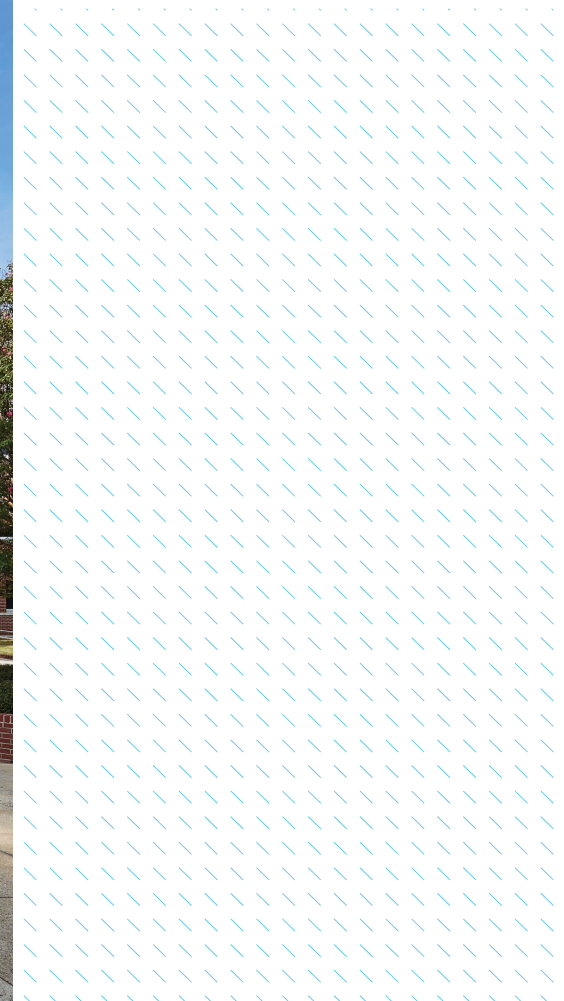




THE UNIVERSITY OF
MEMPHIS®

UNIVERSITY RECORDS MANAGEMENT

New User Guide



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 - provide a historical reference of transactions and events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?



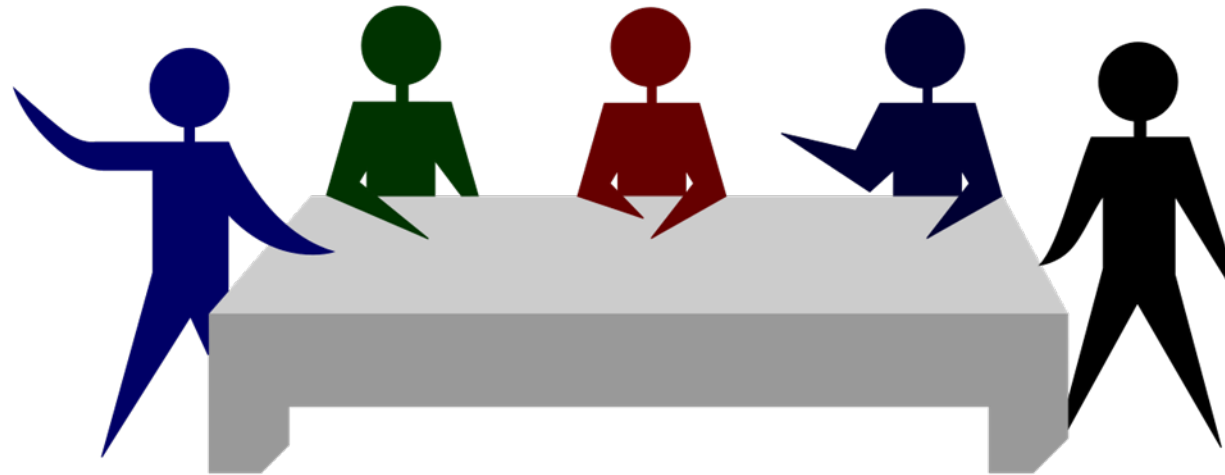
- What is required? The State requires each agency to annually submit a records holding report. In order to submit accurate information, University of Memphis' faculty and staff are asked to maintain official records and submit an inventory of the records in their possession. Additionally, **each University office has the primary legal responsibility for the proper care and management of its records.**

UNIVERSITY RECORDS MANAGEMENT TRAINING

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.

