UNIVERSITY RECORDS MANAGEMENT TRAINING

WHAT IS RECORDS MANAGEMENT?

- 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.

- The University’s Records Management Program allow us to:
  - demonstrate regulatory compliance with State of Tennessee laws
  - document our management decisions
  - provide a historical reference of transactions and events
  - enhance our organization's operational efficiencies
  - provide litigation support
  - preserve the University’s institutional memory
UNIVERSITY RECORDS MANAGEMENT TRAINING
WHAT IS REQUIRED?

• 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 maintain official records and submit an inventory of the records in their possession. Additionally, each University office has the primary legal responsibility for the proper care and management of its records.
WHAT ARE RECORDS?

Records are the evidence of what the organization does. They capture its business activities and transactions such as contract negotiations, business correspondence, personnel files, and financial statements, just to name a few.
UNIVERSITY RECORDS MANAGEMENT TRAINING

WHAT ARE RECORDS?

• The State maintains a list of documents considered records; see the Records Disposition Authorization 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.
COMMON RECORD TYPES
What are Working Papers........

According to the TCA § 10-7-301 (14) “Working papers” means those records created to serve as input for final reporting documents, including electronic data processed records, and/or computer output microfilm, and those records which become obsolete immediately after agency use or publication.

- Duplicates
- Preliminary drafts and similar materials
- Transmittal letters or cover sheets
- Reproduced or published material from other offices
- Stocks of publications (reports, brochures, plans, etc.) and forms, agendas, minutes
What are Temporary Records.....

According to the TCA § 10-7-301(13) “Temporary Records are material which can be disposed of in a short period of time as being without value in documenting the function of an agency.

These records are only considered records in that they are notes and/or communication media and may include: handwritten messages/notes; text messages; email messages; voicemail, and correspondence.
### UNIVERSITY RECORDS MANAGEMENT TRAINING

#### COMMON RECORD TYPES – BUDGET & PAYROLL

<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</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>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 [Records Disposition Authorization Schedule](#).*
## UNIVERSITY RECORDS MANAGEMENT TRAINING
### COMMON RECORD TYPES – STUDENT RECORDS

<table>
<thead>
<tr>
<th>RECORD EXAMPLE</th>
<th>RECORD SERIES NAME</th>
<th>DISPOSITION</th>
</tr>
</thead>
<tbody>
<tr>
<td>General emails from/to students unrelated to disciplinary actions or complaints</td>
<td>Student Information Records</td>
<td>5 years</td>
</tr>
<tr>
<td>Student applications and forms unrelated to employment</td>
<td>Administrative Documents – Internal Policies and Procedures</td>
<td>5 years</td>
</tr>
<tr>
<td>Classroom rolls</td>
<td>Student Information Records</td>
<td>5 years – Maintained by 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>1 year**</td>
</tr>
<tr>
<td>Student exams (accreditation files)</td>
<td>Accreditation</td>
<td>Permanent – New Requirement</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 [Records Disposition Authorization 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 TRAINING

#### COMMON RECORD TYPES – GRANTS, RESEARCH, ETC.

<table>
<thead>
<tr>
<th>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; TRAINING 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 Records Disposition Authorization Schedule.*
<table>
<thead>
<tr>
<th>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 [Records Disposition Authorization Schedule](#).*
UNIVERSITY RECORDS MANAGEMENT TRAINING

Physical Records • Paper • Microfilm • Microfiche • Videos • Photographs
Electronic Records • Servers • Computer files • Documents on a collaborative workspace • CD/DVD

If an official record is maintained in the format(s) listed above, it is considered a record regardless of the format.
NON-RECORD TYPES
UNIVERSITY RECORDS MANAGEMENT TRAINING
REFERENCE MATERIALS

• Almanacs
• Bibliographies
• Indexes
• Atlases
• Handbooks
• TCA Books
• Directories
• Encyclopedias

• Dictionaries
• Catalogs
• Trade Journals
• Periodicals

Please Note: The listed items and any other reference type materials ARE NOT considered records.
UNIVERSITY RECORDS MANAGEMENT TRAINING

RECORDS MAINTENANCE

• 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 TRAINING RECORDS MAINTENANCE

Log-in to access the system.
Available options are to “Enter/Edit Records” or “Certify Records”

“Certify Records” function is only required once a year on or by May 31.
UNIVERSITY RECORDS MANAGEMENT TRAINING

RECORDS INVENTORY SYSTEM

NAME OF SUBMITTER:  Ladonna Curry

DIVISION/DEPARTMENT:  Chief Financial Officer

DATE:  04/07/202

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)
• 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**

