Secretary of State

Records Management Best Practices and Procedures

Records Management Division
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Chapter 1: Introduction to Records Management

The Public Records Commission (PRC) was created by statute to determine and order the proper disposition of state records. TCA § 10-7-302.

Members of the Public Records Commission include:

- Secretary of State
- Comptroller of the Treasury
- State Treasurer
- Director of Legal Services
- Commissioner of General Services
- Attorney General
- President of the Tennessee Historical Society

The PRC is authorized to direct the State Department to initiate, through the Records Management Division, any action it may consider necessary to accomplish more efficient control and regulation of records holding and management in any agency. TCA § 10-7-302.

Records Management Division is implemented in order to:

- Aid and assist government officials in making informed policy and program judgments.
- Enable citizens to judge the conduct of the government by providing administrative, fiscal, legal, and historical accountability.
- Allow information to be open for observation and access, while safeguarding privacy and confidentiality.
- Assure the documentation of government actions.
- Maintain good business practices.

State agencies are legally responsible for creating and maintaining records that document the transactions of government business. These records provide transparency and accountability to its citizens. State agencies must maintain this information according to established Records Disposition Authorizations (RDA).

What is a Public Record?

Tennessee Code Annotated § 10-7-301 defines a public record or state record as:

> All documents, papers, letters, maps, books, photographs, microfilms, electronic data processing files and output, films, sound recordings, or other material, regardless of physical form or characteristics made or received pursuant to law or ordinance or in connection with the transaction of official business by any governmental agency.

Designating a Records Officer

Tennessee Code Annotated § 10-7-304 states that "The head of each department, commission, board or agency shall designate a records officer, systems analyst, or records analyst, etc., who shall be an employee at the administrative level and who shall be instructed to cooperate with the staff of the division of records management of the Department of State and the Public Records Commission in carrying out the purposes of this chapter. It is the duty of the Records Officer to appear before the Public Records Commission for the purpose of presenting on behalf of such Record Officer's department, commission, board or agency requests for disposition of records."

Identify the person or persons who will serve as the Records Officer by completing the Records Officer Appointment/ Termination form. **Appendix A**

At the end of a records officer's appointment, all records should be turned over to his/her successor.

Chapter 2: Records Basics

Files management is the process of determining how files will be arranged, categorized, accessed, and stored. Whether in paper or electronic format, having good filing practices ensures that the right file can be retrieved quickly at the right time for the lowest possible cost.

Users of the system should be part of the planning process and trained on policies and procedures when the system is implemented. Create a policies and procedures manual to distribute to staff members for easy reference.

Paper Filing Arrangement

The most common methods of arranging documents are alphabetical, numerical, or alphanumeric. The file arrangement should be based on how the information will be retrieved.

Alphabetical Filing: There are two types of alphabetical filing. **Topical filing** arranges records in straight alphabetical order, such as subject correspondence arranged from A to Z, based on the name of the subject. **Classified filing** arranges related documents under a major subheading such as customer complaint correspondence filed under the general heading of customer relations.

Advantages of alphabetical filing include:

- avoiding the use of an index
- effective filing if adhered to
- ease of browsing through files

Disadvantages of alphabetical filing include:

- the increased risk of misfiling versus numeric systems
- retrieval problems arising over name changes
- may be inefficient and cumbersome in large systems
- ease with which unauthorized persons can find records

Numerical Filing: Numerical filing is a system where materials are classified using numbers as headings. Common examples of numerical filing are by file number, Social Security number, date, or case number.

Advantages of numerical filing include:

- quicker comprehension of numerical sequences over alphabetical
- ability to add new files without disturbing existing arrangement
- easy identification of misfiled or out-of-sequence numbers

Disadvantages of numerical filing include:

- necessity of an index since it is an indirect arrangement

- possibility of numbers being transposed when files are created

Alphanumeric Filing: An alphanumeric arrangement uses a combination of numeric digits and alphabets to create a flexible filing system. An index is required to use the system effectively.

Advantages of alphanumerical filing include:
- eliminating the need for long titles through use of codes
- increased file security because users must understand the coding system

Disadvantages of alphanumerical filing include:
- the necessity of consulting an index in order to access the files
- the need to train users on the index

Indexes

An index is a listing used to determine file location. Most indexes have a heading and the subheading listed alphabetically. The heading is the main class or title of records and the subheading lists records that are derived or related to the main heading.

Create a cross-reference to the indexed topic whenever multiple terms can be applied to the same records. The cross-reference acts as a pointer to redirect the user to another location where the file can be found. For example, patient records can be cross-referenced by patient number, name, and Social Security number.

Filing Cutoffs

The file cutoff date is the break or stop in the filing of a records series, based on a predetermined event. At that date, a new group of file folders is created for the same series. The file cutoff date keeps records relating to the same time frame together.

Many state agencies and localities use the end of the fiscal or calendar year as a cutoff date. Colleges and universities may use the end of the academic year. The total time files must be retained is based on the cutoff date, plus the time stipulated on the Records Disposition Authorization.

Destruction

A key part of filing-system maintenance involves controlling the growth of the system. Records should be reviewed regularly to purge and dispose of records that have expired based on Record Disposition Authorization. Documents containing confidential, personally identifying, or private information should be destroyed according to approved methods for confidential records destruction. An Electronic Certificate of Records Destruction must be submitted to Records Management Division.

Review retention schedules and compare with destruction certificates to see if records are being promptly destroyed.

Chapter 3: Records Disposition Authorization

Record Disposition Authorizations (RDA) are the Public Records Commission approved retention schedules that lists records grouped by a common function, the length of time they must be kept, and the required method of destruction. RDAs reflect the length of time that records have historical, administrative, legal, and/or fiscal value. RDAs are divided into two categories statewide RDAs and agency specific. Statewide RDAs govern records series that state agencies have in common and agency specific RDAs govern records generated by agencies through the fulfillment of their role within the state.

Establishing a retention schedule requires appraising the use and value of information, as well as researching regulations that may govern retention.

Retention schedules are not merely suggestions. Records cannot be destroyed before the stated period, nor can they be retained longer than the stated period unless they are involved in an investigation, litigation, audit, or request pursuant to the Tennessee Open Records Act. A retention schedule establishes systematic control of information from a records creation to its final disposition. Retention schedules should be reviewed annually to ensure they remain complete and accurate.

Benefits of a Retention Schedule

By implementing a retention schedule, an agency:

- Ensures that an agency or department is in compliance with both state and federal laws.
- Verifies that records needed for legal, fiscal, or administrative purposes will not be destroyed prematurely.
- Allows records that are no longer useful to be destroyed legally.
- Determines when records may be transferred to a state records center or to Tennessee State Library & Archives for permanent storage.
- Assists with making reformatting decisions.
- Provides information for an essential records protection plan.
- Ensures the preservation of records with historical value.
- May indicate the confidentiality status of a given records series.

Statewide Records Disposition Authorization

Statewide RDAs are general retention schedules that apply to record series state agencies have in common, such as personnel, fiscal, administrative. Before creating a new RDA, it is important to make sure the record is not already covered under a Statewide RDA.

Creating a Records Disposition Authorization

Follow these steps in creating an RDA:

1. Obtain a login and password from Records Management Division
2. Go to **http://www.tnsos.net/rmd/rda** and sign in
3. Click Request New RDA
4. Record Series Title: Determine a unique, specific, descriptive title for the record series. Titles should clearly identify the subject and/or functions of the records. Please spell out any acronyms.
5. Records Series Abstract: Describe the purpose of the records series, indicating:
    a. What documents are included in the records series.
    b. Any specific details that may be helpful such as form number.
6. Records Series Active: Indicate whether the records series is still in use, in other words, whether more files of this type are being generated.
7. File Cutoff: The file cutoff date is a break or stop in the filing of a current records series, based on a predetermined event. In a Record series that is active, this is when a new file is created for the records of the same type. The file cutoff date keeps related documents together.
    a. The Web Application provides the two most common choices:
        i. Fiscal Year
        ii. Calendar Year
    b. Select other and provide and explanation if files follow a different timeframe, such as:
        i. Federal Fiscal year
        ii. Academic year
        iii. The close of a case
        iv. The end of a grant or program
8. Total Retention: The total amount of time your agency is responsible for the retaining the record series- from file cutoff to final disposition. This includes any time the records may be held at the State Records Center.
    a. For example: Records that are kept in agency for 10 years and then transferred to the State Records Center for 10 years would equal 20 years total retention.
9. Retention End Action: Options: “permanent” or “destroy.” Records that are transferred to Library & Archives are classified as Permanent records
10. Disposition Notes: Provide a description of the life of the particular records series. Include the following:
    a. Explain how the record is received or generated.
    b. Identify the event that triggers the retention countdown.
    c. Describe any reformatting (paper, electronic, etc.)
    d. Detail where the record is stored and if/when it is transferred
    e. State the retention

f. Describe the final disposition of the record series
g. Describe any work processes that make the requested retention necessary.
h. For Example: Files are cut off when the employee terminates, maintained for ten years. Records may be maintained in either paper or electronic format, as long as the electronic content has been verified for completeness, accuracy, and usability. Records in Paper format may be transferred to the State Records Center. Records in electronic format shall be maintained in Strategic Technology Solutions (STS) approved software and server environment. Any sensitive or confidential information contained therein shall be destroyed according to standards for destruction of confidential information.

11. File Arrangement: Describes how files are organized. The most common methods of arranging documents are alphabetical, numerical, chronological, or alphanumeric. Sometimes it will be arranged by case number or grant number.
12. Media Format Generated and Media Format Stored: A particular record series may include multiple formats such as paper, electronic, or microfilm. This information is useful for Library & Archives in their appraisal of the records' value. Provide information about the record format in all stages of its life: how it is received, stored, and if applicable, archived.
13. Date Range: Provide the range of years of accumulated records covered by this RDA.
14. Annual Accumulation: Provide an estimate of the volume of records created, received, and retained in the course of a year for the series in questions.
15. Current Volume: Provide an estimate of the total volume of records covered by this RDA, from the earliest to the most recent, in all storage location.
16. Record Value:
    a. Historical Value: Only a small percentage of records have permanent value, but these records are especially important since they document our state's history; contains important information about persons, places, or events; or are valuable because of age or rarity. The Tennessee State Library & Archives determines the Historical Value of records desired for permanent retention.
        i. For example; A lease signed by Andrew Jackson, historical, and architectural Records.
    b. Administrative Value: These records are necessary for day-to-day operations, to conduct current or future business transactions, or to document the establishment of policy or programs.
        i. Some examples include correspondence, studies, and reports.
    c. Legal Value: These records have a mandated retention by statute or regulation. The Division of Records Management request assistance from the Office of General Counsel in order to determine the legal value of records.
        i. Examples of these documents include leases deeds, student records, medical records, and court case files.

    d. Fiscal Value: These Records document the fiscal responsibilities and transactions of an agency or department, such as receipt, payment, transfer, adjustment, or allocation of public funds. Most financial records usually lose value once an audit has been completed. However, certain records series may be governed by regulations beyond audit, such as federal regulations or contract language.
        i. Examples include, cancelled checks, deposit slips, invoices, receipts, and purchase orders.

