<table>
<thead>
<tr>
<th>SW#</th>
<th>Title</th>
<th>Description</th>
<th>Retention</th>
<th>End Action</th>
<th>Date of Last Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>SW01</td>
<td>Accounting Journal Vouchers and Deposit Slips</td>
<td>Documents Relating to Accounts Receivables and Deposits with Supporting Documentation Examples: AG - Agency Only Approval Journals, AL - Allocation Process, AM - Assets Management, AP - Accounts Payable, AR - Accounts Receivable, BA - Balances from STARS, BI - Billing, CL - Closing Process, CM - Cash Management, CN - Contracts, DA - Division of Accounts Approval, EX - External Application, FM - Fleet Management, GM - Grants, IN - Inventory, RJ - Inter-Unit Transaction, JV - Online Journal Voucher, KK - Commitment Control Journals, LA - Accrued Liabilities, LM - Enterprise Learning Management, MU - Multi-Unit Transactions, PM - Plant Management, PR - Project Closing, PY - Payroll, RA Accrued Revenue, RV - PS exp to STARS, TR - Transactions from STARS, TV - Travel (Expenses), YA - Year End Adjustments This RDA is not applicable for the Division of Accounts, Dept. of Finance and Administration.</td>
<td>5</td>
<td>Destroy</td>
<td>May-14</td>
</tr>
<tr>
<td>SW02</td>
<td>Accounting Reports</td>
<td>Documents relating to monthly accounting reports. This series also includes Accounting reports from Edison or the STARS System</td>
<td>5</td>
<td>Destroy</td>
<td>May-14</td>
</tr>
<tr>
<td>SW03</td>
<td>Inactive Human Resources Employee Documentation</td>
<td>Documents pertaining to the proof of eligibility to work, included in this record series is human resource documentation kept in agency: Examples: Cards or sheets showing name, address, telephone number, and similar data for each office employee; performance evaluations, liens, garnishments, wage-related child support orders, employment verifications. Records covered under SW19 Active Employee Files shall not be destroyed under this RDA.</td>
<td>5</td>
<td>Destroy</td>
<td>Mar-17</td>
</tr>
<tr>
<td>SW04</td>
<td>Employee Medical Records</td>
<td>Documents relating to confidential employee medical records. Examples: Documentation of physicals and health status, Alcoholics Anonymous treatment statement, drug related treatment, injured in the line of duty and workers' compensation claims.</td>
<td>10</td>
<td>Destroy</td>
<td>May-14</td>
</tr>
<tr>
<td>SW05</td>
<td>Retired Administrative Documents and SW20 Fiscal Administrative</td>
<td>Documents previously under this RDA are now maintained under SW20 Fiscal Administrative Documents and SW25 Credit Card &amp; Procurement Card Examples: Former RDA (RFI) documents, bid evaluation documents, statements of work, deliverable documentation, change order documentation, correspondence, and other related documents. Former RDA is not applicable for the Division of Accounts, Dept. of Finance and Administration.</td>
<td>retired</td>
<td>retired</td>
<td>Sep-14</td>
</tr>
<tr>
<td>SW06</td>
<td>Boards and Commission Documents</td>
<td>Documents or recordings related to meetings of Boards, Commissions, Councils, and Committees in the transaction of official business. Examples: Official correspondence, memorandums, final reports, official polices, current &amp; obsolete directives, minutes/accounts of proceeding actions taken, agenda, copies of reports, and announcements.</td>
<td>5</td>
<td>Permanent</td>
<td>Sep-17</td>
</tr>
<tr>
<td>SW07</td>
<td>Travel Authorization Files</td>
<td>Documents relating to requests and authorizations for in-state and out-of-state travel and related correspondence, including cost estimates for travel.</td>
<td>5</td>
<td>Destroy</td>
<td>Sep-17</td>
</tr>
<tr>
<td>SW08</td>
<td>Agency Executive Subject Files</td>
<td>Documents relating to agency heads (Constitutional Officers, Commissioners, &amp; Executive Directors) in the transaction of official business. Examples: Official correspondence, memorandums, final reports, official polices, current &amp; obsolete directives.</td>
<td>5</td>
<td>Permanent</td>
<td>Sep-17</td>
</tr>
<tr>
<td>SW09</td>
<td>Attendance and Leave Records</td>
<td>Documents relating to attendance and leave, including correspondence such as notice of holidays and hours worked.</td>
<td>5</td>
<td>Destroy</td>
<td>May-14</td>
</tr>
<tr>
<td>SW10</td>
<td>Real Property Lease Files</td>
<td>Documents relating to the lease space in which various state agencies and departments are housed excluding the lease agreement. Examples: space action request documentation, request for proposals, and other related correspondence/documentation.</td>
<td>5</td>
<td>Destroy</td>
<td>Sep-17</td>
</tr>
<tr>
<td>SW11</td>
<td>Internal Audit Reports and Working Papers</td>
<td>Documents relating to internal audit reports and working papers generated by internal auditors to document investigations and/or audit reports conducted internally that are submitted to the commissioners, the Comptroller of the Treasury, and other parties. This RDA is not applicable to the Comptroller of the Treasury and its divisional offices.</td>
<td>10</td>
<td>Destroy</td>
<td>May-14</td>
</tr>
<tr>
<td>SW12</td>
<td>Contracts</td>
<td>Documents relating to contracts between state agencies and vendors. Records includes a copy of the final contract, Requests for Proposals (RFP) documents, Requests for Information (RFI) documents, bid evaluation documents, statements of work, deliverable documentation, change order documentation, correspondence, and other related documents. Former RDA 52772</td>
<td>6</td>
<td>Destroy</td>
<td>Sep-14</td>
</tr>
<tr>
<td>SW13</td>
<td>Voter Registration Declination Files</td>
<td>Documents relating to the declination of voter registrations</td>
<td>5</td>
<td>Destroy</td>
<td>May-14</td>
</tr>
<tr>
<td>SW15</td>
<td>Annual Report Working Papers</td>
<td>Working Paper documents relating to the annual reports prepared by all agencies. Examples: include: budget reports, emergency management reports, etc.</td>
<td>5</td>
<td>Destroy</td>
<td>Apr-18</td>
</tr>
</tbody>
</table>
Temporary Records

