A Guide to Records Management for Tennessee Municipalities

Amy Snider McCabe

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A GUIDE TO RECORDS MANAGEMENT FOR TENNESSEE MUNICIPALITIES

AMY SNIDER McCABE

Compiled by
MUNICIPAL TECHNICAL ADVISORY SERVICE
of The University of Tennessee
in cooperation with The Tennessee Municipal League

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A GUIDE TO RECORDS MANAGEMENT
FOR
TENNESSEE MUNICIPALITIES

Compiled by
Amy Snider McCabe
MTAS Intern

Published by the
MUNICIPAL TECHNICAL ADVISORY SERVICE
The University of Tennessee
in cooperation with the
TENNESSEE MUNICIPAL LEAGUE

March 1985

$20.00 per copy
Dear Municipal Official:

Without records, a local government simply could not operate. Every record—a form, letter, contract, or cash journal—exists as part of an administrative operation of your office. These records are vital to the day-to-day work in any office.

Municipal documents must be stored properly for future utilization and be located easily when needed. This is what records management is all about, but it involves much more than basic filing. What records should be kept and for how long? Who makes the decision? These are some of the questions that must be answered in establishing a records management system.

This manual was designed for practical application in municipal offices. All the information and sample materials it contains will not be needed in every office. But we believe it easily can be adapted to solve most of the problems that will arise as a city attempts to set up a records management system or improve an existing one.

Special recognition is due the person who compiled this manual, Amy Snyder McCabe, a master's in public administration candidate at the University of Tennessee—Knoxville. She did much of the research as part of an internship with MTAS, and we are most appreciative of her efforts.

If you have questions as you review this manual, please contact an MTAS consultant for additional information.

Sincerely,

C. L. Overman
Executive Director

CLO:aal
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Major trends in modern government, including the broadening scope of services it provides, have forced administrators to recognize the need for a sound records management program.

The federal government responded by creating the National Archives and Records Service in 1937, which centers its activities around records control. With increased frequency, a new term, "records manager," was being used.

Progress at the state level, however, did not match that made at the federal level. While many larger cities took the initiative to develop their own programs, a great majority of the political subdivisions in the United States today -- counties, towns, cities, special districts, etc. -- remain without a clearly defined records management program.

While it is recognized that specific needs for records management programs are unique to each city or town in Tennessee, this manual outlines major elements of good records management that are applicable to municipalities.
LEGAL RECORD KEEPING AND RETENTION

Retention

An accumulation of masses of records in the operating area of the office not only reduces efficiency, but also decreases the integrity of the filing system. Therefore, a comprehensive program for the transfer and/or disposal of noncurrent records must be established.

The creation of a clearly defined retention schedule will enable the records manager to regularly purge the office area of non-vital records. Below are a few guidelines that should be adhered to when creating a retention schedule:

1. Identify and preserve the permanent and vital records;
2. Schedule all records for orderly and regular removal from active files to inactive storage;
3. Arrange for the efficient and economical storage of inactive records;
4. Dispose of obsolete and useless records in accordance with statutory authority.

One of the most important aspects of any records management program is the designation of a records manager or supervisor who has the authority to make decisions regarding records retention. Although state and federal retention rules and regulations must be followed, an organization chart as well as a current list of agency procedures will aid the administrator in decision-making.

The first step in establishing a records scheduling and disposition program is to inventory all records -- what records are present, where they are located, how many copies, etc. The inventory should include every type of record -- files, forms, correspondence, computer print-outs, etc. -- created in all departments of the office. Records inventory worksheets, such as the examples found on the following pages, assist in the gathering of data.

After the physical inventory is taken, the records should be reviewed for immediate and future usefulness, as well as archival value. Only records which will be referred to frequently, for the following purposes, should be retained in the operating office:

1. **Administrative Value**

   These are records necessary for the performance of current or future work; they establish policy or document operations.
2. **Fiscal Value**

These pertain to the receipt, transfer, payment, adjustment, or encumbrance of funds. Fiscal policy records usually have long term value that varies according to law. The value of fiscal transaction records decreases rapidly after audit.

3. **Legal Value**

These contain evidence of a legally enforceable right or of an obligation of a municipality or its citizens.

4. **Research Value**

These contain documentation of a municipal government's organization, policies, procedures, and operations. This is the most difficult appraisal criterion, requiring a careful analysis of the records as they relate to the community's history.

The actual setting of the retention schedule involves communication among those persons who use the records as well as the head of the agency and the records manager. A Records Disposition Authorization (RDA) should be initiated to document each record as it is processed. A sample of an RDA and a guide for determining retention periods follows; schedules were developed by Tennessee's Records Management Division and approved by the Public Records Commission to provide assistance to state agencies. A permanent list of all records should be kept, noting the date and site of disposition. Terminology should be clear and concise, so that the schedules are understood readily by the entire staff.

Once implementation of the schedule begins, it is essential that a current, up-to-date copy always be available and that the process is continual; the system will be useless if it is initiated, then abandoned.
## Records Inventory Worksheet

