

STEPHEN F. AUSTIN

STATE UNIVERSITY

Office of the General Counsel

POLICY SUMMARY FORM

Policy Name: Records Management

Policy Number: 2.9

Is this policy new, being reviewed/revised, or deleted? Review/Revise

Date of last revision, if applicable: 1/28/2014

Unit(s) Responsible for Policy Implementation: President

Purpose of Policy (what does it do): Establishes guidelines for the management of all university records.

Reason for the addition, revision, or deletion (check all that apply):

☒ Scheduled Review ☐ Change in law ☐ Response to audit finding

☐ Internal Review ☐ Other, please explain:

Please complete the appropriate section:

Specific rationale for new policy:

Specific rationale for each substantive revision: No substantive changes; minor clarifications and updating of titles.

Specific rationale for deletion of policy:

Additional Comments:

Reviewers:

Linda Reynolds, University Records Manager
Damon Derrick, General Counsel

Records Management

Original Implementation: February, 1975

Last Revisions: ~~January 28, 2014~~ January 31, 2017

The university adheres to state regulations for the management of its records. All university records, regardless of medium (including print or electronic), created or received in connection with the normal course of business are considered state records. Extra copies maintained only for reference are not subject to the university records retention schedule. The retention schedule lists the university's records series and identifies legal, audit, archival and/or retention requirements. Statutory confidentiality requirements must be maintained.

Certain inactive records are retained to meet legal and fiscal requirements, future administrative needs, or historical significance.

Unit heads must manage university records according to the following guidelines:

1. University records are the property of the university.
2. University records must not be destroyed without the approval of the unit head in accordance with the retention schedule.
3. The Records Management Division of the Texas State Library and Archives Commission must approve the destruction of any record not listed in the retention schedule.
- ~~3.4.~~ *A record may be destroyed prior to its retention period on the retention schedule only with the special consent of the Records Management Division of the Texas State Library and Archives Commission and, if the record possesses fiscal or financial value, with the concurrent consent of the State Auditor. The approval of the State Auditor is required to destroy records of a fiscal or financial nature.*
- ~~4.5.~~ Records with archival value listed on the retention schedule must be transferred to the East Texas Research Center. For records determined to have archival value, but not listed as such on the schedule, contact the ~~university archivist~~ university records manager.
6. Administrative officers will consult with the general counsel on any question of compliance with the Texas Public Information Act.
- ~~5.7.~~ *SFA's Records Management Program is overseen by the East Texas Research Center located in the R.W. Steen Library.*
- ~~6.8.~~ Each administrative office will designate an individual *as the records management coordinator for their office and provide this person's contact information to the university records manager. Each office's records management coordinator will* to consult with the university ~~archivist~~ records manager regarding implementation of the records management program to include the following:
 - A. Evaluate files at least once a year to ensure that records are retained in accordance with the SFA records retention schedule.
 - B. Dispose of obsolete records with no archival value according to the retention schedule.

- C. Obtain permission from the state to dispose of records not listed on the retention schedule. ~~Certain records exempted by the Texas State Library do not require approval for destruction.~~
- D. List all records on the *SFA approved* Records Disposition Log before destruction, ~~maintain the log until the end of the fiscal year~~ and forward the log to the university ~~archivist~~ records manager.

Cross Reference: Tex. Gov't Code §§ 441.180-.205; 13 Tex. Admin. Code Ch. 6

Responsible for Implementation: President

Contact for Revision: SFA Records *Management Officer-Administrator*; General Counsel

Forms: Records Inventory Worksheet (RMD 103); Records Disposition Log; Request to Dispose of Records not listed in Records Retention Schedule (RMD 102); and Records Retention Schedule (SLR 105)

Board Committee Assignment: Academic and Student Affairs