Operations
Records Management Division

Records Management
Secretary of State Tre Hargett

February 15, 2023

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

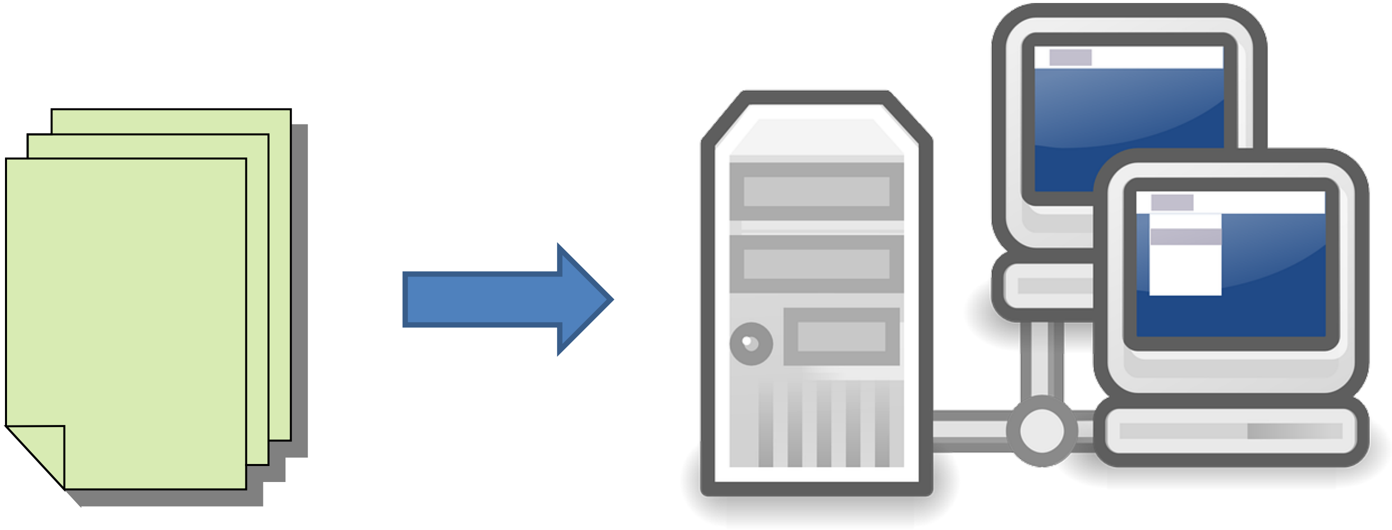
- Reduces need for physical space
- Reduces wear and tear on originals
- Facilitates indexing, searching, and retrieval
- Allows for multiple access points
- Recreates high-quality user copies with no image degradation

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

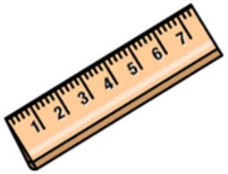
- A secure facility should be locked, have controlled access for select personnel, and provide clear procedures for storing, retrieving, utilizing, and re-filing records.
- Non-paper records, such as motion-picture film, audio, and microfilm, will require special storage considerations.
- Permanent,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

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).