<p>| | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1. Department</strong></td>
<td>Division</td>
<td><strong>Section</strong></td>
</tr>
<tr>
<td><strong>2. Name and title of officer immediately responsible for series</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>3. Records series title</strong></td>
<td></td>
<td><strong>4. Series number</strong></td>
</tr>
<tr>
<td><strong>5. Description of records series (content, purpose, by whom created, form numbers, etc.)</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>6. Earliest date/Latest date</strong></td>
<td><strong>7. Records still being created?</strong></td>
<td><strong>8. Annual accumulation</strong></td>
</tr>
<tr>
<td></td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td><strong>9. Arrangement</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Alphabetical</td>
<td>Numeric</td>
<td>Other</td>
</tr>
<tr>
<td><strong>10. Reference frequency (check, insert number, circle appropriate word)</strong></td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>Times daily, weekly, monthly, annually for ___ months, years</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Never after</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>11. If there are other copies of these records, including microfilm, identify them</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>12. Relationship to other records series (indexed, summarized, listed, etc.)</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>13. Location of records (building, room, file section, etc.)</strong></td>
<td><strong>14. Volume</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td>cubic feet</td>
<td></td>
</tr>
<tr>
<td><strong>15. Size and format of record</strong></td>
<td></td>
<td><strong>16. Type and quantity of file equipment occupied</strong></td>
</tr>
<tr>
<td><strong>17. Statutory or state archival requirements for retention</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>18. Suggested retention period with justification</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>19. Additional comments</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>20. Inventory taken by and date</strong></td>
<td><strong>21. Reviewed by and date</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>22. Appraisal</strong></td>
<td>[ ] confirms suggested retention period or [ ] substitutes following:</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>23. Department head and date</strong></td>
<td><strong>24. Records Officer and date</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>25. Other local authority and date</strong></td>
<td><strong>26. State Archivist and date</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

---

Fig. 9. From H. G. Jones, *Local Government Records: An Introduction* (Nashville: American Association for State and Local History, 1979). Local officials are welcome to reproduce this worksheet. This constitutes formal permission from author and publisher for its reproduction, with proper acknowledgment to source.
**RECORDS INVENTORY WORKSHEET**

| 1. Agency | Department of Finance and Administration |
| 2. Division | Information Systems Services Division |
| 3. Section | Administrative |
| 4. Location of Records | 326 Andrew Jackson State Office Building |
| 5. Records Series Title | Attendance and Leave Record (1st & 2d Pay Period Copies) |

**Description of Records**

Files consist of Attendance and Leave Records (1st and 2d Pay Period Copies). Separate files are maintained for each pay period after copies are returned from Payroll Section, Division of Accounts. PNF 213 (fourpart form) Sample attached.

| 8. Beginning Date | March 1975 |
| 9. Ending Date | Continuing |
| 10. Volume (cubic feet) | Approximately 5 cubic feet per year |
| 11. Size of Records | 8½ x 11 |
| 12. Arrangement of Records | |
| □ Alphabetic By: | □ Other |
| □ Numerical By: | Position Number |

**13. Are there other copies of this record elsewhere? If yes, give location**

☑ Yes Original filed in this office

☐ No Agency Copy: Retained by timekeeper and either given to employee or filed in an Informational Personnel Folder.

**14. Relationship to Other Record Series**

None

**15. Suggested Retention Period**

Destroy after three months.

**16. Inventoried by:** Jane Doe

**17. Date:** March 12, 1977
RECORDS DISPOSITION AUTHORIZATION

1. Requesting Agency

2. Records Officer or person to instruct:

3. Signature of Departmental Records C custodian

4. Signature of Departmental Agency Head

5. Record Series Title

6. Description of Records (attach samples of record series)

7. Function of office in which record series is maintained:

8. Location of records:

9. Container

10. Volume (cubic feet)

11. STATUTORY RETENTION

12. DESCRIPTION

13. Other agencies having copies (include address):

14. Action

15. Recommended disposal and disposal method:

16. FOR PUBLIC RECORDS COMMISSION USE ONLY

<table>
<thead>
<tr>
<th>RDA Number</th>
<th>Date Approved</th>
<th>Chairmen (Signature)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Member (Signature)</th>
<th>Member (Signature)</th>
<th>Member (Signature)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

To provide cash flow management and investment management of all state funds not needed for immediate disbursement.

986 Capitol Hill Building

5-drawer File Cabinets

6 cubic feet per year

Division of Accounts, Department of Finance and Administration, Also Banks.

☑ CONTINUING AUTHORITY: Records will continue to accumulate.
☑ ONE TIME DISPOSAL of present records; no further accumulation anticipated.

DESTROY AFTER 6 YEARS AND AUDIT

Maintain by fiscal year. Terminate files at the end of each fiscal year, hold in current files until completion of audit, then transfer to State Records Center for the balance of the retention period and destroy.

4 Enclosure:
# GUIDE FOR DETERMINING RETENTION PERIODS

## RECORD TITLE

### FINANCE & ADMINISTRATION

<table>
<thead>
<tr>
<th>Record Title</th>
<th>Retention Period</th>
</tr>
</thead>
<tbody>
<tr>
<td>Accounts Receivable</td>
<td>3–6 years after audit</td>
</tr>
<tr>
<td>Accounts Payable</td>
<td>3–6 years after audit</td>
</tr>
<tr>
<td>Administration</td>
<td>1 year</td>
</tr>
<tr>
<td>Office Administrative Files</td>
<td>2 years</td>
</tr>
<tr>
<td>Budget and Program Administrative Files</td>
<td>2 years</td>
</tr>
<tr>
<td>Forms Management Administrative Files</td>
<td>2–5 years</td>
</tr>
</tbody>
</table>

Office Administrative Files (Includes letters, memorandums, and other documents relating to the general administration of finance and administration. Documents and specific correspondence should be filed with and disposed of according to the retention period of the functional file)

