

# Records Management Basics

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# Why are Records Important?

- Legal Requirements – The agency is responsible for these Public Records. Records may only be destroyed according to the Records Disposition Authorization (RDA) that has been approved by the Public Records Commission.
- Legal Repercussions - The State may face fines, penalties, and civil liability for improperly destroyed records. Individuals may face criminal liability under T.C.A. § 39-16-504.
- Citizens of the State of Tennessee are the owners of the records. These are Public Records and it is our responsibility to safeguard the public records.

# Statute of the Role of a Records Officer

The head of each department, commission, board or agency shall designate a records officer, systems analyst, or records analyst, etc., who shall be an employee at the administrative level and who shall be instructed to cooperate with the staff of the division of records management of the department of state and the public records commission in carrying out the purposes of this chapter. It is the duty of the records officer to appear before the public records commission for the purpose of presenting on behalf of such record officer's department, commission, board or agency requests for disposition of records.

Tenn. Code Ann § 10-7-304.



# The Basics

- 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?

## Records

- Budget Documents
- Payroll Documents
- Contracts
- Revenue Reports
- Investigation files
- Audit reports
- Personnel files

## Non-Records

- Brochures
- Reference Materials
- Catalogs
- Bulletins
- Trade Journals
- Manuals



# What format are your records in?

## Physical Records

- Paper
- Microfilm
- Microfiche
- Videos
- Photographs



## Electronic Records

- Servers
- Computer files
- Documents on a collaborative workspace
  - (H Drive, etc.)



# 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)

# Types of RDAs

- Statewide RDA
  - Statewide RDA's document records that state agencies have in common, such as fiscal, administrative, personnel, etc.
- Specific 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.

# Statewide RDA Example



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RDA

## RDA Management System

[download .csv file](#)

## RDA Details

Add instructions

### RDA

Agency:	Statewide
ID:	1931
RDA:	SW20
Record Series Title:	Fiscal Administrative Documents
Record Series Abstract:	Files may include documents of Fiscal Value not covered by another Statewide RDA or Agency Specific RDA. (Examples: receipt documents, invoices, purchase orders, inventory records, payment documentation, space assignment documentation, warranties, internal bookkeeping documentation, & balance sheets)
Record Series Active:	Yes
Cut Off at End of:	Other
If Other, Explain:	Files may be cut off at either the Fiscal Year or Calendar Year
Total Retention:	5 Years 0 Months
Retention End Action:	Destroy
Disposition Notes:	Files may be cut off at either the Fiscal Year or Calendar Year as necessary, are maintained for five years and are destroyed at expiration of retention. 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 electronic format shall be maintained in a system that meets minimum requirements of Finance and Administration (F&A)/Office of Information Resources (OIR). Any sensitive or confidential information contained therein shall be destroyed according to standards for destruction of confidential information.
View Signed Form:	<a href="#">View Form</a>

# Specific RDA Example

[jasmine.white@tn.gov](mailto:jasmine.white@tn.gov) | [Logout](#)

[Request New RDA](#) | [List of RDAs](#) | [Public Page](#) | [RMD Admin](#) | [PRC Admin](#)

[Destruction Reporting](#)



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RDA

## RDA Management System

[download .csv file](#)

## RDA Details

Add instructions

### RDA

Agency:	Dept. of Revenue
ID:	2201
RDA:	11195
Record Series Title:	Revenue Integrated Tax System (RITS)
Record Series Abstract:	Electronic database used to register and maintain taxpayers' information regarding filing and paying state taxes. This system accounts for taxpayer payments, electronic ledgers and tax forms submitted with those payments for each type of Tennessee tax. Records series includes but not limited to: Revenue stamps, Tax Returns, etc.
Record Series Active:	Yes
Cut Off at End of:	Calendar Year
If Other, Explain:	
Total Retention:	0 Years 0 Months
Retention End Action:	Permanent
Disposition Notes:	Records are generated in both paper and electronic. Paper records are converted to electronic and maintained in the RITS electronic database system, once paper records are reviewed for completeness and accuracy they will be destroyed. The electronic database is maintained and supported through several servers. These records are kept permanently in agency.
View Signed Form:	<a href="#">View Form</a>