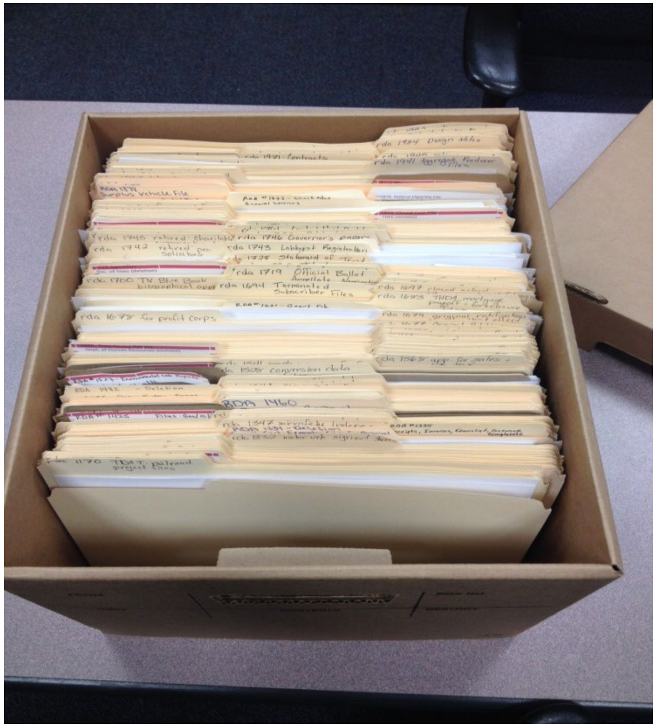


Preparing Records for Transfer

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

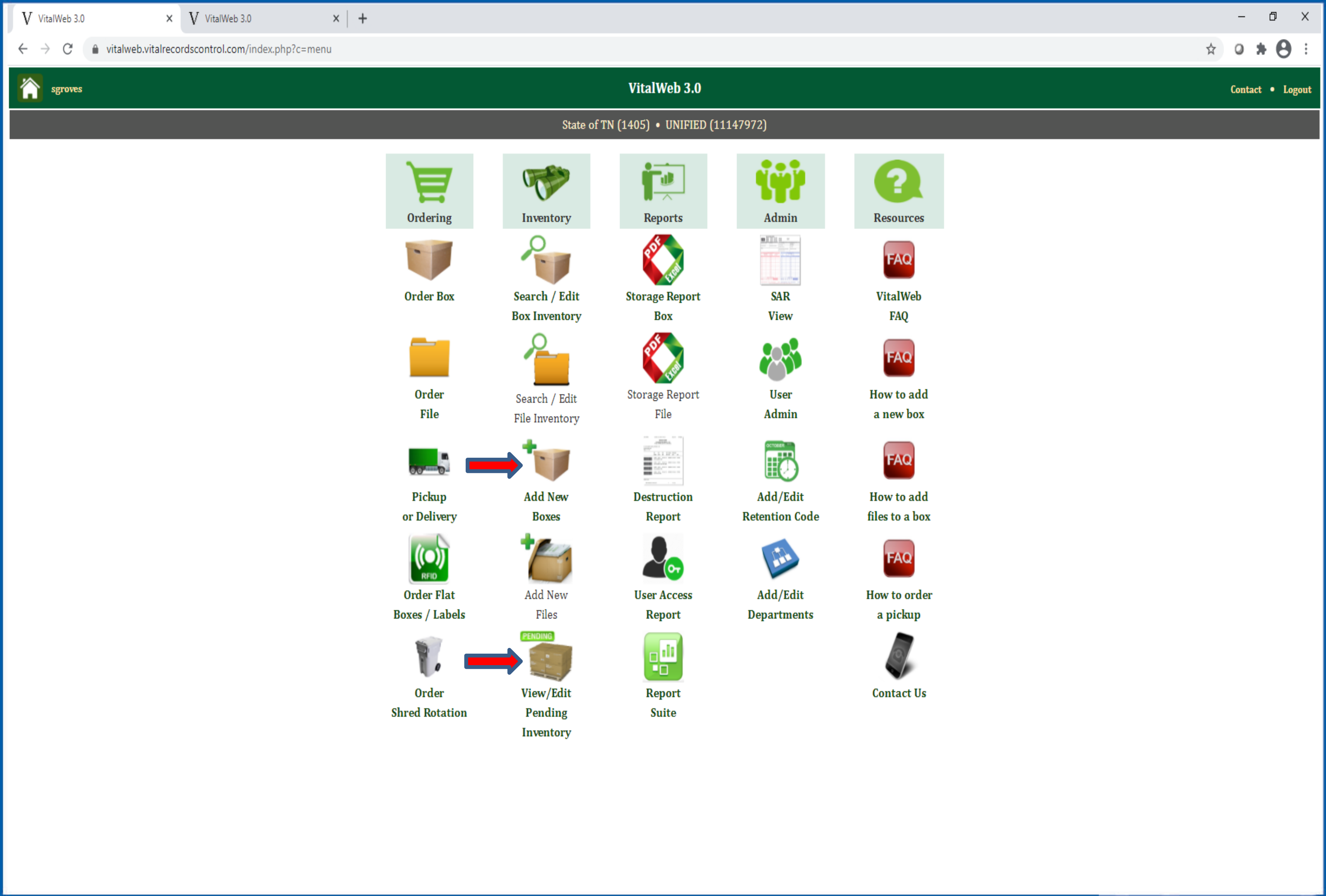


4. Pack the Boxes
    - Carefully pack boxes so that files and materials can be easily removed and replaced, leaving about one inch of free space.
    - Materials must fit in the box without causing it to bulge and lids must fit correctly.
    - Materials should not be placed in hanging file folders within the box
    - Do not send damaged boxes, such as those that are crushed or have ripped handles.
    - Do not utilized 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 Box information into VRC Vital Web. Select “Add New Boxes” enter all information indicated in red, the Description should contain details of contents of box. Select “Change” to add agency allotment code. Sub-Division is specific for agency division allotment code. e.g., SOS allotment code is 305.00/Sub-Division for Records Management is 305.13. Boxes may be viewed after entering information in View/Edit Pending Inventory on the main screen.

