



7-1-2002

Records Management for Municipal Governments: A Reference Guide for City Officials and Municipal Public Records Custodians

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Recommended Citation

Huffer, Dennis, "Records Management for Municipal Governments: A Reference Guide for City Officials and Municipal Public Records Custodians" (2002). *MTAS Publications: Full Publications*.
http://trace.tennessee.edu/utk_mtaspubs/194

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Appendix A: STATUTORY PROVISIONS GOVERNING MUNICIPAL PUBLIC RECORDS

TENNESSEE CODE ANNOTATED

TITLE 10. PUBLIC LIBRARIES, ARCHIVES AND RECORDS CHAPTER 7. PUBLIC RECORDS

PART 7 – MUNICIPAL RECORDS

(Current through end of 2000 regular session)

SECTION

10-7-701 Public records – Temporary records.

10-7-702 Retention schedules.

10-7-701. Public records

All documents, papers, records, books of account, and minutes of the governing body of any municipal corporation, or of any office or department of any municipal corporation, within the definition of “permanent records,” “essential records,” and/or “records of archival value,” as defined in 10-7-301, constitute “public records” of the municipal corporation. All documents, papers, or records of any municipal corporation or of any office or department of the municipal corporation that constitute “temporary records” and/or “working papers” within the definition set forth in 10-7-301(13) and (14) constitute “public records” of the municipality, except that “temporary records” may be scheduled for disposal as authorized in this part.

10-7-702. Retention schedules

The Municipal Technical Advisory Service, a unit of the Institute for Public Service of the University of Tennessee, is authorized to compile and print, in cooperation with the State Library and Archives, records retention manuals which shall be used as guides by municipal officials in establishing retention schedules for all records created by municipal governments in the state.

Appendix B: TENNESSEE ARCHIVES MANAGEMENT ADVISORY (TAMA) 99-007

From: William W. Moss, Assistant State Archivist

To: Records Keepers in State and Local
Government Agencies

Subject: Guidelines for the use of digital imaging
for permanent records⁸⁸

Date: 13 June 1999

- State and local government officials hold public records in trust. They are legally obliged to protect public records and to make them readily accessible regardless of the records storage media. These guidelines will help public officials design responsible digital imaging systems for creating and maintaining long-term archival records.
- The guidelines are good advice. They are based on national technical standards, established practices, and research in the professional literature. The guidelines identify critical issues in designing, selecting, implementing, and operating digital imaging technologies. These issues are especially important for systems used for mission critical records or for long-term archival records.
- Digital imaging is the ability to capture, store, retrieve, display, process, and communicate or disseminate records electronically using a variety of hardware and software components. Digital imaging technology continues to change rapidly, but with proper planning and design, an agency can significantly improve its business operations without endangering records or procedures because of technology obsolescence.

- Maximum potential benefits of digital imaging systems can best be achieved through an agency planning process. This process examines the information needs and records requirements of the agency as a whole rather than a single, isolated application.

- The guidelines are listed in order of their recommended implementation

CAVEAT: Electronic records are not premanent.

The following guidelines do **not** guarantee the assured survival of permanent records, essential records, or records of archival value as defined in *T.C.A.* 10-7-301. They do offer the best chance that records will survive transitions from one digital information system to another and from one generation to another of the same information system.

The only media that will assure long-term survival of essential, permanent, or archival records are still carbon-based ink on acid-neutral paper and archival quality silver gelatin microfilm created and kept under conditions that meet archival standards. Records keepers should identify such records, appraise their value, and, if found to be worth permanent retention, should take steps to preserve them in archival media.

⁸⁸Tennessee State Library and Archives acknowledges the nationally respected model guidelines of the Alabama Department of Archives and History and other state, national, and international recommendations as the basis for these guidelines.

GUIDELINES

Project Planning

Recommendation 1: Prior to selecting a digital imaging system, conduct a records and workflow analysis to determine and to make a reliable record of existing and planned agency information needs.

The examination of existing workflow patterns and records is the crucial first step in determining the need for a digital imaging system. A records analysis assesses existing operations to determine what records are best suited for digital imaging applications. A workflow analysis assesses the processes of records creation, access, and retrieval to determine areas where re-engineering can improve operational efficiency. This reorganization of business or work processes may be simple or extensive. Implementing a digital imaging system significantly affects the current work processes because personnel create, retrieve, use, and store documents differently from the traditional paper records process. The detail and complexity of re-engineering the process affects the project schedule, cost justification, and Invitation to Bid (ITB) requirements.