17. Audit Requirements: In order to ensure an effective government for the citizens of Tennessee, all records are subject to audit by the Comptroller's Office. Please indicate whether or not the records series is subject to Federal Audit and use the space provided to list the interested agencies.
18. Reference Frequency: Indicate the average number of references to the record series per month.
19. Data Update Frequency: Indicate how often the data is updated applies to electronic records only.
20. Essential Record: Essential records contain information required by an agency to function or to reestablish operations immediately in the event of a disaster. Without these records, public interest could be adversely affected by unplanned expenditures, lost revenue, lost information and efficiency, and disruption of operation. While some records have historical value, they may not be administratively necessary to keep an agency running or to provide to citizens.
    a. The main protection methods for essential records are duplication and off-site storage. Duplication entails photocopying, scanning, or microfilming. It is strongly recommended that duplicates be stored offsite while still being accessible in the event of a disaster.
21. Confidentiality: Indicate whether any state or federal regulations restrict access to the records. Records that are deemed confidential must be covered by statute and a copy of the statute must be attached
22. Media Recommendation: This is the agency's preferred/recommended format in which the records are/will be kept:
    a. Current Format (most common)
    b. Microfilm
    c. Microfiche
    d. Other
23. Retention:
    a. Agency Retention is the total time the records are kept in agency.
        i. Agency Retention –Active and Inactive should equal the Agency Retention.
    b. Records Center Retention Period is the total time records are kept at the records center.

    c. Agency Retention and the Records Center Retention should equal the Total Retention located in the core data
    d. For Example: If records are kept in agency for 10 years and then sent over to the State Records Center for 20 years the total retention is 30 years.

24. Final Disposition: Indicate action that is to occur after retention period expires. If it is not to be destroyed, it will either be transferred to State Library & Archives, Microfilmed, or Migrated to Electronic Data (if records are kept in agency permanently.)
25. Legal Citation:
    a. Indicate if the record series is covered by statute or rule:
        i. Tennessee Code Annotated (TCA)
        ii. Code of Federal Regulations (CFR)
    b. Cite any authority governing creation, management, retention, and/or disposition of series
    c. Note any agency, state, or federal law, regulation, or policy.
26. Uploads:
    a. Records Sample Upload:
        i. The sample should be representative of the record series.
        ii. Be sure to redact any protected information that may be in the sample.
        iii. Confidential Records Series do not need a sample.
    b. Legal Citation Upload:
        i. Any statute covering:
        ii. Retention
        iii. Confidentiality
        iv. If the record series is governed by multiple citations, please combine them into a single PDF and attached in the application.
27. Electronic Records Plan Inventory: This information can be obtained from your IT department. This part will only need to be filled out if your agency keeps records in electronic format. Refer to Chapter 5: Electronic Records for more on the Electronic Records Plan Inventory.
    a. System Name
    b. IT- ABC Number
    c. Hardware Description
    d. Software Description
    e. System Location
    f. Backup Procedures
    g. Disaster Recovery
    h. Data Migration Description
    i. Metadata Description

How an RDA Becomes Effective

1. After the RDA is completed and submitted it will go through a review process.
2. It will be reviewed by the Records Management Division, Library & Archives, and Audit.
3. Once reviewed the agency may respond to any recommendations.
4. The completed RDA then goes before the PRC.
5. Once the PRC approves the RDA will then become effective. No further approval by the PRC is required to dispose of the records unless the RDA is amended.
    a. Any RDA not approved by the PRC shall be returned to the submitting agency. The agency shall re-evaluate the RDA based on the recommendations of the Commission and the Records Management Division. The agency shall resubmit the RDA to the PRC incorporating recommended changes. PRC Rules 1210-01-04.
6. Amending RDAs Agencies may request changes in approved RDAs by submitting a revised RDA to Records Management Division. Once the amended RDA is submitted it will go through the review process, then the PRC will move to approve it.

Combining RDAs

Combining RDAs can help agencies keep better track of their records since there are less RDAs to refer to. When considering whether RDAs may be combined, the four most important considerations are:

1. Do the same confidentiality standards apply to all records under the RDAs being considered for combining? In other words, if records under one RDA are confidential, but those under another RDA are not, then those two RDAs cannot be combined.
2. The cutoff must be the same for the RDAs being considered for combining. If the cutoff event is not the same, then consider whether the cutoff event may be reasonably changed to something that would apply to all records under the RDAs being considered for combining.
3. Are the record values the same? The record value refers to whether the records are deemed as having historical, fiscal, administrative, and/or legal value.
4. The records must have the same disposition. If the RDAs do not have the same disposition, consider whether the disposition may be altered so that they are consistent for the record under the RDAs being considered for combining. This takes into consideration the best practices for the agency, any statutory directives (if any), and the end action for the records.

Retiring RDAs

Many existing RDAs are obsolete due to the fact that the records series is no longer in use, the records series has been merged with a newly revised RDA, or the record series is covered by a Statewide RDA. Multiple obsolete RDAs create confusion if Records Officers are not quickly able to discern which RDAs are current. It is important to keep track of previously used RDAs in the event

old records are discovered and to keep a record of the consolidation process. Using the Web Application, these outdated RDAs can be retired.

To retire an RDA that is no longer needed due to revision or use of Statewide RDA:

1. Open the RDA in the Agency Editing screen.
2. In the Record Series Title field, add “Retired:” before the existing title.
    a. *Example:* Retired: Catastrophic Illness Documents
3. After the existing title, add a brief explanation of the retirement in parentheses.
    a. *Example:* (Record Series now under RDA 2994)
4. In the Disposition Notes, add a description of the RDAs retirement.
    a. *Example:* RDA to be retired upon approval of RDA 2994
5. Change the Records Series Active status to “No.”
6. Leave all other fields in the Core Data and Worksheet sections as they are.
7. Update the Contact Information.
8. Save and Submit the RDA for approval.

RDAs submitted for retirement will go through the approval process just like any other RDA. Once the RDA is approved for retirement, by the PRC, it will be archived in the web application by the Records Management Division. The archived RDAs will no longer appear in the list of Agency RDAs, but will be viewable by Records Management if needed.

Chapter 4: Reformatting Records

Reformatting from paper to another medium is often viewed as a means of saving space and increasing access but it may not be the best or least expensive solution to a record-keeping problem. Before implementing a reformatting plan, ensure files have been purged according to retention schedules and explore alternatives such as using a records center for storage.

When to Reformat

Records should not be reformatted solely for space-saving purposes. An analysis of the records should be completed before any final decision is made. Consider the necessity and practicality of reformatting records that:

- Are historic or otherwise valuable and in bad physical condition
- Have a long retention period
- Have a high retrieval rate
- Are needed by multiple users simultaneously
- Are needed at multiple locations
- Have important research value
- Are oversized and bulky
- Need to be stored separately for security reasons
- Incorporate daily business processes

Reformatting Options

The most common reformatting options are microfilming, photocopying, or optical scanning. Each of these options has advantages and disadvantages depending on the application and anticipated use of the reproduced documents.

Microform

Microform, including microfilm and microfiche, is a reliable storage format for records with long-term or permanent retention. It requires that an indexing and quality control system be developed.

Computer Output Microfilm (COM) is a conversion of electronic information to microfilm. COM is one option for those with significant volumes of electronic data requiring long-term storage.

Advantages:

- Reduces need for physical space
- Reduces wear and tear on originals
- Recommended for long-term preservation

- Does not require software or hardware to view
- Follows established standards

Disadvantages:

- Encounters user resistance
- Image quality degenerates in copying
- Limited to one access point
- Reader machines are expensive and large
- Does not allow for full-text searching

Paper

Photocopying records provides access copies while eliminating excessive handling of originals. Photocopies will need to be reproduced over time, however, and too much photocopying degrades the original.

Advantages:

- Reduces wear and tear on originals
- Does not require special technology aside from photocopier
- Inexpensive

Disadvantages:

- Increases need for physical space
- Excessive deterioration of original
- Results in image degradation
- Multiple copies of records can make purging difficult

Electronic

Reformatting to electronic formats must be done according the Strategic Technology Solutions (STS) standards. STS sets the minimum standards for state agencies regarding hardware, software, and file formats. Saving records electronically requires that an organization be able to find, open, and read a record over the length of its retention period. This requires that an indexing and quality control system be developed.

Advantages:

- Reduces need for physical space
- Reduces wear and tear on originals
- Reduces costs of printing, mailing, and filing
- Facilitates indexing, searching, and retrieval
- Allows for multiple access points

- Recreates high-quality user copies with no image degradation
- Traceable

Disadvantages:

- Requires software or hardware to access
- Requires continuous monitoring and eventual or periodic migration and conversion
- Faces software and hardware obsolescence
- Subject to malware and cyber attacks
- Increases cost in server storage, security, migration
- Failure to migrate data could result in loss of information
- Liability if sensitive information shared or stolen
- Necessitates time-consuming metadata creation
- Requires expensive equipment to create and maintain
- Standards are not universally accepted
- Modification or corruption are potential authentication issues

Destroying Records after Reformatting

After records are reformatted, verified, and approved according to established standards, the originals may be destroyed because they are then considered copies. The reformatted version is now the official copy of record, unless specified by legislation that the original hard copy must be kept.

Any photograph, microphotograph, or photographic film of any state, county, or municipal public record is deemed to be an original record for all purposes, including introduction into evidence in all courts or administrative agencies. TCA § 10-7-502.

Chapter 5: Electronic Records

Although electronic records pose their own unique challenges, digital public records must be scheduled, maintained, and disposed of in the same manner as paper records.