- https://vitalweb.vitalrecordscontrol.com/
- You will need your login information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Storage Report Box
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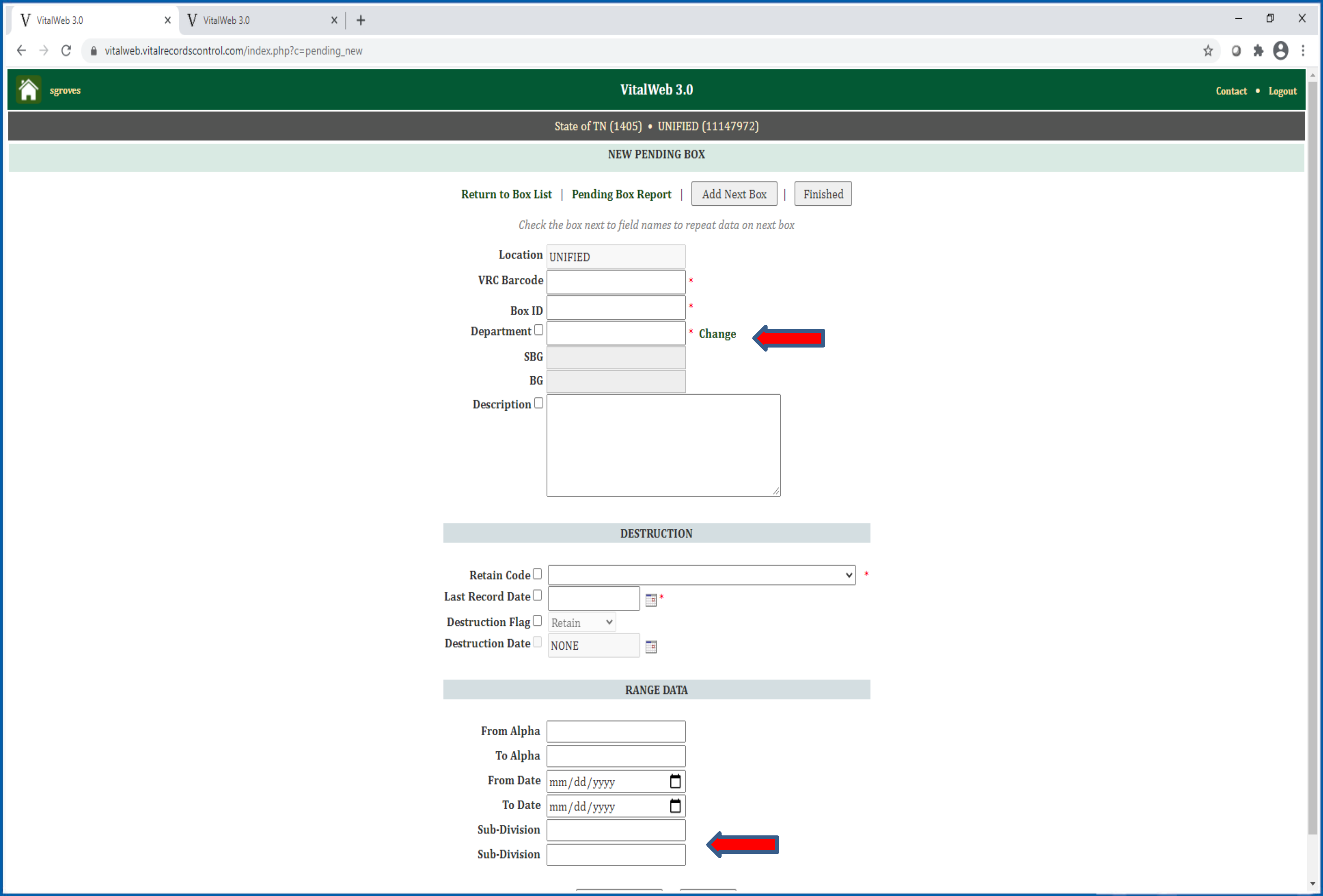
Order File
Search / Edit File Inventory
Storage Report File
User Admin
How to add a new box
Pickup or Delivery
Add New Boxes
Destruction Report
Add/Edit Retention Code
How to add files to a box
Order Flat Boxes / Labels
Add New Files
User Access Report
Add/Edit Departments
How to order a pickup
Order Shred Rotation
View/Edit Pending Inventory
Report Suite
Contact Us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NEW PENDING BOX

Return to Box List | Pending Box Report | Add Next Box | Finished

Check the box next to field names to repeat data on next box

Location	UNIFIED
VRC Barcode	*
Box ID	*
Department ☐	* Change
SBG	
BG	
Description ☐	

DESTRUCTION

Retain Code ☐	*
Last Record Date ☐	*
Destruction Flag ☐	Retain
Destruction Date ☐	NONE