Temporary Records are defined in T.C.A § 10-7-301(13) as: "material which can be disposed of in a short period of time as being without value in documenting the functions of an agency. Temporary records will be scheduled for disposal by requesting approval from the public records commission (PRC) utilizing a records disposition authorization (RDA)." Temporary Records may include notes and communication media, including correspondence. These documents are only considered records of short term administrative value. (Examples: drafts, notes, voice mail, text messages, and email messages). Drafts, notes, voice mail, text messages and email messages are presumed to be temporary records unless they are governed by another RDA. Under no circumstance are documents of Fiscal, Legal, or Historic Value to be considered Temporary Records. Such records are to be covered by specific RDAs.

Working Papers

Working Papers are defined in T.C.A. § 10-7-301(14) as: "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." Working Papers are used to produce a record in its final form. Working papers, as covered by this RDA, include those records that have evidentiary or informational value once their preparation has been completed and that relate to significant steps taken in preparing the final record - for example, substantive drafts that provide significant context for the development of the final record. The final record resulting from the working papers is governed by the appropriate RDA. This RDA does not apply to Annual Reports (SW15), Budget (SW18), or Internal Audit (SW11) working papers. This RDA covers all other working papers unless superseded by another specific RDA.

Budget Papers

These files consist of Departmental Employee Human Resources (HR) information and contains documentation that includes Department of Human Resources (DHR) Form 0087. Records covered under SW03 Human Resources Employee Eligibility Documentation shall not be destroyed under this RDA. Disposition Notes: Files may be scanned and converted into PDF images. Once images have been reviewed and verified, paper documents may be destroyed. Transfer record to Department of Human Resources (DOHR) when employee separates from the State of TN. If employee is transferring to another agency, the record is sent to the new employing agency. At separation of employee, record transfers to DOHR within 30 days and falls under the RDA SW10. Separated Employee Records. Agency is to confirm receipt of record by DOHR before destruction of agency copy. Any sensitive or confidential information contained therein shall be destroyed according to standards for destruction of confidential information.

Active Employee Files

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).

Fiscal Administrative Documents

This RDA may apply to any Grant Files not covered by a specific RDA. Files included in this record series may include any documents pertaining to grants, such as applications, contracts, invoices, Asset Documentation, Monitoring Documentation, Evaluations, Photographs, Reports, Close-out Documents and Correspondence.