# Electronic Records



# Electronic/Digital Format

- Word Documents, PDF's, TIFF images
- Digital photos
- Video (surveillance, mobile devices, & security cameras)
- Audio (tapes, voicemail, etc.)
- Email & text message (correspondence)



# Electronic Records are Public Records

- Subject to Open Records Law and public records requests.
- The format does not change the responsibilities of the agency in managing the record.
- Proper retention and security must be maintained.





# Storage



# Maintaining Records in Agency

## Advantages

- Quick access for business use
- Easily available for audit, litigation, or record request purposes

## Disadvantages

- Increases need for physical space
- Expensive to store in agency by sq. ft.
- Multiple copies and extra copies are often generated
- Originals are handled often
- Security risks if not properly stored

# Electronic Storage

## Advantages

- Reduces need for physical space
- Reduces wear and tear on originals
- Facilitates indexing, searching, and retrieval
- Allows for multiple access points
- Recreates high-quality user copies with no image degradation

## Disadvantages

- Requires software or hardware to access
- Requires continuous monitoring and eventual or periodic migration and conversion
- Faces software and hardware obsolescence
- Necessitates time-consuming metadata creation
- Requires expensive equipment to create and maintain
- Standards are not universally accepted
- Modification or corruption are potential authentication issues

# Dangerous Media Storage Practices – Do Not Use

- Flash/Thumb Drives – These items are fragile, easily misplaced, subject to malware, and no security to prevent unauthorized access.
- CD's/DVD's – While disks are convenient they are easily damaged, contain no security, lose data, do not meet requirements for long term retention.
- Removable/Portable Hard Drives – The appropriate use is temporary storage for transfer of data to secure server environment. Portable drives are also subject to malware, physical damage, data loss due to handling or environment.





# **Destruction**



# Destruction

- The method of destruction depends on criteria described in the Records Disposition Authorization.
- Those that are deemed confidential, private, or sensitive will be shredded for a fee by Richards & Richards 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 the Richards & Richards storage services.

# Destruction: Certificates

- The agency Records Officer is expected to review their agency's records and determine which ones are due for destruction.
- When records are destroyed in agency, a Certificate of Records Destruction form must be filled out and submitted to Records Management.
- Non-records such as copies do not need to be documented on a CRD.
  - When completing a large scanning project, RMD recommends completing a CRD so the agency can have a record showing that documents were scanned.
  - Once scanning project is complete, daily scanning does not need to be documented.
- Working papers and temporary records can be documented on CRD's.
- Records Officers can also use the CRD's to track their own agency's destruction, which will assist them with records assessments and records holding reports.
- Both Records Officers and Records Coordinators can use CRD website to destroy records
- The Records Officer and Records Coordinator will receive a copy of the certificate for their records
  - <https://fs26.formsite.com/xDqYjm/rmdcod/index.html>

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## Certificate of Records Destruction

Agency*	Division*	Address/Location*	Allotment Code*
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Record Series Title*	RDA Number*	Date range of records disposed*	Volume*	Volume Type*
<input type="text"/>	<input type="text"/>	<input type="text" value="(MM/YY) to (MM/YY)"/>	<input type="text"/>	<input type="radio"/> Cu.Ft. <input type="radio"/> GB <input type="radio"/> Other <input type="text"/>

Record Series Title	RDA Number	Date range of records disposed	Volume	Volume Type
<input type="text"/>	<input type="text"/>	<input type="text" value="(MM/YY) to (MM/YY)"/>	<input type="text"/>	<input type="radio"/> Cu.Ft. <input type="radio"/> GB <input type="radio"/> Other <input type="text"/>

Destruction of above records was made in accordance and authorized by Tennessee Code Annotated Section 10-7-509 (a) and (b) by means of\*

- Purging
- Shredding
- Recycling

# Remember...

- Records are not to be destroyed without an RDA according to T.C.A. § 10-7-303
- No record or 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.