The Records Management Division, Department of General Services, and the Office for Information Resources of the Department of Finance and Administration can help analyze an agency's record keeping systems.

Recommendation 2: Prior to selecting a digital imaging system, conduct a cost benefit analysis to determine the cost justification of a system purchase and to determine the possible benefits to the agency with its implementation.

Cost justifying a digital imaging system allows a financial comparison between the current and the proposed record keeping systems to help in making a procurement decision. The cost-justification goal of a digital imaging system is to offset the cost of the equipment and software by reducing personnel and storage costs or by allowing the existing staff to process more work through the improvement of work processes; and, it must do so without degrading the integrity or evidential value of the records.

To determine a cost estimate, the following components should be considered:

- System hardware;
- System software;
- Application software;
- Communications hardware and software;
- System maintenance;
- Training;
- Project management;
- Facilities upgrades/site preparation;
- Staffing costs;
- Other miscellaneous costs.

A typical cost justification includes the following major areas:

- Study of current operations;
- Proposed system architecture;
- Equipment pricing;
- Financial indicators, including
 - Payback period;
 - Net present value;
 - Rate of return.

The Office for Information Resources of the Department of Finance and Administration can help analyze the costs of implementing a digital imaging system.

System Specifications and Selection

Recommendation 3: Require an open systems architecture for digital imaging applications, or require vendors to provide a bridge to systems with non-proprietary configurations.

An open systems architecture permits future component upgrades with minimal degradation of system functions and without significant risk of records loss. It supports importing and exporting of digital images to and from other sources. It allows long-term records to be accessed and transferred from one hardware or software platform to another. Adoption of non-proprietary standards is crucial to achieving an open systems architecture.

Recommendation 4: Where data longevity or records integrity is a primary concern use a recording medium that is NOT rewritable.

The storage capacity of optical disks versus paper is a primary advantage to the use of digital imaging systems. However, optical disks are not the only option. Other storage solutions that can be used with digital imaging systems include output to microfiche or microfilm, digital tape, and magnetic disks. The selection of storage media may depend on budget considerations for the agency.

When selecting optical storage media, the issues of data longevity and integrity must be considered. A medium that is NOT rewritable helps protect the integrity of the records. There are a variety of optical disks on the market today:

- Write Once Read Many (WORM)
- Compact Disk-Read Only Memory (CD-ROM)
- Compact Disk-Recordable (CD-R)
- Computer Output to Laser Disk (COLD)

Each has its own advantages and disadvantages, with rewritable and non-rewritable options. These media offer a high level of data security because you cannot alter the data without destroying the medium itself. If a record is no longer needed, software may allow the pointer to the data to be disabled, preventing normal access. Because the data cannot truly be deleted, however, it may remain accessible by other means.

Recommendation 5: Use a non-proprietary digital image file format. If using a proprietary format, provide a bridge to a non-proprietary digital image file format.

A digital image file format is a structured container for information about each digital image and the image data. Information about the digital image file includes, but is not limited to, its name, width, length, resolution, and compression techniques. The computer requires this information to interpret the digital image. It is essential to use a commonly available, non-proprietary image file format to ensure the ability to transfer successfully digital images between different systems or to a new system when a system is upgraded or modified.

American National Standards Institute (ANSI)/ Association for Information and Image Management (AIIM) MS53-1993, *Standard Recommended Practice—File Format for Storage and Exchange of Images—Bi-Level Image File Format—Part I* details a standard definition for file formats. Despite the existence of a standard, there is not yet an agreed upon, industry-wide image format standard. Many digital imaging systems use the Tagged Image File Format, or TIFF. Because different versions of TIFF exist (TIFF-5, TIFF-4, etc.), there is still no absolute guarantee that images can be transported seamlessly from one system to another. Comprehensive documentation of the digital image file format, including TIFF, is recommended.

A number of other file formats exist, such as Graphics Interchange Format (GIF), Joint Photographic Experts Group (JPEG), and Bitmap (BMP). These file formats are commonly used in conjunction with hypertext markup language (HTML) for Internet and intranet applications. Many systems or third-party graphics packages will convert images from one to another, although often with unpredictable results.