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Retention Period</td>
<td>This field is automatically populated based on the “Record Series Title” selected.</td>
</tr>
<tr>
<td>Vital Record</td>
<td>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?”</td>
</tr>
<tr>
<td>Confidential</td>
<td>Indicate if the record is confidential.</td>
</tr>
<tr>
<td>Active/Inactive</td>
<td>Indicate active if the record was used within the last 6 – 12 mos. Inactive records are those not used within the past year.</td>
</tr>
<tr>
<td>Original/Duplicate</td>
<td>Indicate if the record is the original document and not one that has been submitted to another internal office or external agency.</td>
</tr>
</tbody>
</table>

• 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.
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• Original/Duplicate – Indicate if the record is the original document and not one that has been submitted to another internal office or external agency.
UNIVERSITY RECORDS MANAGEMENT TRAINING
RECORDS INVENTORY SYSTEM

- 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)
UNIVERSITY RECORDS MANAGEMENT TRAINING
RECORDS INVENTORY SYSTEM

- 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 May 31.
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.
UNIVERSITY RECORDS MANAGEMENT TRAINING

RECORDS MAINTENANCE

• 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 May 31. 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.
FREQUENTLY ASKED QUESTIONS
Should I keep HR related records in my office? Departments are discouraged from maintaining employee records within their areas. Since HR is considered the official custodian of employee records, any documents that are not housed in HR are not considered part of the employee record. However, notes regarding performance to be used in evaluations or employee issues that will be later used to present to HR to discuss possible discipline should be kept by the department. Until such time as the documents are used to either complete the evaluation or discipline is actually imposed on the employee, all discipline documents should be turned over to HR for back-up documentation on discipline.
Should I keep student exams?
Student exams (non-accreditation) are to 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.
I submit all original forms and invoices to other offices and only maintain copies. Should I submit a report if I don’t have any original records?

If you are not keeping any Working Papers or Temporary Records, you will not submit the Records Inventory form, but you will need to enter “0” in the totals for the online report.
Should I keep Grant files?
Departments should maintain grants and research records for the following document types:
• Purchasing card statements (keep 5 years from the submittal date to the sponsor)
• Interim reports,
• Final reports, and
• Program reports

Grants and Contract Services is the official office of record for financial records (invoices), but NOT purchasing cards. The department must maintain the purchasing card records.

The Office of Research Support Services will maintain any contract related records.
How long should I keep purchasing card (p-card) records?

If your p-card records are not related to a grant, records for Fiscal Year 2014 should have been destroyed in 2020. Any records submitted and created in the Regions or US Bank systems from Fiscal Year 2015 and beyond are maintained by The Office of Procurement and Contract Services.

PLEASE NOTE: P-card records related to a grant should be kept for 5 years from the submittal date to the sponsor, unless it is a federal grant with different stipulations.
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. NEVER dispose of documents (papers, file folders, etc.) containing social security numbers or any confidential information without shredding. All confidential paper documents MUST be disposed by cross-cut shredding. Destruction requests should be submitted on the Records Disposition Authorization form and will require approvals from department head and Provost/Vice President and University Records Officer.
Destruction requests are submitted on the Records Disposition Authorization Form. The request is contained in Etrieve housed on myMemphis.edu/Employee Tab/Electronic Forms section. This request requires approvals from the approving authority (department head), Provost/Vice President and University Records Officer.
UNIVERSITY RECORDS MANAGEMENT TRAINING

RECORDS REMINDERS

• For documents that exist 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.

• Records Holding Reports are due on or by May 31.

• The following documents **SHOULD NOT** be included in totals for the Records Holding Report:
  • working papers;
  • 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 TRAINING

RECORDS RESOURCES

- New Records Inventory System
- New Electronic Records Inventory System – Step-by-Step Guide [PDF]
- New Electronic Records Inventory System – Quick Guide [PDF]
- University Records Management – New User Guide [PDF]
- University Records Management Program Policy
- Retention and Disposition Schedule
- Requirements for Destruction of University Records
- Records Disposal Request and Authorization Form [DocuSign Form] [SAMPLE]
- University Records Center Box Label [PDF]
- Public Records and Forms Standing Committee
- Learning Curve
For additional questions, please see the Records Management Program website or contact Ladonnal Curry at lcurry@memphis.edu or 901-678-2121.

Record Retention & Disposition Schedule

Records Management Training: Register in Learning Curve