Grants

Official record copy of the policies, procedures or rules. One copy of the policy, procedure, or rule will be kept by the issuing entity for retention/referene. Records series will include interim policies, procedures, and rules as well.

Administrative Documents - Internal Policies and Procedures

Documents relating to the issuing and use of state issued credit cards and Purchasing cards (p-Cards). Records series includes: new card application, cardholder agreement form, approved signed agreement form, account maintenance forms, training tests, Edison security form, transaction logs, exception logs, fiscal officer's memos, account statements, and receipts.

Credit Card and Purchasing Card (p-Card) Documents

Documentation of hazardous materials purchased, shipped, stored, or utilized by state agencies. Documents may include: inventories, shipping papers, safety documentation, utilization logs/registers, Federal or state compliance documentation(EPA, OSHA, TDEC, etc.); disposal documentation, and correspondence. Training documentation shall be stored with and covered by RDA SW19, Personnel Files. This RDA does not replace specific RDAs by an agency on specific hazardous materials or programs covered by an agency RDA.

Hazardous Material Files

Documents that relate to the day-to-day administration of internal policies, procedures, and rules. Record series includes, but not limited to: employee agreement forms, security forms, databases, frequently asked questions, and related forms. (This does not include the official record copy of the policies, procedures or rules which is covered by SW22.)

Administrative Documents - Internal Policies and Procedures

Records of incidents/accidents occurring on State controlled property, involving state personnel or members of the general public or state owned materials. A copy of incident reports involving injuries to state employees are to be included in the employee's medical file and covered under SW04 Employee Medical Records.