- Allotments: 3–6 years after audit
- Annual Reports: Permanent
- Audit Reports:
  - Office Performing Audit: 3–6 years after audit
  - Office Audited: 3 years
- Budgets:
  - Office of Record: 6 years after execution
  - Preparing Offices: 3 years
- Certificates of Deposit: 6 years and audit
- Checks, Warrants: 6 years and audit
- Correspondence (Identify functionally or subjectively, for example: "Information Administrative Files, Accounting Administrative Files, Food Stamps Correspondence Files, etc." "General, Miscellaneous, and Routine" will not be used for identification of correspondence):
  - Insurance Policies: 3 years after expiration
  - Invoices, Bills: 3–6 years
  - Investment Journals: Permanent
  - Journals: 3–6 years and audit
<table>
<thead>
<tr>
<th>RECORD TITLE</th>
<th>RETENTION PERIOD</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>FINANCE &amp; ADMINISTRATION</strong> (continued)</td>
<td></td>
</tr>
<tr>
<td>Leases</td>
<td>6 years after termination</td>
</tr>
<tr>
<td>Ledgers</td>
<td>3–6 years</td>
</tr>
<tr>
<td>Licenses</td>
<td>6 years after expiration</td>
</tr>
<tr>
<td>Minutes of Boards and Committees</td>
<td>Permanent</td>
</tr>
<tr>
<td>Office of Record</td>
<td>Destroy when no longer needed for reference</td>
</tr>
<tr>
<td>Other Copies</td>
<td>Permanent</td>
</tr>
<tr>
<td>Mortgages</td>
<td></td>
</tr>
<tr>
<td><strong>PERSONNEL AND PAYROLL</strong></td>
<td></td>
</tr>
<tr>
<td>Accident Reports</td>
<td>Permanent</td>
</tr>
<tr>
<td>Personnel Folders</td>
<td>50–75 years after termination or permanent</td>
</tr>
<tr>
<td>(includes all papers on individual personnel)</td>
<td>3–6 years after termination of employment</td>
</tr>
<tr>
<td>Department of Personnel</td>
<td>Permanent or 50–75 years after termination of employment</td>
</tr>
<tr>
<td>Other Offices</td>
<td>6–10 years</td>
</tr>
<tr>
<td>Retirement Records</td>
<td></td>
</tr>
<tr>
<td>Payroll and Supporting Documents</td>
<td></td>
</tr>
<tr>
<td><strong>PURCHASING</strong></td>
<td></td>
</tr>
<tr>
<td>Purchase Order, Requisitions and related papers</td>
<td>3–6 years after final payment</td>
</tr>
<tr>
<td>Office of Record</td>
<td>1–3 years and audit</td>
</tr>
<tr>
<td>Other Offices</td>
<td>6–10 years</td>
</tr>
<tr>
<td>Contracts</td>
<td></td>
</tr>
<tr>
<td><strong>TRANSPORTATION AND TRAFFIC</strong></td>
<td></td>
</tr>
<tr>
<td>Bills of Lading</td>
<td>6 years</td>
</tr>
<tr>
<td>Claims</td>
<td>6–10 years after settlement</td>
</tr>
<tr>
<td>Freight Bills</td>
<td>3–6 years</td>
</tr>
<tr>
<td>Travel Authorization</td>
<td>3–6 years and audit</td>
</tr>
<tr>
<td>Office of Record</td>
<td>1 year</td>
</tr>
<tr>
<td>Preparing Office</td>
<td>1 year</td>
</tr>
<tr>
<td>Working Papers (Identify functionally)</td>
<td></td>
</tr>
</tbody>
</table>
Legal Provisions

Records managers in Tennessee are guided by the Federal Register, a publication offered by the National Archives and Records Services. The Register is a summary of federal records retention requirements and is useful for municipalities receiving federal aid. Such aid, whether in the form of a grant or loan, often has stipulations regarding records retention, usually a seven-year retention period after the completion of the grant. If questions arise, reference should be made to the Register or directly to the federal agency in question.

State laws in Tennessee regarding records management focus upon the creation of a Public Records Commission and individual county public records commissions; municipalities should bear in mind that the Statute of Limitations in Tennessee is six years and may be used as a general guide to retention of records.

Tennessee's Public Records Commission was created in 1957, by the 80th General Assembly, to initiate, through the Records Management Division of the Department of General Services, any action necessary to accomplish more efficient records management control in state agencies (by Tennessee Code Annotated definition, municipalities are perceived as agencies). The Commissioner of General Services is the administrative officer of the Commission and acts on its behalf to direct agencies in records retention.

Formerly under the jurisdiction of the Division of Finance and Administration, the Records Management Division was transferred to the Department of General Services in 1981. Acting as the primary records management agency for state government, the Records Management Division cooperates with other agencies in the creation of records, forms, disposition procedures, etc., which will eventually be subject to retention and/or disposition scheduling.

According to state law, each agency (municipality) must designate a records officer, at the administrative level, to carry out the procedures described in T.C.A. If, at the end of a series' retention schedule, a municipal records officer feels that the records may have historical value, the records need to come before the Commission, which, in turn, may transfer the records to the State Librarian and Archivist for 90-day review.

In T.C.A. 10-7-401, the law has allowed for the creation of a county public records commission, which is authorized to review public records for retention or disposal. The County Commission usually includes as its members: a county commissioner, a county judge, the register of deeds, an historian, a genealogist, and the county law director. T.C.A. 10-7-405, 407 provides that the county records commission cannot destroy any municipal records without the consent of the municipality. The statute further stipulates that municipalities must pay the cost of storage and reproduction of all retained materials.
The Tennessee Code has been amended nearly every year, yet an exact understanding of records management and how it relates to municipal government, counties, and the state remains unclear. The T.C.A. sections pertaining to records management have been cited in Appendix A.

In addition, the Comptroller's Office has set forth guidelines for Tennessee municipalities (see Appendix B); these procedures call for the creation of a records committee, which has the responsibility for inventory and appraisal of records. Suggested retention schedules are included in the Comptroller's manual, which should be noted by city recorders and finance officers. Although needs will vary from city to city, these generic guidelines will be useful in the administration of city records.
Suggested Filing System

The recommendations contained in this model are based on an actual study done for the city manager of a medium-sized Tennessee municipality. They will not fit exactly the needs of every other city, but the principles can be adapted easily to individual requirements.

The average small city executive, for whom this report is written, is unlikely to have a centralized filing system and a staff to maintain it. Department heads probably keep files of correspondence, reports, and reference materials pertinent to their functions. Therefore, the mayor and/or administrator needs only materials most useful in that job, plus reports from department heads and copies of their major correspondence. Also helpful would be a "reading file" -- a file, by date, of all outgoing correspondence, placed in a single clamp-down folder for quick reference.

