

Operations

Records Management Division



Records Management
Secretary of State Tre Hargett

February 12, 2020

Record Format

- Paper, Electronic, or Film: these are the three main categories of record format.
- Electronic may be stored in a variety of methods: server, portable drive, or disk.
- Each methodology has advantages and disadvantages that must be considered.

Storing Paper Records

Advantages

- Does not require special technology aside from printer/copier
- May lower cost by storing records offsite or at State Records Center

Disadvantages

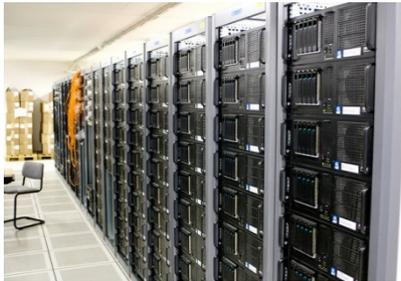
- Expensive to store and to prepare for records requests
- Increases need for physical space
- Excessive deterioration of original
- Results in image degradation



Electronic Storage

Advantages

- Reduces need for physical space
- Reduces wear and tear on originals
- Facilitates indexing, searching, and retrieval
- Allows for multiple access points
- Recreates high-quality user copies with no image degradation

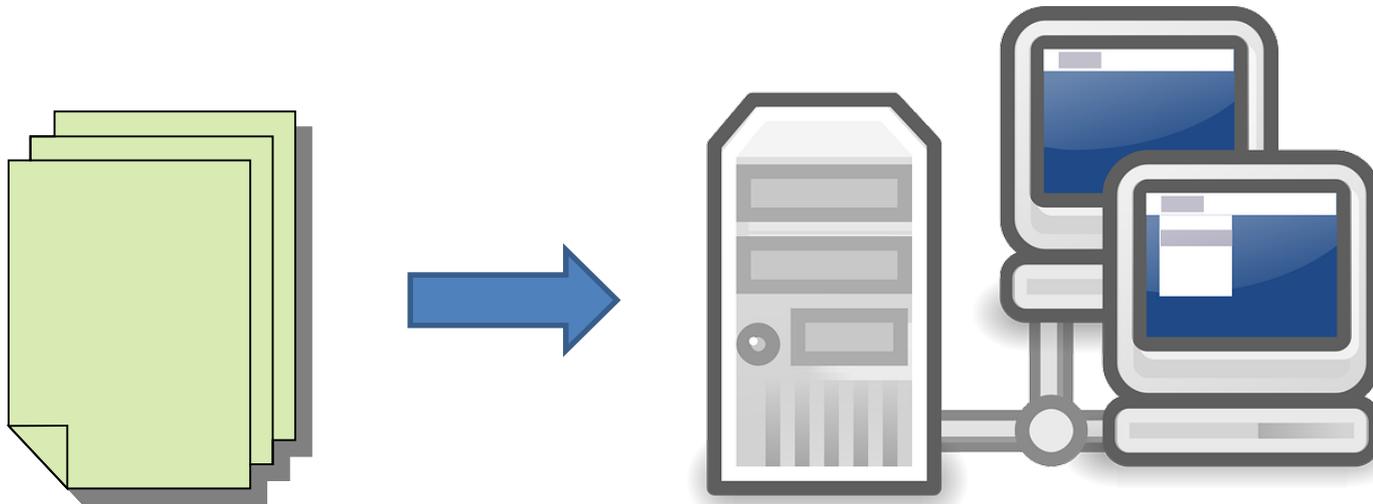


Disadvantages

- Requires software or hardware to access
- Requires continuous monitoring and eventual or periodic migration and conversion
- Faces software and hardware obsolescence
- Necessitates time-consuming metadata creation
- Requires expensive equipment to create and maintain
- Standards are not universally accepted
- Modification or corruption are potential authentication issues

Changing Format

- 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 RDA's and explore alternatives such as using a records center for storage.



Digitization Projects

- Check the RDA to verify retention requirements of records series.
- Evaluate reference frequency. Do these records need to be accessed often and from multiple locations?
- Based upon the research determine volume needed to be converted.

Digitization Options

- Convert in-house by your agency staff. Usually a day forward process or for smaller back-file projects.
- Printing & Media Services (DGS) scanning services for larger projects.
- Statewide Contract for high volume projects, consult with Central Procurement.
- Smaller projects stored at Vital Records Control may be done by VRC, with approval by RMD.

