the CRMC. An RRMC will be appointed for all Board offices, which includes Central, Hearing, Institutional Parole Operations, and Board offices, with more than three employees. The CRMC shall ensure all RRMCs are trained on records management and disposition.

A. The RMO shall create a RMP to guide the RRMCs in maintaining the records in their respective areas. The RMO shall submit the RMP to TDCJ’s RMO in

accordance with the guidelines established in the TDCJ Records Management Manual.

- B. Each RRMC shall maintain a copy of the Texas State Library and Archive Commission's approved Schedule for 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 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. Each Board Member and Department Head (Board Administrator, General Counsel, Director of Administrative Support, Director of Hearing Operations, Director of Institutional Parole Operations, Director of Public Information, Director of Staff Development), shall forward a current list of the assigned RRMC once a year. If a RRMC is transferred or leaves his/her position, the RMO and CRMC should be notified at the earliest possible time.

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 is protected from water, fire, vermin, and insect damage. Request for additional storage space should be coordinated through the Board Administrator or designee.
- 2. The RMO shall ensure all personnel are trained to safeguard and maintain confidential and vital paper records to include the proper access and storage of the records.

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. Each RRMC shall locate or receive all records that have been maintained for the amount of time specified in the Schedule to prepare them for final disposition. This may require the RRMC to locate and review the records maintained in a workstation, office, or computer of an individual who is no longer employed by the Board. The Chair 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.
 1. 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.*
 - a) The disposition of records must be properly documented. 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 TDCJ's RMO for monitoring and retention. RRMCs shall maintain a copy of each submitted Records Disposition Log until they verify receipt with TDCJ's RMO.
 - b) If applicable, each RRMC 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 RRMC shall identify the specific items to be destroyed in accordance with the Schedule.
 2. 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.

- IV. Any suggested additions, revisions, or deletions to the RMP shall be submitted to the Presiding Officer for approval. The RMO shall submit the approved suggestions to TDCJ Executive Services, for inclusion in the periodic update of the Records Retention Schedule.

SIGNED THIS, THE 9TH DAY OF APRIL, 2019.

DAVID GUTIÉRREZ, PRESIDING OFFICER (CHAIR)

**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. Box99
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: _____

BPP RMO: _____ Phone #: () _____ Date Submitted: _____