Saving records electronically requires that an organization is able to find, open, and read all files over the lifetime of the record. The following chapter provides guidance on issues to consider when managing electronic records throughout their entire life cycle by using standard naming conventions and metadata, open file formats where possible, appropriate storage media, and migration and conversion to keep files accessible over time.

File Naming

Consistently named files are easier to find and identify than those that are named randomly. Therefore, it is important to establish an agency wide file-naming policy that complements the organization's electronic records management strategy. A good file naming convention system is descriptive and understandable over time to others besides the creator, is unique, and uses standardized language. Allow for expansion of naming conventions to accommodate the growth of records. If numbering files, it is important to use "placeholder" digits that anticipate future growth; i.e., *01* instead of just *1* accommodates the ability to sort correctly from 1 through 99.

Select naming criteria that is most pertinent to the organization. Some items to consider including are:

- Version number
- Date of creation
- Name of creator
- Description of content
- Name of group associated with the record
- Project number

Metadata

According to the National Information Standards Organization (NISO), "Metadata is structured information that describes, explains, locates, or otherwise makes it easier to retrieve, use, or manage an information resource." Metadata is useful for organizing data appropriately and finding data using relevant criteria. It also aids in preserving data by tracking the history of an object, detailing its characteristics, and documenting its function to re-create it on future technology. NISO identifies four main types of metadata:

- Descriptive metadata allows for basic identification of a record through title, author, and keywords.
- Structural metadata indicates how objects are put together, for example, how pages are

ordered to form chapters.

- Administrative metadata includes technical information to help manage a document, such as file type, creation date, format, and access restrictions.
- Markup Languages integrates metadata and content together through the insertion of flags inside of the content to indicate important features.

Metadata may be stored within a digital object or in a separate database. Embedded metadata within the digital object ensures that metadata will not be lost and that it will be updated along with the document. Storing metadata also removes the need to link between the document and a separate metadata storage file. However, not all digital objects allow metadata to be embedded. In such cases it is necessary to create a means to store the metadata separately. Storing metadata separately allows for easier manageability, search, and retrieval of metadata. A link must then be created between the digital object and the metadata storage system.

Good metadata has a structured format and a controlled vocabulary. A structured format ensures that the same metadata is created and ordered consistently for each object. For instance, an organization collecting metadata about purchase orders may choose to identify the order number, goods ordered, date of order, and amount spent for each record. A controlled and consistent vocabulary, such as that used in the Dublin Core Metadata Initiative, clarifies the metadata collected. In the purchase order example, $500.00 for filing cabinets is more descriptive than "expensive office supplies" or "big drawers."

File Formats

The longevity of a file format is of primary concern. Using an untried or unproved file format that may quickly become obsolete over one that is more reliable may result in the need to convert or migrate records earlier than anticipated.

Agencies shall store electronic records in appropriate file formats, ensuring that records are stored in formats that will assure future accessibility. Electronic record formats must be regularly reviewed and migrated.

File Formats are classified by STS according to lifecycle phase as defined below.

- **Emerging** – Formats that may be accepted as well as utilized in the industry but are new to the enterprise.
- **Current** – Tested technologies that are the current file format standard for use within the enterprise and generally accepted as standard within the industry.
- **Twilight** – Technologies that are being phased out by the enterprise but do not yet have an established end date.
- **Obsolete** – Technologies that have been phased out and cannot be used within the organization past a specific date.

Agencies have the responsibility to maintain essential content in a current or twilight standard format. Review the format standards annually. Upgrade all twilight file formats to current formats within three years.

The software in which a file is created usually has a default format, often indicated by a file name suffix or extension. Proprietary file formats, such as WMV and DOC, are controlled and supported by just one software developer. Preservation of records in proprietary file formats depends on the longevity of the software used to create and store the records. Open file formats are supported by more than one developer and can be readily accessed by various software systems. They are the preferred method for long-term preservation and use of electronic records. Examples include:

RTF: Rich-Text Format is American Standard Code for Information Interchange (ASCII) with additional functionality that retains structure. It is a Microsoft format but is compatible with several word-processing programs.

PDF: Portable Document Format is an Adobe product. A PDF preserves the data and structure of a document regardless of the software used to create the original. Newer versions of the software may not be able to make accurate renderings of documents that were created in older versions. PDF is technically a proprietary format but Adobe allows for its use as an open standard as a PDF/A.

PDF/A: Portable Document Format for Archiving "provides a mechanism for representing electronic documents in a manner that preserves their visual appearance over time, independent of the tools and systems used for creating, storing or rending the files." (ISO 19005-1)

XML: eXtensible Markup Language is a standard applicable to word-processing documents, presentations, and spreadsheets that can be implemented by multiple applications on multiple platforms. (ISO 29500)

File format decisions may affect electronic records management in the following ways:

- Accessibility: Find and view the appropriate record.
- Longevity: Supportable throughout the record's entire retention period. Using formats not supported long-term by the developer may result in inaccessible records.
- Flexibility: Meet objectives for sharing and using records immediately and over the entire length of the retention period.

Storage Media

Storage media consist of the physical components on which data is stored. To determine which storage medium is best, start by analyzing the current and projected volume of stored records, along with the size of the files and any associated metadata. Also take into account data access and security requirements.

- Off-line storage: Records are stored on removable media such as magnetic tape or individual optical disks. Because human intervention is necessary, this provides the slowest access.

- Online storage: Records are available for immediate access and retrieval, and this option provides for the fastest access and regular integrity checks. Online storage devices include mainframe storage and online servers. This option provides the highest cost.
- Nearline storage: Records are stored on media such as optical disks in jukeboxes or tapes in automated libraries or using specialized server arrangements such as Storage Area Networks (SAN) or Networked Attached Storage (NAS). Nearline storage provides faster data access than off-line storage at a lower cost than online storage.

It is recommended that vital, long-term, or archival records be stored utilizing online or nearline storage options. The advantages of online and nearline storage include large storage capacities, faster access, and the opportunity for data replication.

Off-line storage devices are not recommended for record copies of vital, long-term, or archival records, as they are less likely to be routinely accessed and are often overlooked when systems are upgraded and electronic records are migrated to new formats. Off-line storage is a recommended approach for backups or security copies, as the records can be stored off-site.

All storage media have finite life spans that are dependent on a number of factors, including manufacturing quality, age and condition before recording, handling, maintenance, frequency of access, and storage conditions. Studies indicate that under optimal conditions the life expectancy of magnetic media ranges from 10 to 20 years, while optical media may last as long as 30 years. In real life situations, however, most media life expectancies are significantly less. Before purchasing storage, evaluate the following:

- Cost: Consider not only the initial monetary outlay, but also the costs associated with maintaining the media as well as converting and migrating stored records.
- Expansion: Media should accommodate not only the current storage needs, but allow for substantial future growth.
- Longevity: Evaluate the media life span to determine how often migration/conversion will be necessary.
- Speed of access: Some types of records require fast access, while others do not.
- Stability: Assess the potential for damage and rate of expected deterioration.

Migration and Conversion

The most common approach to preserving electronic records involves a combination of two techniques: migration and conversion. Migration is the process of transferring data between computer storage types or file formats. It is a key consideration for any system implementation, upgrade, or consolidation. Conversion entails changing files from one format to another and may involve moving from a proprietary format to a nonproprietary one. To avoid losing data and metadata, perform a test migration or conversion to determine the viability of

the process. When properly planned and executed, the migration and conversion approach represents the easiest and most cost-effective way to preserve electronic records.

There are three basic types of loss that may occur during conversion or migration:

- Data: Loss of data jeopardizes the reliability, accuracy, and integrity of the record.
- Appearance: Loss of structure or layout may be detrimental to understanding the record.
- Relationships: Loss of connecting metadata, spreadsheet cell formulas, or database tables may affect the ability to understand the data as a whole.

Long-term storage of electronic records

If a copy of record is maintained in electronic format, conversion and migration of the data may be necessary to cover the full retention period. Long-term storage of records held in electronic formats presents numerous challenges.

When storing electronic records consider the following:

- Media life span depends on factors such as storage conditions and daily use. Avoid excessive use and handling as well as storage spaces that lack climate control.
- Media begin deteriorating from the date of manufacture, not the date of recording. Do not buy large quantities of media. Buy it only as needed.
- Consider the maintenance of hardware devices that allow access to the data. Even under the best of conditions, hardware becomes obsolete, parts are difficult to locate, and service for the equipment becomes limited.
- Software may be superseded or become obsolete, at which point it may no longer be supported by the developer. Your agency should have a plan in place to upgrade or migrate your data as needed.

E-mail Management

Staff in government agencies frequently use email systems to distribute memos, circulate drafts, disseminate directives, transfer official documents, send external correspondence, and support various aspects of government operations. Well-designed and properly managed email systems expedite business communications, eliminate paperwork, and automate routine office tasks.

E-mail messages—both sent and received—that provide evidence of a government transaction are considered public records and are subject to the same legal requirements regarding access as other government records. Some examples of e-mail that are considered public records are policies and directives; correspondence or memos pertaining to the organization's business; work schedules and assignments; documents circulated for approval or comment; and any message that initiates, authorizes, or completes a business transaction, final report, or recommendation. Some examples of

e-mail that are not considered public records are personal messages or announcements, courtesy or reference copies, phone message reminders, routine chat on e-mail listservs, and announcements.

E-mail is not a records series. It is a format or manner of delivering content. The content of an e-mail determines the retention requirements. E-mail is usually considered correspondence. Not all e-mail is plain correspondence. If you have determined that an e-mail is something other than correspondence, review the appropriate retention schedule to determine the applicable retention period. Just as with all other public records, e-mail must be maintained and accessible throughout the life span of the record.

E-mails may be printed and maintained in a manual system; all of the information below, however, must be included in the paper copy.