UNIVERSITY RECORDS MANAGEMENT TRAINING

WHAT ARE RECORDS?



- **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 TRAINING

WHAT IF...



- **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.

The University of Memphis
Temporary Current Year Budget Revision (BD04)

Name: _____ Fiscal Year: _____ Date: May 7, 2020
Department: _____

Temporary Current Year/This Fiscal Year
Request for BD04 Budget Revision

Name	Temp Title or Holds Title	Fund	Org	Account Code	Program	Activity	Expense Account 100	Expense Account 200	Expense Account 300	Expense Account 400

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Adjustment Time Sheet

Total Adjustment Hours

Payroll ID:	Hours Present	Hours on Leave With Pay				
Payroll No.:	Regular	Straight OT	Pretn OT	Sick	Annual	Other
Dept:		032	035	180	170	EC
Organization Code:						

Name: _____ UID: _____
Position No.: _____ Suffix: _____
Earnings Code: _____

Clear Information

Total: 0

Clear Hours

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Transfer Voucher

Submit Completed Form to the Accounting Office, Administration Bldg., Room 275

Date: _____ TV No. _____

ACCOUNT CHARGED

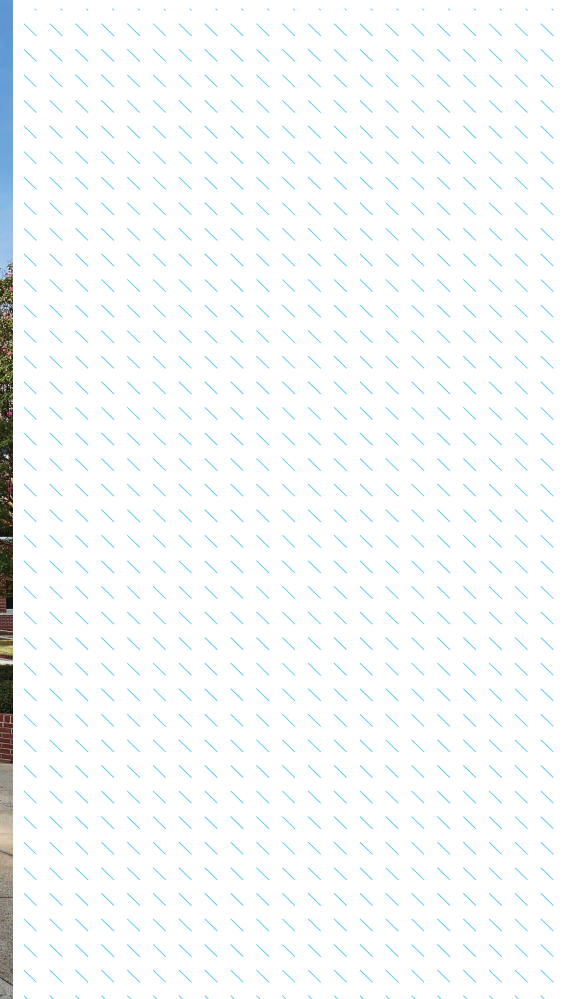
Account Title	Index	Fund	Organization	Account	Program	Activity	Amount





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COMMON RECORD TYPES



UNIVERSITY RECORDS MANAGEMENT TRAINING

RECORD SERIES DEFINITIONS



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



UNIVERSITY RECORDS MANAGEMENT TRAINING

RECORD SERIES DEFINITIONS



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



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](#).

