

Updated September 7, 2017

SW#	Title	Description	Retention	End Action	Date of Last Action
SW01	Accounting Journal Vouchers and Deposit Slips	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, IU - Inter-Unit Transaction, JV - Online Journal Voucher, KK - Commitment Control Journals, LA - Accrued Liabilities, LM - Enterprise Learning Management, MU - Mult-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.	5	Destroy	May-14
SW02	Accounting Reports	Documents relating to monthly accounting reports. This series also includes Accounting reports from Edison or the STARS System	5	Destroy	May-14
SW03	Inactive Human Resources Employee Documentation	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.	5	Destroy	Mar-17
SW04	Employee Medical Records	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.	30	Destroy	May-14
SW05	Retired: Administrative Documents	Documents previously under this RDA are now maintained under SW20 Fiscal Administrative Documents and SW23 Credit Card & Procurement Card	retired	retired	Sep-14
SW06	Boards and Commission Documents	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 policies, current & obsolete directives, minutes/accounts of proceeding actions taken, agenda, copies of reports, and announcements.	5	Permanent	Sep-17
SW07	Travel Authorization Files	Documents relating to requests and authorizations for in-state and out-of-state travel and related correspondence, including cost estimates for travel	5	Destroy	Sep-17
SW08	Commissioner's Subject Files	Documents relating to agency heads (Constitutional Officers, Commissioners, & Executive Directors) in the transaction of official business. Examples: Official correspondence, memorandums, final reports, official policies, current & obsolete directives	5	Permanent	Sep-17
SW09	Attendance and Leave Records	Documents relating to attendance and leave, including correspondence such as notice of holidays and hours worked.	5	Destroy	May-14
SW10	Real Property Lease Files	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.	5	Destroy	Sep-17
SW11	Internal Audit Reports and Working Papers	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.	10	Destroy	May-14
SW12	Contracts	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 S2272	6	Destroy	Sep-14
SW13	Voter Registration Declination Files	Documents relating to the declination of voter registrations	5	Destroy	May-14
SW14	Discrimination and Harassment Investigation files	Documents relating to discrimination and workplace harassment investigations. Examples: investigation intake/referral (PR-0411), investigation memos, Equal Employment Opportunity Commission charges/documents, Tennessee Human Rights Commission charges/documents.	5	Destroy	May-14
SW15	Annual Report Working Papers	Working Paper documents relating to the annual reports prepared by all agencies.	5	Destroy	May-14
SW16	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.	0	Destroy	Sep-17

SW17	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.	1	Destroy	Sep-17
SW18	Budget Papers	Documents relating to budget working papers and budget requests. The records are documents used to assist the agency in the preparation of budgets and to justify requests to the Department of Finance and Administration as well as copies of official budget requests submitted to the Department of Finance and Administration for recommendations to be presented for final approval. Records include correspondence, instructions, tabulations, reports, cost estimates, budget request forms, program objectives, strategies, budget revisions and other related documents.	5	Destroy	May-14
SW19	Active Employee Files	These files consist of Departmental Employee Human Resources (HR) information and contains documentation that includes Department of Human Resources (DoHR) Form 0307. 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 1280, 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.	.5 years (6 Months)	Transfer to DoHR	Feb-16
SW20	Fiscal Administrative Documents	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)	5	Destroy	Sep-14
SW21	Grants	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.	5	Destroy	Aug-14
SW22	Internal Policies and Procedures	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/reference. Records series will include interim policies, procedures, and rules as well.	10	Destroy	Dec-14
SW23	Credit Card and Purchasing Card (p-Card) Documents	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, approver signed agreement form, account maintenance forms, training tests, Edison security form, transaction logs, exception logs, fiscal officer's memos, account statements, and receipts.	5	Destroy	Sep-14
SW24	Hazardous Material Files	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.	5	Destroy	Jun-15
SW25	Administrative Documents - Internal Policies and Procedures	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.)	5	Destroy	Dec-14
SW26	Incident Reports	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.	10	Destroy	Jun-15
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. ***Note***Request For Proposals chosen will fall under SW12***	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 in communication and correspondence with the public. Includes spreadsheets/lists 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	5	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 Mobile Devices- Incident Not Identified	Recordings, created by a law enforcement agency using mobile 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 mobile 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). 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	Mar-17
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.	5	Permanent	Jun-16
SW37	Temporary Captured Media	Temporary Records, is defined at 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 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
SW39	Title VI Annual Report	Agency copy of Annual Reports and supporting documentation submitted to the Federal Government or TN Human Rights Commission.	5	Destroy	Mar-17
SW40	Rule Promulgation File	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.	0	Permanent	Mar-17
SW41	Fraud Investigation Files	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.	10	Destroy	Mar-17
SW42	Unsuccessful Grant Applications	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.	5	Destroy	Mar-17