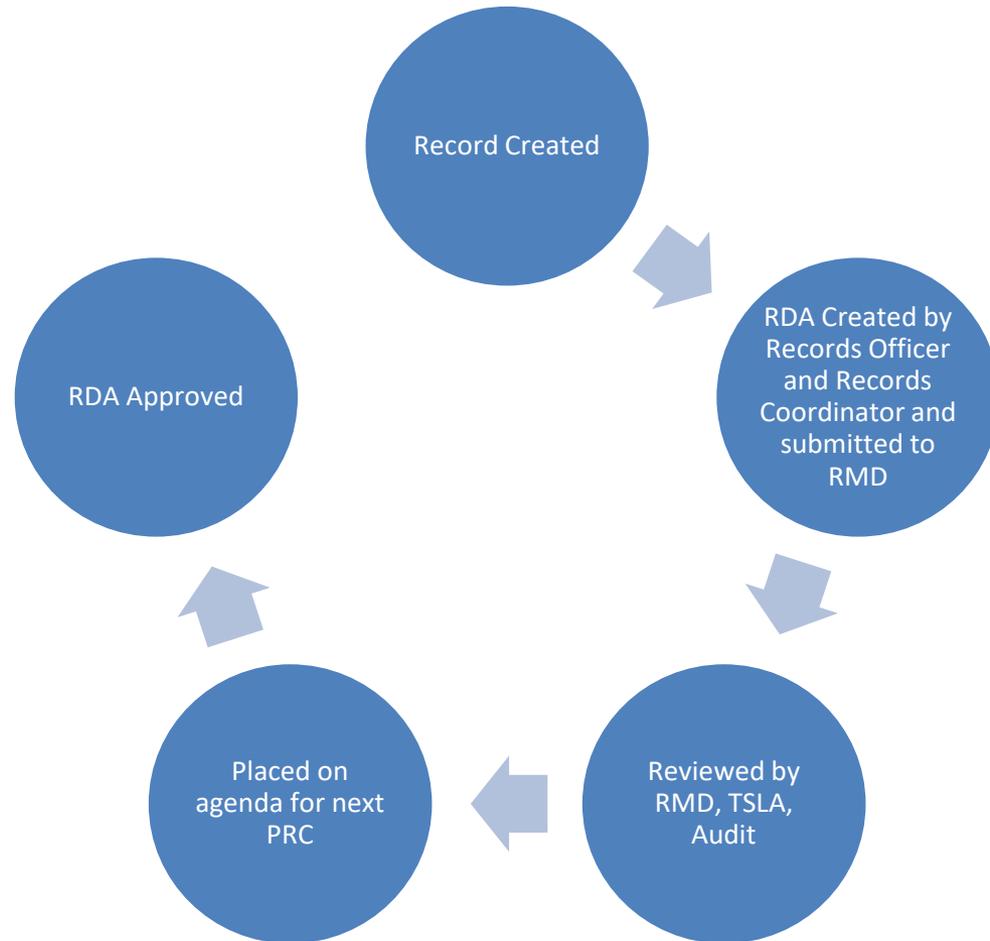
# Creating/Combining/Retiring RDAs



# When to Create an RDA

- An RDA is created when:
  - A new division is created within the agency
  - A new form that is not already covered by another RDA is created
  - An RDA is revised and a record within the RDA has a different retention period than the other records
  - A new program, project, or commission is created