- Names and e-mail addresses of recipients and sender
- Time and date sent
- Subject line that describes the content of the e-mail
- Text
- Attachments, if applicable

Electronic Records Plan Inventory:

Agencies must complete an Electronic Records Plan Inventory section of a Records Disposition Authorization (RDA) that will ultimately be submitted to the Public Records Commission. The following information is required to be submitted:

1. System Name: Indicate the name of system on which records series is stored.
2. IT-ABC Number: List the IT-ABC number assigned – if applicable
3. Hardware Description: Describe the hardware environment utilized to store and access the record series.
4. Software Description: Describe the software utilized to store and access the record series.
5. System Location: Indicate the physical location of the system where the records are stored.
6. Backup Procedures: Indicate the backup procedures in place. Include the storage medium, location, and frequency.
7. Disaster Recovery: Describe the procedures in place to recover this electronic record series.
8. Data Migration Description: Describe the procedures in place to migrate this electronic record series.
9. Metadata Description: Please provide the type length and format of the metadata collected.

Chapter 6: Records Destruction

Records are not to be destroyed without an RDA according to T.C.A. § 10-7-303

The disposition of all state records shall occur only through the process of an approved records disposition authorization. Records authorized for destruction shall be disposed of according to the records disposition authorization and shall not be given to any unauthorized person, transferred to another agency, political subdivision, or private or semiprivate institution. T.C.A. § 10-7-509

Destruction of public records is highly regulated and must be documented and reported. A certificate of destruction must be provided upon destruction. The required method of destruction depends on criteria described in the Records Disposition Authorization.

All records that have not been deemed permanent will eventually need to be destroyed. The RDAs, whether statewide or specific, identify when a set of records has reached the end of its usefulness. A RDAs disposition may also state whether records are to be reformatted or destroyed in a certain manner. RDAs constitute a legal plan for the destruction of records from which state agencies must adhere to. Records may not be destroyed solely because of lack of space or funding for storage.

Destroying materials that are not public records, such as copies, personal items, and reference materials does not require reporting a certificate of destruction.

Destruction and Reformatting

After records are reformatted, inspected, and verified according to established standards or guidelines, the originals may be destroyed because they are then considered copies. The reformatted version is now the official copy of a record and is now considered the original.

Determining Date of Destruction

The agency Records Officer is expected to review their agency's records and determine which ones are due for destruction. Ensure that you are using the most recent version of the correct RDA. The statewide RDAs change and are updated frequently. Printing and filing a statewide retention schedule for future reference will often result in the use of obsolete and incorrect information.

In order to keep your destruction practices streamlined and systematic, it is best to select a designated destruction time, such as the end of a calendar, fiscal, federal fiscal, or school year.

To calculate destruction dates:

- Do not count the year in which the record was created.
- Begin counting retention years with the year following the file cut-off.
- Count up through the stated number of retention years as outlined on the appropriate retention schedule.
- Retain records for the full year of the final year of retention.
- Destroy records at the beginning of the next yearly cycle.

	File Cut-off	Retention Schedule	Retention Count	Destruction Date
Calendar Year	2005	10 years	2006, 2007, 2008, 2009, 2010, 2011, 2012, 2013, 2014, 2015	1/1/2015
Fiscal Year	2010	5 years	FY2011 (7/1/2010–6/30/2011), FY2012 (7/1/2011–6/30/2012), FY2013 (7/1/2012–6/30/2013) FY2014 (7/1/2013-6/30/2014) FY2015 (7/1/2014-6/30/2015)	7/1/2015
Academic Year	2010	5 years	SY2011 (9/1/2010–8/31/2011) SY2012 (9/1/2011–8/31/2012), SY2013 (9/1/2012–8/31/2013) SY2014 (9/1/2013-8/31/2014) SY2015 (9/1/2014-8/31/2015)	9/1/2015

Destruction Process for In-Agency Records

The following steps document compliance with legal requirements for destroying public records:

1. Refer to the approved Records Disposition Authorization, whether statewide or agency specific. Records may not be destroyed if they are not covered by a RDA. If a series is not represented on a schedule, contact RMD for more guidance.
2. Ensure that the retention period stated on the schedule has passed. When calculating the destruction date, refer to the last date in the range of files. The year of creation cannot be used in the calculation of years to be retained. A file created in 2010 with a retention period of five years can be destroyed on January 1, 2016, but not before.
3. Records must be destroyed in accordance with the filing method. Records filed by calendar, fiscal, or federal fiscal year should be destroyed at the end of a calendar, fiscal, or federal fiscal year.
4. Ensure that all known audits, investigations, or litigations are resolved.
5. Records not requiring confidential document destruction may be recycled.
6. Those records that are deemed confidential, private, or sensitive can be shredded for a fee by approved state contract vendor, to ensure that the information is protected.
7. Any record may be confidentially destroyed on request
8. Fill out an electronic Certificate of Destruction https://fs26.formsite.com/xDqYjm/rmdcod/index.html.
9. Ensure that all required information is completed in full
10. Submit the completed Certificate of Destruction to RMD.

Methods of Destruction

The nature of the information and the format of the records dictate the method by which they should be destroyed. When records contain identifying information or proprietary information, they must be destroyed in order to prevent unauthorized access.

Confidential document destruction of paper records is accomplished through shredding, pulping, or burning. Those that are deemed confidential, private, or sensitive will be shredded for a fee by Vital Records Center to ensure that the information is protected. Records not requiring confidential document destruction may be recycled. Confidential records destruction services are also available for offices not using the Vital Records Center storage services through the state's paper disposal vendor Shred-it.

For electronic records, confidential document destruction is accomplished through electronic shredding, overwriting the hard drive's free space, or magnetic-media degaussing.

Records that do not contain identifying information may be destroyed by placing paper documents in a trash or recycling bin, or simply deleting electronic data.

Importance of Documenting Destruction

The agency Records Officer is expected to review their agency's records and determine which ones are due for destruction. When records have reached the end of the retention period and the records are subsequently destroyed, a Certificate of Destruction Form must be submitted documenting the destruction. This form documents the destruction date, record series, RDA number, date range for the records, volume destroyed, and destruction method. If records are destroyed off-site by the SRC, they will provide the Certificate of Destruction.

Records Management maintains all of the CRD's and uses this information to monitor the record destruction process to ensure compliance with RDA requirements and statewide policies. Maintaining certificates will also help with the Records Holding Report.

Chapter 7: Records Holding Report

Each agency shall prepare and submit annually to the Records Management Division a Records Holding Report. The Records Management Division shall review all Records Holding Report, and prepare a composite report for the Public Records Commission. PRC Rules 1210-01-.06(2)(c)

This report provides important data for the Records Management Division, including but not limited to active and inactive records storage and disposal projections. This gives a snapshot of record growth and reduction and can help with future storage space planning. In addition, the agency can use the Records Holding Report to determine overall cost for the management of the agency.

The annual holdings are for fiscal year beginning July 1st through June 30th of the following year. The form should be filled out by each agency reflecting the totals from all divisions and field offices. The agency's Records Officer reviews the report for its accuracy before submitting to the Records Management Division.

Completing a Records Holding Report

1. To begin filling out the Records Holding Report, go to the RHR website and login with your provided username and password.
2. Your Information: This information is for identifying the Department, Division, and the contact person responsible for preparing the report.
3. Paper Records Holding
    a. Starting Records on Hand: Indicate the number from the previous year's report.
    b. Records Created: Indicate the number of records created during the fiscal year. Refer to your RDAs for reference.
    c. Records Destroyed: Include all records destroyed by agency. Use your Certificates of Destruction for reference.
    d. Records Transferred: Records transferred to the Records Center, Tennessee Library & Archives, or other facilities should be listed.
    e. Ending Records on Hand: This number is calculated automatically.
4. Records by Media Category
    a. Indicate Records Totals for Paper, Microfilm, Microfiche, and Electronic Records
    a. Electronic Records: Please provide an overall estimate of electronic records in the formats listed
        i. Cartridge and Magnetic Tape
        ii. CDs and DVDs
        iii. Magnetic/ Optical Disks
        iv. Server Storage

5. Storage Facilities: If your agency stores records in storage facilities other than your office or the State Records Center please list them. Examples: Moving and storage companies, commercial storage companies, state-approved storage facilities, storage sheds, etc.
6. Variance Explanation: If there are any changes in volume greater than 10% from the previous year volume, please explain in the space provided. Make note of the category, change in volume, and the reason for the change. Otherwise out N/A.
7. After ensuring all the required fields have been filled out and all the information is correct, click Submit to submit your report to Records Management Division.

Once all reports are submitted, Records Management will compile the report for the PRC. The report will assist Records Management Division to determine how to aid agencies in certain areas pertaining to management, destruction, and formatting of records.

Chapter 8: Protecting Your Confidential Records

Securing Your Records

A secure facility should be locked, have controlled access for select personnel, and provide clear procedures for storing, retrieving, utilizing, and refiling records. In order to protect records, the facility should have restricted access. Doors should have locks, and the number of keys should be limited. Only authorized personnel should have access.

Generally, off-site storage facilities provide more security and protection than records have if stored on site. To secure records stored in an office or cubicle, employees should lock their desk and drawers when they step away. Records should not be left out on an employee's desk when they are not present. This not only ensures the confidentiality of records, it also provides further protection for records in the event of a disaster.

Caution must be used and preventative measures must be taken when dealing with security for electronic records that are created, used and stored on computer systems. When leaving their computer unattended, an employee should lock the computer. Please refer to your agency's policy and procedures and STS's policy and procedures for further information on securing electronic records.

Redacting Confidential Information

According to TCA § 10-7-504 confidential identifying information must be redacted from records as part of a public records request.

If part of the record is confidential or exempt, the agency must redact that information and provide the remaining record to the requestor. The most efficient method should be used to redact information. One method of redacting is to black out the exempt information on a copy of the original, photocopying the marked copy, and providing the final photocopy to the requestor. The marked copy may be destroyed. Other methods are acceptable and may be used as long as the confidential or exempt information is not released to the requestor.

Redacting confidential information from a paper record requires the following:

- Make a paper copy of the paper original
- Use a black marker to redact the confidential information on the paper copy
- Make a new copy of the redacted copy

Redacting confidential information from an electronic record requires the following:

- Create a new copy of the redacted document
- There cannot be multiple layers of this new copy
- There cannot be masks present on this new copy

Chapter 9: Disaster Planning

The contracted vendor for emergency services and disaster recovery is Belfor USA Group. This is the only vendor that can be used for disaster recovery. Please refer to Statewide Contract Listing #817 for more information.