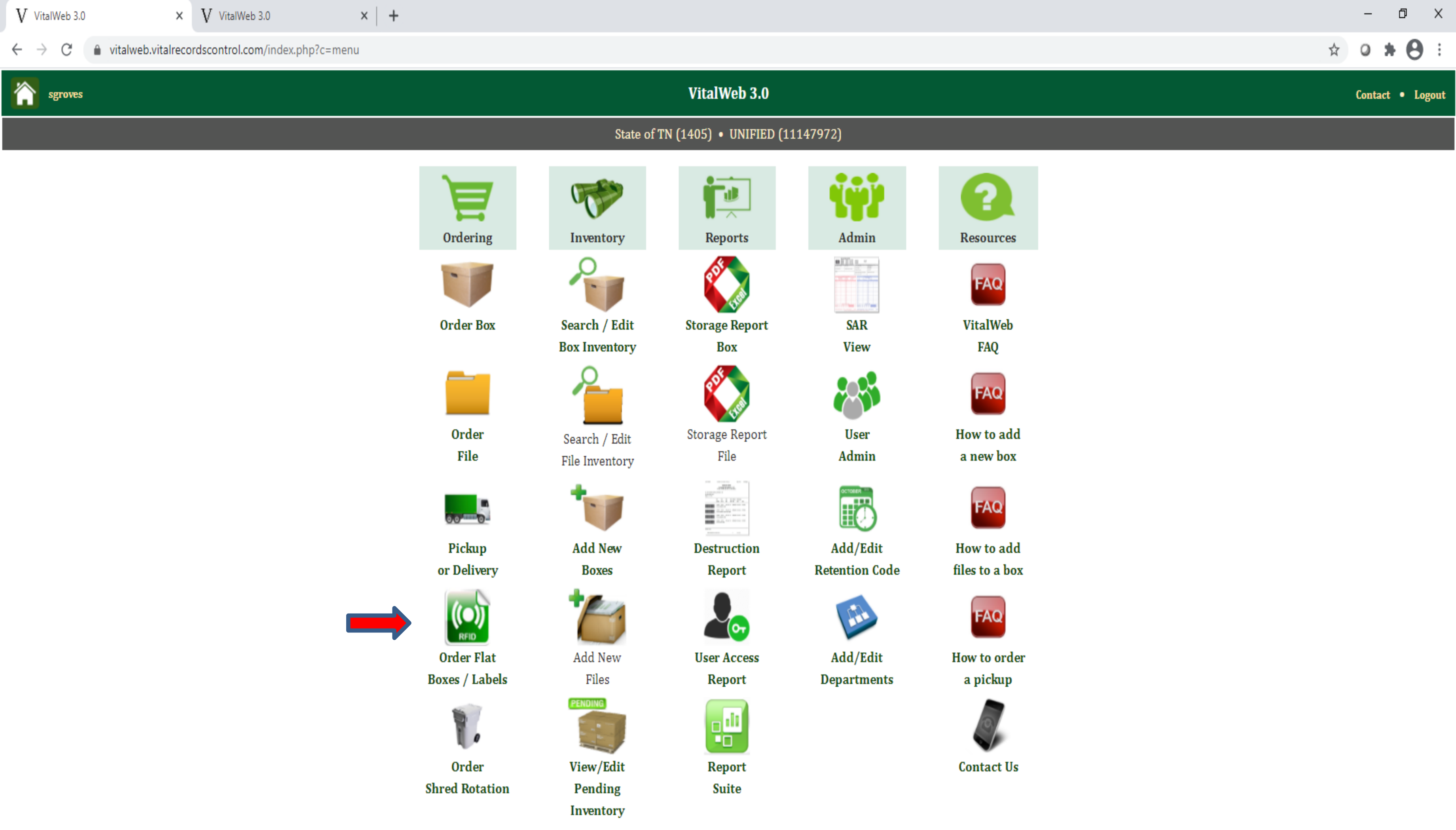
RANGE DATA

From Alpha	
To Alpha	
From Date	mm/dd/yyyy
To Date	mm/dd/yyyy
Sub-Division	
Sub-Division	

Preparing Records for Transfer

6. Label and Barcode Boxes

- Apply the barcode 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 Vital Web system. Select, "Order Flat Boxes/Labels" then RFID Labels and the drop down for number of labels.
- Utilize special instructions for specifics, such as contact information, delivery date,
- or any other specific information that may be needed for delivery.
- Select "Change" under Contact/Address to select allotment code for agency.
- Complete all other areas in red. You may utilize the Extra email receipt to notify additional staff of the request.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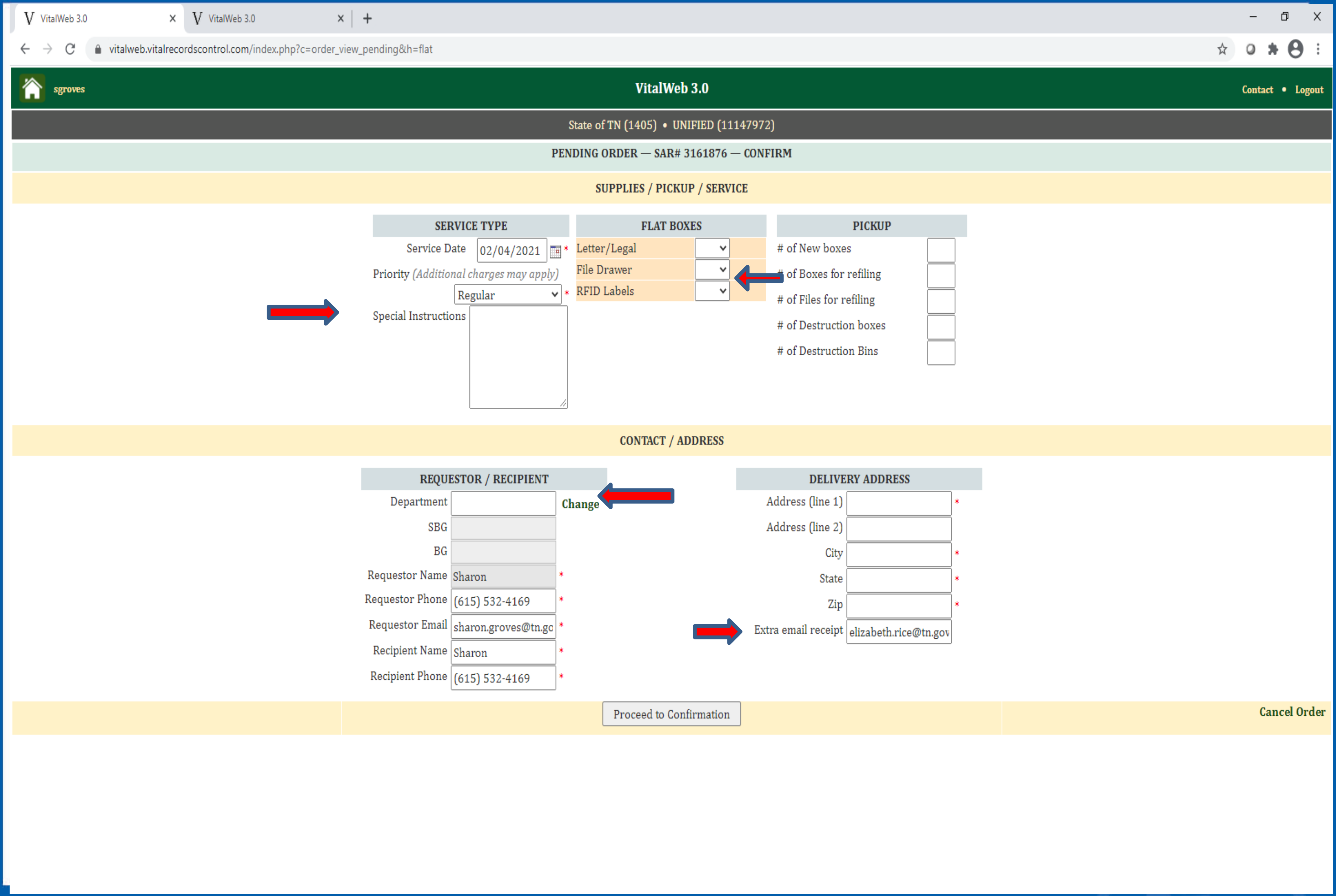
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PENDING ORDER — SAR# 3161876 — CONFIRM

