



STATE OF TENNESSEE
DEPARTMENT OF GENERAL SERVICES

STEVEN G. CATES
COMMISSIONER

BILL HASLAM
GOVERNOR

MEMORANDUM

TO: All Department/Agency Heads

FROM: Steven G. Cates, Commissioner
Department of General Services *MC*

SUBJECT: Records Management Procedures and Responsibilities

DATE: March 18, 2012

On January 31, 2012, all department heads were notified that our Real Estate Asset Management team (STREAM) was reviewing all state spaces to identify areas where densification of staff would provide a better utilization of that space. Records storage and management quickly became part of the plan.

In the last six weeks, our Records Management Division has conducted on-site visits and worked with your staffs to ensure that records disposition authorizations (RDAs) are up-to-date. We learned that many of the agency-specific RDAs are outdated, and that an excess of statewide office space is being utilized for record storage. Many of these records can be destroyed, converted to electronic media, sent to State Library and Archives, or sent to our records warehouse (Richards & Richards) per existing RDA requirements.

We want to take this opportunity to clarify the roles of our Records Management Division staff and those of the agency Records Officer and to reiterate the importance of efficient record keeping.

The Records Management Division was established by Tennessee Code Annotated (TCA) §10-7-303 to serve as the primary records management agency for the State of Tennessee, charged with assisting State agencies with establishing systematic controls for the efficient use and preservation of State records.

Records Management responsibilities include:

- Assisting agencies/departments in the development, utilization, disposition, retention, and destruction of records
- Training agency Records Officers
- Providing the appropriate forms and advise on the correct utilization of those forms for monitoring and managing agency records
- Making recommendations for the efficient management of agency records

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- Providing recommendations and updates to the Public Records Commission (PRC), which governs the Records Management Division

In accordance with TCA §10-7-304, each agency/department is required to have a Records Officer.

The Records Officer's responsibilities include:

- Management of the agency's records
- Presenting requests for the disposition of those records to the Records Management Division and the PRC in the form of an RDA
- Keeping their RDAs current by submitting revisions or deletion requests when needed
- Providing annual records holding reports
- Providing certificates of records destruction
- Arranging for the timely transmittal of records to/from the records warehouse

Due to the time sensitive nature of this project, we are requesting that your General Counsel oversee the supervision of all Records Officers within your agency/department. This request is effective immediately.

The names, phone numbers, and e-mail addresses of both your General Counsel along with your respective Records Officer(s) should be provided to Thomas W. Chester, Deputy Commissioner, at Thomas.W.Chester@tn.gov no later than **Wednesday, March 21st**. Your General Counsel will then be sent a packet of your Agency's RDAs on **Friday, March 23rd**.

On **Thursday, April 12th**, the Records Management Division may provide your agency with an inventory packet. This packet will contain a sign-off sheet for recommended record reductions. This sign-off sheet, along with all of your existing RDAs, must be reviewed and submitted to Records Management no later than **Monday, April 30th**.

General Counsel questions can be directed to Thad Watkins, General Counsel, Department of General Services at 741-5922 or Thaddeus.E.Watkins@tn.gov.

Records Management questions can be directed to Elizabeth Crawford, Management Consultant, Department of General Services at 741-2293 or Elizabeth.C.Crawford@tn.gov.

General Services Records Management

2011-2012 Snapshot

3/19/2012

- As a result of the May 2010 flood disaster, we outsourced the record center to Richards & Richards (R&R); since then, we have:
 - Trained 261 agency records officers and coordinators on utilizing the R&R Web Database to pull box reports, label their boxes, and coordinate the delivery and retrieval of records
 - Identified 36,321 boxes at R&R that were past their retention and provided disposal reports to each agency for their boxes that were due for destruction (see next page); approximately 20,877 have been destroyed to-date
- In 2011-2012, we shipped 9,777 boxes of records to and from the records center per agency requests
- We have also tracked the restoration of 17,000 flood-damaged boxes of records, identified who they belonged to, and returned them to the owning agencies
 - The final shipment of microfilm is en route and due back Tuesday, March 20th
- Provided 9 Basic Records Management training classes in Nashville and Cookeville and have 5 scheduled in the coming months in Nashville, Chattanooga, Knoxville, and Cookeville
- Processed 85 agency-specific RDA's in 2011 and 44 to-date for 2012—includes creation, revision and deletion
- Submitted a request to the Public Record Commission to allow for the disposal of financial records that have already been scanned into Edison's Enterprise Content Management System, which should reduce record storage requirements; the approval is pending
- Traveled throughout the State and inventoried the records in 69 offices that could potentially be affected by the densification project
 - We are cross-checking with each applicable RDA in order to make recommendations for record reduction in those locations
 - Those inventory summary reports can be expected by Thursday, April 12th
- Completely revamped our Records Management website to provide new resources and up-to-date information

Richards & Richards Inventory Identified for Destruction

Agency	Count of Qualified for Destruction
BOARD OF PROBATION & PAROLE	11
BUREAU OF TN CARE	2,433
COMPTROLLER OF THE TREASURY	1,526
COURT SYSTEM	157
DEPARTMENT OF CHILDREN'S SERVICES	61
DEPARTMENT OF COMMERCE & INSURANCE	1,615
DEPARTMENT OF CONSERVATION	267
DEPARTMENT OF CORRECTION	12
DEPARTMENT OF EDUCATION	59
DEPARTMENT OF FINANCIAL INSTITUTION	198
DEPARTMENT OF GENERAL SERVICES	419
DEPARTMENT OF HEALTH	1,003
DEPARTMENT OF HUMAN RESOURCES	7
DEPARTMENT OF HUMAN SERVICES	5,512
DEPARTMENT OF LABOR & WORKFORCE DEV	929
DEPARTMENT OF REVENUE	2,441
DEPARTMENT OF SAFETY	41
DEPARTMENT OF STATE	303
DEPARTMENT OF TRANSPORTATION	81
DEPARTMENT OF TREASURY	456
DEPT OF FINANCE & ADMINISTRATION	15,084
DEPT OF INTELLECTUAL & DEVELOPMENTAL DISABILITIES	380
EXECUTIVE DEPARTMENT	32
HEALTH SERVICES & DEVELOPMENT AGCY	4
MENTAL HEALTH/DEV. DISABILITIES	2,131
TENN REGULATORY AUTHORITY	72
TENNESSEE ARTS COMMISSION	28
TENNESSEE HOUSING & DEVELOPMENT	1,056
TN HOUSING DVLPMNT AGENCY	3
Grand Total	36,321