Belfor USA Group
595 Stewarts Ferry Pike
Nashville, TN 37214-3414
Vendor Contact: Russ Dailey
Contact Phone: (615) 885-6517
Contact Email: russ.dailey@us.belfor.com

Identifying Essential Records

Essential records contain information required by an agency to function on a daily basis or to reestablish operations immediately in the event of a disaster. Much like an individual needs certain vital records to prove his/her identity or to conduct business, government offices also have records that are necessary to operate and to provide services. Public interest could be adversely affected by unplanned expenditures, lost revenue, lost information, lost efficiency, and disruption of operation. All of these make a locality vulnerable to litigation. Essential records are often an office's active files, such as personnel records, payroll, and payment vouchers. While some records, such as board minutes, are vital historically, they may not be vital administratively and are not necessary to keep an office running or to provide service to citizens.

Protecting Essential Records

The main protection methods for essential records are duplication and off-site storage. Duplication of information entails photocopying, scanning, or microfilming information that may be needed after a disaster. These duplicate records should be stored away from the office, in another building, or out of the geographical area while still being accessible in a timely manner in case of a disaster. If you chose to store your essential records in the same building your office occupies, it is necessary to take precautions to prevent a disaster from spreading to the areas in which the vital records are stored. If an essential record is in electronic format, then the hardware or software used to create the record also needs to be protected or arrangements made to obtain compatible equipment according to STS standards. For these electronic records, agencies should consult STS to obtain information about disaster recovery and maintain updated information in the Electronic Records Plan Inventories for corresponding RDAs.

Creating a Disaster Plan

The purpose of a disaster plan is to ensure the safety of personnel; protect against losses and damage to vital records, facilities, and systems; and provide continued delivery of critical and essential functions and services. The plan will allow for quick resumption of operations and enhance personnel awareness of safety and risk.

Developing and practicing a disaster plan reduces the possibility that personnel will feel overwhelmed or unprepared in an emergency.

- Identify and list contact information for all personnel, commercial disaster recovery vendors, and emergency services.
- Plan for minor and major weather-related disasters that may affect your geographic area, as well as man-made issues such as leaking pipes, arson, or structural instability.
- Prioritize records to be salvaged first starting with those that are vital to continuing operations.
- Disburse and practice the plan with appropriate personnel.

Disaster Planning at the State Records Center

Vital Records Center, our State Record Center, has a Records Disaster Mitigation and Recovery Plan. This plan includes disaster prevention and a plan of action for fire, flood, and other emergencies. There is an emergency response team in place, and plans for evacuation, responding to injuries, and recovery of water damaged items. They have detailed steps for treating, freezing, and drying damaged records and moving records to off-site facilities for recovery after a disaster. In the event of a power outage, they will monitor the temperature and humidity of the facility and move records if needed.

Chapter 10: Storage and Transfer to State Records Center

An agency or locality needs a reliable records storage area that will house inactive records in a central, secure, low-cost area. This frees valuable office space, saves time in accessing records, and encourages more efficient operations.

Records series that are referred to more than once per month are generally considered active and should be kept in the office, close to where they will be accessed. Records series that are referenced less than once per month are considered inactive and are good choices to transfer to the State Records Center.

Proper Storage Environment

Evaluate office and storage space for safety, security, stability of temperature and humidity levels, fire detection and suppression, and disaster prevention. Ideal environmental conditions are consistent, with minimum fluctuation in temperature and humidity, and include areas that are:

- Temperature maintained in the 65–70° range
- Humidity maintained at 40% +/- 5%
- Protected from fire by the installation of smoke detectors, water sprinklers, and fire extinguishers
- Free of vermin and insects
- Far from water pipes
- Not in a flood zone or other natural disaster area

Avoid storing records in attics and basements where they may be susceptible to water leaks, pests, and sunlight or ultraviolet rays. Care should be taken in the placement of permanent records for safety and access. Keep records at least three inches off the floor and away from windows and steam or water pipes. Essential records should not be stored on bottom two shelves or on top shelf, nor should essential records be stored on end shelves of a shelf system.

Non-paper records, such as motion-picture film, audio, and microfilm, will require special storage considerations. Permanent, historic, and/or vital records also have special storage considerations and may be transferred to the Tennessee State Library & Archives.

A secure facility should be locked, have controlled access for select personnel, and provide clear procedures for storing, retrieving, utilizing, and refiling records. In order to protect records, the facility should have restricted access. Doors should have locks, and the number of keys should be limited. Only authorized personnel should have access. Ideally, there should be no windows, particularly on ground-floor facilities.

In-Agency Shelving

Shelving units should:

- Be sized to ensure that the weight of the loaded shelves meets the floor-load capacity.
- Be sturdy enough to hold boxes loaded with as much as 50 pounds of paper.
- Have bottom shelves at least three inches off the floor to prevent damage from flooding.
- Provide sufficient space for the boxes to be pulled off the shelves easily.
- Be anchored to the floor where possible.
- Be placed so that they do not touch any walls.
- Be accessible by a sturdy and appropriately sized ladder
- Larger records and materials, such as maps and drawings, may need separate storage system.
- Place infrequently accessed records on upper or lower shelves.
- Neither records nor boxes should come in contact with a wall or floor.
- Pack records properly so that they may be safely and efficiently placed on shelves.

Access

Procedures for admission to the facility and use of records stored there must detail who may gain admission and check out, add, refile, and dispose of records. Consider how often access to the records will be needed to determine the most strategic location for the storage area.

Determine which records are open to the public and which are restricted per state and federal regulations. Procedures must provide ready, controlled access to stored public records during business hours, while preventing unauthorized access to closed records.

Instruction and training for staff members who will be submitting items for storage, accessing stored records, and checking out and refilling records is crucial. Established guidelines and training will enable staff to provide service, stay organized, and protect records.

Each Records Officer appointee must complete a VRC Security Form. See **Appendix C** for security form. After returning the form the Records Officer will be contacted with instructions for accessing and utilizing VRC's web application.

Disposition of Records

For ease of destruction, limit records to one year per box when possible. This allows for destruction of an entire box rather than selectively removing folders.

Eligibility for State Records Center Storage

The State Records Center (SRC) is Vital Records Center (VRC). Records that have not yet reached the end of their retention period but are rarely referenced are ideal candidates for storage in the SRC. Transferring records to the SRC frees up space in an office for more useful purposes. Often it is more economical to pay for off-site storage then to buy more file cabinets and pay for larger office space. Ownership of the records is maintained by the agency/locality while records are housed in the SRC.

Eligible microforms may include:

- Original and duplicate microfilm reels and microfiche
- Computer output microfiche (COM)
- 16mm and 35mm reels

Electronic records stored on portable media within records center boxes (cubic-foot boxes, 15" x 13" x 10.5") may be transferred to the SRC as well. However, the SRC is only responsible for maintaining the media itself, not the data contained on the media. For these electronic formats, agencies should develop a migration plan that will adhere to STS standards. Examples of portable media include:

- Magnetic tape
- Floppy disks
- Hard drives
- CD/DVDs

All records to be transferred must be listed on an approved Records Disposition Authorization. The SRC will not accept any records that:

- Are not on a Records Disposition Authorization
- Have reached the end of their retention period, except those with a specified destruction hold
- Do not belong to a state or local governmental agency
- Are permanent
- Have an open-ended retention period, such as "retain as long as administratively necessary"

Procedures for transfer to State Records Center:

1. *Identify the appropriate Records Disposition Authorization*
   - Records must be listed on an approved RDA, with a finite disposal date, to be eligible for transfer and storage in the SRC. Records of varying retention MAY NOT be stored together

2. *Determine the volume of records*
   - To make sure the correct number of boxes is on hand and to prepare for packing, estimate the

cubic footage to be transferred. To estimate cubic footage approximate how many files will fit into a cubic-foot box (15” x 13” x 10.5).

- If there are more than 500 boxes contact Sharon Groves with Records Management Division to order a box report.

3. *Order boxes*

   Only containers meeting certain specifications may be used in the SRC.

   The standard size of these boxes can hold 14 inches of letter-size files or 11 inches of legal-size files.

   - Be uniform in size, ideally 15” x 13” x 10.5”.
   - Have double walls/bottoms so they can be safely stacked and reused.
   - Boxes made of acid-free cardboard are recommended if storing permanent/long-term records or if records will eventually be transferred to the Tennessee State Library and Archives.
   - Standard storage boxes, which are less expensive, can be used for nonpermanent records.

4. *Pack the boxes*

   Carefully pack boxes so that files and materials can be easily removed and replaced, leaving about one inch of free space.

   - Materials must fit in the box without causing it to bulge and lids must fit correctly. .
   - Carefully pack boxes so that files and materials can be easily removed and replaced, leaving about one inch of free space.
   - Materials should not be placed in hanging file folders within the box
   - Keep records in the original file folders when placing in boxes unless the records are permanent.
   - Do not send damaged boxes, such as those that are crushed or have ripped handles.
   - Boxes should weigh about 30 pounds or less.
   - Files should be placed in the box in neat, logical order, as if they were in a file drawer.
   - File names or numbers must be visible.
   - Document the files placed in each box and keep a copy for reference.

5. *Enter boxes into the VitalWeb system* https://vitalweb3.vitalrecordscontrol.com/index.php

   To Search for RDA:

   - Go to VRC website
   - Put in your user name and login
   - Go to inventory
   - Add new Boxes
   - Fill out the required information
   - Select Add Next Box if transferring more than one box to VRC
   - You can view all boxes pending transfer by selecting Pending Box Report
   - Click Finished to complete entering boxes

6. *Label and bar code the boxes*
   - Apply the bar code labels to a handle side of the box, in the bottom right hand corner approximately one inch from the bottom and one inch from the left side.
   - To request Barcode labels, Log into your VitalWeb Account and select Order Flat Boxes/Labels under ordering. This will take you to a supply order screen where you can request box barcodes. Please be sure to include:
     - Delivery Address
     - Recipient and Requester Contact Information
     - Number of barcodes needed

7. *Arrange a pickup of boxes*
   - Notify Records Management staff that boxes are ready for transfer.
   - Assemble boxes in a location that is easily accessible for RMD staff to pick up.
   - Keep the area clear to avoid creating a fire hazard.

Reviewing Records from State Records Center

Agency personnel may visit VRC to view records with the following considerations:

- Agency personnel must go through Records Management Division to arrange the visit
- VRC must be notified ahead of visit
- Visitors must present two forms of identification
- The visit must be approved by the Records Officer

Retrieving Records from State Records Center

- Boxes may be retrieved from the State Records Center – usually by the next business day.
- For an emergency request contact Sharon Groves with the Box number.
- Please note: if records are to be permanently removed, notify Records Management. Failure to do so may result in being charged for boxes that are no longer stored.
- Contact Records Management when ready to return records to the facility. Records will be picked up and promptly returned to the appropriate place.

