State Audit and Health Provider Review Working Papers

Core Data

RDA Number:	410
Effective Date:	2025-10-20
Record Series Abstract:	Documentation created to support engagements (audits, attestations, examinations, special reports, and letter reports) produced by the divisions of State Audit and Health Provider Review. This documentation may include, but is not limited to, electronic and paper working papers, documentation obtained as part of the Governmental Entity Review Law Q&A process, documentary evidence such as contracts, interviews, etc., used to support conclusions, results, findings, observations, and recommendations.
Record Series Active:	Yes
Cut Off at End of:	Other
Total Retention Years:	5
Total Retention Months:	0
Retention End Action:	Destroy
Disposition Notes:	Records will be maintained in agency for five years. All records will then be destroyed by state approved methods when retention ends. Electronic and paper records may be kept past retention period for reference and research purposes as needed.
RDA Signed Agency Form:	RDA 410 Signed Form.pdf

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Worksheet (A)

Record Location:	Cordell Hull Building – 3rd Floor and Agency Servers
File Arrangement:	Alpha Numeric
Media Format Generated:	Electronic Paper
Media Format Generated Summary:	Electronic: Text Paper: Sheet
Media Format Stored:	Electronic Paper
Media Format Stored Summary:	Electronic: Text Paper: Sheet
Date Range:	1996 to current
Agency:	Comptroller of the Treasury
Allotment Code:	30704
Annual Accumulation:	50 cu. ft., 250 GB
Current Volume:	850 cu. ft., 2TB

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Worksheet (B)

Record Value:	Fiscal Legal
Audit Requirements:	State
Information Shared Outside the State:	No
Shared Agencies:	
Essential Record:	Yes - Original
Confidential:	Yes
Does this record series contain sensitive information?:	Yes
Agency Retention:	Both Paper and Electronic Records maintained in agency 1 to 5 years space permitting.
Retention Legal Citation:	10-7-504 TCA
Record Sample PDF:	28.sample.pdf

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Electronic Records Plan Inventory

System Name:	TeamMate + Audit
Hardware Description:	Agency Servers in the Agency’s Cloud Environment
Software Description:	Word, Excel, PDF, documents
System Location:	Agency's Cloud Environment
Backup Procedures:	Agency servers are backed up daily within the agency’s cloud environment and replicated daily to the agency’s separate disaster recovery cloud location.
Disaster Recovery:	The agency has procedures for recovering data from its cloud environment and its separate disaster recovery cloud location.
Data Migration Description:	Data stored on File Servers with appropriate document extension.
Metadata Description:	Each document has associate metadata fields captured (property size, related dates, related people).

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RDA Comments

Records Management Division (RMD)	**2025-09-18** No recommended changes.
Tennessee State Library and Archives	**2025-09-22** No recommended changes.
Comptroller Audit Review	**2025-09-22** We have reviewed RDA 410 from an audit standpoint. We concur with the recommended retention and disposition specifications.
Agency Records Officer	**2025-09-22** No changes
RMD Director	**2025-09-26** RDA 410 is a request to revise an RDA. The retention period will remain five years and destroy. The format will be paper/electronic. The Title, Abstract, Disposition Notes, and Worksheet have been updated. Recommend approval of the request to revise RDA 410.
Public Records Commission	**2025-10-20** PRC approves RDA 410