Our mission is to exceed the expectations of our customers, the taxpayers, by operating at the highest levels of accuracy, cost-effectiveness, and accountability in a customer-centered environment.
Why are you here?

- The Public Records Commission (PRC)
  - Created by statute to determine and order the proper disposition of state records. TCA § 10-7-302, TCA § 10-7-303
  - Members include:
    - Secretary of State
    - Comptroller of the Treasury
    - State Treasurer
    - Director of Legal Services
    - Commissioner of General Services
    - Attorney General
    - Executive Director of Historical Society
    - Chief Justice of Tennessee Supreme Court
The PRC is authorized to direct the State Department to initiate, through the Records Management Division, any action it may consider necessary to accomplish more efficient control and regulation of records holding and management in any agency.

What are your responsibilities as the Records Officer?

- Create, revise, and retire RDAs.
- Compile and submit the Records Holding Report.
- Approve records destruction reports (CRDs).
- Track agency records destruction.
- Maintain Vital Records Control (VRC) security access status for agency personnel.
- Work with legal counsel and information services to advise division coordinators.
RMD Resources

Certificate of Destruction
Certificate of Destruction - Electronic
Read more>

Electronic Records Policy
Electronic Records Policy.
Read more>

RDA Public Page
RDA Public Page
Read more>

Records Management Best Practices and Procedures
Records Management Best Practices and Procedures
Read more>

Records Management Billing
Information on Records Management billing.
Read more>

Records Retention Standards
Records Retention Standards
Read more>

Statewide List
Statewide list - November 2019
Read more>

Training
Records Management training materials.
Read more>

sos.tn.gov/rmd
What is a Record?

- “‘Public record or records’ or ‘state record or records’ means all documents, papers, letters, maps, books, photographs, microfilms, electronic data processing files and output, films, sound recordings, or other material, regardless of physical form or characteristics made or received pursuant to law or ordinance or in connection with the transaction of official business by any governmental agency.” T.C.A. § 10-7-301(6)

- The test for determining whether a record is public is “whether it was made or received pursuant to law or ordinance or in connection with the transaction of official business by any governmental agency.” Griffin v. City of Knoxville, 821 S.W. 2d 921, 924 (Tenn. 1991).
## What is a Record?

<table>
<thead>
<tr>
<th>Physical Records</th>
<th>Non-Records</th>
</tr>
</thead>
<tbody>
<tr>
<td>Budget Documents</td>
<td>Brochures</td>
</tr>
<tr>
<td>Payroll Documents</td>
<td>Reference Materials</td>
</tr>
<tr>
<td>Contracts</td>
<td>Catalogs</td>
</tr>
<tr>
<td>Revenue Reports</td>
<td>Bulletins</td>
</tr>
<tr>
<td>Investigation files</td>
<td>Trade Journals</td>
</tr>
<tr>
<td>Audit reports</td>
<td>Manuals</td>
</tr>
<tr>
<td>Personnel files</td>
<td></td>
</tr>
</tbody>
</table>
What format are your records in?

- **Physical Records**
  - Paper
  - Microfilm
  - Microfiche
  - Videos
  - Photographs

- **Electronic Records**
  - Servers
  - Computer files
  - Documents on a collaborative workspace
  - CD/DVD
RDA Development
What is an RDA?

“Records Disposition Authorization” means the official document utilized by an agency head to request authority for the disposition of records. The Public Records Commission shall determine and order the proper disposition of state records through the approval of Records Disposition Authorizations T.C.A. § 10-7-301(8)
Before creating a new RDA, it is important to make sure the record is not already covered under a Statewide RDA.

Statewide RDAs document records that state agencies have in common (such as fiscal, administrative, personnel, etc.)
Before creating a new RDA, it is important to make sure the record does not already have an RDA.

This applies to records that are unique to a state agency’s operations and mission. The schedules identify records that the agency produces, collects, receives, or retains in carrying out its special functions.

Examples
- Surveys
- Case Files
- Audits
- Projects
- Programs
Establishing a retention schedule requires appraising the use and value of information, as well as researching regulations that may govern retention.

Retention schedules are not merely suggestions. Records cannot be destroyed before the stated period, nor should they be retained longer than the stated period unless they are involved in:

- Investigations
- Litigation
- Audit
- The Freedom of Information Act
Advantages of a Retention Schedule

- Ensures that an agency or department is in compliance with both state and federal laws.
- Verifies that records with legal, fiscal, or administrative purposes are not destroyed prematurely.
- Determines when records may be transferred to State Records Center or other location for permanent storage.
- Details essential records protection plan.
- Ensures the preservation of historical records.
- Indicates the privacy status of a records series.
- Reduces cost by:
  - Allowing records that are no longer useful to be legally destroyed.
  - Reduce the space and equipment necessary for filing records in paper or electronic format.
Destruction

- The method of destruction depends on criteria described in the Records Disposition Authorization.