The proposed filing system is first divided into major functional or departmental groups, next by minor functions or activities, and, finally, by individual subjects. The first two breakdowns are identified by guide cards, and the third by alphabetically-arranged file folders containing the actual correspondence, reports, or reference materials.

This model is limited to the file folders in the city manager's office. No attempt was made to incorporate titles of files maintained in the various departments. However, the proposed filing system is flexible and can readily be expanded, as the executive's needs require.

Explanation of Proposed Filing System

The system outlined in this model is essentially a change from an alphabetical arrangement of file titles to one based on functions or agencies. The straight alphabetical system has several major drawbacks: (1) it is hard to keep titles consistent when filing material for the same subject at different times -- for example, you may have files labeled "By-Pass (Major)" and "Major By-Pass," which are half an alphabet apart; and (2) files related to the same general function might not be grouped together, as "Landfill" and "Solid Waste," or "City Court" and "Special City Judge." The functional classification generally would overcome these difficulties.

Preparing File Materials

The proposed system calls for major and minor guide cards, file folders, flash cards, and cross-reference cards.
Guide Cards are basic to filing and then finding records in the file. In addition, they support folders so that they will remain upright in the drawers. In the filing system they show divisions and subdivisions and serve as an aid in finding frequently use records:

<table>
<thead>
<tr>
<th>Major Functional Title</th>
<th>First Position Tab</th>
</tr>
</thead>
<tbody>
<tr>
<td>Minor Functional Title</td>
<td>Second Position Tab</td>
</tr>
<tr>
<td>Flash Card</td>
<td>Fifth Position Tab</td>
</tr>
</tbody>
</table>

The guide cards appear in the file in the following manner:

The number of first and second position guide cards can be determined by counting the major and minor functional headings listed in the filing system outline after it has been adapted to local needs.

File Folders made of heavy kraft paper are recommended. They should have a reinforced top edge to give added strength at points of greatest wear and should be triple scored (lightly creased) parallel to the fold to permit expansion of the folder to approximately one-half inch in thickness (plastic folders also are available, but are more expensive).

The folder tab (the projection at the top used for labeling) should be about twice the width of a guide card tab and in a position immediately to the right of the second position guide card tab (usually described as a two-fifths cut tab in the third and fourth positions). The diagram below shows how the folder tabs appear in the filing drawers, unobstructed by the guide card tabs:

The Flash Card is a fifth position guide card designating a record which has frequent use. It serves as a flag directing attention to the record so it can be found more quickly. Its tab would carry the name of the folder or
minor functional title. It's use should be restricted to records that are important and may have to be located with a minimum of delay. The more flash tabs you use, the less effective each becomes.

Cross-Reference Cards. Half-folders are used for cross reference purposes. If these are not available from your stationary store, cut regular file folders along the fold and use the half with the raised tab. This card merely serves to indicate records filed elsewhere in the active files or in a specific section of "inactive" or "dead" files. Example of a cross-reference card:

<table>
<thead>
<tr>
<th>Landfill-Diesel Fuel Allocations</th>
</tr>
</thead>
<tbody>
<tr>
<td>See: J. Public Works</td>
</tr>
<tr>
<td>50. Energy Conservation - Fuel Allocations</td>
</tr>
</tbody>
</table>

Cross-reference cards are inserted in the files at the appropriate locations, just as a folder would be. The more familiar personnel are with the filing system, the fewer cross-reference cards will be needed.

Out Card. This is another finding aid, with a tab in the fifth (far right) position. Place it in the file when a folder is loaned to or borrowed by another person or department. Similar to a cross-reference card in size, it has "Out" printed on the tab, room to write the name of the missing file, and space below for borrowers to write in their name, department, date taken, and date returned. It looks something like this:

<table>
<thead>
<tr>
<th>OUT.</th>
</tr>
</thead>
<tbody>
<tr>
<td>File Name:</td>
</tr>
<tr>
<td>--------</td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
</tbody>
</table>

Installing the System

It would be difficult to describe in words how to implement the filing system recommended in this model. Instead, the actual material (slightly edited) furnished to a city making the change is reproduced in four exhibits. Another city may not need or want all the suggested file headings, but the listings will give executives an idea of how the conversions were made. They also may suggest some headings that might otherwise be overlooked.
EXHIBIT I

These pages list suggested major functional titles for the first position guide cards, and the minor function or activity titles for the second position guide cards. The second position guide cards generally are filed alphabetically by subject title. Each card takes up space equivalent to a fifth-cut file folder.
EXHIBIT I: FIRST AND SECOND POSITION GUIDE CARDS

A. GENERAL GOVERNMENT
   10. Activity Reports
   20. Annexation
   30. City Commission
   40. Correspondence
   50. Elections and Referenda
   60. Incorporation & City History
   70. Ordinances, Resolutions, Proclamations
   80. Organization
   90. Public Information (or Public Relations)
   100. General Government - Miscellaneous

B. Audits & Financial Reports
   10. Audits & Financial Reports
   20. Bond Issues
   30. Budget, Operating
   40. Grants & Loans
   50. Insurance
   60. Purchasing
   70. Revenues
   80. Finances - Miscellaneous

C. LICENSES, FRANCHISES, CODES
   10. Alcoholic Beverages
   20. Codes Administration
   30. Licenses & Franchises - Other

D. PERSONNEL
   10. Bonds, Surety
   20. Employee Relations
   30. Retirement
   40. Safety
   50. Salaries; Job Classification
   60. Personnel - Miscellaneous

E. PLANNING: INDUSTRIAL DEVELOPMENT
   10. Budget, Capital
   20. Industrial Development
   30. Planning Commission
   40. Planning Data & Studies
   50. Subdivisions
   60. Zoning

F. COURTS & LEGAL
   10. Agreements
   20. City Court
   30. Contracts
   40. Deeds
   50. Litigations
   60. Courts & Legal - Miscellaneous
G. HEALTH & EDUCATION
   10. Education
   20. Health
   30. Health & Education - Miscellaneous

