

RECORDS MANAGEMENT PLANNING FOR IMAGING AT THE UNT SYSTEM



UNT System • UNT • UNT Dallas



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University of North Texas System



- Overview of the UNT System
 - Institutional Records Management
 - Imaging Services
- Phases of Institutional Records Management (implementation)
- Phase 3: Records Management Planning
- Phase 4: RM Plan Validation & Implementation
- Imaging Services & ImageNow
- Collaboration: Institutional Records Management & Imaging Services

About the UNT System

- The University of North Texas System is comprised of the University of North Texas, UNT Health Sciences Center at Fort Worth and UNT at Dallas.



- More than 36,000 students are enrolled in undergraduate, graduate and professional programs.

Institutional Records Management Program



- The Institutional Records Management Program directs records and information management initiatives for the UNT System, UNT and UNT Dallas.
- Advises over 300 departments and over 8,500 employees of the UNT System, UNT and UNT Dallas on issues related to the management, retention and final disposition of records and information.
- Responsible for developing and maintaining all record retention policies and schedules, collaborating with departmental Records Management Representatives and providing ongoing training, guidance and oversight on enterprise records and information management initiatives.

The Institutional Records Management Program was launched in six phases. This phase approach has allowed the program to address critical issues together.

• **Phase 1** – Develop Records Management **Framework**

• **Phase 2** – Launch Records Management Representative (**RMRs**) Program & Training Curriculum

• **Phase 3** – Department Records Management **Planning**

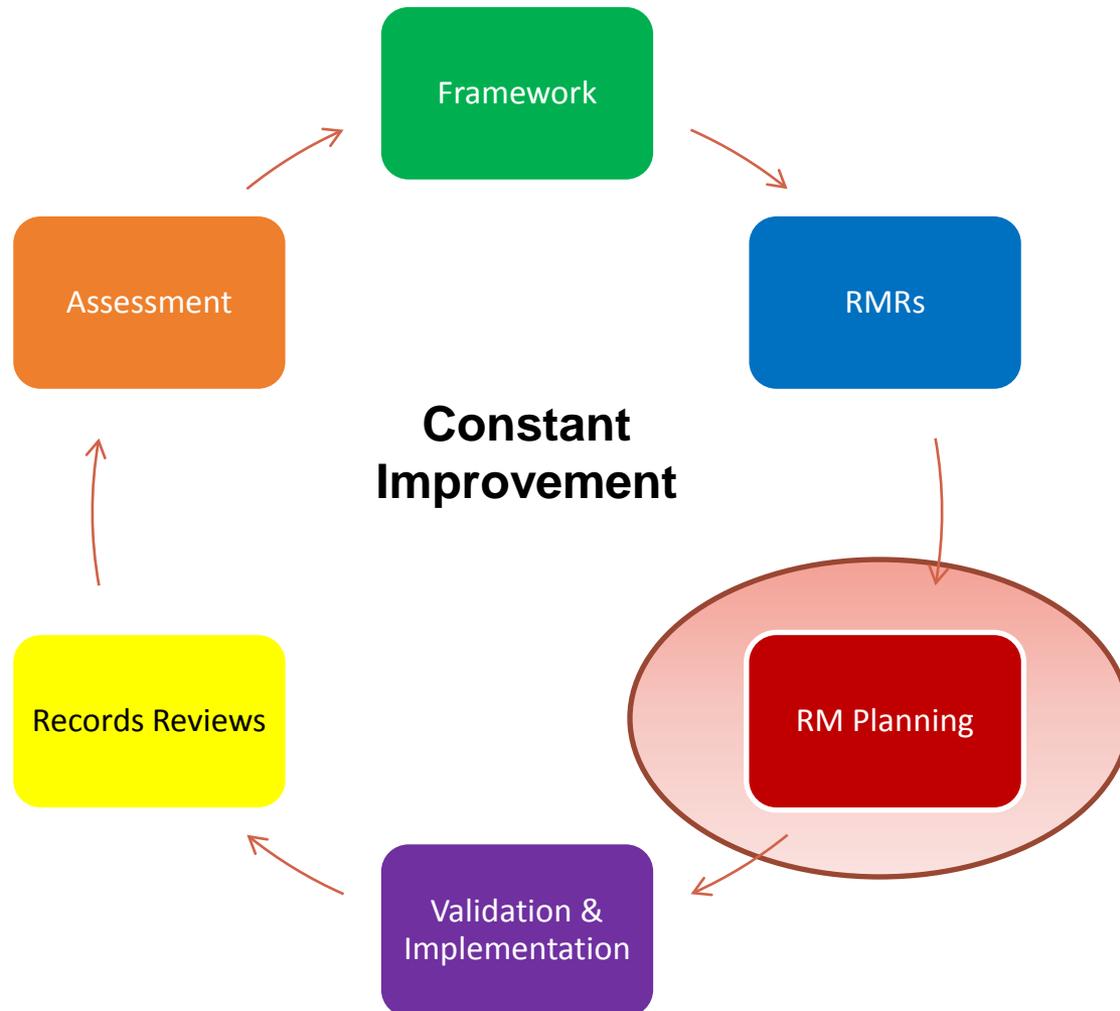
• **Phase 4** – Records Retention Policy **Validation & Implementation**