- Records that are deemed confidential, private, or sensitive will be shredded for a fee by VRC to ensure that the information is protected.

- Records not requiring confidential destruction may be recycled.

- Any records may be confidentially destroyed on request.

- Confidential records destruction services are also available for offices not using VRC’s storage services.
Certificate of Records Destruction

- When records are destroyed, a Certificate of Records Destruction form must be filled out and submitted to Records Management.

- This form documents the destruction date, record series, RDA number, date range for the records, volume destroyed, and destruction method.

- Records Management maintains all of the CRDs and uses this information to monitor the record destruction process to ensure compliance with RDA requirements and statewide policies.
RDA Web Application

Create, Revise, and Retire your RDAs

Visit https://rmd-rda.tnsos.net
Core Data

Record Series Title
- Determine a unique, specific, descriptive title for the record series. Titles should clearly identify the subject and/or functions of the records. Please spell out any acronyms.

Records Series Abstract
- Describe the purpose of the records series, indicating:
  - What documents are included in the records series.
  - Any specific details that may be helpful!

Records Series Active
- Indicate whether the records series is still in use—in other words, whether or not more files of this type are being generated.
File Cut Off

- **File Cut Off**
  - The file cut off date is a break or stop in the filing of a current records series, based on a predetermined event. In a Record series that is active, this is when a new file is created for the records of the same type. The file cut off date keeps related documents together.

- **The Web Application provides the two most common choices:**
  - Fiscal Year
  - Calendar Year

- **Select other and provide an explanation if:**
  - Federal Fiscal year
  - Academic year
  - The close of a case
  - The end of a grant or program
Active Phase
Records in this phase are typically being generated and accessed/utilized in an active file maintained by the agency.

Records are generated

Cut Off
The specific date/event upon which the records begin their retention period; i.e. the retention “countdown” begins.

Disposition Phase
Records in this phase are being stored/archived according to the details set forth in the appropriate RDA.

End Action
Permanent retention or Destroy
Retention

Total Retention
- The total amount of time your agency is responsible for the retaining the record series- from file cutoff to final disposition. This includes any time the records may be held at the State Records Center.
  - For example: Records that are kept in agency for 10 years and then transferred to VRC for 10 years would equal 20 years total retention.

Retention End Action
- Options: “permanent” or “destroy.” Records that are transferred to TSLA are classified as Permanent records.
Disposition Notes

- Provide a description of the life of the particular records series. Include the following:
  - Explain how the record is received or generated.
  - Identify the event that triggers the retention countdown.
  - Describe any reformatting (paper, electronic, etc.).
  - Detail where the record is stored and if/when it is transferred
  - State the retention
  - Describe the final disposition of the record series
  - Describe any work processes that make the requested retention necessary.

- For Example: Files are cut off when the employee terminates, maintained for ten years. Records may be maintained in either paper or electronic format, as long as the electronic content has been verified for completeness, accuracy, and usability. Records in Paper format may be transferred to the State Records Center. Records in electronic format shall be maintained in Strategic Technology Solutions (STS) approved software and server environment. Any sensitive or confidential information contained therein shall be destroyed according to standards for destruction of confidential information.

Disposition Notes *

Include any specific requirements regarding how the record is stored and maintained, based on the value of the records and how long the records are needed to conduct state business.
• The Worksheet portion of the RDA describes how files will be arranged, categorized, accessed, and stored, whether in paper or electronic format. This information reflects good filing practices and ensures the right file can be retrieved quickly for the lowest possible cost.
File Arrangement

- Describes how files are organized. The most common methods of arranging documents are alphabetical, numerical, chronological, or alphanumerical. Sometimes it will be arranged by case number or grant number.
A particular record series may include multiple formats such as paper, electronic, or microfilm. This information is useful for TSLA in their appraisal of the records’ value. Provide information about the record format in all stages of its life: how it is received, stored, and if applicable, archived.
Date Range
- Provide the range of years of accumulated records covered by this RDA by completing the fields “Series Beginning Date” and “Series End Date.”

Annual Accumulation
- Provide an estimate of the volume of records created, received, and retained in the course of a year for the series in questions.

