



TDOT Personnel,

The HQ JKP (Nashville) Records Management Assessment conducted by the Secretary of State Records Management Division on March 1-2, 2022, was completed without significant issues.

Some key highlights from the final report are as follows:

- Records Management practices meets standards
- Records Officer and agency personnel continually work to further their knowledge and ensure records are being kept according to their RDAs
- RDAs are currently being reviewed and updated
- The agency is digitizing

As expected, findings were minimal. We'll be contacting each division separately to resolve specific findings as it pertains to each division.

We appreciate all Records Coordinators, Custodians, Managers, and other personnel that took active steps in preparing for the assessment. As always, your Records Management Team is here to help in all things related to records management.

Records Management Resources:

[Central Services - Records Management - All Documents \(sharepoint.com\)](#)

[Records Management | Tennessee Secretary of State \(tn.gov\)](#)

\*\* Regions 1, 2, 3, 4, Aerial Surveys, and Aeronautics are expected to be visited at future dates not yet scheduled. We'll coordinate once we get those details. \*\*

## **Tennessee Department of Transportation Assessment Report of the Central Office**

### **Summary of Findings**

Records Management Division (RMD) completed the records assessment for the Department of Transportation, Central Office on March 2, 2022. The purpose of the assessment was to measure how the agency manages their records, to identify which RDAs are being used, what RDAs are needed, and the volume of records per RDA. The assessment also assists the agency in identifying common areas for improvement which can be used to develop strategies to help improve records management practices.

Overall, the agency is improving their recordkeeping practices by continually making their business processes more efficient for the citizens of Tennessee. The agency has been effective in ensuring proper storage of their paper records as well as timely destruction of records according to the appropriate RDAs. The agency can improve their records program by ensuring proper retention and final disposition for electronic records. The agency can also make use of space by consolidating similar records and keeping division records together.

### **Division Analysis/Recommendation**

#### **Central Services**

This division keeps all their records electronically. RMD recommends that the division purge electronic records according to their retention schedules.

#### **Chief Engineer**

This division is mostly electronic. However, the paper records are well organized in filing cabinets in central locations and labeled with the RDA number. RMD recommends that the division purge electronic records according to their retention schedules.

#### **Civil Rights**

The division keeps all records in a locked filing room with all cabinets labeled. The division is working on scanning their records. RMD has no recommendations.

#### **Commissioner's Office**

This division is mostly electronic. However, the paper records they have are well organized in filing cabinets that are labeled with the RDA number. RMD recommends that the division purge or transfer electronic records according to their retention schedules.

#### **Commissioner and Community Relations**

The division is organized and labeled. The division was knowledgeable of their records and RDAs. RMD has no recommendations.

## **Construction**

The division has records centrally located in a file room. Staff does keep working papers at their desks, but the volume varies from desk to desk. Records are labeled and well organized. RMD recommends that the division purge electronic records according to their retention schedules.

## **Environmental**

The division is very knowledgeable of their records and RDAs. The division is still currently storing paper, but they are currently working with the Records Officer to scan their paper records. Most records are kept permanently because of the nature of their records and because of litigation issues that can arise at any time. All records that are confidential are kept in locked cabinets. The division does store some records in filing cabinets next to elevators and some on the floor. RMD recommends that cabinets located in the hallway be locked or relocated, and records that are located on the floor are placed on shelving or in filing cabinets.

## **Finance**

The division has a large number of copies of paper records that are stored in Edison. Their file room was organized and labeled. The division is working on digitizing their records and microfiche. They are conducting the scanning in house because of the confidentiality of the records. The division labeled a few of the shelves SW20, however under the Statewide RDA number the division listed a ten-year retention which does not match the Statewide Retention of five years currently listed on RMD webpage. RMD recommends that the division purge extra copies, and work with the Records Officer to determine if another RDA is needed because of the labeling on the record shelves.

## **Human Resources**

The division is mostly electronic except for fifteen boxes that were recently located. The division is in the process of reviewing records to determine if the retention period has been met. RMD recommends that once final disposition has been met for those records they be disposed of.

## **Internal Audit**

This division keeps all their records electronically. RMD recommends that the division purge electronic records according to their retention schedules.

## **IT**

This division keeps all their records electronically. RMD recommends that the division purge electronic records according to their retention schedules.

## **Legal**

The division is secure. The division is located behind a keycard accessed door. The records are located in locked rooms. The records that are kept electronic are protected by policies and procedures that allow certain staff access to those records. The division has 33 boxes in a locked room that are their records, but the Attorney General's Office requested them for litigation. The division is unsure what to do with these records. RMD recommends the division work with the Attorney General's Office to find out what to do with the boxes.

## **Long Range Planning**

The division is organized with all drawers labeled. The division is preparing records to be scanned. No recommendations.

## **Maintenance Operations**

All records are in centrally located areas with filing cabinets labeled, though some of the labels were incorrect. The division has a drawer labeled as audit files; however, the division is unaware whom those records belong to. The division stated that their maintenance records are not accessed very often, and they are unaware if there are originals or copies located within the files. However, the division is considering scanning these records. RMD recommends that records be organized and reviewed to determine if the retention period has been met and to whom such records belong to.