• **Phase 5** – Unit Level Records **Reviews**

• **Phase 6** – Operations & Program **Assessment**

During phases 3-4,
approved
departments begin
ImageNow
implementation

Institutional Records Management Phases



Phase 3: Records Management Plans

So, what is the Records Management Planning Process?

- *Every three (3) years, all state agencies and university systems are required to recertify their Records Retention Schedules. (Texas Administrative Code, Title 13, Chapter 6, Section 6.3)*
- *“Each records management officer, with the cooperation of any staff of a state agency that the officer considers necessary, shall survey the records of the agency and prepare and submit a records retention schedule to the state records administrator.” – Texas Government Code, 441.185(a)*
- In order to effectively comply with both Texas Administrative Code and Texas Government Code requirements, the Institutional Records Management Program has adopted the Records Management Planning Process.
- This process ensures that all departments have a clear voice in the development and updating of the records management policies that affect their operations.
- The take-away for each department is a clear understanding of what records/information it should retain – AND what it does not have to retain.

Phase 3: Records Management Plans

Enterprise Records Management Planning Tool

- A software tool that allows all components of the UNT System to develop Records Management Plans for each department or unit.
- The software is designed to allow any individual within a department (based on HR DeptID) to view and/or edit the department's Records Management Plan.
- Web-based via SharePoint:
<https://untranet.unt.edu/compliance/irmp/rmplan/default.aspx>
 - **SharePoint** front-end
 - **SQL** back-end
 - Transfers data from HR system (**PeopleSoft**) to manage permissions based on department association:
 - Chris Foster: Dept is Compliance (N12620), Chris can only see the RM Plan for the Compliance department
 - Chrisana Black: Dept is Financial Aid (N12345), Chrisana can only see the RM Plan for the Financial Aid department
 - This eliminates the need for IRMP to manually set up permissions



Enterprise Records Management Planning Tool



- Home
- Lists
 - RMP Department Exceptions
- Libraries
- Reports
- How-To Videos
 - How to Add an Item to My RM Plan
 - Using the Queues
- Records Management Action Planning
 - Add an Item to My RM Plan
 - My RM Plan
 - My Approved RM Plan Items
 - My Pending RM Plan Items
 - My "Needs Work" RM Plan Items
- RMR Directory
 - Administration (IRMP Staff)
 - Administrator View (RMP Tool)

Using the RM Plan software

The RM Plan Software is an enterprise tool that allows the UNT System and its component institutions to develop Records Management Plans for each department or unit. The software is designed to allow any individual within a department to view and/or edit the department's Records Management Plan. This is accomplished through a data connection to PeopleSoft (EIS).

A user's manual for the RM Plan Software is distributed to each department as the charter (project plan) for their RM Plan is agreed upon.

The navigation (menu) to the left side of this screen lists multiple actions that can be taken by any user. For instance, clicking on "Add an Item to My RM Plan" begins the process of identifying an item on your RM Plan. Once the item has been submitted, it will be reviewed by the Institutional Records Management Program for approval. Once approved, you will receive an email alert. If for any reason, the item is not approved and/or needs additional information - you will receive an email alert signaling you to log into this system to make changes to the item. Each of your queues (Approved, Pending Approval, and Needs Work) can be accessed from the left navigation. The display below this text also shows items that you have submitted and their respective status.