Recommendation 6: Use International Telecommunications Union (ITU) Group 3 and Group 4 compression techniques, or have the vendor provide a bridge to these techniques.

The typically large file sizes of scanned documents require digital image compression to support data transmission and to promote storage efficiency. Today most digital imaging systems use standard compression algorithms to “shrink” images. Standard compression techniques are instrumental to ensure a migration strategy for records needed for long-term use. Two international standards currently are available. Using compression techniques conforming to either of these specifications will increase the likelihood that the images can be used with other technologies or migrated between systems.

Recommendation 7: When determining document scanning resolution, consider data storage requirements, document scanning throughput rates, and the accurate reproduction of the image. Validate vendor claims using a sampling of the agency’s documents.

A digitized image consists of black and white dots or picture elements (pixels) measured in dots per inch (dpi). The higher the number of dpi, the higher the legibility of the reproduced image. Images scanned at higher dpi rates, however, use more storage space on the disk and may require longer

scanning times. The selection of scanning density involves a trade-off between image clarity, storage capacity, and speed. When selecting a scanner, ask the vendor to perform a quality test on a broad sampling of documents at various dpi settings so that an appropriate end-to-end throughput rate and resolution can be determined.

For good quality images in scanning modern office records, use a scanning density of at least 300 dpi. A higher scanning density (600 dpi or higher) is appropriate for deteriorating documents, older handwritten documents, and documents with a visual element such as, engineering drawings, maps, or background detail. The display resolution of the inspection/verification monitor and printer should match the scanning density of the document scanner. When scanning continuous tone images, such as photographs, maps, and illustrations, use grayscale or color imaging technology.

Recommendation 8: Select equipment that conforms to the standard methodology for media error detection and correction. The system should provide techniques for monitoring and reporting verification of the records stored on a digital optical disk, and the system administrator should actively follow the status of the monitors.

Careful review and quality control of scanned images is essential to assure the accuracy and completeness of material scanned into imaging systems. Digital imaging technology uses two methods within the Error Detection and Correction (EDAC) system to minimize digital image recording and retrieval errors. The first method uses error correction codes to detect and correct automatically any errors in reading data. The second employs correction code software to determine if and when the use of error correction codes is approaching a critical point. Monitoring the error correction status information provides an audit trail to measure the progress and

degree of disk degradation. Tracking error correction trends will indicate an appropriate timetable for recopying disks.

The Association for Information and Image Management's Standards Committee has developed a standardized methodology for reporting the error rate data to the operating system for user evaluations. ANSI/AIIM MS 59-1996, *Media Error Monitoring and Reporting Techniques for Verification of Stored Data on Optical Digital Data Disks*, describes these standards.

Another precaution against losing long-term records because of defective disks is to require the use of digital optical disks with a guaranteed minimum shelf life of five years and a minimum post-write life of 20 years.

Recommendation 9: Specify that the small computer system interface (SCSI) command "Write and Verify" is used when writing data to digital optical disks.

The "Write and Verify" command, available within the SCSI, is valuable for assessing how accurately the scanned information is transferred from the central processing unit of the computer to the digital optical disk. "Write and Verify" requires verification from the system that the digital image is correctly written to the disk and provides additional protection for continued access to long-term records.

Recommendation 10: Use an indexing database that provides for efficient retrieval, ease of use, and up-to-date information about the digital images stored in the system. The indexing database should be selected after an analysis of agency operations and user needs.

Reliable access to scanned images depends on an accurate, up-to-date index database. Indexing a

digital image involves linking descriptive image information with header file information. Normally, index data are manually key-entered using the original documents or the scanned images, either at the time of image capture or later in the production process. Index data verification, in which database entries are compared with the original source documents for completeness and accuracy, is crucial because an erroneous index term may result in the inability to retrieve related images.

Recommendation 11: Provide specific plans for an ongoing process of migrating long-term and archival records from older to newer hardware and software platforms.

Agencies must ensure that their long-term and archival records are continually accessible. Permanent records of high evidential value should be printed out onto acid-neutral paper with permanent, carbon-based ink to assure their long-term preservation. Systems as physical devices could be operational for 10 years or more, but system technology often is superseded within two to three years. If the system stores records with retention periods exceeding the life span of the hardware and software, it is essential that the administrator plan for future data migration. A migration strategy documents how an organization will transfer long-term and archival records from one generation of hardware and software to another generation without losing system functionality and without losing the integrity of the records. The strategy should be written and available with current system documentation.

