# A picture containing text, sign, gambling house  Description automatically generatedUniversity of Texas System AdministrationRecords & Information Management Compliance Review: 2023

**PURPOSE:** This checklist is a communication tool provided by the UT System Records Management Officer (RMO) to inform UT System departments of their compliance with the policies of the UTS Records & Information Management program (HOP 4.1.6). Adherence to the program requirements below ensures that the department operates an “active and continuing” records management program as required by Texas Government Code, Chapter 441.

**INSTRUCTIONS:** Records Management Coordinators should review this checklist and check Yes, No, or N/A for each item that has not already been checked.

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| **Today’s Date:**  |       |
| **Department Name:** |       |
| **Prepared by:** | Angela Ossar, Records Management Officer (RMO) |
| **Provided to:**  |      , Records Management Coordinator (RMC) |

**Records Management Roles**Designations required by HOP 4.1.6, Section 4.2(a) and (b)

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| **Item #** | **Description of Program Requirement** |  | **✓ Met?** |
| **1** | A Records Disposition Approver has been designated to approve the destruction of eligible records, and the name of the RDA has been provided to the RMO. | [ ]  Yes[ ]  No |
| ***RDA Name:***  |  |
| **2** | At least one Records Management Coordinator (RMC) has been designated, and the name(s) of all RMC(s) have been provided to the Records Management Officer.  | [ ]  Yes[ ]  No |
| ***RMC Name(s):*** |  |
| **3** | If any of the individuals named above are no longer serving in these roles, the Department Head will submit an RDA/RMC Update Form to designate a new RDA/RMC ([available on SharePoint](https://forms.office.com/pages/responsepage.aspx?id=X505YZwk0ESyca3Ch_Mj_w6aIRCp3uxEoB9lIJyJZupURElCTzcyTDFJQTJVUEYzUU9CNkdDSDJORi4u)). | [ ]  Yes[ ]  No[ ]  N/A |
| **RMO Comments:** None |
| **Department Comments (optional):**       |

**Departmental Records Management Plan & Records Inventory**Policies required by HOP 4.1.6, Section 4.2(c) and (d)

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| **Item #** | **Description of Program Requirement** |  | **✓ Met?** |
| **4** | A Departmental Records Management Plan (DRMP) has been submitted to the RMO. The DRMP identifies the individuals responsible for records management functions within the department and includes procedures for storage and final disposition. | [ ]  Yes[ ]  No |
| ***DRMP Date:***  |       |
| **5** | The DRMP was reviewed in 2023 and updated as needed. If changes were made, the updated DRMP was submitted to the RMO. | [ ]  Yes[ ]  No[ ]  N/A |
| ***Review Date in DRMP****:* |       |
| **6** | A records inventory or File Plan has been submitted to the RMO. | [ ]  Yes[ ]  No |
| ***Most Recent File Plan:*** |       |
| **7** | The records inventory or file plan submitted to the RMO maps to [version 8.3 of the UTS Records Retention Schedule](https://www.utsystem.edu/sites/default/files/documents/general-documents/2023/ut-system-administration-records-retention-schedule/records-retention-schedule.pdf) (10/2/2023).  | [ ]  Yes[ ]  No |
| **RMO Comments:** The File Plan should be reviewed for compliance with version 8.3 of the UTS RRS. Version 8.3 was discussed at the October 2023 RMC Meeting ([notes here](https://utsystemadmin.sharepoint.com/sites/RecordsCoordinators/Shared%20Documents/Forms/AllItems.aspx?csf=1&web=1&e=Y5Q9ii&cid=2634211d%2D4460%2D4f45%2Db7ec%2D3d1b804ddd37&RootFolder=%2Fsites%2FRecordsCoordinators%2FShared%20Documents%2FGeneral%2FRMC%20Meeting%20Notes&FolderCTID=0x01200067C2F1E6702C8E4D9A2CDE32DE62F3E1)) and an email was sent to all Records Management Coordinators on 10/10/2023 outlining possible needed changes. If changes are needed, please make the changes and return the updated file plan to the Records Management Officer. |
| **Department Comments (optional):**       |

