University Records Management
UNIVERSITY RECORDS MANAGEMENT INITIATIVE

• **Why is this required?** As a State university, we are considered an agency under T.C.A. 10-7-301(1) and are required to follow public record laws and rules established by the Public Records Commission.

• **What is required?** The State requires each agency to annually submit a records holding report. In order to submit accurate information, University of Memphis’ faculty and staff are asked to submit an inventory of the records in their possession. The “4 Step Process” is detailed in this document.

• **What are records?** The State maintains a list of documents considered records; see the [Record Retention and Disposition Schedule](#). The University has identified commonly used records as budget and payroll documents; contracts; revenue reports; investigation files; audit reports; student exams; student files; and grants. **The comprehensive list is contained on the schedule.**
UNIVERSITY RECORDS MANAGEMENT INITIATIVE

• What records am I required to keep? University employees are required to retain and report official and original records that are created and/or maintained in their offices. This includes original records (forms, applications, etc.) that are not submitted to any other University office or external agency.

  EXAMPLES:
  
  **Invoices:** If an employee submits an invoice to the Accounting office, the invoice is the record of the Accounting office and the Accounting office is responsible for maintaining the invoice as their official record.
  
  **Grants:** If a department has grant related records, they are required to maintain as their official records.
  
  **Student files:** See list for student records.
UNIVERSITY RECORDS MANAGEMENT INITIATIVE

• **What if I submit all original documents to other University offices or an external agency?** After reviewing their files, some University employees have determined that all original documents (budget revisions, transfer vouchers, invoices, payroll forms, contracts, etc.) were submitted to other offices and the documents maintained in their offices are copies. These copies are defined as Working Papers; additional details for maintaining and recording Working Papers are included in this presentation.
**UNIVERSITY RECORDS MANAGEMENT INITIATIVE SAMPLE – BUDGET & PAYROLL DOCUMENTS***

<table>
<thead>
<tr>
<th>RECORD EXAMPLE</th>
<th>RECORD SERIES NAME</th>
<th>DISPOSITION</th>
<th>OFFICE OF RECORD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Budget revisions</td>
<td>Budget Papers</td>
<td>5 years</td>
<td>Office of Financial Planning</td>
</tr>
<tr>
<td>Transfer vouchers, journal entries, revenue reports</td>
<td>Accounting Journal Vouchers and Deposit Slips</td>
<td>5 years</td>
<td>Accounting Office and/or Financial Planning</td>
</tr>
<tr>
<td>Travel claims</td>
<td>Travel Authorization Files</td>
<td>5 years</td>
<td>Accounting Office All other offices – keep 1 year</td>
</tr>
<tr>
<td>Invoices</td>
<td>Fiscal Administrative Documents</td>
<td>5 years</td>
<td>Accounting Office</td>
</tr>
<tr>
<td>Payroll Adjustments forms</td>
<td>Attendance and Leave Records</td>
<td>5 years</td>
<td>Payroll Office</td>
</tr>
<tr>
<td>Vendor contracts</td>
<td>Contracts</td>
<td>6 years</td>
<td>Procurement &amp; Contract Services/Division of Research and Innovation/Conference &amp; Event Services</td>
</tr>
</tbody>
</table>

*A comprehensive list of all records is contained on the Record Retention and Disposition Schedule.*
### UNIVERSITY RECORDS MANAGEMENT INITIATIVE
**SAMPLE – STUDENT RECORDS - ALL DEPARTMENTS**

<table>
<thead>
<tr>
<th>RECORD EXAMPLE</th>
<th>RECORD SERIES NAME</th>
<th>DISPOSITION</th>
</tr>
</thead>
<tbody>
<tr>
<td>General student emails that simply request or provide information</td>
<td>Temporary Record</td>
<td>Delete as soon as a reply is given or received</td>
</tr>
<tr>
<td>Emails from/to students related to appeals, disciplinary actions, complaints, grades, etc.</td>
<td>Student Information Records</td>
<td>5 years</td>
</tr>
<tr>
<td>Student applications and forms unrelated to employment or enrollment</td>
<td>Student Information Records</td>
<td>5 years</td>
</tr>
<tr>
<td>Classroom rolls</td>
<td>Student Information Records</td>
<td>Maintained in Banner - Registrar</td>
</tr>
<tr>
<td>Student advising</td>
<td>Student Information Records</td>
<td>5 years</td>
</tr>
<tr>
<td>Student exams (non-accreditation files)**</td>
<td>Student Information Records</td>
<td>See Below</td>
</tr>
<tr>
<td>Student exams (accreditation files)</td>
<td>Accreditation</td>
<td>Retain for 10 years or mandate</td>
</tr>
<tr>
<td>Student department files</td>
<td>Student Information Records</td>
<td>5 years</td>
</tr>
</tbody>
</table>