Current strategies for migrating digital imaging system records include:

- Upgrading equipment and software as technology evolves and periodically recopying disks as required;

- Recopying optical disks based upon projected longevity and/or periodic verification of the records;
- Transferring the data from an obsolete generation of optical disks to a newly emerging technology, in some cases bypassing the intermediate generation that is mature but at risk of becoming obsolete.

Recommendation 12: Integrate into the system design a comprehensive records retention and disposal schedule for the entire system.

The retention of records in electronic systems is complex because both the structures and data (content) can be changed over time. When either the data contents or the structure of a database is changed, the record is altered. This is necessary to the conduct of business.

Changes should be managed in accordance with records management principles.

- When changes in the logical structure are made, documentation of the superceded structure should be maintained for as long as it is necessary to maintain any records to which the superceded structure(s) applied.
- When major redesign efforts are undertaken, the record(s) applicable to the database should also be reviewed.

Articulate and integrate requirements for archival records (records for permanent retention) at the conception stage, when the record keeping system is being designed.

- Devise and use a records retention plan, based on appraisal of the record contents, that will be effective across changes in technology over time.
- Systematically identify and protect material that must be retained permanently whenever it appears in the operations of records creation within the system.

- Operational (administrative) and legal requirements for records retention should be incorporated into the system design.

For permanence, the system design must assure preservation of the availability, accessibility, and understandability of the content records, including their provenance and working context. The entire database system, including inputs, outputs, and necessary metadata and documentation should be scheduled for retention or disposal together.

System Implementation

Recommendation 13: Assign a permanent staff member as systems administrator, and require the vendor to provide a project director during the installation and training periods.

Assignment of a qualified staff member with systems administration experience is crucial to effective implementation and maintenance of a digital imaging system. The systems administrator should be responsible for overall project management and the development and maintenance of written system documentation that describes the requirements, capabilities, limitations, design, operation, and maintenance of the digital imaging system. The systems administrator should also assure that steps are taken to assure the optimum chances of long-term survival of essential, permanent, and archivally valuable records. Making a vendor representative responsible for installing the equipment and training the systems administrator and other appropriate agency staff will help ensure successful implementation of the system.

Recommendation 14: Establish operational practices and provide technical and administrative documentation to ensure future usability of the system, continued access to long-term records, and a sound foundation for assuring the system's legal integrity.

It is the responsibility of office administrators, rather than vendors and manufacturers, to maintain written documentation of system procedures, also called standard operating procedures or SOPs, including access and security policies and procedures. Security and access policies should be developed to protect the system and the records from alteration or unauthorized use.

In regard to legal admissibility and trustworthiness, records stored on a digital imaging system should be treated no differently from records stored on magnetic disk or tape. The key is for the systems administrator to become familiar with how the rules of evidence apply to such records. Procedural controls should be established and followed to protect the integrity of the records.

These procedural controls should be documented and should reflect requirements for the legal acceptance of records as outlined in AIIM TR31-1992, *Performance Guideline for the Admissibility of Records Produced By Information Technology Systems as Evidence*. This AIIM performance guideline stresses the importance of specifying the processes used to create the records, demonstrating that records are produced and relied upon in the regular course of business, establishing quality control and audit procedures, conducting formal training programs, and providing written documentation for each procedure. Case histories indicate that system requirements for good archival maintenance are consistent with the requirements for the admission of records under the “rules of evidence” laws. Records administrators should be familiar with how the rules of evidence apply to Tennessee’s public records. Policies and procedures should be followed to protect the integrity of long-term records.

Recommendation 15: Perform a visual quality control evaluation of each scanned image and related index data. Write the scanned image to optical media only after the evaluation is completed.

To help ensure the integrity of long-term and archival records stored on the system, staff members should perform a visual quality evaluation of each index entry and scanned image before writing the digital image to optical media. Overall system quality control is best when the scanned image is stored temporarily on magnetic media, permitting corrections through rescans as needed. Depending on the system configuration, corrections may be performed at the scanner capture station or at designated inspection/rescan workstations. Training and supervision of the operations staff are key factors in maintaining acceptable image and index quality as well as user satisfaction with the system.