Maintaining Records in Agency

Advantages

- Quick access for business use
- Easily available for audit, litigation, or record request purposes

Disadvantages

- Increases need for physical space
- Expensive to store in agency by sq. ft.
- Multiple copies and extra copies are often generated
- Originals are handled often
- Security risks if not properly stored



Onsite Storage

- 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.
- Consider environmental and security concerns when looking for an appropriate storage site within your facility.
- 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

Security

- A secure facility should be locked, have controlled access for select personnel, and provide clear procedures for storing, retrieving, utilizing, and re-filing records.
- Non-paper records, such as motion-picture film, audio, and microfilm, will require special storage considerations.
- Permanent, historic, and/or essential records have special storage considerations.



Selecting Records for Offsite Storage

- 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 than 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.

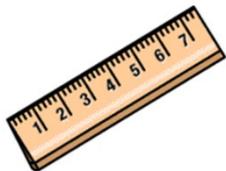
Preparing Records for Transfer

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 are 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 100 boxes contact Records Management Division.



Preparing Records for Transfer



3. Order Boxes, refer to state contract. (boxes cannot be ordered from VRC)
 - 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 storage.

Preparing Records for Transfer



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.
- Materials should not be placed in hanging file folders within the box
- Do not send damaged boxes, such as those that are crushed or have ripped handles.
- Do not utilize re-cycled copy paper boxes for storage.
- 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.

