

## Records Classification Guide

Record Name	RDA Number	Description	Retention Period
Accounting Journal Vouchers and Deposit Slips	SW01	<p>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 - Mulit-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.</p>	5 years
Accounting Reports	SW02	Documents relating to monthly accounting reports. This series also includes Accounting reports from Edison or the STARS System	5 years

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Record Name	Number	Description	Retention Period
Inactive Human Resources Employee Documentation	SW03	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 years - destroy
Employee Medical Records	SW04	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.	Files are cut off upon termination of employee, maintained for 30 years.
Boards and Commission Documents	SW06	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.	Permanent

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Record Name	Number	Description	Retention Period
Travel Authorization Files (I)	SW07	Documents relating to requests and authorizations for in-state and out-of-state travel and related correspondence, including cost estimates for travel	Accounting Office - 5 years and destroy; all other offices - 1 year.
Attendance and Leave Records	SW09	Attendance and Leave Records and Reports, Employee Leave Requests	5 years and destroy
Audit Reports, Internal	SW11	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 years and destroy
Contracts	SW12	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 years - destroy

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Record Name	Number	Description	Retention Period
Discrimination and Harassment Investigation files	SW14	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 years - destroy
Annual Report Working Papers	SW15	Working Paper documents relating to the annual reports prepared by all agencies. Examples include: budget reports, emergency management reports, etc.	5 years - destroy

Record Name	RDA Number	Description	Retention Period
Temporary Records	SW16	<p>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].</p> <p>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</p>	Temporary records are not to be retained more than one year

Record Name	RDA Number	Description	Retention Period
Working Papers	SW17	<p>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.</p>	1 year - destroy

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Record Name	Number	Description	Retention Period
Budget Papers	SW18	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 years - destroy
Fiscal Administrative Documents	SW20	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 years -destroy

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Record Name	Number	Description	Retention Period
Grants	SW21	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 years- destroy
Internal Policies and Procedures	SW22	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 years - destroy
Credit Card and Purchasing Card (P-Card) Documents	SW23	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 years - destroy



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Record Name	Number	Description	Retention Period
Hazardous Material Files	SW24	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 years - destroy
Administrative Documents - Internal Policies and Procedures	SW25	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 years - destroy

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Record Name	Number	Description	Retention Period
Incident Reports	SW26	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 years - destroy
Request For Proposal (RFP) Documents - Not Selected	SW27	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 years - destroy

RDA			
Record Name	Number	Description	Retention Period
Employment Applications - Not Selected Candidates	SW28	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 years - destroy
Affirmative Action Compliance Records	SW29	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 years - destroy
Internal Investigation Files	SW30	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 years - destroy

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Record Name	Number	Description	Retention Period
Communication Databases	SW31	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 years - destroy
Accreditation Records	SW32	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 years - destroy
Volunteer Forms and Unpaid Intern Records	SW33	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 years - destroy

Record Name	RDA Number	Description	Retention Period
Recordings from Law Enforcement Electronic Devices - Incident Not Identified	SW34	<p>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.</p>	3 years - destroy

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Record Name	Number	Description	Retention Period
Open Records Request	SW35	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.	
Original Captured Media	SW36	Finished products of video, audio and digital images captured and produced of official agency business created and used by the employees of the agency.	5 years and transfer to Tennessee State Library and Archives
Temporary Captured Media	SW37	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	5 years - destroy

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Record Name	Number	Description	Retention Period
Title VI Annual Report	SW39	Agency copy of Annual Reports and supporting documentation submitted to the Federal Government or TN Human Rights Commission.	5 years - destroy
Rule Promulgation File	SW40	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.	Permanent
Fraud Investigation Files	SW41	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 years - destroy

RDA			
Record Name	Number	Description	Retention Period
Unsuccessful Grant Applications	SW42	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 years - destroy
Minutes of Boards and Official University Standing Committee Meetings (P)	SW-U01	May be administrative, faculty, departmental.	Retain permanently; may be transferred to Archives upon rotation of chair.
Student Education Records	SW-U02	These files contain the official academic record of students attending State institutions. They include, but are not limited to Academic Records (includes Narrative Evaluations, Competency Assessments), Change of Grade Records; Financial Aid Transcripts (if applicable), Class Lists (original grade sheets or cards), Graduation Lists, transcripts Permanent Student Cards, Statistical Data (enrollment, grades, racial/ethnic), degree), Commencement Program (1 copy), Student Disciplinary Files resulting in expulsion.	Image and retain original negative permanently at an alternate site. Use duplicate film inhouse.