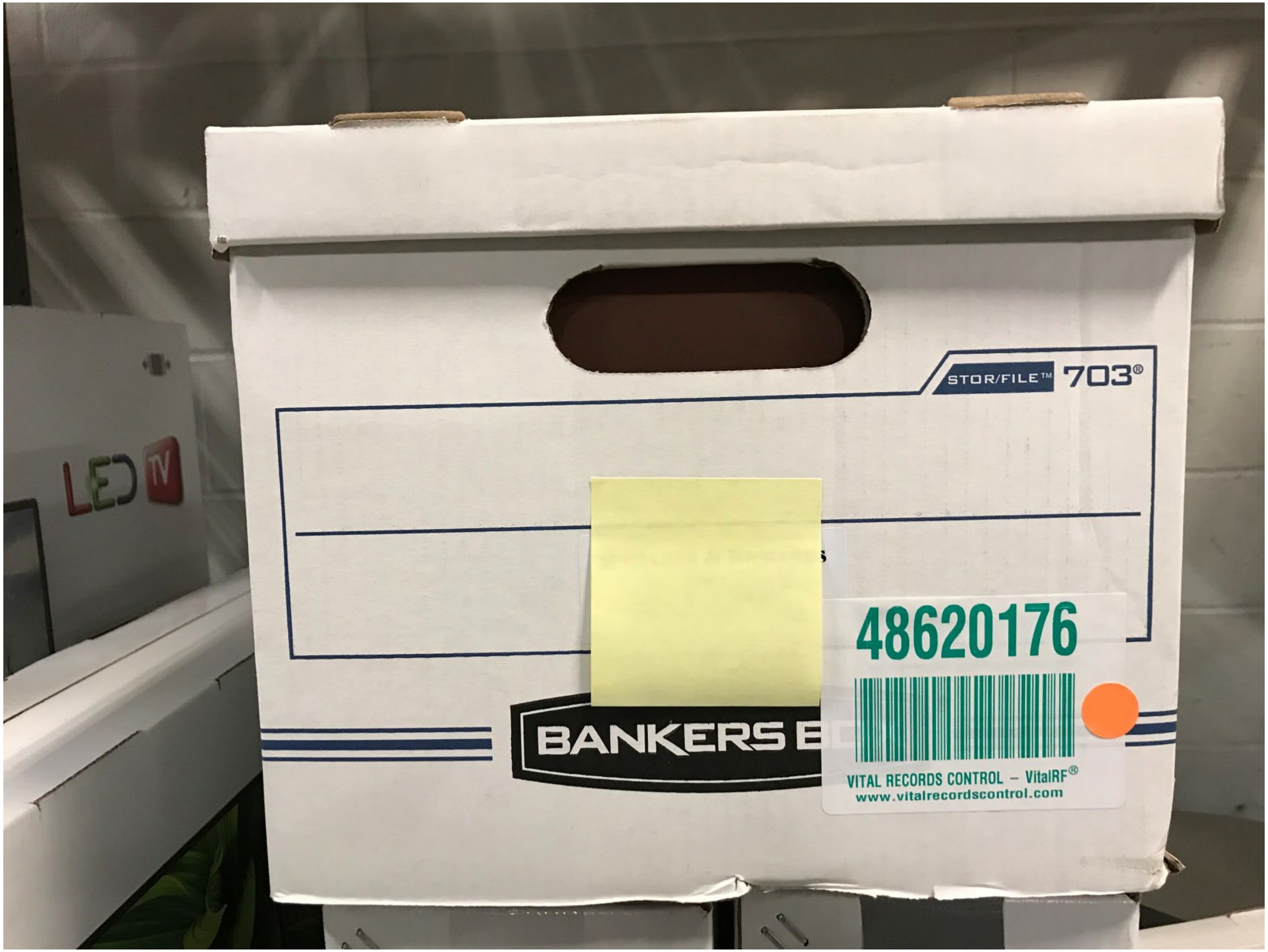
SUPPLIES / PICKUP / SERVICE

SERVICE TYPE		FLAT BOXES		PICKUP	
Service Date	02/04/2021 *	Letter/Legal		# of New boxes	
Priority *(Additional charges may apply)*	Regular *	File Drawer		# of Boxes for refiling	
Special Instructions		RFID Labels		# of Files for refiling	
				# of Destruction boxes	
				# of Destruction Bins	

CONTACT / ADDRESS

REQUESTOR / RECIPIENT		DELIVERY ADDRESS	