# The creation of an RDA



# When to Revise an RDA

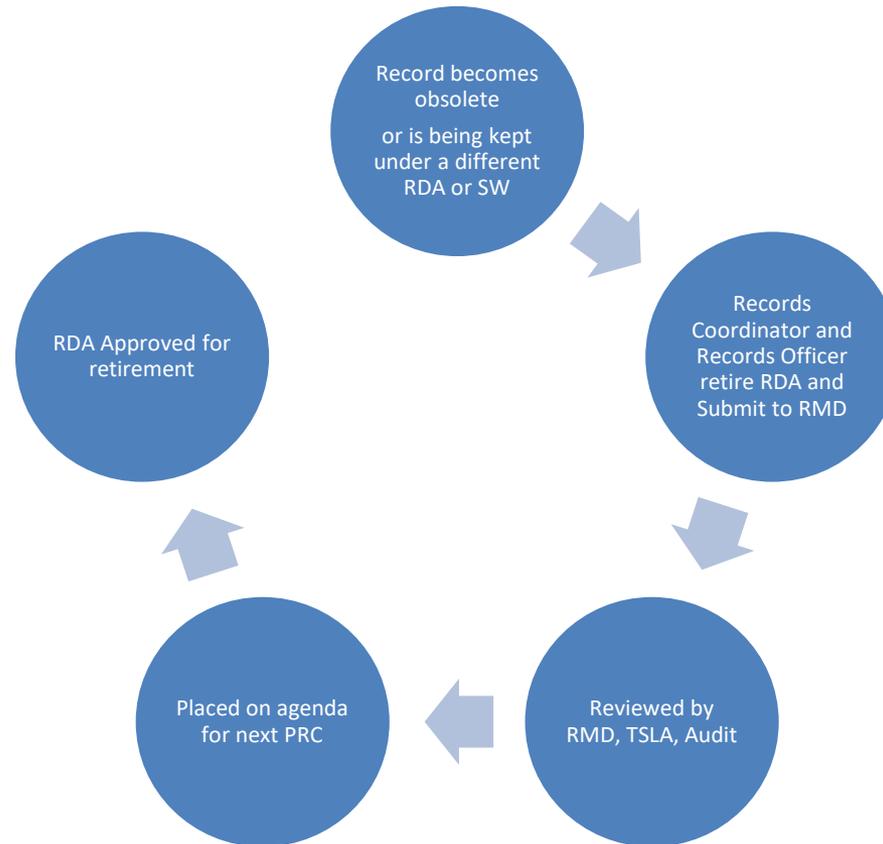
- An RDA needs to be revised when:
  - New legislation has been enacted
  - A new Records Process has been implemented in the agency
  - When records are going from paper to electronic
  - When the agency has decided to extend or shorten the retention period
    - (Must fall within audit's minimum retention of 5 years)

**\*All RDAs should also be reviewed and revised annually\***

# When to Retire an RDA

- An RDA must be retired when:
  - A program or division has been overhauled or absorbed into another program with its own RDA
  - A new statewide has been created and the Record will be covered under the statewide
  - A business process is no longer being done
    - The record has become obsolete, the retention period has expired and all records have been destroyed according to its RDA
  - An RDA is being combined with a similar RDA
    - One is kept as the “umbrella RDA” the other is retired
    - Must have the same retention schedule and confidentiality requirement

# The Life Cycle of a Record



General Information...

# Working Papers SW17



## Defined

- Working papers are used to produce a record in its final form.
- Working papers are those records that have no evidential or informational value once an action has been completed and do not relate to significant steps taken in preparing the final record.
- Retention under SW17 is one year.

## Examples

- Duplicates
- Drafts
- Transmittal letters or cover sheets
- Reproduced or published material from other offices.
- Stocks of publications (reports, brochures, plans, etc.) and forms, agendas, minutes

# Temporary Records SW16

## Defined

- 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.
- Documents that are of no value, because they do not go into detail about the subject. For instance, “Are you available to meet sometime soon ?”
- Retention under SW16 is administrative value.

## Examples

- Hand written messages/notes
- Voicemail, Text messages, Email messages
  - Depends on the content, if email or message pertains to state business it must be kept in a folder on the F drive under the corresponding RDA or Statewide

# Advanced RDA Training....