Any questions about this system and/or items that have been submitted should be directed to Chris Foster, Director of Institutional Records Management at chris.foster@unt.edu or (940) 565-4762.

My RM Plan (Options)



My Department's Records Management Plan

<input type="checkbox"/> Action	ID	Series/Policy Category	Record Series Title/Description	Total Retention Period	Approval Status	<input type="checkbox"/> Created By	DeptID for RM Plan ▾
Count= 8							
Approval Status : Approved (1)							
Count= 1							

Save
 Close
 Paste
 Copy
 Cut

Commit Clipboard

i Items on this list require content approval. Your submission will not appear in public views until approved by someone with proper rights. [More information on content approval.](#)

- Lists
- RMP Department Exceptions
- Libraries
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- Administrator View (RMP Tool)
- Recycle Bin
- All Site Content



Records Management Planning Worksheet

Records Identification Form

The Department Records Management Plan is a critical step in the implementation of the Institutional Records Management Program and is used to build/update an institution's retention policies. This plan becomes a procedural document for each department that outlines the records retained in the department.

Questions regarding this document should be directed to Chris Foster, Director of Institutional Records Management in the Office of Institutional Compliance.

Institutional Records Management Program

(940) 565-4142

records.unt.edu

records@unt.edu

Associate with a Department Records Management Plan (by DeptID)

This RM Plan item will be associated with the following DeptID:

N10200

Section 1 - Retention Policy Setup

Action	<div style="border: 1px solid #ccc; padding: 2px;">Select.. ▼</div> <p style="font-size: small; margin-top: 5px;"><i>Please select an action to describe your changes to this record series. If "Combine" is selected, please indicate in the Reason field which record series (list the item number) you are combining with.</i></p>
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Section 2 - Define/Describe Record

Retention Policy Item Number	<div style="border: 1px solid #ccc; height: 20px; margin-bottom: 5px;"></div> <p style="font-size: small; margin: 0;">*No Input Required*</p> <p style="font-size: x-small; margin: 0;"><i>This is the Internal Item Number for the record series. This number is unique and formally assigned by the Institutional Records Management Program upon adoption of this as a retention policy.</i></p>
Record Name	<div style="border: 1px solid #ccc; height: 40px; margin-bottom: 5px;"></div> <p style="font-size: x-small; margin: 0;"><i>Please list the title of the record(s) here. This can be a simple title (Timesheets) or</i></p>

- Management Action Planning
- Add an Item to My RM Plan
- My RM Plan
- My Approved RM Plan Items
- My Pending RM Plan Items
- My "Needs Work" RM Plan Items
- RMR Directory
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- Administrator View (RMP Tool)

