MIDDLE TENNESSEE STATE UNIVERSITY
Office of Compliance and Enterprise Risk Management

Compliance Tips of the Month:

Records Retention and Destruction Days

In 2017, the Tennessee Record Management Division (RMD) established revised procedures for State universities regarding the reporting, retention, and destruction of records. The following is a summary of some of the changes:

1. **Annual Records Holding Report Submission.** Universities must now submit a Records Holding Report to the State RMD by June 30th annually.

2. **Updated Records Disposition Classification Numbers.** The State RMD recently updated the records disposition and classification numbers in both March and September of 2017.

3. **Designated Records Officer.** State Universities are required to designate a Records Officer who will be responsible for submitting the annual Records Holding Report and coordinating records retention activities for the institution.

4. **State RMD Annual Review of Universities.** The RMD will begin annual records retention reviews of universities beginning July 2018.

5. **Certificate of Records Destruction.** Records requiring destruction must now be accompanied by a Certificate of Records Destruction.

Below are the ways MTSU is complying with the State RMD's procedures:

1. **Annual Destruction Days.** MTSU will hold three days for destruction of records from November 6 -8, 2017, at the Livestock Parking Lot from 9:00 am until 12:00pm. Shred-It will be available to securely shred documents all three days. Please be sure to bring a completed Certificate of Records Destruction to accompany your records. Additional records destruction days will be announced during the Spring semester.

2. **Designated Records Officer.** MTSU's Records Officer is Mrs. Carroll Lewis. Mrs. Lewis also serves as the Director of Financial Compliance. For questions regarding Records Retention, please contact Mrs. Lewis at recordsretention@mtsu.edu.

3. **Records Retention Database.** In collaboration with MTSU's Information Technology Division, the Office of Compliance and Enterprise Risk Management has developed a records retention database for use by designated Division and Department Records Coordinators. The new database will additionally help MTSU to both prepare and complete the State's Annual Records Holding Report.

4. **Albert Gore Research Center.** University departments and divisions desiring to maintain certain records for preservation of MTSU's heritage and history can contact the University Archivists at the Albert Gore Research Center for assistance and support.

Information regarding the University's record retention procedures and the process for archiving records of historical value can be found within Policy 129 – Records Retention and Disposal of Records. Additional information regarding changes to the State's records Classification numbers and process can be found at the Records Management & Retention section on the Office of Compliance and Enterprise Risk Management webpage.

Risk Management versus Enterprise Risk Management: What's the Difference?

What's the difference between risk management and enterprise risk management (ERM)?

Risk Management involves conducting periodic assessments of an organization's risk to establish controls and processes for risk mitigation and risk tolerance.

Enterprise Risk Management, however, involves anticipating the risks that could influence or interrupt an institution's overall mission and objectives. In addition, ERM seeks to enhance and inform management decisions through analysis of existing and future risks for future alignment to institutional strategic goals. The State of Tennessee's Department of Finance and Administration requires institutions of higher education and other State agencies to implement ERM practices that both establishes and assesses internal controls.

Diversity and Inclusion

Listed as part of MTSU's *Community Standards* are **Respect for Diversity** and **Commitment to Non-Violence.** Diversity and Inclusion includes a respect for individual differences and perspectives regarding religious or non-religious beliefs; ethnicity; race; sexual orientation; cultural differences; disability; gender identity/expression; veteran status; genetic information; and age.

Promoting institutional diversity and inclusion, as well as non-violence, through program development, education, and policy also mitigates the regulatory and legal risks associated with student, Faculty, and staff personal safety; workplace and educational discrimination; and reputational damage.

Remember – by recognizing, celebrating, and considering the differences and commonalities of others, we embody what it means to be "True Blue."

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I AM *true*BLUE.

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