

Sample Records Guide

Department of Cupcake Arts

University of Baked Goods

Overview

This guide outlines records management procedures at the University of Baked Goods Department of Cupcake Arts. All staff members are responsible for ensuring that they follow these guidelines to ensure the efficient implementation of the University's Records Management Policy. The following guide lists records created and maintained by the department, retention periods and disposition rules, organization of records, locations of records, disaster plans, roles and responsibilities, and guidelines for destroying records or transferring them to the University Archives.

Records Retention List

Record Name	Schedule	Schedule Classification	Custodian of Record	Retention Period	Disposition
Course Schedules	Academic	Course Catalog and Schedule of Courses	Office of the Provost	Permanent	Recycle local copies after 2 years
Course Proposals	Academic	Course Proposals	Office of the Provost	Permanent	Recycle local copies after 2 years
Course Evaluations	Academic	Instructor Evaluation Forms	Department of Cupcake Arts	1 academic year	Shred

Reviews of department programs	Academic	Program development and review records	Office of the Provost	Permanent	Recycle after 2 years
Syllabi	Academic	Syllabi	Instructor	1 year	Transfer to Archives every year
Class rosters	Academic	Class rosters/lists	University Registrar	Permanent	Shred local copies after 2 years
Contact Information for Graduates	Academic	Contact Information for Graduates	University Registrar	5 years	Shred local copies after 5 years from date of graduation
Curriculum Change Authorizations	Academic	Curriculum Change Authorizations	University Registrar	5 years	Shred local copies after 2 years
Change of Course Forms	Academic	Change of Course Forms	University Registrar	10 years	Shred local copies after 2 years
Student Work	Academic	Examinations, Tests, Term Papers, Homework	Instructor	5 years	Shred after 5 years
Grade Changes	Academic	Grade changes, reports, and grade sheets	University Registrar	Keep until student graduates	Shred local copies after 2 years
Academic grievance records	Academic	Academic grievance records	Department of Cupcake Arts	5 years after student graduates	Shred
Budget files	Accounting and Finance	Budget records	Budget & Planning	7 years	Shred local copies after 1 year

Employee reimbursement records	Accounting and Finance	Employee reimbursement and vouchers	Comptroller's Office	7 years	Shred local copies after 1 year
Petty cash records	Accounting and Finance	Petty cash records	Comptroller's Office	7 years	Shred local copies after one year
Department Meeting Minutes	Not scheduled	Not scheduled	n/a	Permanent	Transfer to Archives every year
Annual Report to Provost	Not scheduled	Not scheduled	n/a	Permanent	Transfer to Archives every year
Alumni Newsletter	University Relations, Communications, and Government Relations	Publications	University Communications/ Marketing and Communications	Permanent	Posted to web and automatically archived. Recycle any paper copies and delete digital copies.
Photographs	University Relations, Communications, and Government Relations	Photographs, video, other Images	University Communications/ Marketing and Communications	Permanent	Transfer to Archives every year

Organization

Academic

General

Year

Class rosters

Course Evaluations

Course Proposals

Course Schedules

Reviews of Department Programs

Syllabi

Students

LastName, FirstName (alphabetical)

Individual records including, but not limited to: curriculum change authorizations, change of course forms, contact information for graduated students, grade changes, and academic records. These folders may also include correspondence, student work, and other student records.

Finance

Year (chronological)

Budget

Employee Reimbursement

LastName, FirstName (alphabetical)

Petty Cash

Administration

Year (chronological)

Annual Report

Department Meeting Minutes

Marketing and Communications (alphabetical)

Alumni Newsletters

Photographs

Location, Security, and Disaster Planning

Active Records

Finance records are kept in locked filing cabinets in the Business Manager's office. The Business Manager's office is accessible only to the Business Manager and the department's Administrative Coordinator. Some of these records are also kept in a centrally-managed IT system, and, while they are accessed by the department's Business Manager, the Department of Cupcake Arts is not the custodian of record and therefore does not track location, security, and disaster information for these records.

Local copies of non-student academic records are kept in a locked filing cabinet in the main administrative office by the Administrative Coordinator. The cabinet is accessible only to the Administrative Coordinator and the Chair of the Department of Cupcake Arts. Local copies of student academic records are kept in the offices of individual academic advisors, which are accessible only to them and to the Administrative Coordinator. Some of these records are also kept in a centrally-managed IT system, and, while they are accessed by the department's Academic Advisor, the Department of Cupcake Arts is not the custodian of record and therefore does not track location, security, and disaster information for these records.

Marketing and Communications records are kept in the filing cabinets of the Marketing and Events Associate whose office is accessible only to her and the Administrative Coordinator.

Unscheduled administrative records are kept in filing cabinet in the main administrative office.

All storage spaces are equipped with smoke alarms and are free of problems related to pests and flooding.

The department has an emergency phone tree in case of emergencies, which includes any emergencies that may damage records.

Inactive Records

Because the Department of Cupcake Arts does not maintain a large volume of inactive nonpermanent records, all scheduled records are kept onsite. Inactive records scheduled as permanent or deemed to have historic value are sent to the University Archives for proper storage and preservation on a regular basis as outlined above.

Roles and Responsibilities

The department head has appointed Jane Cake, Administrative Coordinator, to be the Records Management Administrator. She is responsible for maintaining the local records guide and file classification plan, and planning the department's annual records clean-up day. She is also the

records emergency main contact. Cake approves all records destruction and coordinates transfers of permanent records to the University Archives. She also maintains the records of the department's destruction of records and copies of Archives transfer forms.

The Budget Administrator, Beth Frosting, is responsible for the day-to-day management of the department's financial records. She maintains their security and destroys them according to the records schedule with the approval of Jane Cake.

The department's Academic Advisor, John Sprinkles, is responsible for the day-to-day management of the department's student records. He maintains their security, and is the only department member authorized to access student academic records kept in the University's centrally managed IT system for student academic records. He destroys student records with the approval of Jane Cake. John is also the department's alternate Records Management Administrator.

Bob Sugar, the department's Marketing and Events Coordinator, is responsible for the day-to-day management of the department's marketing and publicity records, and collaborates with Jane Cake when his records are ready to be transferred to the Archives.

Janet Butter, the department's Administrative Assistant, is responsible for the day-to-day management of administrative records and non-student academic records, destroys them with the approval of Jane Cake, and collaborates with Cake on transfer to the Archives of administrative records with historic value.

Destruction and Transfer to the Archives

All expired records are destroyed by the department. Financial and student records are shredded. All other records, not containing confidential or sensitive information, are recycled. No records are destroyed without the approval of Jane Cake, the Records Management Administrator. When a staff member responsible for a subset of records has determined that some of those records are ready to be destroyed, he/she fills out and signs the department's records destruction form and gets the approval and signature of Jane Cake before destroying the records.

When permanent records become inactive, the staff member responsible for their day-to-day management informs Jane Cake who contacts the University Archives to arrange for transfer.