*A comprehensive list of all records is contained on the [Record Retention and Disposition Schedule](#).*

**Hold student exams until further clarification from Graduate School and Office of Student Accountability.**
# UNIVERSITY RECORDS MANAGEMENT INITIATIVE

**SAMPLE – HUMAN RESOURCES, GRANTS, & RESEARCH**

<table>
<thead>
<tr>
<th>OFFICE RECORD EXAMPLE</th>
<th>RECORD SERIES NAME</th>
<th>DISPOSITION</th>
</tr>
</thead>
<tbody>
<tr>
<td>Search Committee files</td>
<td>Employment Applications – Not Selected Candidates</td>
<td>5 years – All holders of those documents</td>
</tr>
<tr>
<td>Grant files</td>
<td>Grants</td>
<td>Departments should maintain grants records for the following document types, purchasing card statements; program reports; interim reports; and final reports 5 years from the date the final financial report is submitted to the sponsor and/or any other mandates of the grant.</td>
</tr>
<tr>
<td>Grant applications – unsuccessful</td>
<td>Unsuccessful Grant Applications</td>
<td>5 years and destroy – Office of Research Support</td>
</tr>
<tr>
<td>Research</td>
<td>Research Records</td>
<td>10 years and destroy and/or other mandate</td>
</tr>
<tr>
<td>Accreditation files</td>
<td>Accreditation Records</td>
<td>10 years and/or mandate of the accrediting body</td>
</tr>
</tbody>
</table>

*A comprehensive list of all records is contained on the Record Retention and Disposition Schedule.*
## UNIVERSITY RECORDS MANAGEMENT INITIATIVE
### SAMPLE – ALL DEPARTMENTS*

<table>
<thead>
<tr>
<th>OFFICE RECORD EXAMPLE</th>
<th>RECORD SERIES NAME</th>
<th>DISPOSITION</th>
</tr>
</thead>
<tbody>
<tr>
<td>Applications or forms– not related to enrollment nor employment</td>
<td>Administrative Documents - Internal Policies and Procedures</td>
<td>5 years</td>
</tr>
<tr>
<td><strong>Copies</strong> of invoices, budget revisions, payroll forms, and transfer vouchers</td>
<td>Working Papers</td>
<td>1 year and destroy</td>
</tr>
<tr>
<td>Handwritten messages, non-critical emails (informational/promotional)</td>
<td>Temporary Records</td>
<td>Destroy when no longer useful</td>
</tr>
</tbody>
</table>

*A comprehensive list of all records is contained on the [Record Retention and Disposition Schedule](#).
UNIVERSITY RECORDS MANAGEMENT PROGRAM – REFERENCE MATERIALS ARE NOT RECORDS

• Almanacs
• Bibliographies
• Indexes
• Atlases
• Handbooks
• TCA Books
• Blue Books
• Directories
• Encyclopedias
• Dictionaries
• Catalogs
• Trade Journals
• Periodicals
UNIVERSITY RECORDS MANAGEMENT INITIATIVE
STEP 1 - INSPECT RECORDS

• Physically inspect the files and record essential information.

• Systematically survey any areas where records might be stored such as offices, storage areas, and off-site storage locations. Look for records in all media including maps, audio-visual materials, and electronic records. Focus on your area’s business processes. Business processes are where records are created.

NOTE: Locating and determining appropriate records will be the most time consuming and important aspect of the entire process.
UNIVERSITY RECORDS MANAGEMENT INITIATIVE
STEP 2 – DOCUMENT RECORDS

Use the Record Retention and Disposition Schedule to complete the Records Inventory form. Document the following information on the form.

- **Location**: Where are the documents physically located?  
  *For example*: someone's office or off-campus location
- **Records Series Title & No.**: What is the record name?  
  *For example*: temporary records, contracts, etc.
- **Records Description**: What is included in the file?  
  *For example*: animal care grant invoices
- **Original or Duplicate**:  
  *For example*: Is the record an original document or duplicate
- **Type of Media**: What is the format?  
  *For example*: paper, microfilm, electronic, video, etc.
- **Confidential**:
- **Vital Record**: Are these documents needed for disaster recovery purposes or to protect rights and interests?
- **Volume**: What is the current volume in feet or inches or electronic storage?  
  *For example*: 2 cubic feet or 2 GB
- **Dates of Record**: What is the date span?  
  *For example*: 1992-1999
- **Retention Period**: The retention period is provided on the Record Retention and Disposition Schedule
UNIVERSITY RECORDS MANAGEMENT INITIATIVE

STEP 2 - DOCUMENT RECORDS

Use the Records Inventory form to document records in your possession. The Volume of Records Measurement Guide is included.