Department	Change	Address (line 1)	*
SBG		Address (line 2)	
BG		City	*
Requestor Name	Sharon *	State	*
Requestor Phone	(615) 532-4169 *	Zip	*
Requestor Email	sharon.groves@tn.gc *	Extra email receipt	elizabeth.rice@tn.gov
Recipient Name	Sharon *		
Recipient Phone	(615) 532-4169 *		

Proceed to Confirmation
Cancel Order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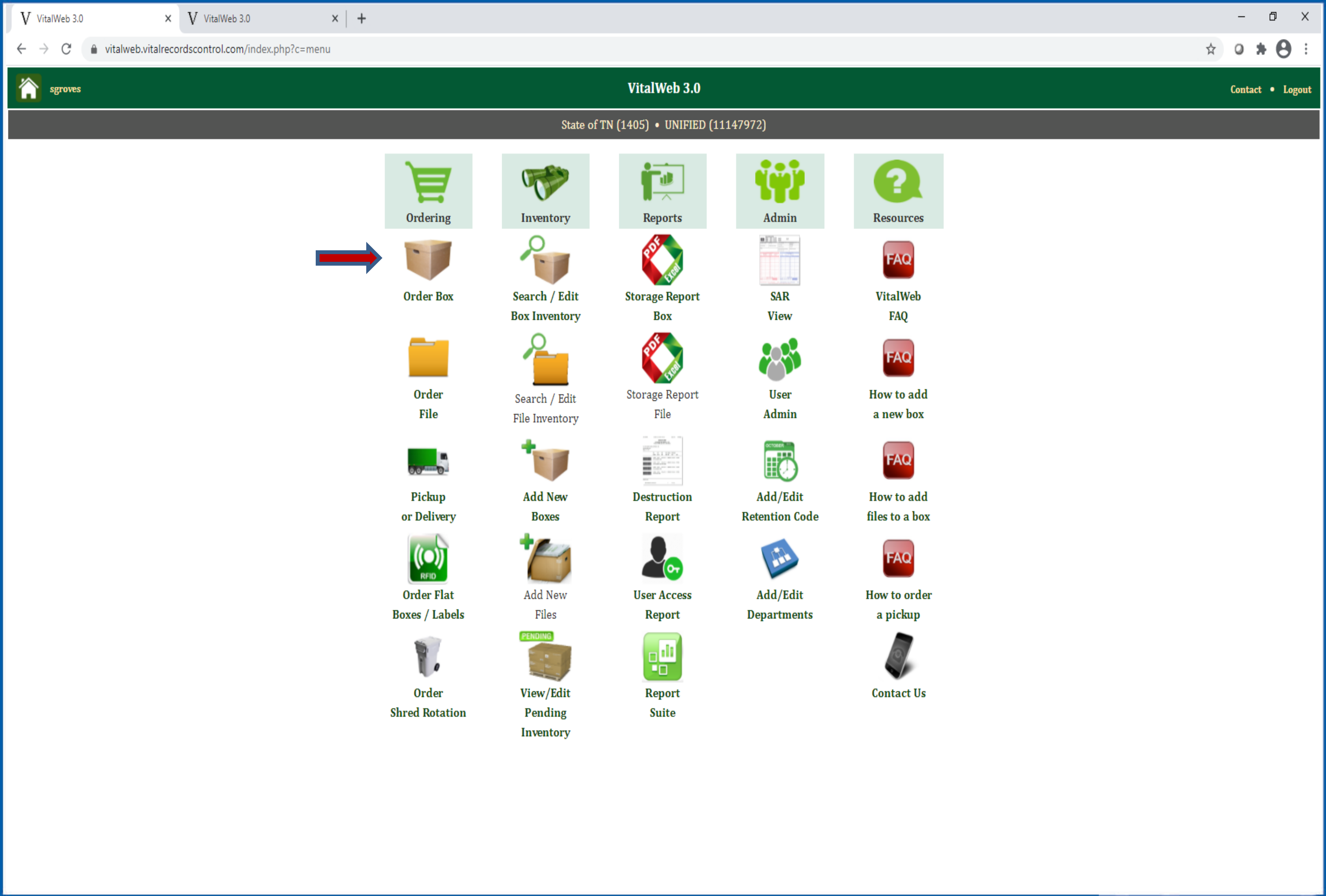
Preparing Records for Transfer