Regional Storage

For Agencies located in East Tennessee, transferring boxes to University of Tennessee, Knoxville is an option. The University Of Tennessee Office Of Records Management will provide record storage in its climate controlled facility. They will provide pickup, delivery, and retrieval of records, and will follow all records management policies as set by the Public Records Commission. All boxes will go into the University's electronic database, which will include the RDA number and RDA required destruction date. They provide shredding services that will ensure complete destruction of information according to the National Association for Information Destruction (NAID) standards. They also provide scanning services.

Chapter 11: Archival Transfers and Preservation

Whether paper or microform, Tennessee public records with enduring administrative, fiscal, historical, or legal value are considered archival and many are scheduled for transfer to the Tennessee State Library & Archives for permanent retention. Library & Archives' objective is to preserve these archival records and make them accessible to governmental employees and to the public. The transfer process is one part of an effective records management program and plays an integral role in supporting Library & Archives in meeting its goals of preservation and access.

It is important to review the Records Disposition Authorizations in order to identify which records are permanent and may ultimately be transferred to Library & Archives. As part of a good record-keeping routine, these records should receive proper care and attention prior to their eventual transfer to Library & Archives. Permanent archival records should be transferred to the Tennessee State Library & Archives.

Caring for Archival Records during their Active Life Cycle

Records that are classified as archival should receive proper care and attention while used and stored in the agency or locality prior to their eventual transfer to Library & Archives. Permanent records should be clearly labeled and kept in an orderly manner in clean and safe storage areas with appropriate environmental conditions. It is best for file names to be written directly on folders, rather than on adhesive labels, which often fall off over time. In keeping with preservation maintenance practices, these records should be printed on acid-free paper and kept in acid-free folders whenever possible.

If you must store permanent value records in agency, consider ordering acid-free boxes and archival supplies from the following contracted vendors:

- Conservation Resources International
- Demco
- Gaylord Brothers
- Archival Methods
- Hollinger – Metal Edge Inc.
- University Products, Inc.
    - See State Vendor List of conservation supply companies for contact information **Appendix D**

Preparing to Transfer Records

Archival Technical Services (ATS) at Library & Archives is responsible for the acquisitions, processing, and collection management related to the records of the various state agencies of Tennessee, private manuscript collections related to Tennessee and Tennesseans, and the manuscript holdings of the Tennessee Historical Society (THS). ATS also manages the Legislative Recording Program, which creates digital audio recordings of all proceedings of the Tennessee General Assembly.

When a transfer of permanent records to Library & Archives is scheduled, certain transfer procedures for boxing, labeling, and listing contents must be followed to ensure that a uniform and useful transfer occurs.

- *Review Records Disposition Authorizations*
    - Find the appropriate Records Disposition Authorizations and locate the disposition for the records. The schedule will indicate which records series have been chosen for permanent retention and are eligible or required to be transferred to Library & Archives.

- *Determine volume of records*
    - To make sure that the correct number of boxes is on hand for packing, determine the volume of the records to be transferred and how they will fit in the box. One cubic-foot-sized box will hold 14 inches of letter-size files or 11 inches of legal-size files.

- *Pack boxes*
    - Pack files into boxes in the same order in which they were kept in the office. Maintaining the original order of the files is an underlying principle of archival management and will accurately reflect the actual administrative use of the records. When boxing permanent records
    - Pack files in acid-free boxes with different records series boxed separately.
    - Place files upright in the box in the same logical order in which they were kept in the file drawer.
    - Make sure file names or numbers are visible.
    - Avoid over packing or under packing boxes to prevent damage to records. Carefully pack boxes so files and materials can be easily removed and replaced, leaving about one inch of free space. Materials must fit without causing the box to bulge and the lids must fit.
    - Do not send damaged boxes, such as those that are crushed or have ripped handles or water damage.

- *Label Boxes*
    - Use Library & Archives' template for box labels **Appendix E**
    - Apply 2" x 4" Avery label on the long side of the box
    - Include the following information
        - Department, Division, Series Title, RDA #, Box#

- *Create Box List*
    - See Library & Archives' sample box list **Appendix F**
    - Creating a box list will make it easier to retrieve your records from Library & Archives at a later date
    - The box list can include description of contents, such as a list of folder titles

- *Schedule Transfer*
    - Contact Archival Technical Services to schedule a time to deliver your boxes to Library & Archives.
    - Contact Records Management Division if you need them to facilitate the transfer of your records. Please provide a box count and number your boxes accordingly. A pickup location and scheduled time will also be required. RMD can pick up and deliver your boxes to Library & Archives.

Caring for Microform Records

As part of a good record-keeping routine, permanent microfilmed records should receive proper care and attention prior to the eventual transfer to Imaging Services. Permanent microform should be clearly labeled and kept in an orderly manner in clean and safe storage areas with appropriate environmental conditions. Microfiche should be inserted in individual sleeves. In keeping with preservation maintenance practices, these microforms should be kept in acid-/lignin-free microfilm boxes and microfiche envelopes.

Preparing to Transfer Microforms

1. *Review Records Disposition Authorizations*
   Find the appropriate Records Disposition Authorizations and locate the disposition for the records on microform. The schedule will indicate which records series have been listed for permanent retention and are eligible or required to be transferred to Imaging Services.

2. *Order boxes and microfiche envelopes*
   All microfilm sent to the Library & Archives for storage should be placed in acid-/lignin-free boxes. This helps to ensure stable, long-term storage of the film. For microfiche, use acid-/lignin-free envelopes and fiche boxes.

3. *Pack boxes*
   Arrange and pack reels into boxes by records series, volume/file number, and reel number. Insert the microfiche into an individual acid-/lignin-free envelope by records series, volume/file number, and fiche number.

4. *Label microfilm boxes*
   It is crucial that the exterior of all boxes be properly labeled to ensure that they are easily accessible.

Preservation

The Preservation Services Section of Library & Archives provides conservation and increased access to the collections housed at Library & Archives and other records across the state. These services include microfilming, digital imaging, document restoration and preservation, and photographic duplication. The extensive microfilming program preserves state records both traditional and digital, local county records, newspapers, and manuscript collections.

Preservation is the act of stabilizing storage environments and records in order to ensure the continued existence, accessibility, and authenticity of documents over time. Preservation should not be confused with conservation, which involves the repair or stabilization of materials through chemical or physical treatment to ensure the records' continued existence in original form.

Responsibility for providing trained staff and appropriate equipment necessary to produce and store microfilm reproductions of official, permanent value bound volume records created by the various county and municipal governments of the state is hereby vested in the state library and archives. To implement this security microfilming program, the state librarian & archivist is authorized to develop a priority listing of essential records based on retention schedules developed by the county technical assistance service and the municipal technical advisory service. This priority listing of essential records may be revised from time to time to accommodate critical needs in individual counties or municipalities or to reflect changes in retention schedules. The camera negative of the microfilmed records shall be stored in the security vault at the state library & archives and duplicate rolls of these microfilmed records shall be made available to county and municipal governments on a cost basis. TCA § 10-7-511.

Permanent Paper Preservation

When creating, handling, and storing permanent records consider the following:

- Records should be created using alkaline (acid-free) paper and should be stored or housed in acid-free folders and boxes. Buffering paper neutralizes acidity.
- Never use adhesive tape to repair archival or permanent records. It deteriorates over time, and the adhesive discolors and darkens the paper to which it was attached.
- Use only rustproof or plastic paper clips.
- Remove rubber bands and staples.
- Unfold materials and arrange for flat storage. Remember that folds and creases weaken paper. Do not force the flat filing of fragile documents that have been folded for many years.
- Papers with a high level of acidity, such as newspapers, should be photocopied to preserve the information.

Photographs

Photographs are physically and chemically more complex than paper materials. To extend the life of photographs: Hold prints and negatives by the edges in order to avoid touching the emulsion surface.

- Avoid using tape, metal clips, rubber bands, or adhesives.
- Avoid using ballpoint and felt-tip pens for identification purposes. Instead, use a soft pencil on the back of mat pictures with acid-/lignin-free materials.
- Remember color will not last; copy important photographs to black and white.
- Framing can be destructive to photographs if done incorrectly. High-quality frame shops should know the standards and procedures recommended for framing.

Bound Volumes

Bound volumes, such as books, are composed of a variety of materials and can require complex preservation measures. Regular handling and improper storage also causes harm. To slow down the deterioration process:

- Make sure that space is available between volumes. Crowding can cause damage, especially during retrieval.
- Hold the book on either side of the spine when you pull it off the shelf; do not hook your finger over the top of the spine and pull.
- Use flat bookmarks. Never leave a bookmark in a volume permanently.
- Avoid placing heavy items in or on a volume.
- Avoid using metal paper clips, holding a volume together with rubber bands, and turning down the edges of pages.
- Do not use a volume as a surface for writing.
- Photocopying volumes is discouraged, but if it can withstand photocopying do not press the spine against the copier.

Conservation

The conservation lab provides preservation techniques to care for original state historic documents, books, and photographs. Staff members work with various techniques, which include stabilization, surface cleaning, de-acidification, mending, encapsulation, and appropriate formats of archival acid-free storage, that prolong the life span of our historic state records and manuscripts. Library & Archives Conservation staff members are available to answer questions and recommend the best way to preserve historic records.

GLOSSARY

Access
Right to use information within legally established restrictions of privacy and confidentiality

Accession
Process of taking permanent legal and physical custody of a group of records

Accession number
Unique number or code assigned to identify a group of records for the purpose of control and classification

Acid free
Material with a pH value of 7.0 or above, with no natural acid content, or that has had the acid content removed. May not retain alkalinity over time due to external acid absorption.

Active record
Record that is used to fill the need for which it was originally produced or acquired

Administrative copy
Non-record copies of documents kept solely for ease of access and reference

Administrative records
Records that concern the routine operation of any office, common to any agency or locality

Administrative value
Value of a record based on a continuing need or usefulness of it for conducting business

Agency
"Agency" means any department, division, board, bureau, commission, or other separate unit of government created by law or pursuant to law, including the legislative branch and the judicial branch; provided, however, that for purposes of this part only, "agency" does not include the legislative branch. TCA § 10-7-301 (1).