Incident Reports

Records may include notes and communication media, including correspondence. These documents are only considered records of short term administrative value. (Examples: drafts, notes, voice mail, text messages, and email messages). Drafts, notes, voice mail, text messages and email messages are presumed to be temporary records unless they are governed by another RDA. Under no circumstance are documents of Fiscal, Legal, or Historic Value to be considered Temporary Records. Such records are to be covered by specific RDAs.
<p>| SW27 | Request For Proposal (RFP) Documents - Not Selected | Final submitted bid documents that were not awarded the contract. These fall under three categories: Unsuccessful - bids met criteria but were not the best bid, Non-responsive - bids that did not follow directions and thus disqualified, and Rejected - bids that were not submitted by the set deadline for submission. <em><strong>Note</strong></em> Request For Proposals chosen will fall under SW22*** | 5 | Destroy | Jun-15 |
| SW28 | Employment Applications - Not Selected Candidates | Application documents, hiring information, job registers, and resumes of candidates that were not selected for the position. Records include applications for full-time, part-time, temporary, and unpaid such as internships. These fall under three categories: Unsuccessful applicant met criteria but were not hired, Non-responsive - applicants that did not submit required material or respond back to attempted communication, and Rejected - applications that were not submitted by the set deadline for submission or failed to meet minimum requirements. | 5 | Destroy | Jun-15 |
| SW29 | Affirmative Action Compliance Records | Affirmative Action Program records and any supporting documentation related to recruitment, selection, and advancement of employees that may be used to show compliance with federal Affirmative Action rules and regulations. | 5 | Destroy | Jun-15 |
| SW30 | Internal Investigation Files | Records of investigation resulting from a complaint from the public and/or internally against an employee of the State. Records include but not limited to: Correspondence, photographs, interviews, criminal report, medical files, State employee's files, decisions, orders or disciplinary actions and any collateral documentation received for the investigation. | 10 | Destroy | Feb-16 |
| SW31 | Communication Databases | Databases used for the collection of information to facilitate communication and correspondence with the public. Includes spreadsheets/forms in paper format if an agency utilizes instead of electronic. Examples may include mailing lists for magazine or newsletter subscriptions, communication tracking systems, requests for publications, and agency/news updates. | Destroy | Jun-16 |
| SW32 | Accreditation Records | Documents the accreditation process relating to an agency's program or programs as required by federal or state statute or other body. Includes background support materials, accrediting agency correspondence, guidelines, reports, procedures, and accreditation review reports and responses. | 10 | Destroy | Feb-16 |
| SW33 | Volunteer Forms and Unpaid Intern Records | Volunteer and intern screening documents and background check data. Records include but not limited to: Applications submitted by individuals volunteering and interning for the State, consent forms, background check information (verification of Social Security number, verification of Driver's License, Criminal History Records, etc.), liability forms, training records, training completion, disciplinary action, performance evaluation, etc. These records include only applicants accepted. | 30 | Destroy | Oct-15 |
| SW34 | Recordings from Law Enforcement Electronic Devices- Incident Not Identified | Recordings, created by a law enforcement agency using electronic devices, that are not known to have captured a unique or unusual action from which litigation or criminal prosecution is expected to likely to result. Records included but not limited to all recordings, regardless of where recording device is mounted, such as: Bodycam (device on officer's chest, shoulder, head, etc.), Dashcam (or any other device mounted on the inside or outside of a vehicle), Animal cam (on an animal's body), Drone (unmanned aerial vehicle or any other remote controlled equipment), Security Cameras (those mounted on buildings). These records are only for recordings where No Incident is Identified, recordings where an Incident is identified will be superseded by the agency's investigative RDA or Statewide 30 Internal Investigation Files and shall not be destroyed under this Statewide. | 3 Months | Destroy | Apr-18 |
| SW35 | Open Records Request | Record Series Consists of correspondence with the public regarding requests to view or retrieve information from official records. Records include but are not limited to emails, letters, and attachments. Note: the records requested are not covered by this RDA but are to be governed by the appropriate original RDA for the requested records. | 5 | Destroy | Mar-17 |
| SW36 | Original Captured Media | Maintain in agency for five (5) years then transfer to Tennessee State Library and Archives in recommended format for permanent retention. Corresponding metadata will be transferred in a pre-approved format. | Permanent | Jun-16 |
| SW37 | Temporary Captured Media | Temporary Records, is defined at T.C.A § 10-7-301(31): material which can be disposed of in a short period of time as being without value in documenting the function of an agency. Temporary records will be scheduled for disposal by requesting approval from the public records commission [PRC] utilizing a records disposition authorization [RDA]. Video, audio and still photography captured and produced by agency employees for the use of the agency and which do not meet quality standards (blurry, out of focus, etc.) are temporary and to be removed at the discretion of the creator and/or staff. Any media that is not disposed of will be covered under SW36. | 0 | Destroy | Jun-16 |
| SW38 | State Publications and Annual Reports | State Agency publications and documents including annual, biennial, regular or special reports, or other printed material produced for distribution outside the department or agency for which the report or printed material was published. <em><strong>Contact Brian Fussell at Library &amp; Archives in the Library Technical Services Section at 615-255-3459 or <a href="mailto:Brian.Fussell@tn.gov">Brian.Fussell@tn.gov</a> for transfer of record</strong></em> | Permanent | Apr-18 |</p>
<table>
<thead>
<tr>
<th>SW39</th>
<th>Title VI Annual Report</th>
<th>Agency copy of Annual Reports and supporting documentation submitted to the Federal Government or TN Human Rights Commission.</th>
<th>5</th>
<th>Destroy</th>
<th>Mar-17</th>
</tr>
</thead>
<tbody>
<tr>
<td>SW40</td>
<td>Rule Promulgation File</td>
<td>These are the records of voting on policy or rule adoption. This series consists of the official files of the final promulgated rules; signed copies going to the Attorney General and Secretary of State response to public comments; any signed roll-call votes approving the rules, etc.</td>
<td>0</td>
<td>Permanent</td>
<td>Mar-17</td>
</tr>
<tr>
<td>SW41</td>
<td>Fraud Investigation Files</td>
<td>This series documents the investigations that are undertaken based on complaints or referrals received involving but not limited to alleged non-profit fraud, license fraud, medical fraud and the abuse of state funded benefits. Records include, but not limited to, research investigation notes, correspondence, files relative to investigation and any pertinent law enforcement data. Confidential investigation shall be kept under agency specific RDA.</td>
<td>10</td>
<td>Destroy</td>
<td>Mar-17</td>
</tr>
<tr>
<td>SW42</td>
<td>Unsuccessful Grant Applications</td>
<td>This series includes a record of proposals that have been denied funding or for which no award decision has been made by the funding state agency. Series includes, but not limited to, proposal for grant, correspondence, notes, project/planning files, grant evaluation summaries, letters of denial, and other related documentation.</td>
<td>5</td>
<td>Destroy</td>
<td>Mar-17</td>
</tr>
</tbody>
</table>