H. PARKS & RECREATION
   10. Parks & Recreation Board
   20. Parks
   30. Recreation
   40. Projects

I. PUBLIC SAFETY
   10. Civil Defense
   20. Fire
   30. Police
   40. Projects

J. PUBLIC WORKS
   10. Airports & Aviation
   20. Animal Control
   30. Architects; Consulting Engineers
   40. Buildings & Miscellaneous Equipment
   50. Energy Conservation
   60. Floods, Storm Drainage
   70. Housing & Urban Development
   80. Sewers, Sanitary
   90. Solid Waste
   100. Street Lights
   110. Streets & Bridges
   120. Water & Sewer Studies (Water Quality)
   130. Public Works - Miscellaneous
   140. Projects

K. UTILITIES
   10. Utility Districts
   20. Other Public Utilities
   30. Projects

L. BUSINESS & ORGANIZATIONS
   10. Businesses & Organizations
   20. Charities
   30. Community Organizations
   40. Magazines & Newsletters
   50. Professional & Governmental Organizations

M. LOCAL GOVERNMENTS: REGIONAL AGENCIES
   10. (Name) Development District (COG)
   20. (Name) County
   30. Other Local Governments & Regional Agencies
N. STATE & FEDERAL GOVERNMENTS
10. Federal Government
20. State of Tennessee
30. University of Tennessee
EXHIBIT II

This is the heart of the model. While Exhibit I shows the system in skeleton form, Exhibit II fills out the skeleton by adding proposed file folder titles. It demonstrates how an existing system is adapted to the one recommended for this system.

In preparing for the action represented by Exhibit II, it is necessary to be aware of all folder titles in your existing files. If there are many folders, as was the case of this example, a written or typed list should be prepared of all folder titles. If a title does not clearly indicate the contents of the folder, a better one should be selected.

Next the titles should be assigned to the major and minor functional headings given in Exhibit I. Mark the letter and number symbols next to each folder title on the list or actually cut apart the title list and manually sort the titles. When these steps have been completed, you are ready for Exhibit II.

The middle column of Exhibit II lists file folder titles suggested for the new system. Old titles may be retained or new ones selected. A title preceded by a number sign (#) means it is a new title, covering the subject matter of several existing folders or rephrasing a single file's title. File folders for titles preceded by an asterisk (*) should be placed in either "Inactive or Dead" files. The "Inactive" files might be put in the lower file drawers, where they can be referred to occasionally. "Dead" files should be placed in labeled boxes and moved to a suitable storage area. Titles without an asterisk or number sign are existing titles that should be absorbed into the new system.

"Projects" are considered to be capital improvements, construction of new facilities, and major engineering jobs. Their folder titles should identify them.

The column "use flash tab" refers to the occasional fifth position guide cards which signal the location of frequently used files or files that might be needed in an emergency. Experience in using the system will determine what other flash tabs may be needed.

For ease in refiling, it is suggested that a separate color code be used for each major functional division (such as "Finance" or "Public Works") and that the respective first position guide card, all second position guide cards and all file folders in that same major functional division use the same color. Gummed or adhesive file labels are readily available in office supply stores. For the 14 functions in Exhibit I a combination of solid-color labels and white labels with colored bars would have to be use.

Although the color would assure identifying the major function for the refiling of folders, additional identification is needed to be sure that a folder is returned to the proper second position guide card group. The author suggests that the code number for each guide card group be written on the file
folder below the file label. Thus, below the label entitled "Oath of Office" would be written D-60, meaning that the first position guide card "Personnel" and the second position guide card "Personnel - Miscellaneous." Each guide card (or its label) should also bear its code number (such as "D" for "Personnel" and "D-60" for "Personnel - Miscellaneous"). All cross-reference cards, regardless of function, would use a specific color and all flash tabs also would use a distinctive color.
## EXHIBIT II: COMBINING SYSTEMS

(Not a Complete Listing)

<table>
<thead>
<tr>
<th>1st Position Guide Card</th>
<th>2nd Position Guide Card</th>
<th>File Folder Title</th>
<th>Use Flash Tab</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>A. GENERAL GOVERNMENT</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>10. Activity Reports</td>
<td></td>
<td>Animal Control Report, Codes Department, Police Department, Public Works Dept., Sanitation Department</td>
<td></td>
<td>Retain current reports only</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Heights Annexation, *Hills Annexation</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Reply to Petition for Certiorari Brief</td>
<td></td>
<td></td>
</tr>
<tr>
<td>30. City Commission</td>
<td></td>
<td>Commission Meetings</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Petitions, Public Hearings, Public Notices</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