Current Volume
- Provide an estimate of the total volume of records covered by this RDA, from the earliest to the most recent, in all storage location.
### Record Value

<table>
<thead>
<tr>
<th>Historical Value</th>
<th>Administrative Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>These records are especially important since they document our state’s history; contains important information about persons, places, or events; or are valuable because of age or rarity. The Tennessee State Library and Archives determines the Historical Value of records desired for permanent retention.</td>
<td>These records are necessary for day-to-day operations, to conduct current or future business transactions, or to document the establishment of policy or programs.</td>
</tr>
<tr>
<td>For example: A lease signed by Andrew Jackson, Historical and Architectural Records.</td>
<td>Some examples include correspondence, studies, and reports.</td>
</tr>
</tbody>
</table>

**Record Value**

- [ ] Administrative
- [ ] Fiscal
- [ ] Historic
- [ ] Legal

Indicate the type or types of value the record series has for your organization. Please check all that apply.
These records have a mandated retention by statute or regulation. The Division of Records Management request assistance from the Office of General Counsel in order to determine the legal value of records.

- Examples include leases, deeds, student records, medical records, and court case files.

These Records document the fiscal responsibilities and transactions of an agency or department, such as receipt, payment, transfer, adjustment, or encumbrance of public funds. Most financial records usually lose value once an audit has been completed. However, certain records series may be governed by regulations beyond audit, such as federal regulations or contract language.

- Examples include cancelled checks, deposit slips, invoices, receipts, and purchase orders.
Audit Requirements

- In order to ensure an effective government for the citizens of Tennessee, all records are subject to audit by the Comptroller’s Office.

- Please indicate whether or not the record series is subject to Federal Audit and use the space provided to list the interested agencies.
Indicate if the record series is shared with federal agencies or agencies of other states. If “yes,” please list the agencies.
Essential records contain information required by an agency to function or to reestablish operations immediately in the event of a disaster. Without these records, public interest could be adversely affected by unplanned expenditures, lost revenue, lost information and efficiency, and disruption of operation. While some records have historical value, they may not be administratively necessary to keep an agency running or to provide to citizens.

The main protection methods for essential records are duplication and off-site storage. Duplication entails photocopying, scanning, or microfilming. It is strongly recommended that duplicates be stored offsite while still being accessible in the event of a disaster.
Indicate whether any state or federal regulations restrict access to the records.

Records that are deemed confidential must be covered by statute and a copy of the statute must be attached.

Records that are not declared confidential by statute are classified as public.

While some Public Records may contain sensitive information, the record itself may not be legally confidential.

The option to note that a record series contains sensitive information has been added for clarity.
Retention

- Agency Retention is the total time the records are kept in agency.
- Records Center Retention Period is the total time records are kept at the records center.
- Agency Retention and the Records Center Retention should equal the Total Retention located in the core data.
  - For Example: If records are kept in agency for 5 years and then sent over to VRC for 5 years, the total retention is 10 years.
Legal Citation

- Indicate if the record series is covered by statute or rule:
  - Tennessee Code Annotated (TCA)
  - Code of Federal Regulations (CFR)
  - Environmental Protection Agency (EPA), etc.

- Cite any authority governing creation, management, retention, and/or disposition of series.

- Note any agency, state, or federal law, regulation, or policy.

If the record series is required by federal or state statute, cite the statute and retention period in which the record series is to be maintained.
# Uploads

## Records Sample Upload
- The sample should be representative of the record series.
- Be sure to redact any protected information that may be in the sample.

## Legal Citation Upload
- Any statute covering:
  - Retention
  - Confidentiality
- If the record series is governed by multiple citations, please combine them into a single PDF and attached in the application.
Electronic Records Plan Inventory

If the records are maintained electronically, this section must be fully completed.

It is recommended that you get the information for this entire section of the RDA from someone in the agency’s IT office.

The entire Electronic Records Plan Inventory must be completed.

- System Name
- IT- ABC Number
- Hardware Description
- Software Description
- System Location
- Backup Procedures
- Disaster Recovery
- Data Migration Description
- Metadata Description
What happens now?

- After the RDA is completed, submit it to your analyst for review; make sure to communicate with your Records Analyst throughout the RDA writing process.
- If there are no issues, your analyst will send the RDA to a formal review process.
- The RDA will then be reviewed by the Records Management Division, TSLA, and Audit.
- Once the RDA has been reviewed, the agency may respond to any recommendations.
- The completed RDA then goes before the PRC.
- Only upon PRC approval does the RDA become effective.
Why do you need all of this information?

- The PRC requires that the information be provided on the RDA.

- This process is, ultimately, required by law and this effort flows from the PRC’s resolution to ensure our state is complying with Tenn. Code Ann. § 10-7-303 (d) and § 10-7-509 (a).
Remember...

- According to T.C.A. § 10-7-303, records are not to be destroyed without an RDA.

- No records shall be scheduled for destruction without the unanimous approval of the voting members of the Public Records Commission. Approval for the destruction scheduling from the Commission is received through the RDA process. All agencies shall destroy records using state-approved procedures.

- Records Management is available to assist you by advising on the development, utilization, retention, disposition, and destruction of records.
Questions?