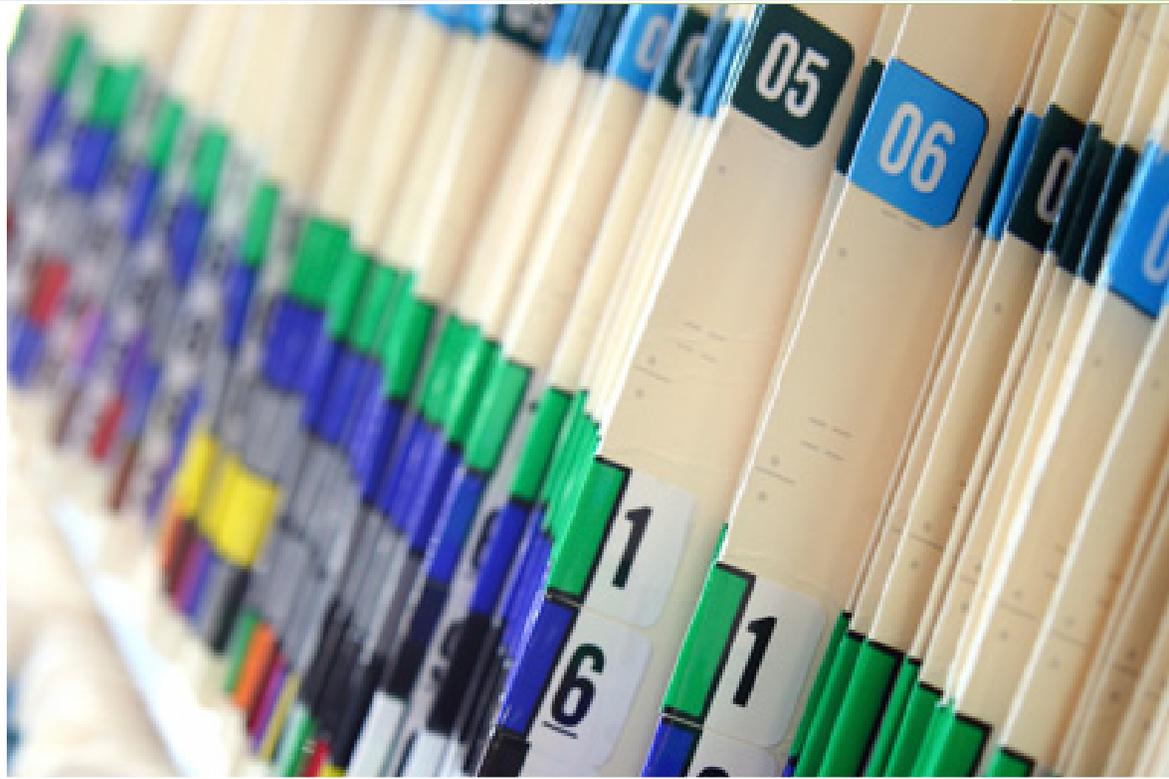


2013

Records Management Basics



Tennessee Secretary of State
Records Management Division
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Records Management Roles & Responsibilities

Public Records Commission

The Public Records Commission (PRC) was created by statute to determine and order the proper disposition of state records. The PRC meets at least twice annually to receive an update report from the Records Management Division and to discuss any records projects or outdated policies and procedures. These meetings are open to the public. The PRC Rules, past meeting minutes, and a link to Tennessee State Library & Archives can be found on the Records Management website.

Records Management Division

The Records Management Division (RMD) was created to assist state agencies in establishing systematic controls for the efficient use and sound preservation of state records. The division is primarily responsible for:

- Advising on the appropriate development, utilization, disposition, retention, and destruction of records
- Establishing procedural guidelines for paper and electronic records oversight and retention
- Providing statewide training on records management best practices, policies, and procedures
- Serving as administrative liaison between state agencies and the PRC
- Reviewing all records disposition authorizations (RDA's) submitted by state agencies, making recommendations, and forwarding to the PRC for approval
- Creating and maintaining statewide retention schedules (RDA's)
- Maintaining certificate of records destructions (CRD's) submitted by state agencies
- Collecting annual records holding reports from each agency to report on record growth
- Providing logistical support to agency records officers for the delivery or retrieval of records to/from the records center (currently Richards & Richards)

Agency Records Officer

Each agency, board, and commission is required to have a records officer to oversee record keeping in their organization. The Records Officer coordinates with the Records Management Division to ensure compliance with statutory requirements and the rules set forth by the Public Records Commission. The records officer is primarily responsible for:

- Management of the records in his/her organization—ensuring the appropriate development, utilization, disposition, retention, and destruction of records
- Ensuring compliance with procedural guidelines for paper and electronic records retention
- Attending training provided by the Records Management Division and educating agency record coordinators on best practices and any new policies and procedures
- Serving as administrative liaison between his/her organization and the Records Management Division
- Creating and submitting records disposition authorizations (RDA's) to the Records Management Division for review and approval whenever a new record series is created

Agency Records Officer (continued)

- Keeping all his/her organization's RDA's current and submitting revision and deletion requests when necessary
- Ensuring compliance with statewide retention schedules (RDA's)
- Creating and submitting certificates of records destruction (CRD's) to the Records Management Division each time his/her organization destroys records
- Creating and submitting annual records holding reports to report on record growth to the Records Management Division
- Arranging for the delivery or retrieval of records to/from the records center (currently Richards & Richards), which includes entering new boxes of records into the Richards & Richards web database
- Attending training provided by Richards & Richards on the box retrieval process and utilizing their web database, and educating agency records coordinators on these procedures

Some of the larger agencies/organizations might require the role of records coordinator be assigned to their administrative personnel who are responsible for record keeping in their divisions in outlying counties. These records coordinators are to report to the agency Records Officer for guidance and training on record keeping best practices, policies, and procedures that are set forth by Records Management and the PRC.