* Consider filing in "Inactive" or "Dead" files.  
# Suggested new file folder title.
<table>
<thead>
<tr>
<th>1st Position Guide Card</th>
<th>2nd Position Guide Card</th>
<th>File Folder Title</th>
<th>Use Flash Tab</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>1st Position Guide Card</td>
<td>2nd Position Guide Card</td>
<td>File Folder Title</td>
<td>Use Flash Tab</td>
<td>Comments</td>
</tr>
<tr>
<td>40. Correspondence</td>
<td></td>
<td>#Correspondence, chronological</td>
<td>X</td>
<td>Copies of all outgoing correspondence from manager to persons outside city government, arranged by date -- The &quot;Reading file.&quot;</td>
</tr>
<tr>
<td>50. Elections and Referenda</td>
<td>#Election, (date)</td>
<td>#Referendum, Form of Government Voter Information</td>
<td></td>
<td></td>
</tr>
<tr>
<td>60. Incorporation &amp; City History</td>
<td>City Incorporation Petition</td>
<td>#City History</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>City Seal Incorporation,(date) Photographs</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>70. Ordinances, Resolutions &amp; Proclamations</td>
<td>#Ordinances</td>
<td>#Ordinances - Sample</td>
<td></td>
<td>Was &quot;Sample Ordinances (copies)&quot;</td>
</tr>
<tr>
<td></td>
<td>#Resolutions</td>
<td></td>
<td></td>
<td>Was &quot;Resolutions - Proposed&quot;</td>
</tr>
<tr>
<td>1st Position Guide Card</td>
<td>2nd Position Guide Card</td>
<td>File Folder Title</td>
<td>Use Flash Tab</td>
<td>Comments</td>
</tr>
<tr>
<td>-------------------------</td>
<td>-------------------------</td>
<td>-------------------</td>
<td>---------------</td>
<td>----------</td>
</tr>
<tr>
<td>80. Organizations</td>
<td>Boards &amp; Commissions</td>
<td>#Forms of Municipal Government</td>
<td></td>
<td>Combines &quot;City Government&quot; &amp; &quot;Municipal Government Research&quot; folders</td>
</tr>
<tr>
<td>90. Public Information</td>
<td>News Releases</td>
<td>Newsletters</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Public Opinion</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Survey</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Public Relations</td>
<td></td>
<td></td>
</tr>
<tr>
<td>100. General Government</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>- Miscel.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>B. FINANCE</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>10. Audits &amp; Financial</td>
<td>#Audit Contract Forms</td>
<td>#Audit (FY 1975)</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>*Bank Statements</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>1968-69</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>#Financial Reports, Annual-Budget (FY 19__)</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>#Financial Reports, Monthly (FY__)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>20. Bond Issues</td>
<td>Bond Referendum,</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>(date)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>30. Budget, Operating</td>
<td>#Budget (FY 1975-76)</td>
<td></td>
<td>X</td>
<td></td>
</tr>
<tr>
<td></td>
<td>*Budget (FY 1974-75)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
(Not a Complete Listing)

<table>
<thead>
<tr>
<th>1st Position Guide Card</th>
<th>2nd Position Guide Card</th>
<th>File Folder Title</th>
<th>Use Flash Tab</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>40. Grants &amp; Loans</td>
<td>Community Development Block Grants</td>
<td>#Urban Highway System</td>
<td></td>
<td>Combines &quot;Federal Aid-Urban&quot; and &quot;Streets-Federal Aid&quot;</td>
</tr>
<tr>
<td>50. Insurance</td>
<td>#Claims, Insurance</td>
<td></td>
<td></td>
<td>Was &quot;Insurance Claims&quot; &amp; &quot;Liability Claims&quot;</td>
</tr>
<tr>
<td>60. Purchasing</td>
<td>#Bid Compilations</td>
<td></td>
<td></td>
<td>If City Recorder serves as Purchasing Director, all purchasing material should be in that office. For information purposes, manager might want to keep copies of specifications, current invitations to bid, bid compilations, and inventory lists.</td>
</tr>
<tr>
<td></td>
<td>#Bid Invitations</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>#Inventory Lists</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>#Specifications</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>70. Revenues</td>
<td>#Beer Tax, 17% Wholesale</td>
<td></td>
<td></td>
<td>Was &quot;Revenues, Beer&quot;</td>
</tr>
<tr>
<td></td>
<td>#Business Tax</td>
<td></td>
<td></td>
<td>Was &quot;Acts, Business Tax&quot;</td>
</tr>
<tr>
<td>80. Finance - Miscel.</td>
<td>*Assessment</td>
<td></td>
<td></td>
<td>Contained only old 1973 memo</td>
</tr>
</tbody>
</table>
EXHIBIT III

This exhibit is self-explanatory. It consists of entries under two categories -- files that need further examination to identify their contents and thus determine their file locations, and files that probably should be discarded.

UNINDEXED FILES

Review These Files to Determine Location:

<table>
<thead>
<tr>
<th>Present File Title</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Charter Surrender</td>
<td>Was this referendum or just information on subject?</td>
</tr>
<tr>
<td>Insurance</td>
<td>Determine type of insurance and file in appropriate folder in B-50.</td>
</tr>
<tr>
<td>Memorandums</td>
<td>On various subjects</td>
</tr>
<tr>
<td>Miscellaneous Reports</td>
<td></td>
</tr>
</tbody>
</table>

These Files Probably Should Be Discarded:

| Accounts Payable         | Contains only 1974 report.                    |
| Liquor - Draft Ordinance | Discard unless current.                       |
EXHIBIT IV

This exhibit presents a partial list of cross-reference cards. These are placed alphabetically among the file folders behind the appropriate second position guide cards.

**EXAMPLES OF CROSS-REFERENCE CARDS**

<table>
<thead>
<tr>
<th>Cross-Reference Card after Guide Card</th>
<th>Information on Card Tab</th>
<th>Information on Body of Card</th>
</tr>
</thead>
<tbody>
<tr>
<td>B</td>
<td>Capital Budgets; Capital Improvement Priorities</td>
<td>See: E. Planning; Industrial Development 10. Budget, Capital</td>
</tr>
<tr>
<td>D</td>
<td>Insurance, Employee</td>
<td>See: B. Finance 50. Insurance</td>
</tr>
<tr>
<td>E</td>
<td>Housing</td>
<td>See: J. Public Works 70. Housing &amp; Urban Development</td>
</tr>
<tr>
<td>F</td>
<td>Affidavit of Publication</td>
<td>See: A. General Government 30. City Commission</td>
</tr>
<tr>
<td>F</td>
<td>Liability Claims</td>
<td>See: B. Finance 50. Insurance</td>
</tr>
</tbody>
</table>
ADDITIONAL COMMENTS

The "Inactive" file and "Dead" files should use the same filing system as the active files. Current guide cards and file folders could be re-labeled for use in the "Inactive" or "Dead" files to minimize the purchase of new cards and folders.

This proposed system is expandable. For example, if you need a file folder on "Gasoline Tax," it would be filed alphabetically after the B-70 guide card.

The guide cards that read "________ - Miscellaneous" are for accumulations of one-folder subjects. When the subject matter requires several folders, then a new second position guide card should be used.