UNIVERSITY RECORDS MANAGEMENT TRAINING

COMMON RECORD TYPES – STUDENT RECORDS



RECORD EXAMPLE	RECORD SERIES NAME	DISPOSITION
General emails from/to students unrelated to disciplinary actions or complaints	Student Information Records	5 years
Student applications and forms unrelated to employment	Administrative Documents – Internal Policies and Procedures	5 years
Classroom rolls	Student Information Records	5 years – Maintained by Registrar
Student advising	Student Information Records	5 years
Student exams (non-accreditation files)*	Student Information Records	1 year**
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.

UNIVERSITY RECORDS MANAGEMENT TRAINING

COMMON RECORD TYPES – GRANTS, RESEARCH, ETC.



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; 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.
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](#).

UNIVERSITY RECORDS MANAGEMENT TRAINING

COMMON RECORD TYPES – OTHER



RECORD EXAMPLE	RECORD SERIES NAME	DISPOSITION
Applications or forms– not related to enrollment nor employment	Administrative Documents - Internal Policies and Procedures	5 years
Copies 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 [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**

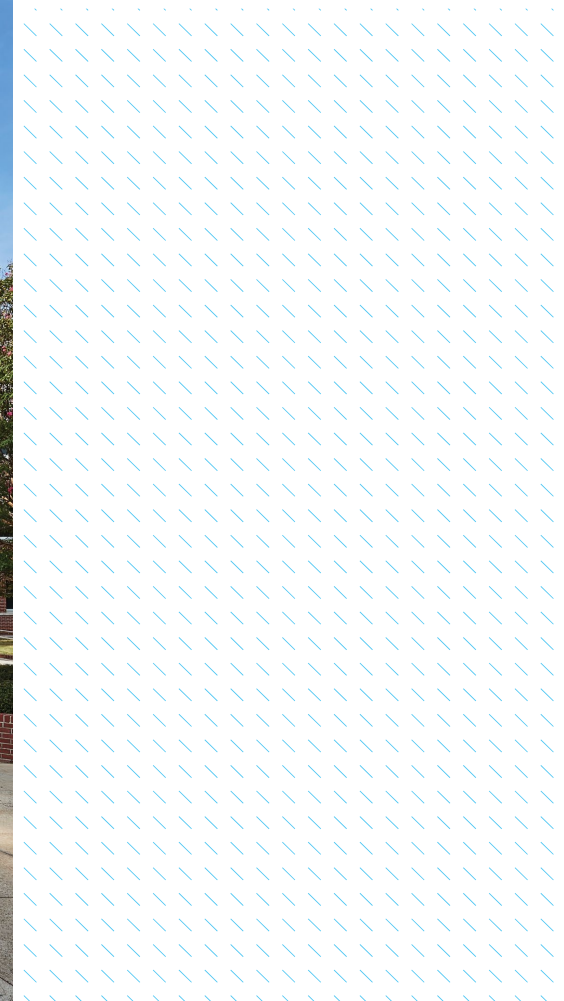
**If an official record is maintained in the
format(s) listed above, it is considered a record
regardless of the format.**