When the system is operational, a routine scanning quality test, as outlined in ANSI/AIIM MS44-1988 (111993), *Recommended Practice for Quality Control of Image Scanners*, should be performed on a weekly or monthly basis.

Recommendation 16: Design backup procedures to create security copies of digitized images and their related index records.

System component reliability is critical to system success. Prolonged or repetitive downtime can seriously affect office operations. Creating a duplicate copy of records in another format or another system is an effective way to ensure access to long-term information. Backup copies also support system integrity and legal admissibility requirements. The government office may select the backup storage media (optical, magnetic, paper, or microform) that best meets the office’s requirements. Security copies of the records should be stored in an off-site, environmentally controlled location.

Recommendation 17: Provide adequate environmental conditions for the digital optical disks.

Even in an optimum environment, digital optical disks are susceptible to deterioration. Adverse storage conditions, especially high humidity, can cause rapid deterioration of the media. A prudent storage guideline for digital optical disks is to adhere to the temperature and humidity levels recommended for magnetic media storage. Technical specialists recommend a stable environment, with a temperature between 65 and 75 degrees, and a relative humidity between 30 and 50 percent. Digital optical disks should never be stored in direct sunlight nor placed near sources of heat.

Digital optical disks are affected by dust, debris, and fingerprints. Plastic cartridges should never be removed, nor should the cartridge shutter be opened to expose the digital optical disk's recording surface. To protect disks from warping, they should not be subject to pressure and should be stored in an upright position when not in the disk drive.

Agency officials should request that the vendor supply specifications for the storage of digital optical disks and ensure that office conditions meet these specifications during installation of a system.

Recommendation 18: Budget annually between 15 and 20 percent of the original system acquisition cost for upgrades, training, and maintenance.

Administrative managers should be aware of the high costs of maintaining and upgrading digital imaging systems. Unless these costs are factored into the continuing support of system maintenance and improvement, the system is in danger of becoming obsolete and requiring far greater expense to restore its effectiveness. Also, records stored in an outdated system tend to be at greater risk than those in a well supported system. Continued planning and budgeting

for the migration of long-term and archival records, as discussed in Recommendation 11, are essential for the success of any digital imaging project.

Recommendation 19: Long-range planning and budgeting should include provision for replacement of existing systems at least every 10 years.

Information management and imaging systems technology changes rapidly, making existing systems obsolete in a few years. Information processing and records keeping requirements of offices also change with changing circumstances. Experience in many government offices and business enterprises suggests that existing systems need to be replaced substantially, if not entirely, somewhere between five and 15 years of the time of their initial installation. The optimum replacement time seems to be between seven and 12 years. Prudent management requires planning and budgeting for such replacements.

IF YOU NEED ASSISTANCE

The Records Management Division of the Department of General Services and the Office for Information Resources of the Department of Finance and Administration provide assistance to state and local government agencies regarding records administration considerations affecting the design and implementation of digital imaging systems. Direct questions or comments concerning digital imaging technologies, or this technical leaflet, should be sent to the Tennessee State Library and Archives, 403 Seventh Avenue North, Nashville, Tenn., 37243-0312, (615) 741-2561. For technical assistance concerning the design and implementation of digital imaging technologies contact the Office of Information Resources, Department of Finance and Administration, State Capitol, Nashville, Tenn., 37243-0285 (615) 741-2401.

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Appendix C: SOURCES OF ADDITIONAL INFORMATION

MATERIALS PRODUCED BY THE TENNESSEE STATE LIBRARY AND ARCHIVES

The State Library and Archives has produced an ongoing series of Tennessee Archives Management Advisories. TAMA advisory 99-007 (“Guidelines for the Use of Digital Imaging for Permanent Records”) is reproduced in its entirety in Appendix B of this manual. Other advisories may be of interest or use to local government officials. Following is a list of advisories produced to date. Contact Dr. Wayne C. Moore, Assistant State Archivist, Tennessee State Library and Archives, (615) 253-3458, wayne.moore@state.tn.us, for copies of any advisories that interest you.