Alkaline permanent paper
Paper that has a pH of 7.0 or higher, with an alkaline reserve of at least 2 percent, containing a buffering agent to counteract any increase in acidity resulting from aging or interaction with the environment

Alphabetical filing
Arrangement of records in the order of the alphabet, regardless of file content

Alphanumeric filing
Filing system using alphabetic and numeric symbols as codes for classifying information

Appraisal
Process of determining the length of time records should be retained based on historical, administrative, legal, and fiscal value

Archival quality
Having exceptional permanence or durability when kept in controlled conditions

Archival records
Materials created or received in the conduct of affairs that are preserved because of the enduring historical value or as evidence of the roles and responsibilities of the creator

Archival value
Value placed on any public record which may promote or contribute toward the preservation and understanding of historical, cultural, or natural resources of the state of Tennessee. TCA § 10-7-301 (10).

Archive
To transfer records to a repository, physical or electronic, in order to preserve and provide access to those records

Archives
Repository specifically designed for preservation, storage, and use of archival records

Archivist
Individual responsible for collecting and managing records of enduring value in order to protect the materials' authenticity and context

Arrangement
Organizing materials to protect context and to maintain physical or intellectual control over the materials

Audit
Independent or internal review of records and activities to ensure compliance with policies or standards and any resulting recommendations for changes in procedures

Backup
To create a copy of records as a safeguard against the loss or damage of the original material

CD (compact disc)
Standard optical medium for storage of electronic data in machine-readable form

Centralized files
Consolidation of files from several divisions in one location

Certificate of Records Destruction
Form that documents that public records were destroyed properly and in accordance with the corresponding Records Disposition Authorization

Closed records
Records or information requiring safeguards against unauthorized disclosure because of privacy protection requirements, Freedom of Information Act exemptions, or other law or regulation

Confidential public record
Any public record which has been designated confidential by statute and includes information or matters or records considered to be privileged and any aspect of which access by the general public has been generally denied. TCA § 10-7-301 (2).

Conservation
Repair or stabilization of materials through chemical or physical treatment to ensure the records' continued existence in original form

Copy of record
Document designated as the official copy to be retained, whether an original, copy, or reformatted version

Cubic foot (c.f.)
Standard measure of volume equaling 15" L x 13" W x 10.5" H

Current record
See *active record*

Custodian of record
Individual, group, or organization initially responsible for producing a record

Cutoff date
Date at which files should be closed to further additions, done at regular intervals, usually at the close of a fiscal or calendar year, to permit disposal or transfer

Database
Organized body of related information that has been structured and stored so that it can be manipulated and extracted for various purposes

Date range
Period of time covered by records in a file or records series

Decentralized files
Records that are generated and used by a single organizational unit and maintained and controlled at the point of origin

Destruction hold
Process to preserve a record or records series of relevant information when litigation, investigation, audit, or FOIA request is reasonably anticipated, regardless of retention and destruction time frames

Diazo
Photographic film containing one or more photosensitive layers of diazonium salts, which react with couplers to produce an eye-readable image

Digital image
Image composed of discrete pixels set in rows and columns to form a composite eye-readable format

Digitized records
Record created or converted into a digital image

Direct access filing
System that permits access to files without reference to an index

Disaster plan
Policies, procedures, and information to direct necessary actions needed to recover from and lessen the impact of an unexpected interruption of business, whether natural or man-made

Discovery
Legal process to obtain information or records relevant to a court case

Disposition
Action to be taken on a records series at a specified time that could entail destruction, reformatting, transfer, or permanent retention. As defined by TCA § 10-7-301 (3) "Disposition" means preservation of the original records in whole or in part, preservation by photographic or other reproduction processes, or outright destruction of the records.

Document
See *record*

DVD (digital versatile disc)
Standard optical medium for storage of electronic data in machine-readable form with a greater storage capacity than CDs

ECM (Electronic Content Management)
Software application that captures, organizes, controls, and retrieves files at the document level

Electronic Document Management System (EDMS)
See *Electronic Content Management (ECM)*

Essential records
Any public records essential to the resumption or continuation of operations, to the re-creation of the legal and financial status of government in the state or to the protection and fulfillment of obligations to citizens of the state. TCA § 10-7-301 (4).

Filing system
Set of policies, procedures, and methods used for organizing and identifying records to increase ease of retrieval, use, and disposition

Fiscal value
Value of a record based on continuing usefulness for verifying financial information that is necessary for conducting business

Fiscal year (FY)
Twelve-month period on which a budget is designed, usually not coinciding with a calendar year

Folder list
List prepared by the creating office or an archives detailing the various contents contained in one or more records center boxes, file drawers, or other storage container

Format
Media that serves as a carrier for information

Freedom of Information Act (FOIA)
Federal statute making federal records available to the public except for those records exempt under nine designated categories

Historical value
Value of a record based on its uniqueness, age, or exceptional significance.

Holdings
Total volume of records stored in a depository

Imaging
Process of copying an image and storing it in another format

Inactive record
Record that has exceeded its active lifespan but must be retained for a defined period based on continuing value

Index
Detailed list used to aid retrieval, use, and disposition of specific information

Indirect access filing
System that requires reference to an index to access materials

Inventory
See *records inventory*

Legal value
Value of a record based on its documentation and protection of the state and the rights of its citizens or to provide legal proof of a transaction

Life cycle
Creation, use, maintenance, and disposition phases of a public record

Lignin
Substance that binds wood cellulose fibers together and may cause paper to be acidic

Listserv
Automated electronic mail distribution system designed to disseminate information to a common use group.

Locality
Any city, county, or town and its attendant departments, regional or combined authorities, and commissions or offices

Machine-readable record
Record that cannot be viewed without the assistance of some mechanical device

Magnetic storage
Method of storing electronic information on computer drives, discs, or tapes by magnetizing particles imbedded in the material

Metadata
Data describing the context, content, and structure of records and their management through time

Methylene blue
Chemical test that is used to determine the amount of residual thiosulfate (fixer) left on microfilm after processing. This test must be done within two weeks of processing for the film to be accurate.

Microfiche
Approximately 4” x 6” or 3” x 5” sheet of film containing images laid out in a grid and having an eye-readable heading

Microfilm
Transparent film used to capture and view highly reduced images of documents

Microform
Term for any form containing micro images

Non-record
Convenience, courtesy, or information-only copy of a record, such as a reading file or duplicate copies that are disposed of after use

Numeric filing system
Filing system that relies on the use of coded numbers and an index

Optical character recognition (OCR)
Process used to capture, recognize, and translate printed alphanumeric characters into machine-readable text

Optical disc
Laser-readable, plastic-coated disk used to store information digitally, which cannot be rewritten

Overwrite
To write new electronic data on top of existing electronic data and thus erase the previously existing data

Permanent records
Those records which have permanent administrative, fiscal, historical or legal value.
TCA § 10-7-301 (5).

Personal papers
Private papers related solely to an individual’s own affairs

pH value
Measure of the acidity or alkalinity of any material ranging from 0, the most acidic, to 14, the most alkaline, with 7 equaling neutral

Photostat
Photographic reproduction of a document, usually seen as a negative Photostat with white print on a black background

Policy
Outlines the course of action to be followed by an organization, unit, or department in conducting its activities

Preservation
Act of stabilizing storage environments and records in order to ensure the continued existence, accessibility, and authenticity of documents over time

Public record or records
"Public record or records" or "state record or records" means all documents, papers, letters, maps, books, photographs, microfilms, electronic data processing files and output, films, sound recordings, or other material, regardless of physical form or characteristics made or received pursuant to law or ordinance or in connection with the transaction of official business by any governmental agency.
TCA § 10-7-301 (6).

Public Records Commission
The Public Records Commission (PRC) was created by statute to determine and order the proper disposition of state records. The PRC consists of the state treasurer, the comptroller of the treasury, the secretary of state, the director of legal services for the general assembly, and the commissioner of general services as permanent members. TCA § 10-7-302.

Pulping
Means of destruction whereby documents are soaked in water and then churned or chopped into a pulp

Purge
Process of examining records to eliminate outdated, superseded, or duplicate material

Record
Any record created or accumulated during the course of public business, including paper, microfilm, electronic, photographic, audio, motion picture, or video recordings

Records Analyst
Member of Records Analysis Services of the Records Management division of the Tennessee Secretary of State responsible for coordinating with agency and locality Records Officers to ensure compliance with records management policies and procedures, create schedules, and provide training

Records appraisal
See *appraisal*

Records center
Facility used for low-cost, temporary storage of inactive, nonpermanent records

Records center box

Standardized storage container specifically designed to house either letter- or legal-size files on a standard shelving unit. The carton is approximately one cubic foot in volume or 15” x 13” x 10.5” in size.

Records creation

The recording of information on paper, printed forms, punched cards, tape, disk, or any information transmitting media. "Records creation" includes preparation of forms, reports, state publications, and correspondence. TCA § 10-7-301 (7).

Records Coordinator

Individual in an agency or locality who assists the organization’s or department’s Records Officer in implementing a records management program

Records Custodian

Supervisor in an agency or locality having physical possession and control of records

Records destruction

Act of eliminating or disposing of records

Records disposition

Final action carried out on a record, either destruction or transfer to archives
Records Holding Report

Records Disposition Authorization (RDA)

The official document utilized by an agency head to request authority for the disposition of records. The public records commission shall determine and order the proper disposition of state records through the approval of records disposition authorizations. TCA § 10-7-301 (8).

Records Disposition Authorization (RDA) number

Number assigned to designate a specific records series

Records management

The application of management techniques to the creation, utilization, maintenance, retention, preservation, and disposal of records in order to reduce costs and improve efficiency of recordkeeping. "Records management" includes records retention schedule development, essential records protection, files management and information retrieval systems, microfilm information systems, correspondence and word processing management, records center, forms management, analysis, and design, and reports and publications management. TCA § 10-7-301 (9).

Records of archival value

Any public record which may promote or contribute toward the preservation and understanding of historical, cultural, or natural resources of the state of Tennessee. TCA § 10-7-301 (10).