Copies of all recent ordinances could be kept chronologically in A-70 or by functional or department group if frequently used. However, the executive's up-to-date copy of the city code should be his preferred subject reference.
The recorder is the custodian of the records of the city. This responsibility is often spelled out in the city charter, and is specifically mentioned in the Uniform City Manager-Commission Charter. Contracts, bonds, title deeds, certificates, oaths of office, financial records (unless there is a separate finance director), and other appropriate original papers are in the custody of the city recorder. The recorder is also custodian of the city seal and attests to the accuracy of copies of documents, and oversees storage of public records.

Municipalities are becoming aware of the need to adopt records management programs, and increasingly the city recorder is going to be involved in this function.

Minutes

It is generally the duty of the recorder personally, or by alternate, to take notes of the business transacted at each regular, adjourned, and special meeting of the City Council (City Commission, or Board of Mayor and Aldermen). These notes should include the names of the mayor and each councilmember attending, a summary of each topic discussed and action taken or agreed upon, and specifics of action on each ordinance or resolution: names of persons moving and seconding adoption, and names of persons voting for passage or against (or mention that passage was by unanimous vote). Some cities also like to make a tape recording to support the resume that becomes the Minutes. The recordings are often kept for a year to allow reference in case of disputes over exactly what was said, and then erased for future use.

As soon as practicable, the minutes of each meeting are typed and copies distributed to the mayor, councilmembers, and other officials, together with an agenda for the next meeting and other pertinent material.

At each meeting of the mayor and council, the minutes of the preceding meetings should be introduced for approval or correction, after which the city recorder shall arrange to have them typed into the permanent minute book, signed by the mayor and recorder, and indexed in the front or rear of the book. The texts of ordinances and resolutions should not be typed into the Minute Book, unless specifically so ordered by the mayor and council, as such practice inflates the volume of the minutes. An ordinance book and a resolution book are usually kept as adjuncts to the minute book.

Ordinances and Resolutions

The city attorney generally drafts all ordinances and resolutions, and should approve for legal form any ordinance which he/she has not drafted. All ordinances that amend the city's Code of Ordinances (and there are only a few that do not, such as an appropriation and tax levy ordinance or a building
code adopted by reference) should specifically state the chapters and sections amended, deleted, or added, so that the effect of the legislation can readily be seen.

Prior to introduction of an ordinance or resolution in a council meeting, the city recorder should be contacted for the next consecutive ordinance or resolution number. Thus, it will always be possible to identify the readings of an ordinance in the Minute Book.

Many cities identify their ordinances and resolutions by numbers that run consecutively from year to year, with a calendar year prefix in each case, such as 083 for ordinance and R83 for resolution. In the case of ordinances (which require two or three readings, depending upon the terms of the city's charter), the date of the first reading would determine the year prefix. For example, Ordinance No. 082-32 might have had its first reading on December 16, 1982, and its final reading on January 13, 1983. Resolutions require only one reading.

The city recorder could assign ordinance and resolution numbers by referring to a file or notebook which contains all prior numbers and entering the number, date of introduction, and subject of each new ordinance or resolution. If an ordinance or resolution fails to pass, its numbers would be reused, but a notation "failed to pass," "withdrawn," etc., entered in the notebook.

The dates of passage of a resolution and of readings of an ordinance should be entered at the end of each such document. After first reading, the original of an ordinance would be placed in a suspense file until the next meeting.

Upon passage of a resolution and final reading of an ordinance, the mayor should sign the document, attested by the signature of the city recorder. Then the city recorder files these documents in numerical sequence in his/her office.

Every city should have a municipal Code of Ordinances, kept up to date annually. Such a code arranges ordinances that are currently in effect according to major subject matter and makes it easy to determine exactly what the local law is at any time. Services are available in Tennessee which will codify a city's ordinance upon request, and, thereafter, if supplied with all new and amending ordinances, will provide annual updated supplements (MTAS provides such assistance).
THE PROCESS OF RECORDS MANAGEMENT

Goals Of Files Management

In an attempt to summarize the many objectives related to files management, first and foremost is cost. Files are expensive to create and to maintain, not only in materials, but also in labor hours lost in misplaced file retrieval. Another concern is having the right information at the right time and place.

How do responsible administrators achieve these goals? Primarily, it is recognizing the importance of a well-organized filing system and a willingness to implement the system. So many times, managers are afflicted with the "anyone can file" syndrome; this is not true. The manager must realize that it takes a very special person to organize many individual pieces into a cohesive whole and understand clearly the organization's purpose and operation. As in the case of a large number of smaller Tennessee municipalities, the city recorder performs countless functions not limited to his or her title. The need for a simple, well-constructed filing system is obvious.

Administrators also can reap the benefits of a good filing system by reducing the number of unnecessary forms used in the organization. It seems contradictory to use duplicate forms to accomplish similar purposes. Only by analyzing the present system will the manager be able to spot unneeded paperwork.

Here is a checklist that will aid in the forms review and cost reduction:

**IS THERE A REVIEW OF PROPOSED FORMS AND REVISIONS TO:**

<table>
<thead>
<tr>
<th></th>
<th>YES</th>
<th>NO</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Determine their necessity?</td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td>See if they would duplicate other forms?</td>
<td></td>
</tr>
<tr>
<td>3.</td>
<td>Determine need for interleaved carbons, carbonless paper, spot carbons?</td>
<td></td>
</tr>
<tr>
<td>4.</td>
<td>Examine proposed copy requirements &amp; distribution?</td>
<td></td>
</tr>
<tr>
<td>5.</td>
<td>See if size would permit use with standard equipment and supplies?</td>
<td></td>
</tr>
<tr>
<td>6.</td>
<td>Review need for all entry items?</td>
<td></td>
</tr>
<tr>
<td>7.</td>
<td>Determine paper stock most appropriate to use and life span?</td>
<td></td>
</tr>
<tr>
<td>8.</td>
<td>Check adequacy of design?</td>
<td></td>
</tr>
<tr>
<td>9.</td>
<td>Determine ultimate disposition?</td>
<td></td>
</tr>
<tr>
<td>10.</td>
<td>Determine possibility of replacement with standard or optional forms?</td>
<td></td>
</tr>
<tr>
<td>11.</td>
<td>Determine need for color controls?</td>
<td></td>
</tr>
</tbody>
</table>
The term "filing tools" refers to the numerous aids used in the filing process. Traditional filing tools are folders, guides, tabs, and labels, which make it possible to organize records systematically.

