**Records and Sample Management**

Records Management Plan

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# Departmental Information

Department Head or Administrative Manager: **Betsey Sample**

Department Records Management Contact: **Sam Pull**

Records Management Plan Review Schedule: **Annually in January**

Records Inventory Review Schedule: **Biannually in January and June**

Records Disposition Schedule: Records are requested and disposed of on an annual **basis in February**, but unscheduled disposition may be required for specific records management projects.

# Creating Records

## Departmental Records Owned by Department

If you are a business process owner, or a processing office, you will have records that are unique to your department. You need to be aware of the management of these records. All records should be noted in the Records Inventory, which is kept with the Records Management Plan.

### **Internal Accounting Unit**

* Correspondence with Customers
* Planning
* Guidelines
* **OOEF Processing**
* **Payment Processing**

**Internal Communication Unit**

* Guidelines
* Web & Wiki Content
* Correspondence with Customers

## Business Processes Owned by Other University Departments

**Financial Support**

* Purchasing
* Contract Management

**Human Resources**

* Managing Employees
* Hiring

## Types of Records

Anything created or received in the course of university business are records, which fall under one of these three types:

**Master Records**: one copy of every record created or received through university business processes retained according to the University of Texas at Austin Records Retention Schedule. Master Records require an authorized request to dispose before destruction or archival transfer.

**Convenience copies:** copies of master records that are created for convenience, reference, or research. Convenience copies are retained until they are no longer needed but not longer than the master record. Convenience copies do not require a request to dispose of records.

**Transitory information:** records of temporary usefulness that are kept until they have served their purpose and do not require a request to dispose of records. Transitory information does not document, support, or arise from university business processes. They can be records that are transferred to a master record, e.g., notes transferred to an email. They cannot be classified as an integral part of any record series in the University of Texas at Austin Records Retention Schedule (UTRRS) other than UT Item AALL083 Transitory Information or another series that does not require request to dispose of records. The department must document requirements to dispose of transitory information in a consistent and timely manner when it has served its purpose.

# Planning for Retrievability

## Storage of Records

**Digital:** Records are stored in **SharePoint, Microsoft Team, and UTBox.**

**Paper:** Paper Records are labeled and kept in multiple places indicated in the Records Inventory.

**University Systems:** Departments are responsible for any records stored in university enterprise systems; records stored in systems such as Workday. Departments are responsible for the entire record life cycle of any records received in the course of university business. Records stored in a university third-party system should be noted in the Records Inventory.

**Non-University Systems:** Departments are responsible for records stored anywhere. The department must document contract provisions requiring contractors to comply with state laws, codes, and rules pertaining to state records and with university records management policy. The department must ensure that retention and destruction requirements and procedures for each record series maintained through a private contractor are listed in the departmental records inventory. Records must be able to have a hold placed on them. Records stored in a non-university system should be noted in the Records Inventory.

## Converting Paper to Digital Records

All paper documents that are digitized to be used as master records must be in compliance with scanning guidelines. Departmental records that are sent to university recordkeeping systems—such as the Image Retrieval System (IRS) or Workday—and verified, are accepted as the master record, and departmental copies or hardcopy originals may be destroyed. An imaging acknowledgement is read, signed, and kept with the Records Management Plan.

## Naming Records

Naming records should be seen as an opportunity to create a logical and organized filling system that allows for quick and accurate records retrieval.

## Email Management

Email is a record that must be retained following records retention rules. Email is managed based on its content. Email that is not transitory requires an authorized request to dispose before destruction can occur. Transitory email must be managed following the departmental guidelines for transitory information. At a minimum, departmental staff should be informed that email contains business records and should not be deleted without referring to records management policy.

## Planning for Disposition

Convenience copies are marked with “Copy” or equivalent. Records are organized and managed with retention and disposition in mind. Records with archival requirements are managed with this in mind and are noted in the Records Inventory.

# Retaining Records

Master records cannot be changed, redacted, or edited once they have been used to make a decision or take an action. They must be accessible for as long as they are retained. Any records stored off-site are stored at the Texas State Library and Archives Commission (TSLAC).

## Records Inventory

The Records Inventory is stored **in SharePoint under General -> Department Administration -> Internal Records Management -> Records Inventory. The inventory is saved with versioning and filed in the year it was approved and signed.**

# Disposing of Records

## Requesting to Dispose and Approval

Records are requested to dispose through the disposition process after the review of records in accordance with **annual review cycle.** Records are destroyed or transferred to archives after authorization is obtained.

## Document Destruction

Records are securely destroyed **using the secure shred bin provided by ATI**. Records that do not require shredding are placed in any blue recycling bin.

Department Head: Date of Review

Department Records Management Contact: Date of Review