## **Multimodal**

The division is very knowledgeable of their records and RDAs. All filing cabinets were labeled and locked. The division is working on scanning their records but will always have paper because of the permits issued. RMD has no recommendations.

## **Procurement/Contracts**

This division keeps all their records electronically. The division is currently working on scanning what few boxes of paper they do have. RMD recommends that the division purge electronic records according to their retention schedules.

## **Program Development**

The division is currently waiting for DGS to start scanning their records. The division has 15 cubic feet of records they are unaware of whom they belong to, they look old, and are unsure of what to do with them. The division is lacking an RDA for records that were labeled miscellaneous. The division keeps an abundance of reference material. The division is separated into two different groups that do not communicate with one another. One side of the division meets current standards and is preparing to scan their records; the other side of the division still produces paper according to a dated procedure. RMD recommends that the division work with

the Records Officer to create and/or revise their RDAs as appropriate. The division may want to examine the benefits of a unified business process or workflow. Reference material should be destroyed when no longer of administrative use and the division's employees should communicate with one another to make sure each group is up to date with current standards.

### **Right Of Way**

The division is very knowledgeable of their records and RDAs. The division has a file room that has its shelving labeled. The division is currently still generating paper, but they are also moving toward scanning paper records. RMD has no recommendations.

### **Roadway Design**

The division is very knowledgeable of their records and RDAs. All filing cabinets were labeled with the RDA number and the destruction date. The division has an abundance of working papers and reference material. RMD recommends that working paper and reference material be destroyed when no longer of administrative use.

### **Safety**

The division has all their records digitized. The division holds very little working papers, but they do have reference material. The division keeps their records in a Human Resources database along with Treasury and a third-party vendor. RMD recommends that the division purge electronic records according to their retention schedules.

### **Strategic Investments**

The division keeps multiple copies of records, along with having records back to the 80's. The division is using RDA 2072 that does not encompass some of their records. The division expressed the need to destroy or throw away records, but they are unaware of how to complete that task. The division expressed that while there is a need to destroy records there is no time because of the AWS schedules. RMD recommends the division schedule a time for personnel to review records and decide appropriate actions. RMD also recommends that the division work closely with the Records Officer to destroy records and extra copies, along with creating RDA(s) to fit their records.

### **Strategic Planning**

This division keeps all their records electronically. RMD recommends that the division purge electronic records according to their retention schedules.

### **Structures**

The division is currently in the process of scanning all their records. The division had filing cabinets labeled. The division participated in an agency hosted RDA Pilot program in order to

understand the steps and processes associated with creating RDAs. RMD recommends that the division purge electronic records according to their retention schedules.

### **Swipe & Ride**

This division keeps all their records electronically. RMD recommends that the division purge electronic records according to their retention schedules.

### **Traffic Operations**

The division had filing cabinets labeled and was knowledgeable about their RDAs. The division is working on scanning their records. The division does have records from another division in their area, but they are unaware of the ownership of the records and where they belong. RMD recommends that the division work with the Records Officer to determine where the miscellaneous records belong.

### **The Agency Overall**

**Organization/Accessibility** – As an agency the records were more organized and accessible compared to the last assessment. Most of the filing cabinets and drawers were labeled and kept in central locations.

**Storage Environment** – All records were kept in stable temperature and humidity levels. All areas seemed to be free of vermin and pests and out of flood zones. The agency did have a water leak in October of 2021 on A-Level. The agency took quick action in calling Belfor to get the water cleaned up and to restore the records that were damaged. The records have all since been relocated and records are no longer kept in this location. The agency has gone to great lengths to have this water leak cleaned up and to ensure it will not happen again.

**RDA Compliance** – The agency does have a few divisions that have paper records past their retention period. The Records Officers were made aware of this issue with the different divisions, and they are currently working with the divisions to get these records destroyed. The Records Officers have made great strides to review RDAs and to update them as needed.

**Security** – The agency has security measures in place for confidential records. With all the divisions Records Management noticed that all confidential records were behind a locked door or multiple locked doors, or in locked filing cabinets. All electronic records are only permissible to certain personnel.

**Knowledge** – Most staff members were knowledgeable of their RDAs and processes. However, there were multiple divisions that need to destroy records that have not done so because of lack of staff or time. The Records Officers are now aware of these divisions, and they should follow up with each division to ensure that records are being destroyed according to their corresponding RDA.

## **Conclusion**

Overall, Records Management Division has found that the agency's records management practices do meet standards. Records Management is confident that any records overdue for destruction will be handled promptly and efficiently, and a Certificate of Destruction will be submitted. The Records Officer and agency personnel continually work to further their knowledge and ensure records are being kept according to their RDAs. The agency has digitized most records but are still in the process of digitizing other divisions since the last records assessment was conducted in 2018, so most paper records kept in the central office are working papers or administrative copies. The agency's RDAs are currently being reviewed and updated; Records Management recommends that the agency continue to review RDAs for appropriateness in the future.



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