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NON-RECORD TYPES

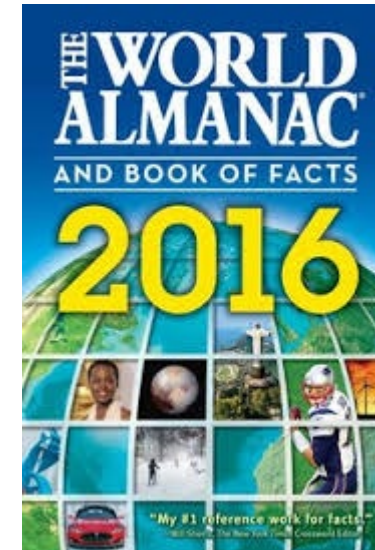


UNIVERSITY RECORDS MANAGEMENT TRAINING

REFERENCE MATERIALS



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

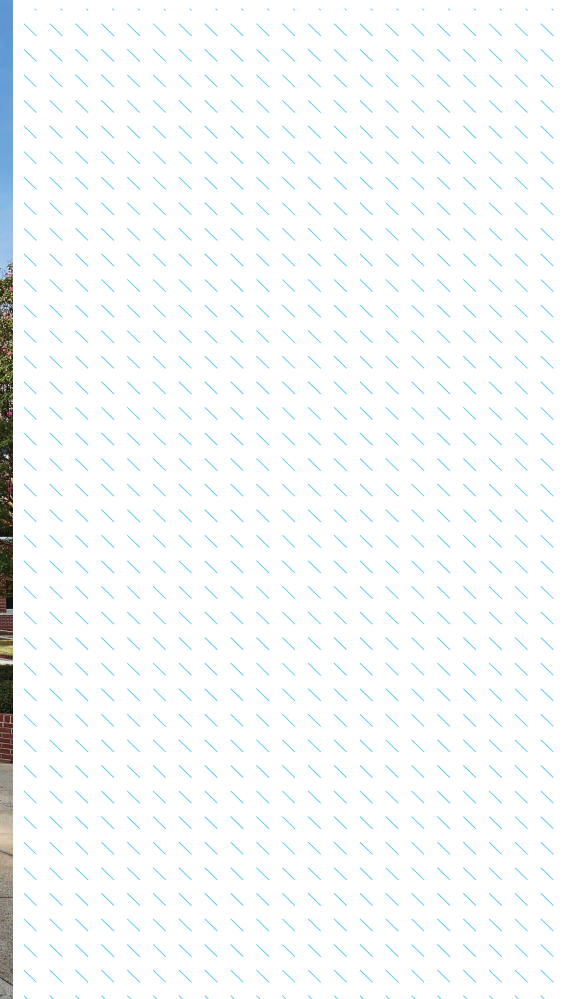


**Please Note: The listed items and any other reference type materials
ARE NOT considered records.**



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RECORDS MAINTENANCE



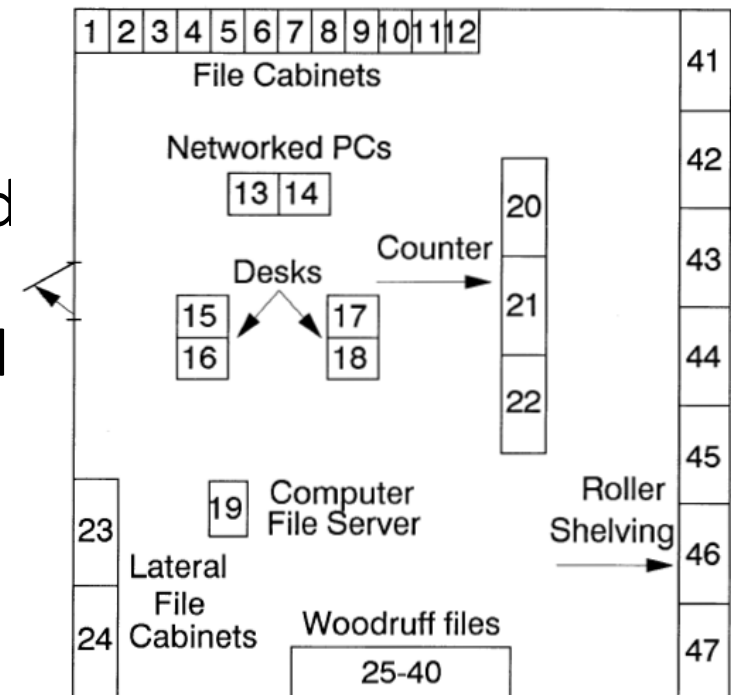
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RECORDS MAINTENANCE



- 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.

Sample Office Map



UNIVERSITY RECORDS MANAGEMENT TRAINING RECORDS MAINTENANCE



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

The screenshot shows a login interface for 'umwebtest.memphis.edu'. At the top, there is a header with the University of Memphis logo and name. Below this, a dark blue banner features a tiger's head. The main login area is a light gray box containing two input fields: 'UUID' and 'Password'. To the right of these fields are four links: 'Forgot your username?', 'Reset your password?', 'Initialize your account?', and 'Need help?'. A blue 'Login' button is positioned below the password field. At the bottom of the login box, a small disclaimer states: '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 TRAINING

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 May 31.

