



# University Records Management – Refresher 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 maintain official records and submit an inventory of the records in their possession.
- **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.**

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# UNIVERSITY RECORDS MANAGEMENT



- **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.

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# UNIVERSITY RECORDS MANAGEMENT

- **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.



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# UNIVERSITY RECORDS MANAGEMENT

**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.**

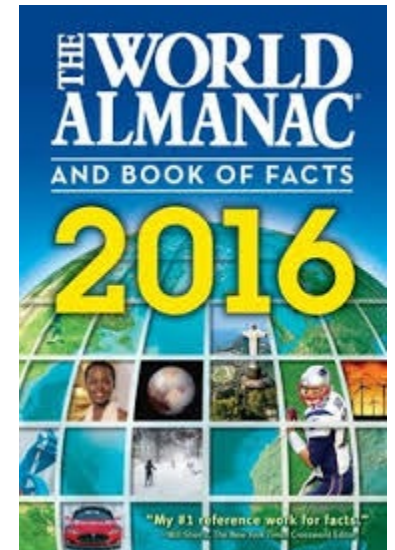


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# UNIVERSITY RECORDS MANAGEMENT

## REFERENCE MATERIALS **ARE NOT** RECORDS

- Almanacs
- Bibliographies
- Indexes
- Atlases
- Handbooks
- TCA Books
- Blue Books
- Directories
- Encyclopedias
- Dictionaries
- Catalogs
- Trade Journals
- Periodicals



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# UNIVERSITY RECORDS MANAGEMENT

## SAMPLE – BUDGET & PAYROLL DOCUMENTS\*

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

\*A comprehensive list of all records is contained on the [Records Disposition Authorization Schedule](#).

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# UNIVERSITY RECORDS MANAGEMENT INITIATIVE

## SAMPLE – STUDENT RECORDS - ALL DEPARTMENTS\*

RECORD EXAMPLE	RECORD SERIES NAME	DISPOSITION
General student emails that simply request or provide information	Temporary Record	Delete as soon as a reply is given or received
Emails from/to students related to appeals, disciplinary actions, complaints, grades, etc.	Student Information Records	5 years
Student applications and forms unrelated to employment or enrollment	Student Information Records	5 years
Classroom rolls	Student Information Records	Maintained in Banner - Registrar
Student advising	Student Information Records	5 years
Student exams (accreditation files)**	Accreditation	Permanent – New Requirement
Student department files	Student Information Records	5 years

\*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.

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# UNIVERSITY RECORDS MANAGEMENT INITIATIVE

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

OFFICE RECORD EXAMPLE	RECORD SERIES NAME	DISPOSITION
Search Committee files	Employment Applications – Not Selected Candidates	5 years – All holders of those documents
Grant files	Grants	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.
Grant applications – unsuccessful	Unsuccessful Grant Applications	5 years and destroy – Office of Research Support
Research	Research Records	10 years and destroy and/or other mandate
Accreditation files	Accreditation Records	10 years and/or mandate of the accrediting body

\*A comprehensive list of all records is contained on the [Records Disposition Authorization Schedule](#).

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# UNIVERSITY RECORDS MANAGEMENT INITIATIVE

## SAMPLE – ALL DEPARTMENTS\*

OFFICE RECORD EXAMPLE	RECORD SERIES NAME	DISPOSITION
Applications or forms– not related to enrollment nor employment	Administrative Documents - Internal Policies and Procedures	5 years
<b>Copies</b> of invoices, budget revisions, payroll forms, and transfer vouchers	Working Papers	1 year and destroy
Handwritten messages, non-critical emails (informational/promotional)	Temporary Records	Destroy when no longer useful
Employee Leave Requests (submitted via email or paper)	Attendance and Leave Records	5 years
*A comprehensive list of all records is contained on the <a href="#">Records Disposition Authorization Schedule</a> .		

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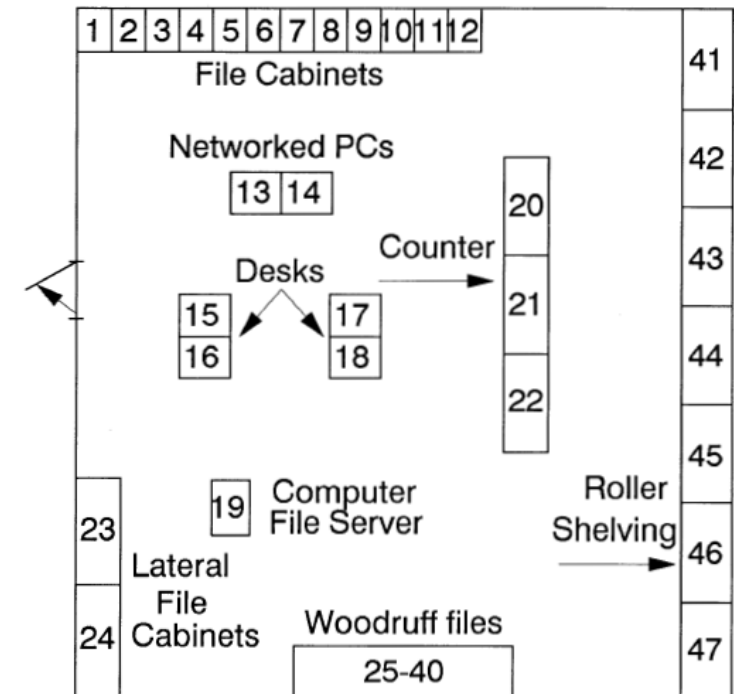
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# UNIVERSITY RECORDS MANAGEMENT RECORDS INVENTORY PROCESS

- **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.

