

Records Management

Original Implementation: February, 1975

Last Revisions: July 27, 2021

Purpose

This policy establishes the guidelines whereby Stephen F. Austin State University will adhere to state code regarding record retention/disposal and the handling of state publications.

Definitions

A **record** is any written, photographic, machine-readable, or other recorded information created or received by or on behalf of the university that documents activities in the conduct of state business or use of public resources. The term does not include library or museum material made or acquired and preserved solely for reference or exhibition purposes, an extra copy of recorded information preserved only for reference, or a stock of publications or blank forms.

A **state publication** is information in any format that is produced by the authority of or at the total or partial expense of a state agency or is required to be distributed under law by the agency and is publicly distributed by or for the agency. The term does not include information the distribution of which is limited to contractors with or grantees of the agency, persons within the agency or within other government agencies, or members of the public under a request made under the open records law.

General

Stephen F. Austin State University adheres to state regulations for the management of its records. 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.

The university is also required to deposit or make accessible copies of all state publications to the Texas State Publications Depository Program, which collects and maintains state publications in a centralized location.

Records Management

University records will be managed 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. 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.
4. 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.
5. Administrative officers will consult with the general counsel on any question of compliance with the Texas Public Information Act.
6. 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 consult with the university records manager regarding implementation of the records management program to include the following:
 - A. Evaluate and inventory records 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. List all records on the SFA approved Records Disposition Log before destruction and forward the log to the university records manager.

State Publications

The university will designate a publications liaison who is responsible for receiving publications from university departments and offices. Six copies of qualifying publications will be submitted to the publications liaison within thirty days of publication. Requests for special exemption may be submitted to the publications liaison who will forward them to the state librarian.

The university should send a publication if it meets the following three criteria:

- It is information published on paper or microform, audio or videotape, vinyl or compact discs, or film.
- It is produced at the total or partial expense of a college or university or is published under its authority.
- It is distributed outside of the university on request or in multiple copies.

These criteria also apply to a publication that the university has sponsored or purchased for distribution as well as one that results from a consultant contract with a research firm or other private entity.

Cross Reference: Tex. Gov't Code §§ 441.180-.205; 13 Tex. Admin. Code Ch. 6, 13 Tex. Admin. Code Ch. 3

Responsible for Implementation: President

Contact for Revision: SFA Records Management Officer; General Counsel

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

Board Committee Assignment: Academic and Student Affairs Committee

Revision History: July 21, 2020
January 31, 2017
January 28, 2014
January 31, 2012
January 27, 2009