Preparing Records for Transfer

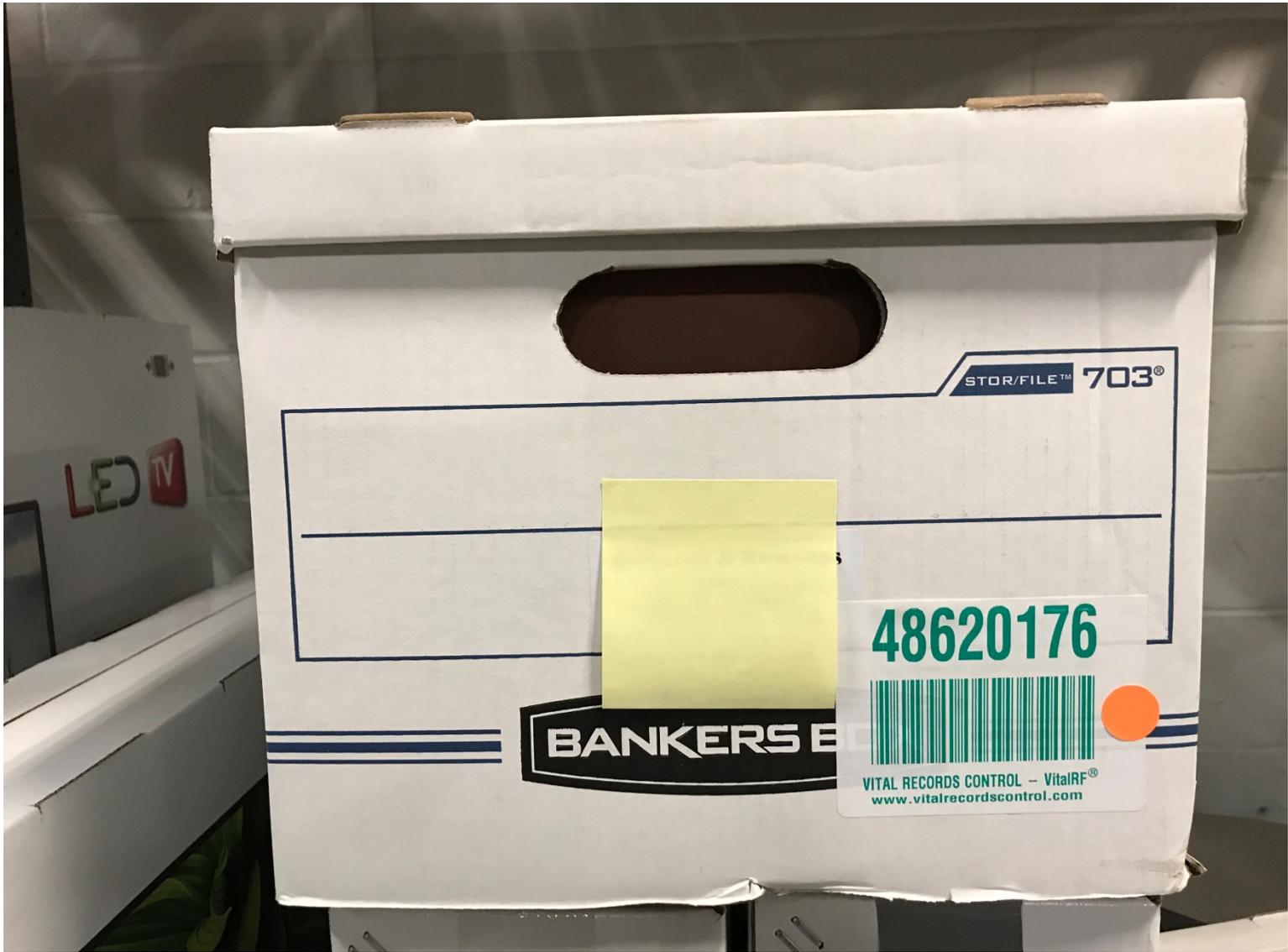
5. Enter Boxes into VRC Vital Web

- <https://vitalweb.vitalrecordscontrol.com/>
- You will need your login
- For specific VitalWeb questions refer to the training by VRC

Preparing Records for Transfer

6. Label and Barcode 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 side.
- To request Barcode labels, utilize the VitalWeb system. Select, “**Order Flat Boxes/Labels**” then **RFID Labels** and the drop down for number of labels.



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Preparing Records for Transfer

7. Arrange for Pickup

- Using VitalWeb, select the icon “Add New Boxes” to enter box information into VitalWeb **before requesting pick-up**. Select the icon, “View/Edit Pending Inventory” to review box information.
- Email Records Management with contact information and box numbers when sending new boxes or returning existing boxes to storage.
- Assemble boxes in a location that is easily accessible for Records Management staff to pickup
- Keep area clear to avoid a fire or trip hazard



Retrieval

- Retrieving boxes from the State Records Center. The cut off is 11 am for next day delivery, after 2pm retrieval will take an extra day.
- Using VitalWeb, select the icon “**Order Box**” to add boxes to your cart for delivery.
- Once you submit the order you will receive an email confirmation.
- For an emergency request contact Records Management Division.
- 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.**

Tracking/Reporting

- RMD suggests using an Excel spreadsheet to track your VRC activities
- Track the boxes you send to and retrieve from VRC
- Each month records coordinators should send information to their records officer
- Track such information as:
 - Description of Contents
 - Who made the request
 - Dates of requests
 - Dates of pick up and delivery
 - Number of boxes / cubic feet
 - Associated RDAs



Contacting RMD

- When RMD is contacted by a records coordinator we will also reply to your officer
- This will ensure that:
 - The records officer will be aware if there is a problem
 - The records officer will be informed of the appropriate answer
 - In turn all coordinators will have access to consistent information
 - This will help eliminate contradicting information



Reviewing Boxes at VRC

- Agency personnel may visit VRC to view records with the following considerations:
 - First set up with Records Management
 - VRC must be notified ahead of visit
 - Visitors must present two forms of identification
 - The visit must be approved by the Records Officer



Special Projects

- Moves involving large volume, locations outside of Nashville, or multiple sites require additional planning.
- Contact RMD as soon as you know of possible moves. We need at least eight weeks notice to plan the logistics.
- There are additional instructions available with Sharon. Communicate with her as soon as possible.

University of Tennessee

- Contract with UT in Knoxville for records management services. Agencies may utilize UT's secured records warehouse.
- Storage, delivery, and scanning services are available. May be the best option for eastern TN offices.
- Contact Sharon to learn more about scheduling, pricing, and other program specifics.

Destruction

- The method of destruction depends on criteria described in the Records Disposition Authorization.
- Those that are deemed confidential, private, or sensitive will be shredded for a fee by VRC to ensure that the information is protected.
- Records not requiring confidential destruction may be recycled however, we highly recommend shredding everything.
- Any records may be confidentially destroyed on request.
- Confidential records destruction services are also available for offices not using the VRC storage services.

Destruction: Certificates

- The agency Records Officer is expected to review their agency's records and determine which ones are due for destruction.
- When records are destroyed in agency, a Certificate of Records Destruction form must be filled out and submitted to Records Management.
- If records are destroyed off-site by the SRC, they will provide the COD.
- Non-records such as copies do not need to be documented on a CRD.
- Working papers and temporary records can be documented on CRD's.
- The Certificate of Destruction documents the destruction date, record series, RDA number, date range for the records, volume destroyed, and destruction method.
- 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.
- Records Officers can also use the CRD's to track their own agency's destruction, which will assist them with records assessments and records holding reports.

Contact Information: Operations Staff

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