Issued in 1999

1999-001	Tennessee Archives Management Advisory (TAMA) series
1999-002.02	Direct Grants to Local Government Archives [supercedes previous TAMA 99-002]
1999-003	Local Archives Development, Classification, and Accreditation
1999-004	Basic Archives Management Guidelines for Local Archives [Attached to this TAMA is a handbook of basic guidelines for local archives.]
1999-005	Microfilming Permanent Records
1999-006	Electronic Records are NOT Permanent Archival Records
1999-007	Guidelines for the Use of Digital Imaging for Permanent Records
1999-008	Appraisal and Disposition of Records
1999-009	Beware of Lamination

1999-010	Local Archives Mission Statement and Collecting Policy
1999-011	Resource Directory of Tennessee Archivists
1999-012	Managing Inactive Records - Guidelines and Models for Local Governments
1999-013	Vendors of Archival Supplies
1999-014	Archival Shelving and Cabinetry
1999-015	Public Records Commissions [Attached to this TAMA is a handbook for Public Records Commissions.]
1999-016.01	Public Inspection, Confidentiality, and Copying Public Records for the Public
1999-17	Public Records Microfilming

Issued in 2000

2000-001	Archival Facilities Classification and Specifications of Structures and Component Spaces
2000-002	Archival Containers: Tables of Cubic-foot Equivalents for Containers, Shelving, and Cabinetry Commonly Found in Archives
2000-003	Archival Standards for Materials, Processing, and Storage: A Handbook for Records Keepers, Archivists, and Manuscripts Collection Curators
2000-005	Archival Standards for Computer Output Microfilm (COM) for Archival Retention
2000-006	Glossary of Archival Language for Archives in Tennessee

- 2000-007 Glossary of Information Technology
Terms for Archives in Tennessee
- 2000-008 Preparing and Microfilming
Archives
- 2000-009 Position Descriptions for County
Archivist and County Records
Manager

OTHER PUBLICATIONS, ORGANIZATIONS

American Association for State and Local History (AASLH)

1717 Church Street

Nashville, TN 37203-2991

Phone: (615) 320-3203

Web site: <http://www.aaslh.org>

AASLH has several publications on local government record keeping.

Association of Records Managers and Administrators (ARMA International)

4200 Somerset Drive, Suite 215

Prairie Village, KS 66208

Phone: (800) 422-2762

Web site: <http://arma.org/>

ARMA is a professional organization that sponsors conferences and seminars and that publishes technical materials on filing and records management, including a directory of commercial software for records management. ARMA has local chapters in all large cities and many smaller cities. Members include more than 500 local government records managers. ARMA local chapter meetings, as well as the conferences and seminars, offer opportunities for the interchange of ideas with other local government agencies. ARMA publishes two quarterlies: The Information Management Journal, a professional journal, and InfoPro, a news magazine.

Federal Emergency Management

Agency (FEMA)

500 C Street S.W.

Washington, D.C. 20472

Phone: (800) 480-2520 to order publications.

Web site: <http://www.fema.gov>

FEMA publishes Emergency Management Guide for Business and Industry: A Step-By-Step Approach to Emergency Planning, Response and Recovery for Companies of All Sizes. Washington, DC: FEMA, 1993. Available in pdf at <http://www.fema.gov/library/bizindex.htm>.

International Institute for Municipal Clerks (IIMC)

1212 North San Dimas Canyon Road

San Dimas, CA 91773

Phone: (909) 592-4462

Fax: (909) 592-1555

E-mail: hq@iimc.com

Web site: <http://www.iimc.com>

IIMC publishes How to Design a Disaster Recovery Plan, which can be ordered through their Web site or by writing to the address above.

Local Archives Development Program, Tennessee State Library and Archives

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National Association of Government Archives and Records Administrators (NAGARA)

48 Howard Street

Albany, NY 12207

Phone: (518) 463-8644

Fax: (518) 463-8656

E-mail: nagara@caphill.com

Web site: <http://www.nagara.org>

NAGARA series The Daily Management of Records and Information, by David O. Stephens, CRM (November 1991). This publication contains helpful and informative discussions of various “nuts-and-bolts” topics relating to records management, including filing and record keeping systems and equipment, daily operation of active and inactive records systems, maintenance of inactive records storage facilities for local governments with less than 1,000 to 2,000 cubic feet of records to store, automated records management, and related topics. The author compares available methods and equipment and offers suggestions on their proper use. The booklet also contains sample forms and worksheets.