UNIVERSITY OF MEMPHIS RECORDS INVENTORY

[Home](#)

Welcome, Ladonnal - [Logout](#)

[Enter/Edit Records](#)

[Certify Records](#)

UNIVERSITY RECORDS MANAGEMENT TRAINING

RECORDS INVENTORY SYSTEM

NAME OF
SUBMITTER: Ladonnal Curry

DIVISION/DEPARTMENT: Chief Financial Officer

DATE: 04/07/202

Submit and Add a New Record

View Disposed Records

Clear Form

Disposed ?

Sensitive ?

Dates of Records: ? From (mo/yr) To (mo/yr)

Physical Location (Room) ?

Record Series Title & No. ?

Retention Period

Vital Record ?

Confidential ?

Active/Inactive ?

Original or Duplicate ?

Type of Media ?

Volume ?

Unit of Measure ?

Records Description ?



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UNIVERSITY RECORDS MANAGEMENT TRAINING

RECORDS INVENTORY SYSTEM

NAME OF
SUBMITTER: Ladonnal Curry

DIVISION/DEPARTMENT: Chief Financial Officer

DATE: 04/07/2022

Submit and Add a New Record

View Disposed Records

Clear Form

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.

UNIVERSITY RECORDS MANAGEMENT TRAINING

RECORDS INVENTORY SYSTEM

NAME OF
SUBMITTER: Ladonnal Curry

DIVISION/DEPARTMENT: Chief Financial Officer

DATE: 04/07/2022

Submit and Add a New Record

View Disposed Records

Clear Form

Disposed ?

Sensitive ?

Dates of Records: ? From (mo/yr) To (mo/yr)

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 TRAINING

RECORDS INVENTORY SYSTEM

Physical Location (Room) ?

Record Series Title & No. ?

- 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.



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UNIVERSITY RECORDS MANAGEMENT TRAINING

RECORDS INVENTORY SYSTEM

Retention Period

Vital Record

Confidential

Active/Inactive

Original or Duplicate

- 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.

UNIVERSITY RECORDS MANAGEMENT TRAINING

RECORDS INVENTORY SYSTEM

Type of Media ?

Volume ?

Unit of Measure ?

- 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 ?

- Records Description – Provide description of your records (ex. AY2018 student advising files)



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UNIVERSITY RECORDS MANAGEMENT TRAINING RECORDS INVENTORY SYSTEM

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

“Certify Records” is only required once a year on or by May 31.

UNIVERSITY OF MEMPHIS RECORDS INVENTORY

[Home](#)

Welcome, Ladonnal - [Logout](#)

[Enter/Edit Records](#)

[Certify Records](#)



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UNIVERSITY RECORDS MANAGEMENT TRAINING

RECORDS INVENTORY SYSTEM

UNIVERSITY OF MEMPHIS RECORDS INVENTORY

[Home](#)

Welcome, Ladonnal - [Logout](#)

NAME OF

DIVISION/DEPARTMENT: Chief Financial Officer

DATE: 04/07/2021

SUBMITTER: Ladonnal Curry

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

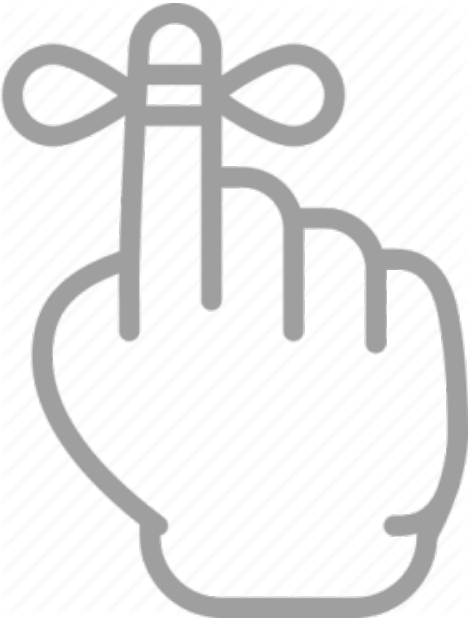
[Return to Main Menu](#)



