University Records Management – New User Guide
UNIVERSITY RECORDS MANAGEMENT

• **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.

• **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.
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.
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.
<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</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</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](#).*
<table>
<thead>
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<th>RECORD EXAMPLE</th>
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</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,</td>
<td>Student Information Records</td>
<td>5 years</td>
</tr>
<tr>
<td>grades, etc.</td>
<td></td>
<td></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 (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.*

**Student exams (non-accreditation) should be kept for one full academic year to respond to any grade appeals. The grade is the actual record. For academic integrity issues, the exams or paper should be submitted to the Office of Student Accountability to maintain.
## 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>Copies 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>
<tr>
<td>Employee Leave Requests (submitted via email or paper)</td>
<td>Attendance and Leave Records</td>
<td>5 years</td>
</tr>
</tbody>
</table>

*A comprehensive list of all records is contained on the Record Retention and Disposition Schedule.*
UNIVERSITY RECORDS MANAGEMENT
REFERENCE MATERIALS ARE NOT RECORDS

- Almanacs
- Bibliographies
- Indexes
- Atlases
- Handbooks

- TCA Books
- Blue Books
- Directories
- Encyclopedias
- Dictionaries

- Catalogs
- Trade Journals
- Periodicals
UNIVERSITY RECORDS MANAGEMENT
RECORDS INVENTORY PROCESS

• 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.
In reviewing records, document the following information.

- **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
What's New? The new process will require information previously submitted on the paper form to be inputted in the new electronic records inventory system.
Log-in to access the system.
UNIVERSITY RECORDS MANAGEMENT
RECORDS INVENTORY SYSTEM

Available options are to “Enter/Edit Records” or “Certify Records”

“Certify Records” function is only required once a year on or by June 30.

UNIVERSITY OF MEMPHIS RECORDS INVENTORY
For details regarding the fields, hover cursor above the question marks.

• Submit and Add New Record – Select if adding more records.

• View Disposed Records – indicate yes or no (this question is for future records review). If records are being disposed at the time of entry of the record, respond “yes” in this space.

• Clear Form – Select to remove all information from the form.
For details regarding the fields, hover cursor above the question marks.

• Disposed – indicate yes or no. If records are being disposed at the time of entry of the record, respond “yes” in this space.
  • NOTE: If you have a record series that spans several years and you are only disposing of a particular year, indicate the date of those records disposed. As you will need to keep the other records in the system until the time of disposal.

• Sensitive – indicate yes or no (ex. SSNs, birthdates, etc.)

• Dates of Records – indicate the month and four-digit year (ex. 08-2021)
UNIVERSITY RECORDS MANAGEMENT
RECORDS INVENTORY SYSTEM

- Physical Location – list the room and room number where the documents are physically stored.
- Records Series Title & No. – use the dropdown menu to determine the appropriate series related to your records.
UNIVERSITY RECORDS MANAGEMENT TRAINING
RECORDS INVENTORY SYSTEM

- Retention Period – This field is automatically populated based on the “Record Series Title” selected.
- Vital Record – Indicate if the record is vital. To determine if it is a vital record, ask yourself, “if your office was destroyed by a fire or natural disaster, would this document be needed to restart operations?”
- Confidential – Indicate if the record is confidential.
- Active/Inactive – Indicate active if the record was used within the last 6 – 12 mos. Inactive records are those not used within the past year.
- Original/Duplicate – Indicate if the record is the original document and not one that has been submitted to another internal office or external agency.
• Type of Media – Indicate if the record is paper, CD, USB, etc.

• Volume – Provide the volume of the media.

• Unit of Measure – Indicate the unit of measure (paper, MB, or GB)
• Records Description – Provide the description of your records (ex. AY2018 student advising files)
• Records Description – Provide description of your records (ex. AY2018 student advising files)
Available options are to “Enter/Edit Records” or “Certify Records”

“Certify Records” is only required once a year on or by June 30.
UNIVERSITY OF MEMPHIS RECORDS INVENTORY

NAME OF SUBMITTER: Ladonna Curry

DIVISION/DEPARTMENT: Chief Financial Officer

DATE: 04/07/2021

You responded with 'I have reviewed and submitted official records' for 2021 on 2021-06-01.

You can change your selection below:

- [ ] I have reviewed and submitted my official record documents.
- [ ] I have reviewed my documents but do not have any official records.

[Submit] [Return to Main Menu]
UNIVERSITY RECORDS MANAGEMENT

THINGS TO REMEMBER

• Once all information is entered, click to “Submit and a New Record to save the document and/or enter a new record.

• The form can be cleared if needed to start over.

• If changes are needed to the newly created record, make the necessary changes and select “Update the Record” to save the changes. **Please Note: The dates and/or volume are the only updates allowed.**

• If it is determined that the record is not needed or entered in error, select “Delete the Record” to discard those changes. Deleted records cannot be restored. **Do NOT** use the delete button if you are planning and/or have disposed of the record.

• Certify records annually by June 30. If no official records, please certify records as such.

• “Disposed” should be selected for any record scheduled for and/or destroyed per the State of Tennessee mandate regarding the proper disposal of records.
• 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. Copies can be destroyed without a request.

• Destruction requests should be submitted on the Records Disposal and Authorization Form and will require approvals from department head and Provost/Vice President and University Records Officer.
UNIVERSITY RECORDS MANAGEMENT RESOURCES

For additional questions, please see the [Records Management Program](mailto:Records Management Program) website or contact Ladonnal Curry at [lcurry@memphis.edu](mailto:lcurry@memphis.edu) or 901-678-2121.

[Record Retention & Disposition Schedule](#)

Records Management Training: Register in [Learning Curve](#)