Records Officer
The agency or locality employee designated to monitor and control the creation, use, storage, transfer, and destruction of records. As defined TCA § 10-7-301 (11): in an individual designated by an agency head to assume responsibility for implementation of the agency's records management program

Records series
Group of identical or related records that are normally filed together and document a particular function, transaction, or activity

Reformat
To create a copy in a different format or medium from the original, especially for preservation or access needs

Refreshing records
Act of recopying or reproducing electronic information with the aim of extending the useful storage life of the information

Removable media
Any portable computer storage device that can be easily removed from a computer and stored or transported separately, including, but not limited to, flash drive, floppy disks, DAT tapes, cartridges, and Zip disks

Resolution
Ability of an optical system to render visible the fine detail of an object; a measure of sharpness of an image

Restricted records
Records with limits on access and use

Retention schedule
The length of time a record must be kept and its required disposition.

Retrieval system
Any system designed to index, locate, retrieve, and deliver records for use

Scanning
Process used to capture a digital signal that can be stored, transmitted, and reconstructed for display as an electronic image

Sealed records
Records protected by a court order that cannot be accessed or unsealed without another court order

Shredding
Means of destroying paper records by mechanical cutting

Silver halide
Photographic film in which the photosensitive layer is composed of silver halides. When developed, the image is formed either by metallic silver (black and white film) or by dyes (color film).

Standards
Uniform rule or measure that controls the quality or acceptability of a specific output

State Archivist
Person appointed to manage the archival collections of the Tennessee State Library and Archives

State Records Center (SRC)
Building operated by Vital Records Center for off-site storage of records

Temporary records
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 utilizing a records disposition authorization. TCA § 10-7-301 (13).

Transfer
Physical relocation of records to another location

Vesicular
Photographic film in which the image is reversed, i.e. a negative original produces a positive vesicular copy. (Vesicular film is not recommended for copying positive originals) Vesicular film produces a white image on a powder blue background from the original film. Processing of this film is completed by heat alone-no ammonia is needed. It is a low cost copying medium with 10-20 years archival life.

Workflow
Automation of a business process, especially to monitor the creation, distribution, and retrieval of document

Working papers
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. TCA § 10-7-301 (14).

Records Management Best Practices and Procedures: Appendices

Appendices:

A. Records Officer Appointment Form
B. RDA Web Application Access Form
C. VRC Security Form
D. Vendor List for Conservation Supplies
E. Library & Archives Box Label Template
F. Library & Archives Sample Box List

Records Officer Appointment Form

Tre Hargett
Secretary of State

Records Management Division
Department of State
State of Tennessee
312 Rosa L. Parks Avenue, 8th Floor
Nashville, Tennessee 37243
Phone: 615-741-5739
sos.tn.gov/rmd

Records Officer Appointment - Authorized Signature

AUTHORITY:	In accordance with TCA §10-7-304
PRINCIPAL PURPOSE(S):	The head of each Department, Commission, Board or Agency shall designate a Records Officer, Systems Analyst or Records Analyst, etc., who shall be an employee at the administrative level and who shall be instructed to cooperate with the staff of the Records Management Division and the Public Records Commission in carrying out the purposes of this chapter. It is the duty of the Records Officer to appear before the Public Records Commission for the purpose of presenting on behalf of such Record Officer's Department, Commission, Board or Agency, requests for disposition of records

SECTION I - COMMISSIONER/DIRECTOR/DESIGNEE

1. NAME *(First, Middle Initial, Last)*	**2. TITLE**	**3. AGENCY**
4. DATE *(YYYYMMDD)*	**5. SIGNATURE**	

SECTION II - RECORDS OFFICER

6. **NAME** *(First, Middle Initial, Last)*	**7. TITLE**	**8. AGENCY / DEPARTMENT**
9. ADDRESS	**10. TELEPHONE NUMBER**	**11. EMAIL ADDRESS**
12. EFFECTIVE DATE OF APPOINTMENT *(YYYYMMDD)*	**13. YOU ARE ADVISED TO REVIEW THE FOLLOWING REQUIREMENTS NEEDED TO ADEQUATELY PERFORM THE DUTIES LISTED ABOVE:** • Complete a State Records Center Security Form • Attend 2-Hour State Records Center Web Training	

I acknowledge and accept the position and responsibilities defined above. I understand that I am to cooperate with the staff of the Records Management Division and the Public Records Commission in carrying out my duties.

14. PRINTED NAME *(First, Middle Initial, Last)*	**15. SIGNATURE**

SECTION III – TO BE COMPLETED BY SECRETARY OF STATE RECORDS MANAGEMENT DIVISION

16. IS THE APPOINTEE BEING TERMINATED AS THE RECORDS OFFICER? ☐ **Yes** ☐ **No**	**17.COMPLETED BY AND DATE:**

Web Application Access Form

Records Management Division
Department of State
State of Tennessee
312 Rosa L. Parks Avenue, 8th Floor
Nashville, Tennessee 37243
Phone: 615-741-5739
sos.tn.gov/rmd

Tre Hargett
Secretary of State

To be filled out by User:		
Printed Name:	Title:	Agency:
Email:	Phone:	
Signature:	Date:	
To be filled out by Records Officer:		
Printed Name:	Agency:	
Is the above user being added or deleted? ☐ Add ☐ Delete		
Is the above user authorized to approve destruction reports? ☐ Yes ☐ No		
Records Officer Signature:	Date:	

Vital Records Control
(VRC)
Security Form

Tre Hargett
Secretary of State

Records Management Division
Department of State
State of Tennessee
312 Rosa L. Parks Avenue, 8th Floor
Nashville, Tennessee 37243
Phone: 615-741-5739
sos.tn.gov/rmd

Account Name: State of Tennessee

Allotment #: _____ Agency: _____

Printed Name: _____ Signature: _____

Email address: _____ Phone #: _____

- ❑ Add User
- ❑ Delete User

Authorizing Signature: _____ Date:_____

Printed Name:_____ Title: _____

This form must be authorized by Records Management Division. Please email this completed form to Sharon Groves at *Sharon.Groves@tn.gov or call 615-532-4619*

Records Management Use Only:

Authorized By: _____ Date: _____

RDA 11060

Conservation Supply Companies

Conservation Resources International
8000-H Forbes Place
Springfield, VA 22151
phone: 800-634-6932
http://www.conservationresources.com/
*Acid-free paper, boxes, and materials

Gaylord Brothers
P.O. Box 4901
Syracuse, NY 13221-4901
800-448-6160
http://www.gaylord.com/
*All types of archival supplies

Hollinger - Metal Edge Inc.
6340 Bandini Ave
Commerce, Ca 90040
phone: 800-862-2228
fax: 888-822-6937
http://www.hollingermetaledge.com/

Demco
P.O. Box 7488
Madison, WI 53707
phone: 800-356-1200
http://www.demco.com/
* All types of archival supplies

Archival Methods
Rochester, NY
phone: 1-866-877-7050
http://www.archivalmethods.com/

University Products, Inc.
P.O. Box 101
517 Main St.
Holyoke, MA 01041-0101
phone: 800-628-1912
http://www.universityproducts.com/
* All types of archival supplies

TENNESSEE STATE LIBRARY AND ARCHIVES

DEPARTMENT

DIVISION
SERIES TITLE

RDA # **BOX #1**

TENNESSEE STATE LIBRARY AND ARCHIVES

DEPARTMENT

DIVISION
SERIES TITLE

RDA # **BOX #2**

TENNESSEE STATE LIBRARY AND ARCHIVES

DEPARTMENT

DIVISION
SERIES TITLE

RDA # **BOX #3**

TENNESSEE STATE LIBRARY AND ARCHIVES

DEPARTMENT

DIVISION
SERIES TITLE

RDA # **BOX #4**

TENNESSEE STATE LIBRARY AND ARCHIVES

DEPARTMENT

DIVISION
SERIES TITLE

RDA # **BOX #5**

TENNESSEE STATE LIBRARY AND ARCHIVES

DEPARTMENT

DIVISION
SERIES TITLE

RDA # **BOX #6**

TENNESSEE STATE LIBRARY AND ARCHIVES

DEPARTMENT

DIVISION
SERIES TITLE

RDA # **BOX #7**

TENNESSEE STATE LIBRARY AND ARCHIVES

DEPARTMENT

DIVISION
SERIES TITLE

RDA # **BOX #8**

TENNESSEE STATE LIBRARY AND ARCHIVES

DEPARTMENT

DIVISION
SERIES TITLE

RDA # **BOX #9**

TENNESSEE STATE LIBRARY AND ARCHIVES

DEPARTMENT

DIVISION
SERIES TITLE

RDA # **BOX #10**

Sent to Library and Archives

Company Number	Company Name	Description	Date	Box
03-0045	West Camden Landfill	Public Hearing	8/18/1999	1
05-0011	Blount Co. Landfill	Public Hearing	5/18/1999	1
32-0197	Lenzing	Public Hearing	5/2/2002	1
53-0081	Staley	Public Hearing	1/23/2003	1
55-0076	Aqua Glass	Public Hearing	10/30/2000	1
	New Source Review	Town Meeting	2004	1
	Title V Workload	Public Hearing	1/2/2004	1
	Workload	Public Hearing	12/10/2007	2
	PM2.5	Public Hearing	3/25/2008	2
	NSR	Town meeting	2004	2
	NOxRact	Hearing	10/2004	2
01-0020	DOE Y-12	Hearing	8/19/2004	2
09-0012	Norandal	Hearing	3/7/2005	2
01-0137	Toxco Material	Town Meeting	7/20/2006	3
43-007	DuPont	Public Hearing	12/07/2006	3
53-0079	Aleris	Public Hearing	3/7/2006	3

Appendices F. Library & Archives Sample Box List

Records Management Contact Information

Main Line: 615-741-5739

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Kevin.Callaghan@tn.gov

Jasmine Taylor
Information Governance Manager
Jasmine.P.Taylor@tn.gov

Heather Allen
Records Analyst
Heather.Allen@tn.gov

Ben Duncan
Records Analyst
Ben.Duncan@tn.gov

Sharon Groves
Operations Manager
Sharon.Groves@tn.gov

Theron Lacy
Storekeeper
Theron.Lacy@tn.gov

Glen Cox
Storekeeper
Glendale.Cox@tn.gov

Mark Wilson
Records Analyst
Mark.B.Wilson@tn.gov

Mailing Address:
Division of Records Management
TN Tower, 8th Floor
312 Rosa L. Parks Avenue
Nashville, TN 37243