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UNIVERSITY RECORDS MANAGEMENT TRAINING

RECORDS MAINTENANCE

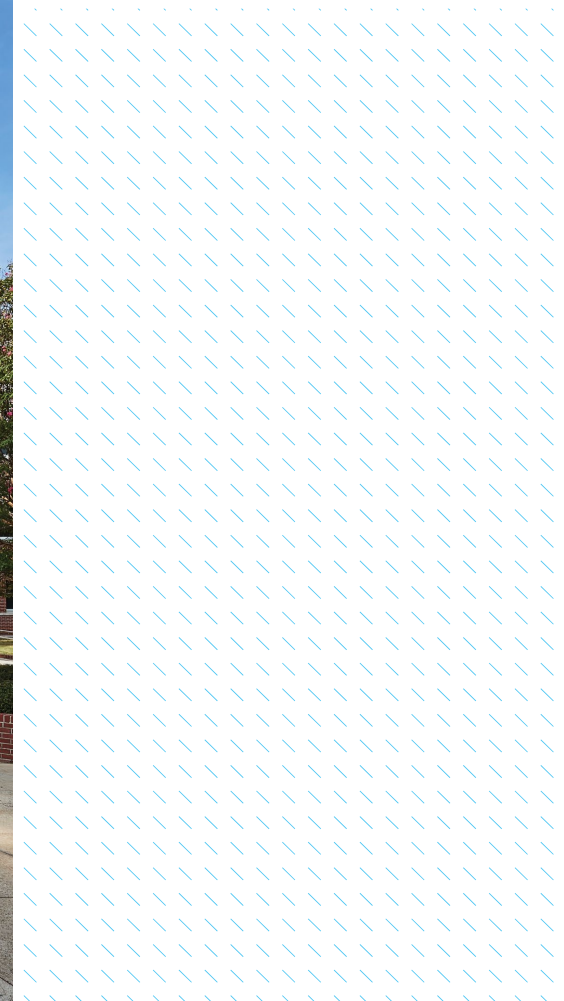


- Once all information is entered, click to “Submit and a New Record to save the document and/or enter a new record.
- The form can be cleared if needed to start over.
- If changes are needed to the newly created record, make the necessary changes and select “Update the Record” to save the changes. **Please 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.



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FREQUENTLY ASKED QUESTIONS



UNIVERSITY RECORDS MANAGEMENT TRAINING

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.



UNIVERSITY RECORDS MANAGEMENT TRAINING

FREQUENTLY ASKED QUESTIONS



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.



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UNIVERSITY RECORDS MANAGEMENT TRAINING

FREQUENTLY ASKED QUESTIONS



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.



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UNIVERSITY RECORDS MANAGEMENT TRAINING

FREQUENTLY ASKED QUESTIONS



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.

UNIVERSITY RECORDS MANAGEMENT TRAINING

FREQUENTLY ASKED QUESTIONS



How long should I keep purchasing card (p-card) records?