The records series can be found on the Record Retention and Disposition Schedule. Select “All Departments” or “Academic Departments” on the Record Retention and Disposition Schedule to see commonly used record series types.
UNIVERSITY RECORDS MANAGEMENT INITIATIVE

STEP 2 – DOCUMENT RECORDS

USING THE RECORDS INVENTORY WORKSHEET:

<table>
<thead>
<tr>
<th>Location of Records</th>
<th>Record Series Title &amp; No.</th>
<th>Records Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Office file cabinet</td>
<td>Grants</td>
<td>contracts &amp; invoices</td>
</tr>
</tbody>
</table>

- **Location of Records**: Provide the physical location, 367 Administration Bldg or 4752 Tiger Ln, etc.
- **Records Series Title**: Use the [Record Retention and Disposition Schedule](#) to match the documents in your possession with the applicable records series; see example above. For example: **Indicate Working Papers** when you have kept a copy of an original document submitted to another University office or external agency.
- **Records Description**: Once the record series title is determine, provide a description of your records.
UNIVERSITY RECORDS MANAGEMENT INITIATIVE
STEP 2 - DOCUMENT RECORDS

<table>
<thead>
<tr>
<th>Original or Duplicate File</th>
<th>Type of Media</th>
<th>Confidential Yes or No</th>
<th>Vital Record</th>
</tr>
</thead>
<tbody>
<tr>
<td>original</td>
<td>paper</td>
<td>no</td>
<td>no</td>
</tr>
</tbody>
</table>

- **Original or Duplicate File:** Indicate if records are originals or duplicates/copies.
- **Type of Media:** Indicate if the records are paper, microfiche, or electronic.
- **Confidential or Sensitive:** Indicate if the records contain sensitive (SSNs) or confidential information.
- **Vital Record:** Indicate if documents needed for disaster recovery purposes or to protect rights and interests.
• **Volume**: Use the volume guide to determine total # of records for both electronic and paper. For example, one file cabinet of letter files is equivalent to 1.6 cubic feet (cf). To determine total electronic storage utilized for records stored on your computer, right click on the folder name and then click Properties. Information Technology Service LSPs can also assist with providing the volume for electronic storage.

• **Dates of Records**: Look at the earliest record to determine “From” date and the latest record for “To”. For example, earliest record date is 1980 and the latest is 2018. Enter those dates.

• **Retention Period**: Use the retention period listed on the [Record Retention and Disposition Schedule](#) in this section.
UNIVERSITY RECORDS MANAGEMENT INITIATIVE
STEP 3 – RECORDS SUBMITTALS

• Once the inventory form is complete, total paper documents and electronic documents, **DO NOT** include Working Papers, Temporary Records or records that need to be destroyed in the totals.

• Submit totals in the **online application** by providing the following:
  • Department Name
  • Contact Person Name, E-Mail Address, and Phone Number
  • Records By Media Category
    • Total Paper Documents (in cubic feet)
    • Microfilm and/or Microfiche (in cubic feet)
    • CDs & DVDs (# of disks)
    • Magnetic/Optical Disks (in cubic feet)
    • Server Storage (Total #; then identify GB or TB)

• Send Records Inventory form to lcurry@memphis.edu.
UNIVERSITY RECORDS MANAGEMENT INITIATIVE
FOR YOUR INFORMATION

• For documents that exists in both paper and electronic form, the electronic version of the document is considered the official document. The paper version is a duplicate and can be destroyed.

• The following documents **SHOULD NOT** be included in totals for the Records Holding Report:
  • Working Papers or Temporary Records;
  • records scheduled for destruction;
  • copies;
  • reference materials;
  • personal documents;
  • empty file drawers and/or
  • **ALL** documents on your computer

• Departments are allowed to submit a compiled report for all individuals in the department.
UNIVERSITY RECORDS MANAGEMENT INITIATIVE
STEP 3 — RECORDS SUBMITTALS

1. Submit the information complied on your paper Records Inventory form by March 31 (9 month faculty)* and May 31 (all other faculty and staff) in the online application.

2. Send your Records Inventory form via email to lcurry@memphis.edu or deliver to 367 Administration Building.

*All 9 month faculty have the option to submit their records reports by May 31.
• Each University office has the primary legal responsibility for the proper care and management of its records
• No records are to be destroyed or otherwise disposed by University employees on their own initiative until the minimum retention period has elapsed
• Destruction requests should be submitted on the Records Disposal and Authorization Form
UNIVERSITY RECORDS MANAGEMENT INITIATIVE

RESOURCES

For additional questions, please see the Records Management Program website or contact Ladonnal Curry at lcurry@memphis.edu or 901-678-0410.

- Record Retention & Disposition Schedule
- Records Inventory Form
- Annual Records Holding Report
- Records Management Training: Register in Learning Curve