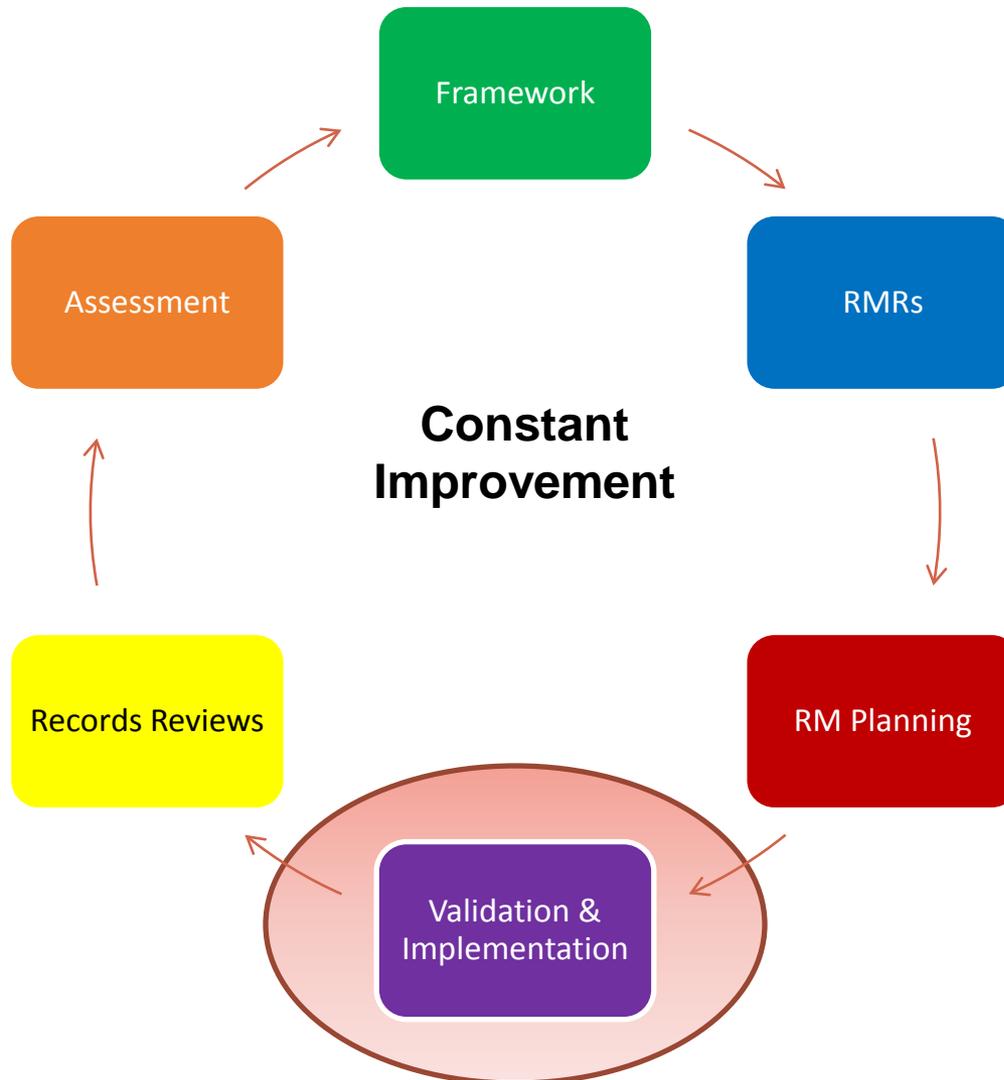
My RM Plan (Options)

My Department's Records Management Plan

Action	ID	Series/Policy Category	Record Series Title/Description	Total Retention Period	Approval Status	Created By	DeptID for RM Plan
DRAFT DATA ONLY							
Approval Status : Approved (1)							
Count= 7							
Add a Record to my RM Plan	66		Final Disposition Logs	The FDLs are retained by Compliance for 10 years	Approved	Foster, Chris	N12620
Approval Status : Pending (6)							
Count= 6							
Add a Record to my RM Plan	65		Records Retention Schedule	The RRS is retained by the IRMP permanently.	Pending	Foster, Chris	N12620
Add a Record to my RM Plan	122		Compliance Dept. Files	6 years as per Federal Sentencing Guidelines	Pending	Foster, Chris	N12620
(no title)	178		Student Admissions Files	5 years after the student graduates or leaves prog	Pending	Foster, Chris	N12620
Add a Record to my RM Plan	198		Grad Student Admissions Files	5 years after the student graduates or leaves prog	Pending	Foster, Chris	N12620
Add a Record to my RM Plan	237		Student Admissions Files (Graduate)	5 years after student leaves program	Pending	Foster, Chris	N12620

- Recycle Bin
- All Site Content

Institutional Records Management Phases



Phase 4: Validation & Implementation

Validation & Implementation of Records Management Plans

- *Records Management Plans are reviewed to ensure alignment with current RIM policies, or if no policy applies, one is developed.*
- *Approved Records Management Plans are then used to implement a department (that is approved) on ImageNow.*
 - *Records/Documents identified on the Records Management Plan turn into ImageNow “document types”.*
- *Once a Records Management Plan is approved, department begins steps for implementation across all records/information.*
- *Progress/Status Reviews begin in Phase 5*
 - *Determine status of department implementation of RM Plan*
 - *Identify roadblocks (if exist) in overall implementation and address as needed*
 - *Reviews are handled as a “friendly follow-up”, rather than an audit*