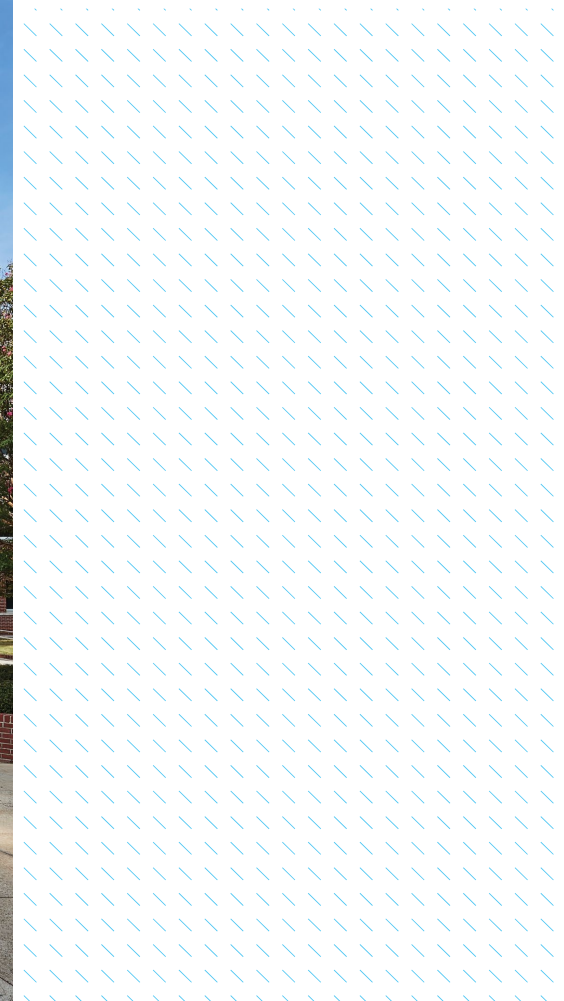
If your p-card records are not related to a grant, records for Fiscal Year 2014 should have been destroyed in 2020. Any records submitted and created in the Regions or US Bank systems from Fiscal Year 2015 and beyond are maintained by The Office of Procurement and Contract Services.

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.



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RECORD DESTRUCTION & REMINDERS



UNIVERSITY RECORDS MANAGEMENT TRAINING

RECORDS DESTRUCTION



- 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.

UNIVERSITY RECORDS MANAGEMENT TRAINING

RECORDS DESTRUCTION

Electronic Forms

NOTE:

ITS is in the process of transitioning from DocuSign to Softdocs Etrieve Forms. Effective November 1st, Etrieve Forms will be our primary enterprise solution for electronic forms.



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



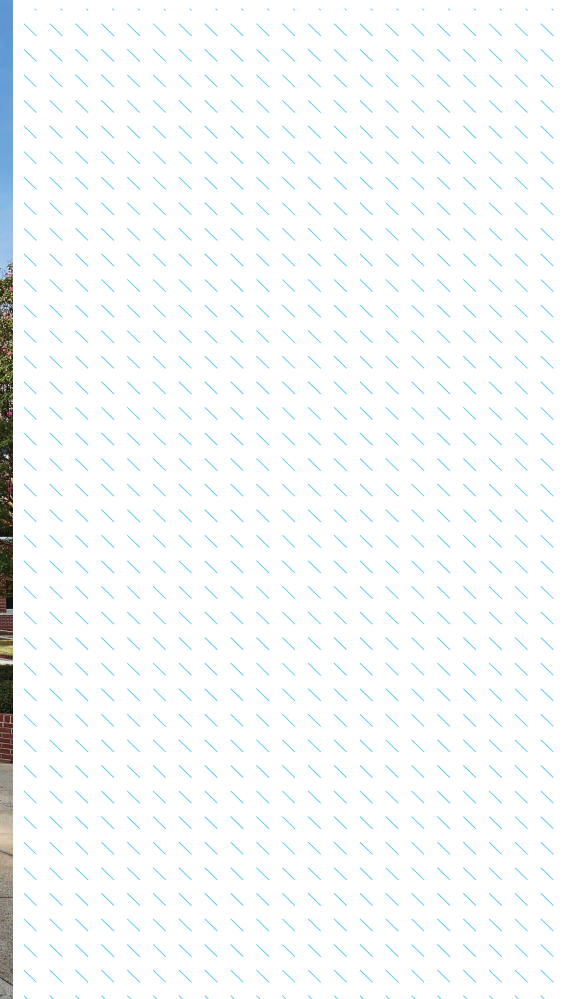
- For documents that exist in both paper and electronic form, the electronic version of the document is considered the official document. The paper version is a duplicate and can be destroyed.
- Records Holding Reports are due on or by May 31.
- The following documents **SHOULD NOT** be included in totals 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.





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RECORDS RESOURCES



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](#)



UNIVERSITY RECORDS MANAGEMENT TRAINING RECORDS RESOURCES



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](#)



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