NAGARA, in cooperation with the International Institute of Municipal Clerks (IIMC), publishes a series of technical bulletins on records management for local government officials. They contain excellent bibliographies. These bulletins are available free of cost on the Internet at http://www.nagara.org/rmbulletins/bulletins_toc.htm or can be ordered from the address above at \$10/bulletin.

National Archives and Records Administration (NARA)

Life Cycle Management Division

8601 Adelphi Road

College Park, MD 20740-6601

Phone: (301) 713-6677

Web site: <http://www.nara.gov>

NARA publishes Vital Records and Records

Disaster Mitigation and Recovery: An Instructional Guide 1999 Web Edition. Available at <http://www.nara.gov/records/pubs/vital.html>.

Other NARA publications can be found at <http://www.nara.gov/publications/recsmgmt.html>

Society of American Archivists (SAA)

600 South Federal, Suite 504

Chicago, IL 60605

Phone: (312) 922-0140

Web site: <http://www.archivists.org>

SAA publishes The American Archivist. A catalog is available at <http://www.archivists.org/catalog/catalog/index.html>.

Appendix D: RECORDS INVENTORY WORKSHEET

City, Town, etc. _____ Number _____

1. Dept. _____ Division _____ Section _____

2. Name and title of officer immediately responsible for series _____

3. Records series title _____ 4. Series number _____

5. Description of records series (content, purpose, by whom created, form numbers, etc.) _____

6. Earliest date/Latest date _____ 7. Records still being created? ☐ Yes ☐ No

8. Annual accumulation: _____ cubic feet

9. Arrangement: Alphabetic by _____ Numeric by _____ Other _____

10. Reference frequency (check, insert number, circle appropriate words)
☐ _____ times daily, weekly, monthly, annually for _____ months, years.
☐ Never after _____

11. If there are other copies of these records, including microfilm, identify them. _____

12. Relationship to other records series (indexed, summarized, listed, etc.) _____

13. Location of records (building, room, file section, etc.) _____ 14. Volume _____ cubic feet

15. Size and format of record _____

16. Type and quantity of file equipment occupied _____

17. Statutory or state archival requirements for retention _____

18. Suggested retention period with justification _____

19. Additional comments _____

20. Inventory taken by/date _____ 21. Reviewed by/date _____

22. Appraisal ☐ confirms suggested retention period, or ☐ substitutes following: _____

23. Dept. head and date _____ 24. Records officer and date _____

25. Other local authority and date _____

26. State archivist and date _____

From H.G. Jones, *Local Government Records: An Introduction* (Nashville: American Association for State and Local History, 1979) as it appeared in *Managing Records on Limited Resources - A Guide for Local Governments*, Stephen E. Haller, CRM, issued by NAGARA (November 1991). Local officials are welcome to reproduce this worksheet. This constitutes formal permission from author and publisher for its reproduction, with proper acknowledgment to source.

Appendix E: RECORDS DISPOSITION REQUEST AND AUTHORIZATION FORM

Name of person requesting disposition authority _____

Title _____

Action requested: ☐ One-time records disposition authority

☐ Continuous records disposition authority based upon retention schedule

☐ Other disposition authority (explain) _____

For one-time authority, describe records: _____

Record Group and Series Title _____

Date span of records _____ Volume _____

Proposed disposition (cite pertinent guidance in MTAS Retention Schedule) _____

Signature of person making request _____

☐ Approved

☐ Not approved

Chairperson of Records Commission or
official with authority for records disposition

Date

NAME OF RECORDS _____		
KIND OF COPY	☐ Original	☐ Duplicate
	☐ Combination	
INCLUSIVE DATES _____		
INCLUSIVE NUMBERS _____		
DEPARTMENT AND/OR SECTION _____		
LOCATION _____		
METHOD OF DISPOSAL _____		
AUTHORIZATION: _____		
(Signatures)		
MAYOR _____	DATE _____	
CITY ATTORNEY _____	DATE _____	
DEPT. HEAD _____	DATE _____	
RECORDS RETENTION _____	DATE _____	
DISPOSED BY _____		
DATE _____		
WITNESSED BY _____		
DATE _____		

Original (White) to City Recorder; Canary to Records Management; Pink to Disposing Office.