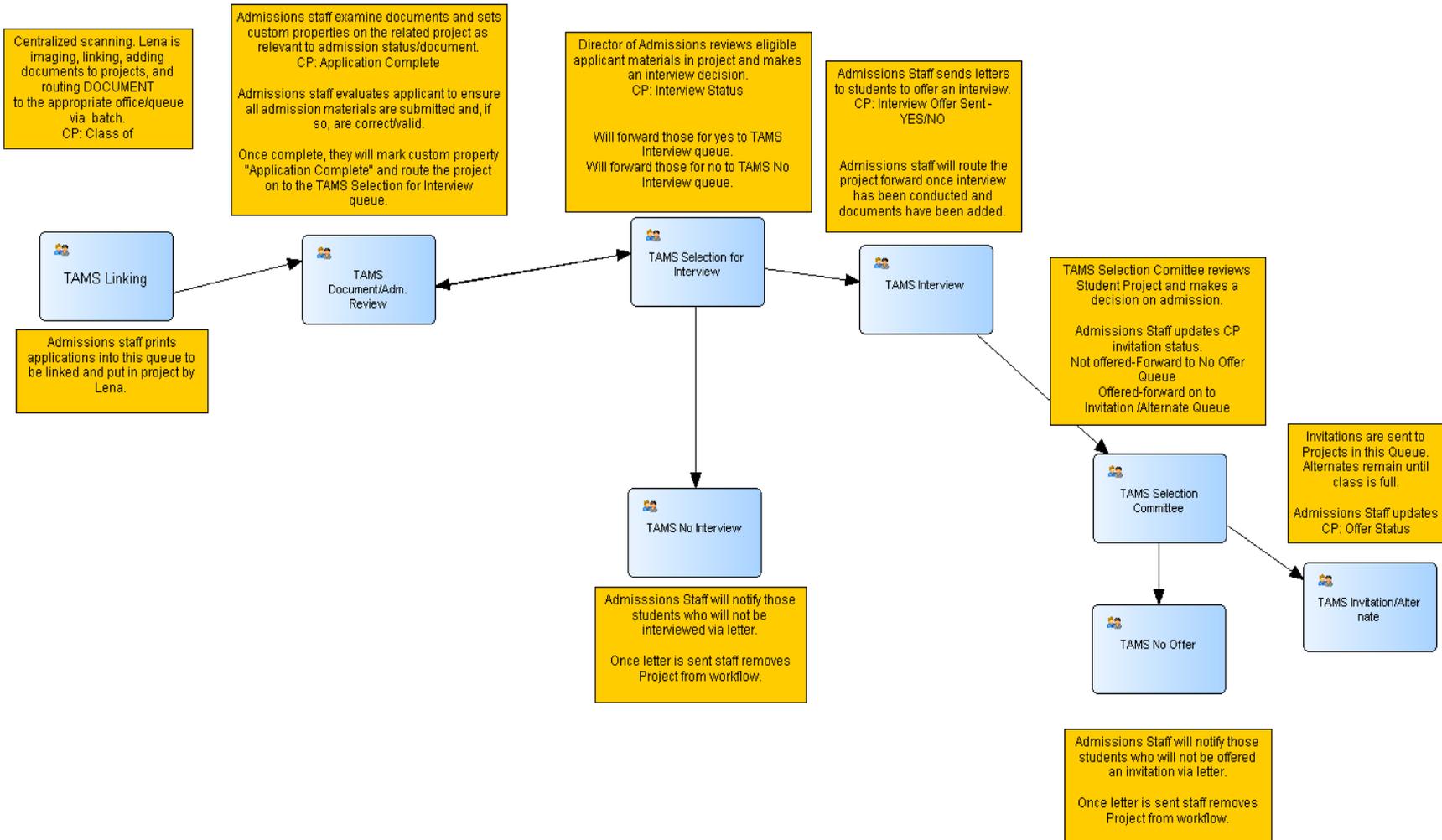
- Imaging Services provides support to all current users of ImageNow as well as new departments that are preparing for deployment.
- Coordinates all aspects of the imaging rollout, including:
 - Setup of Scanning/Capture Software
 - Workflow/QA Configuration
 - Security/Permissions
 - Assist with departmental business process management
- Collaborates with Institutional Records Management to determine document types (classification) and retention policy.