7. Arrange for Pickup

- Using Vital Web, select the icon "Add New Boxes" to enter box information into Vital Web before requesting pick-up. Select the icon, "View/Edit Pending Inventory" to review box information.
- *Email Sharon Groves 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 Vital Web, select the icon "Order Box" to add boxes to your cart for delivery. Locate box to order select "Actions" and add to cart.
- Once you proceed to confirmation and submit the order you will receive an email confirmation. You may utilize the Extra email receipt to notify additional staff of the request.
- For an emergency request contact Sharon Groves with 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.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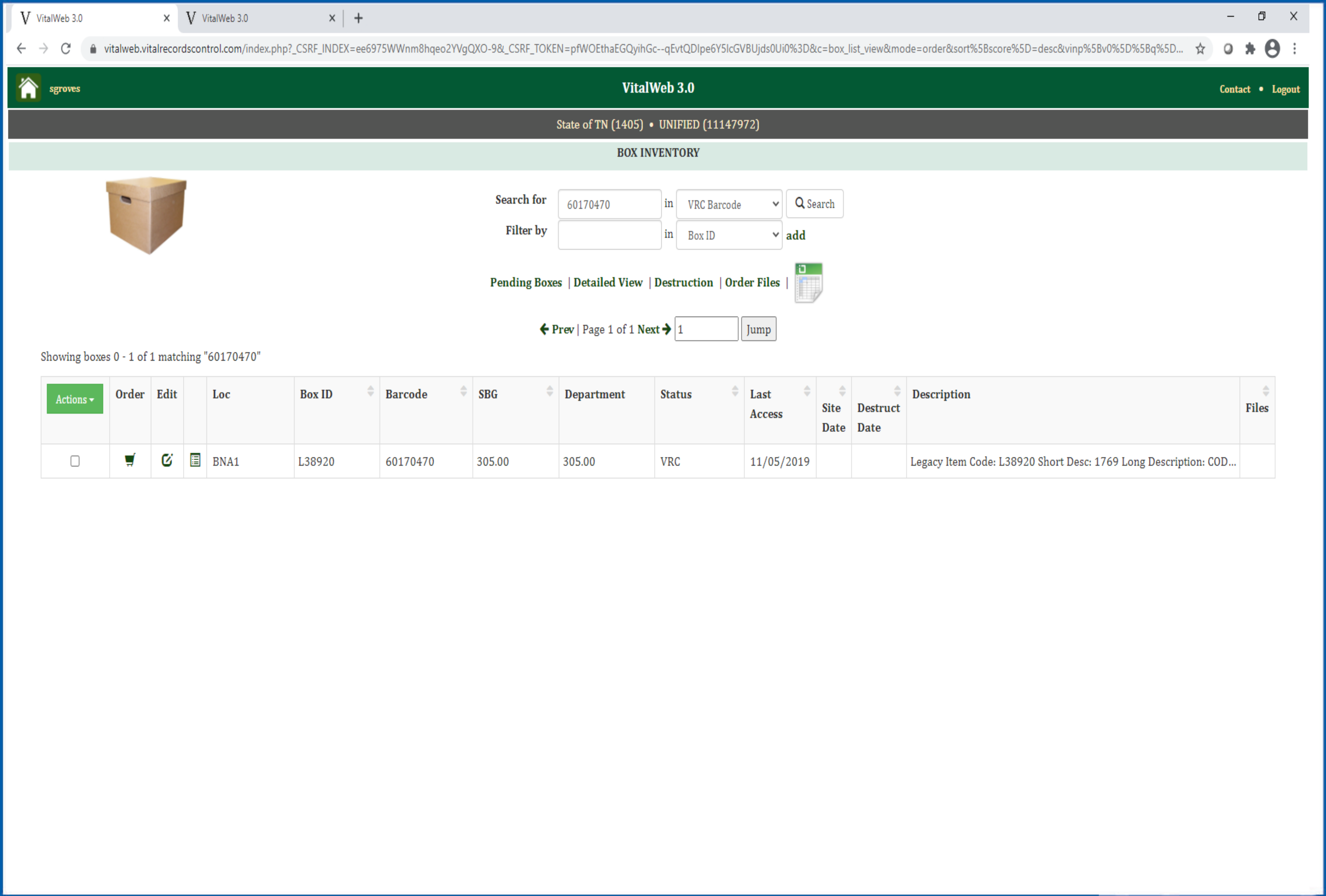
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add
Pending Boxes | Detailed View | Destruction | Order Files |
Prev | Page 1 of 1 Next
Jump
Actions