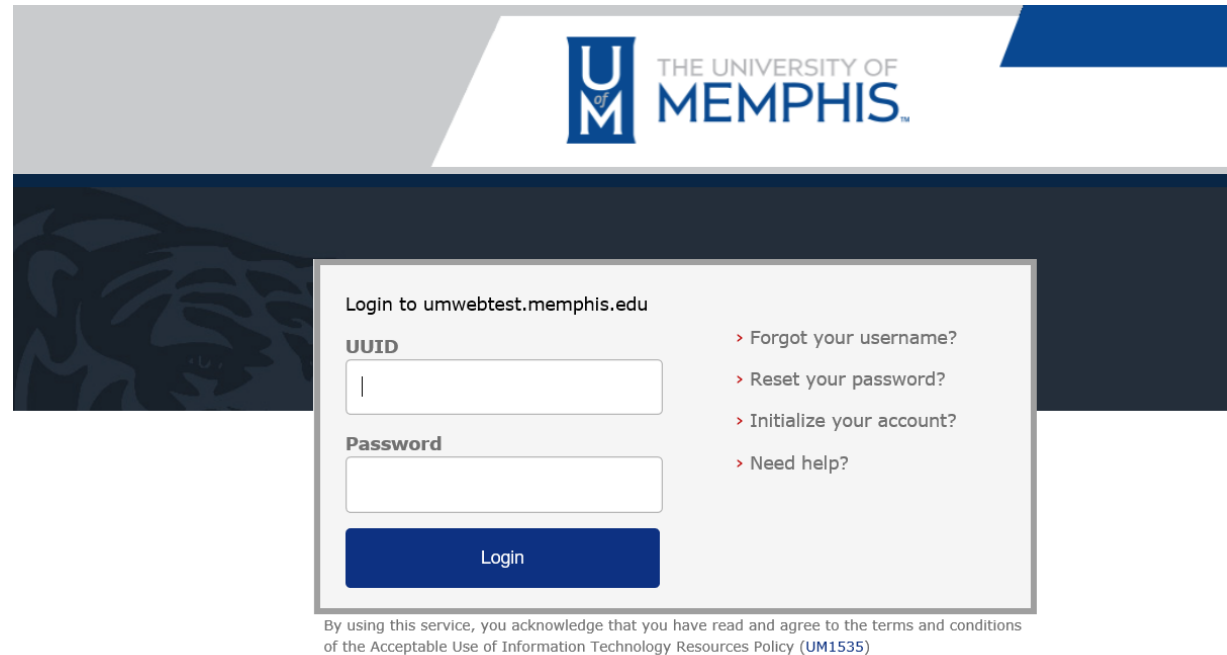
**NOTE:** Locating and determining appropriate records will be the most time consuming and important aspect of the entire process.

Sample Office Map



# UNIVERSITY RECORDS MANAGEMENT RECORDS INVENTORY SYSTEM

[Log-in](#) to access the system.



The screenshot shows a web browser window with the University of Memphis logo at the top. The main content area is dark blue with a tiger head graphic on the left. A white login box is centered, containing the text "Login to umwebtest.memphis.edu". Below this are two input fields: "UUID" and "Password". To the right of the input fields are four links: "> Forgot your username?", "> Reset your password?", "> Initialize your account?", and "> Need help?". A blue "Login" button is at the bottom of the input fields. Below the login box, there is a small line of text: "By using this service, you acknowledge that you have read and agree to the terms and conditions of the Acceptable Use of Information Technology Resources Policy (UM1535)".

Login to umwebtest.memphis.edu

UUID

Password

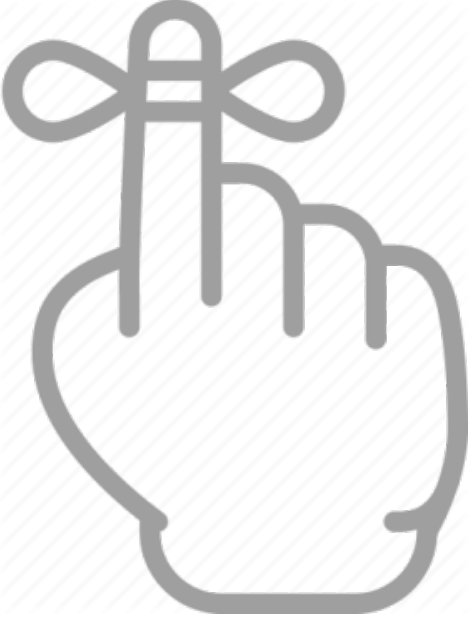
Login

> Forgot your username?  
> Reset your password?  
> Initialize your account?  
> Need help?

By using this service, you acknowledge that you have read and agree to the terms and conditions of the Acceptable Use of Information Technology Resources Policy (UM1535)

# UNIVERSITY RECORDS MANAGEMENT

## THINGS TO REMEMBER

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- 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.

# UNIVERSITY RECORDS MANAGEMENT

## DESTRUCTION REQUESTS



- 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 Disposition Authorization Form](#) and will require approvals from department head and Provost/Vice President and University Records Officer.

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# UNIVERSITY RECORDS MANAGEMENT



- **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**

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# UNIVERSITY RECORDS MANAGEMENT RESOURCES

For additional questions, please see the [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](#)