**Training Activity**Activities required by HOP 4.1.6, Section 4.2(b) and Section 4.3(c)

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| **Item #** | **Description of Program Requirement** |  | **✓ Met?** |
| **8** | At least one representative of the department attended bimonthly Records Management Coordinator meetings. If unable to attend, RMC viewed the meeting recordings (available for 2 months) or read the [meeting notes](https://utsystemadmin.sharepoint.com/sites/RecordsCoordinators/Shared%20Documents/Forms/AllItems.aspx?csf=1&web=1&e=Y5Q9ii&cid=2634211d%2D4460%2D4f45%2Db7ec%2D3d1b804ddd37&RootFolder=%2Fsites%2FRecordsCoordinators%2FShared%20Documents%2FGeneral%2FRMC%20Meeting%20Notes&FolderCTID=0x01200067C2F1E6702C8E4D9A2CDE32DE62F3E1). | [ ]  Yes[ ]  No |
| [ ]  Feb 2023 | [ ]  April 2023 | [ ]  June 2023 (Webinar) | [ ]  August 2023 | [ ]  Oct 2023 | [ ]  Dec 2023 |
| **9** | Each Records Management Coordinator has attended records management training within the past two years. (Note: only the most recent training attendance dates are recorded below.) | [ ]  Yes[ ]  No |
| **RMC 1 Name**:       | **RMC 2 Name:**       |
| *Introduction to RIM:* |       | *Introduction to RIM:* |       |
| *Using the RRS:* |       | *Using the RRS:* |       |
| *Organizing Info:*  |       | *Organizing Info:* |       |
| *Records Disposition:* |       | *Records Disposition:* |       |
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| **RMC 3 Name**:       | **RMC 4 Name:**       |
| *Introduction to RIM:* |       | *Introduction to RIM:* |       |
| *Using the RRS:* |       | *Using the RRS:* |       |
| *Organizing Info:*  |       | *Organizing Info:* |       |
| *Records Disposition:* |       | *Records Disposition:* |       |
| **RMO Comments:** At least one Records Management Coordinator from each department should attend bimonthly RMC Meetings. [Meeting notes](https://utsystemadmin.sharepoint.com/sites/RecordsCoordinators/Shared%20Documents/Forms/AllItems.aspx?csf=1&web=1&e=Y5Q9ii&cid=2634211d%2D4460%2D4f45%2Db7ec%2D3d1b804ddd37&RootFolder=%2Fsites%2FRecordsCoordinators%2FShared%20Documents%2FGeneral%2FRMC%20Meeting%20Notes&FolderCTID=0x01200067C2F1E6702C8E4D9A2CDE32DE62F3E1) are available on SharePoint for any missed RMC meetings.All RMCs should attend records management training at least once every two years. [Training classes](https://utsystemadmin.sharepoint.com/sites/RecordsManagement/SitePages/Records-Management-Training.aspx) are offered on a quarterly basis.  |
| **Department Comments (optional):**       |

**Records Disposition Activity**Activities required by HOP 4.1.6, Section 4.2(a), (d), and (e)

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| **Item #** | **Description of Program Requirement** |  | **✓ Met?** |
| **10** | At least one Records Disposition Request or Archival Records Transfer form was submitted in 2023 to request the destruction or archival transfer of eligible records. | [ ]  Yes[ ]  No |
| ***Most Recent Request:*** |       |
| **RMO Comments:** All Systems of Record (databases, file shares, and/or paper filing systems) should be reviewed at least annually for records eligible for disposition. A records disposition request is required to document the disposition of any UT System record that is not classified as “transitory information.” |
| **Department Comments (optional):**       |

**Other Comments**

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| **RMO Comments:** None |
| **Department Comments (optional):**       |

**Checklist Review by Department**

This checklist should be reviewed by the Records Management Coordinator. If any changes are needed, or if the RMC wishes to correct a deficiency, please make those changes and return the updated form to the RMO.

If you would like to meet with the RMO regarding any of the items on this checklist, please contact Angela Ossar at (512) 499-4339 or aossar@utsystem.edu.

The most current version of this checklist will be provided to this department’s Department Head on or after **February 29, 2024.**

**Retention of this Checklist**

The Records Management Officer will retain the master copy of this checklist. Any copies retained by the department should be considered convenience copies and do not need to be retained.