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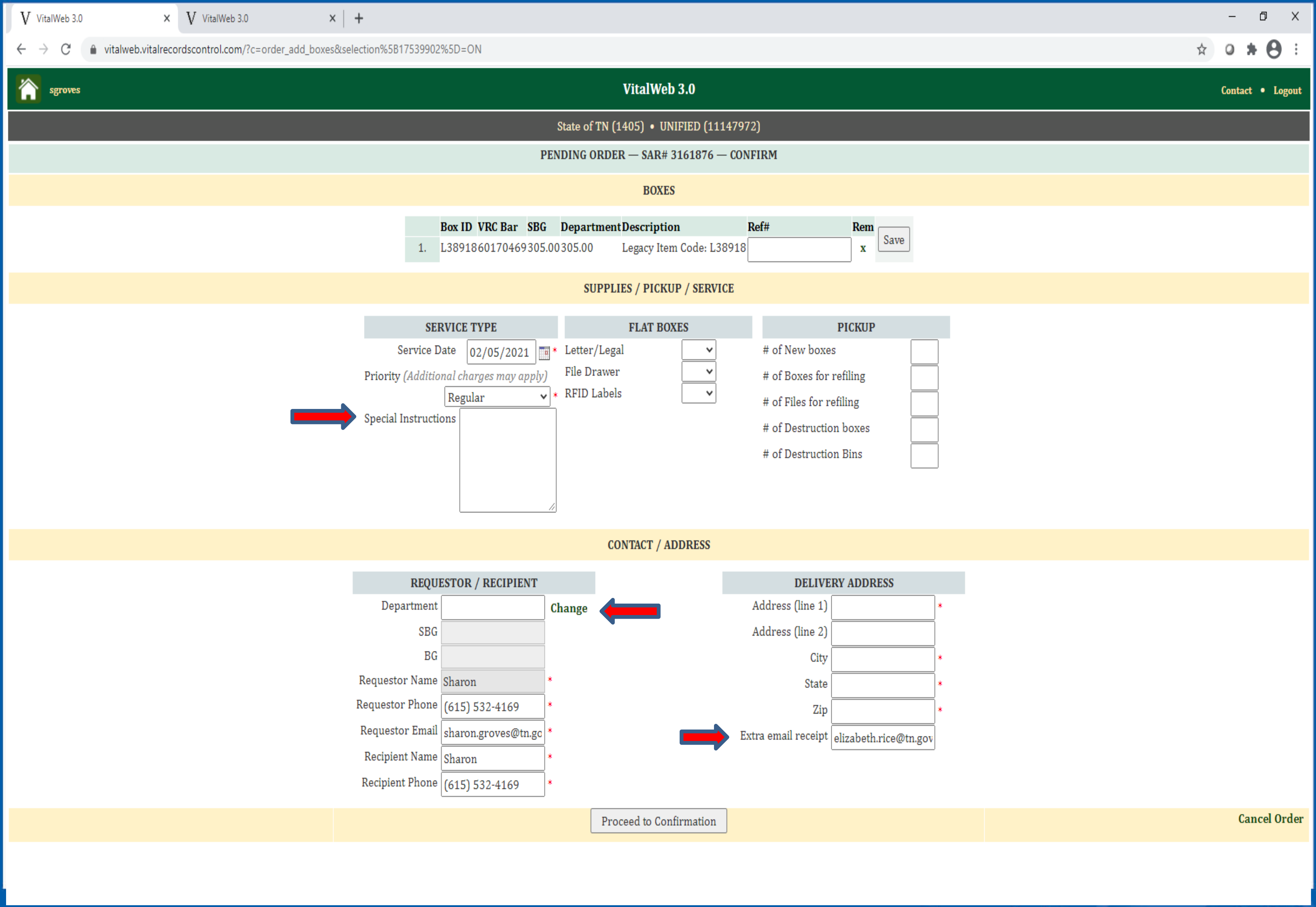
BOX INVENTORY

Search for: 60170470 in VRC Barcode

Filter by: in Box ID

Showing boxes 0 - 1 of 1 matching "60170470"

	Order	Edit		Loc	Box ID	Barcode	SBG	Department	Status	Last Access	Site Date	Destruct Date	Description	Files
☐				BNA1	L38920	60170470	305.00	305.00	VRC	11/05/2019			Legacy Item Code: L38920 Short Desc: 1769 Long Description: COD...	



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Contact • Logout
Save
Change
Proceed to Confirmation
Cancel Order

VitalWeb 3.0

State of TN (1405) • UNIFIED (11147972)

PENDING ORDER — SAR# 3161876 — CONFIRM

BOXES

	Box ID	VRC Bar	SBG	Department	Description	Ref#	Rem
1.	L38918	60170469	305.00	305.00	Legacy Item Code: L38918		x

SUPPLIES / PICKUP / SERVICE

SERVICE TYPE

Service Date 02/05/2021 *

Priority *(Additional charges may apply)* Regular *

Special Instructions

FLAT BOXES

Letter/Legal

File Drawer

RFID Labels

PICKUP

# of New boxes

# of Boxes for refiling

# of Files for refiling

# of Destruction boxes

# of Destruction Bins

CONTACT / ADDRESS

REQUESTOR / RECIPIENT

Department

SBG

BG

Requestor Name Sharon *

Requestor Phone (615) 532-4169 *

Requestor Email sharon.groves@tn.gc *

Recipient Name Sharon *

Recipient Phone (615) 532-4169 *

DELIVERY ADDRESS

Address (line 1) *

Address (line 2)

City *

State *

Zip *

Extra email receipt elizabeth.rice@tn.gov

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.
- 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 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

- Sharon Groves: 615-532-4619
- Sharon.Groves@tn.gov

- Glen Cox: 615-714-6299
- Glendale.Cox@tn.gov

- Theron Lacy: 615-767-4847
- Theron.Lacy@tn.gov