- The ImageNow system allows the UNT Denton and Dallas staff and faculty to capture, process and collaborate on important documents and information, protect data integrity throughout its life cycle and access precise content in the context of everyday business.
- The Imaging Services team is responsible for working with each department on campus to develop their imaging plan and business process model. Imaging Services then implements this plan and works hand and hand with the department to train and develop the system for future growth.
- The Imaging Services team also works as a help desk for any issues that arise within ImageNow.

Planning, Support, Implementation and Growth

- Department Planning- Each department must work with Imaging Services to evaluate their Business Process and decide the best way to utilize ImageNow within their department.
- Implementation-Imaging Services sets up the infrastructure within ImageNow including document types, security, workflow and document retention.
- Support and Growth-Imaging Services provides ongoing support and assistance as issues arise and departments work to grow their system throughout the UNT community.

Texas Academy of Mathematics and Science Admissions Workflow



Solution Design Document

ImageNow Document Types				
	<i>Document Type</i>	<i>Doc Type List Name</i>	<i>Drawers</i>	<i>Groups with Access</i>
3	TAMS College Transcript	TAMS Student	TAMS Student Centra	All
4	TAMS PSAT & SAT	TAMS Student	TAMS Student Centra	All
5	TAMS Secondary School Report	TAMS Student	TAMS Student Centra	All
6	TAMS Mid-Year Report	TAMS Student	TAMS Student Centra	All
7	TAMS Advising Worksheet	TAMS Student	TAMS Student Centra	All
8	TAMS Statements for Recommendation	TAMS Student	TAMS Student Centra	All
9	TAMS Dean Recommendation	TAMS Student	TAMS Student Centra	All
10	TAMS ACT Scores	TAMS Student	TAMS Student Centra	All
11	TAMS Research Application	TAMS Student	TAMS Student Centra	All
12	TAMS Correspondence	TAMS Student	TAMS Student Centra	All
13	TAMS SR Grad Questionnaire	TAMS Student	TAMS Student Centra	All
14	TAMS Ver of Grad	TAMS Student	TAMS Student Centra	All
15	TAMS SMI	TAMS Student	TAMS Student Centra	All
16	TAMS Application	TAMS Student	TAMS Student Centra	All
17	TAMS SAC Form	TAMS Student	TAMS Student Centra	All
18	TAMS HS Transcript	TAMS Student	TAMS Student Centra	All
19	TAMS HS Evaluations	TAMS Student	TAMS Student Centra	All
20	TAMS Residency	TAMS Student	TAMS Student Centra	All
21	TAMS Parent Signature	TAMS Student	TAMS Student Centra	All
22	TAMS Letter of Intent	TAMS Student	TAMS Student Centra	All
23	TAMS Parent Statement	TAMS Student	TAMS Student Centra	All
24	TAMS Summer Orientation	TAMS Student	TAMS Student Centra	All
25	TAMS After Prom	TAMS Student	TAMS Student Centra	All
26				
27				
28				



Drawer	Folder	Tab	Field 3
TAMS Student Cen...	10010000	Doe, John	2009 Sprng
TAMS Student Cen...	10010000	Doe, John	2009 Sprng

Properties

General Properties

Name: 10010000

Type: TAMS Student Projects

Status: Active

Custom Properties

TAMS Studen	Doe, John
TAMS Applica	Yes
TAMS Intervie	
TAMS Intervie	NO
TAMS Invitati	
TAMS Offer St	
TAMS Compc	
Edit	
TAMS Class	2012
TAMS Studen	

Collaboration: IRMP & Imaging Services



- The Institutional Records Management Program and Imaging Services collaborate on multiple issues related to the management of ImageNow:
 - Development and approval of document types (classification)
 - Implementation of department Records Management Plans in ImageNow (via Retention Policy Manager)
 - Analysis of departmental business/recordkeeping processes to avoid duplication of documents within ImageNow (i.e. all departments imaging copies of their purchase orders vs. Purchasing)
- This collaboration ensures successful management of both the ImageNow system as well as the information managed within the system.

Collaboration: IRMP & Imaging Services

- This collaboration ensures successful management of both the ImageNow system as well as the information managed within the system.
- Reduction in uncertainty in which records should be retained by which departments.
- The use of ImageNow across campus is expanding exponentially as more departments move to the idea of a “green” solution that saves money, reduces paper waste and increases efficiency and staff effectiveness. The paper expenses for some departments have been reduced by more than half.

Questions?



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