If your agency does not have a records officer, it is imperative that one be assigned as soon as possible. This requires a memo from the agency head, along with the *Records Officer Assignment Form* and the *Richards & Richards Web Security Form*, to be submitted to the Records Management Division.

**Effective immediately*, the Records Officer will report to his/her agency's General Counsel, who will be responsible for overseeing all record keeping procedures in his/her organization. See the memo from Commissioner Cates, dated March 18, 2012.

Standard Procedures & Reporting Requirements

Identify Your Records

What is considered 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.” TCA § 10-7-301 Part 6
 - Some additional examples include budget documents, payroll documents, election poll books, contracts, vendor vouchers, revenue reports, investigation files, audit reports, or personnel files.
- **“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.” TCA § 10-7-301 Part 14
 - Some additional examples include meeting notes, reference materials, copies of reports, general correspondence, interoffice memoranda’s, bulletins, or research documents.

What is a record series?

A group of identical or related records that are utilized and filed as a unit and that have the same retention period; defines a type of records, such as financial reports, audit reports, or HR personnel documents.

Create a Records Disposition Authorization (RDA)

The RDA is an official document utilized by an agency/organization to request authority for the disposition of records. The RDA outlines the type of records being maintained (record series), the type of media (paper, microfilm, etc), any applicable laws/statutory requirements, a detailed description of the records, and the disposition requirements—when the records are to be cut-off for storage, how long they should be stored, and whether they will be destroyed, scanned, transferred to Library & Archives, or transferred to the record center for long-term storage.

1. When a new record series is created, the agency Records Officer is responsible for filling out the *Records Inventory Worksheet* or *Electronic Records Inventory Worksheet* and attaching an example of the record series; these are to be sent to the Records Management Division for review and approval
2. Upon approval, the Records Officer must then fill out the *RDA form* and obtain signatures from the division director and the agency head; then the packet should be resubmitted to the Records Management Division

Create a Records Disposition Authorization (continued)

3. Records Management will then write a memo with any recommendations and submit it with the RDA packet to TN State Library & Archives (TSLA)
4. TSLA reviews the documents to determine if they are historically significant and responds via memo to the Records Management Division, who then forwards the packet to the PRC for review and approval
5. If the PRC approves, the packet is signed by all 5 voting members and returned to Records Management; the Records Management staff logs the new RDA in their database and forwards a copy to the agency Records Officer

Certificate of Records Destruction (CRD)

The agency Records Officer (and records coordinators, if applicable) is expected to review their agency's records and determine which ones are due for destruction *at least* once a year. 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 CRD's and uses this information to monitor the record destruction process to ensure compliance with RDA requirements and statewide policies.

Annual Records Holding Report

Once a year, Records Management requests that the agency Records Officer fill out a Records Holding Report, which reflects a full inventory of all the records stored by his/her agency/organization. The Records Holding Report details how many cubic feet have accumulated for each record series and should list the associated RDA's. This gives a snapshot of record growth and reduction, can indicate if new RDA's need to be created or revised, and can help with future storage space planning.

Record Center Box Delivery and Retrieval

The State of Tennessee currently has a contract with Richards & Richards (R&R) for record storage at their warehouse on Elm Hill Pike in Nashville. The Records Management Division handles all the logistics and is responsible for transporting each agency's records to and from the R&R record center, but this is contingent upon the agency Records Officer entering the boxes into the R&R web database, labeling them, and scheduling the delivery or retrieval. Records Management Division Storekeepers will deliver all ordered boxes within 48 hours. If a Records Officer orders a box in the R&R web database for review onsite at the R&R facility, the order should be placed prior to 2pm and the box should be available by the next business day. Records Management Division should be contacted for high priority deliveries. All agency Records Officers and Coordinators who will be responsible for requesting box retrievals and deliveries are required to fill out the *Richards & Richards Web Security Form*. Otherwise, they will not be granted access to the web database or to the record center. They will still be expected to show their State ID each time they wish to visit the record center to access files.

Additional Resources & Contact Information

Forms

- The Records Management Division forms can be found on the intranet at:
<http://www.tn.gov/sos/rmd/index.htm>

Training

- The Records Management Division provides general records training and workshops throughout the State of Tennessee annually to assist state agencies with their records management programs; classes can be customized for individual agencies to meet special training needs
- The current training schedule can be found on the Records Management website:
<http://www.tn.gov/sos/rmd/index.htm>
- For Richards & Richards training on box delivery and retrieval, and utilizing their web database, contact Alice Drummond at 615-741-5739

Statutory Requirements

- See TCA §§10-7-301 through 10-7-306
- The Public Records Commission Rules can be found at: <http://www.tn.gov/sos/rules/1210/1210-01.pdf> and are also referenced on the Records Management website

Records Management Analysis - The Analysis Team oversees training, RDA processing, the Records Holding Report, Certificates of Records Destruction, and updating record policies and procedures.

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Records Management Operations - The Operations Team oversees all logistical operations including the indexing, storage, retrieval and disposition of records stored at the state records center (currently Richards & Richards).

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