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Record Name	Number	Description	Retention Period
Alumni Development Files/ Donor Gifts and Contributions/Endowment and Living Trust Agreements. (P)	SW-U03	Current and Historical Data Including - Alumni Development Files: alumni information, solicitation, pledge and contributions data, and all related documents.	Retain paper documents 5 years onsite and transfer to retain Records Storage for Permanent retention. Electronic records maintain permanently
Athletics - Student National Collegiate Athletic Association (NCAA), Patient, and Academic Second Opportunity Records	SW-U04	Includes, but is not limited to Athletic files including NCAA eligibility and related files, student patient files, and Academic second opportunity applications.	10 year- destroy
Trademark, Copyrights & Patent Records, Printed Material and Publications (P)	SW-U05	These records include, but are not limited to Trademark, Copyright and Patent records, including correspondence, forms, documents and materials relating to application for and granting of same. Printed Materials and Publications which have permanent administrative, physical, historical or legal value, such as; class schedules (institutional), institutions catalogs, brochures, etc.	Scan paper records at the end of fiscal year and retain permanently. Two (2) paper copies of Printed Materials and Publications should be sent to library archive. May be converted to digital or microfilm and maintained permanently.

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Record Name	Number	Description	Retention Period
Student Information Records	SW-U06	Records that are not protected as part of the Student Education Record (Statewide RDA SW-U02). These records include, but are not limited to individual office or department files, graduation authorizations, accepted applications for admission or readmission, credit by exam forms, placement records, student ledger cards/registration system receipts, tuition and fee charges, athletic department files, campus health clinic records	Maintain paper or electronic format for 5 years and destroy
Research Records	SW-U07	Research conducted including records created over the course of a research project , steps taken, and results. To include but not limited to: correspondence, project descriptions, final reports or deliverables, data, and related documentation and correspondence	10 years and destroy. Any sensitive or confidential information contained therein shall be destroyed according to standards for destruction of confidential information. Following the end of the retention period, records should be destroyed or archived t
Real Property Files	SW-U08	Facility files that include: deeds, leases, capital agreements, and other historical property documents.	Retain permanently in Accounting Office vault.
Personnel Records (P)	SW-U09	Official personnel folders for each employee.	65 years - Destroy

Record Name	RDA Number	Description	Retention Period
Student Admissions Applications - Denied, Cancelled, Admitted Non-Enrolled	SW-U10	Files of application records for admission to an undergraduate/graduate program. Records include but not limited to: documents or records related to student application for admission. Examples: application, standardized test scores, letters of recommendation, personal statements, medical records, high school and college transcripts, appeals, and other supporting documentation.	Maintain for 1 year and destroy
Student Application for Scholarship Files - Not Selected	SW-U11	Non-selected applications by students for academic or merit based scholarships. Record series includes but is not limited to: application and supporting documentation, notification letter, type of scholarship awarded, amount, appeals, and other specific requirements determined by the scholarship funding agent.	Maintain for 1 year and destroy at the end of the award or appeal process
Student Application for Scholarship Files - Selected	SW-U12	Selected applications by students for academic and/or merit based scholarships. Record series includes but is not limited to: application and supporting documentation, notification letter, type of scholarship awarded, amount, appeals, and other specific requirements determined by the scholarship funding agent.	Maintain for 5 year and destroy at the end of the award or appeal process

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Record Name	Number	Description	Retention Period
Student Medical Records (College/University Statewide)	SW-U13	Documents relating to Student medical records, Student health form, Immunization History, Meningitis form, Hepatitis form, Allergy Injection form, Health disclosure, etc.	Maintain for 10 years after Fiscal Year End
Child Care Facility Records (College/University Statewide)	SW-U14	Records documenting the child care facility. Records include but not limited to: Visit reports, license renewal documents, license certificates, inspection reports, immunization inspection reports, fire safety reports, immunization inspection reports, fire safety reports, meal reports, program improvement plans, playground and meal supervisory plans, observation reports, etc.	Maintain for 5 years after Fiscal Year End
Clinic Records	SW-U15	Records documenting Clinic Records but not limited to: Patient records, patient billing information, clinic notes, medical history, evaluation, immunization records	Maintain for 10 years after Fiscal Year End
Animal Care Records	SW-U16	Records documenting Animal Care records but not limited to: Animal procurement, vaccination records, health records, livestock request form	Maintain for 5 years after Fiscal Year End

Record Name	RDA Number	Description	Retention Period
Non-Closeout Capital Project Files	SW-U17	Records documenting non-Closeout Capital Projects files. Record series includes but is not limited to: Amendments, Supplements, Change Orders, Addendum, Bid Documents, Certificates of Substantial Completion, Certificate of Insurance, Schedules, Pay Applications, Job Order Contract Projects, Consent of Surety, Requests For Proposals, Notice to Proceed Letters, Field/Observation Reports, Photographs, Construction Progress Report, Designer Cost Estimates, Meeting Notes, Letters, and Transmittals. Capital Project Closeout files should be maintained permanently under SW-U08 University Real Property Files.	Maintain for 10 years upon completion of the project