1. **FOLDERS** - Office paper records are usually stored in file folders, which are pieces of heavy paper, usually manila or kraft, folded in half so that part or all of the back is higher than the front. In their simplest sense, they are containers. Folders are sometimes reinforced across the top of the back edge to provide durability, since this is the point of frequent wear. Folders may have straight edges or come in different widths or "cuts." The average folder, designed to hold about 75 sheets of paper, should not be overcrowded. Overcrowding a folder can be prevented by "scoring" the bottom edge. Most folders have three scoring marks which allow considerable expansion. Once a folder is scored, the hazard of its bending and sliding under other folders is reduced.

Hanging and suspension folders prevent maximum utilization of filing cabinet space for storing document files. Suspension folders filled with additional standard folders could use more than 30% of the space in a file drawer before a single document is filed. These folders are an additional expense and slow removal for disposition. The exception is filing of bulky forms, i.e., computer printouts.

Folders with prong fasteners should be avoided. While these folders hold paper securely, regular folders do a satisfactory job. The fastener folders slow production considerably. Each folder must be retrieved and taken apart, then reassembled. In half the time these papers could have been filed in loose paper folders. In addition to having lower file efficiency, fastener folders are more expensive.
2. **GUIDES** - Guides are file drawer dividers that point the way to sections of the file being sought. They can be thought of as a signpost and are the key to efficient filing. Usually made from pressboard or filler (aluminum and plastic guides are available), their purpose is twofold. First, they divide a file into distinct labeled sections that permit quick and easy location of a specific record. Guides direct the eye to a desired section in the file drawer. Secondly, their sturdy construction supports the files and prevents sagging. For use in shelving, guides are available with wide tabs that can be read from either side.

![Primary Guides and Secondary Guides](image)

3. **TABS** - Tabs are projections on the top edge or side of a folder or guide. All folders and guides should have a tab. They provide a space for a label or caption. File content is listed on the tab. They come in a variety of materials. Tabs can be constructed of the same material as the folders or guides, of metal to give additional strength, or of transparent plastic which protects label printing.

Tabs can be straight, slanted, printed, or blank, depending on the needs of a particular filing operation or system. Folders are available with tabs of a various width or cut. Guides also have tabs in first, second, or third positions. Since most individuals perform operations from left to right, guide tabs should be positioned on the left while the folder tabs are positioned on the right. As the left hand searches for the guide, the right hand locates the desired folder.
4. **LABELS** - Labels provide identification for guides and folders. Attached to the tab of a guide of folder, labels identify the contents of the records. Guide labels identify the records in a specific section of the file. They usually consist of letters of the alphabet or a combination of letters and numbers. Guide labels denote where each section of the file begins and ends. The records filed after each guide are those beginning with the caption on the guide tab up to, but not including, the caption on the next guide tab. As the file expands, more specific guides can be added. Quick location and identification are the goals. Folder labels are usually gummed and attached to individual folders, giving the name of each folder. These labels come in various styles and may be purchased blank or with various markings already printed on them.

Label uniformity is important. One style label and one color type should be used. Handwritten labels are inefficient and should never be used. If a label is incorrectly typed, it is discarded and a new one typed. All labels should be typed from left edge with successive labels typed in the same position. All first words on a tab of like position will then form a straight line when placed in a file drawer, facilitating location of folders and permitting easier reading for file location.
File folder labels will bear the file title, year of file (when applicable), and disposition instructions for the file. When a file series consists of a number of folders identified by the same file title, only the label on the first folder of the series need show the file title, year, and disposition instructions. Labels on the other folders in the same series need show only a brief identification of the material in the folder and year of file.

<table>
<thead>
<tr>
<th>Inactive Capital Felony Appeal Files 1970</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Cut off CY, hold in CFA 1 year, transfer to Records Center, hold 4 years, then destroy.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Attorney General Opinion Correspondence 1970</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Cut off CY, hold in CFA 5 years, transfer to Archives for permanent retention.</td>
</tr>
</tbody>
</table>

5. **COLOR CODING** - Color coding has developed recently as a filing tool. Used with other filing aids, color coding enhances file identification and visually controls sections of the file. Colors can represent letters or numerals. The eye initially searches by color. When the correct color section has been found, a detailed search by name or number completes the filing action. An entire folder can be one color, or labels and tabs can be colored.

Color coding has certain advantages. Misfiles are reduced since one folder out of position will stand out from the others. Color coding reduces the tedious reading of names and numbers, reduces filing fatigue, and allows for quicker collating and sorting of files.

There are six basic types of filing arrangement which are designed to file and reference records in different ways: alphabetical, numeric, chronological, subject, geographic, and alpha-numeric. Each of these has advantages for certain types of records and reference needs and possesses distinct patterns of arrangement and indexing. The main criterion for selecting the file arrangement is how the files are to be referenced. The system should be selected which best facilitates that reference.

Once a filing arrangement is chosen, the following determination must be made to establish the files: 1) what the filing units are; 2) what the arrangement of filing units must be to create the system; 3) what information is placed on the guides; and 4) what information is placed on the folders.
1. **ALPHABETICAL FILE** - The most commonly used filing arrangement. It is in alphabetical order with a file guide for each letter of the alphabet. Each word, abbreviation, and initial is a separate filing unit determining filing order. (See Appendix D for Alphabetical Filing Rules). These are examples of filing units:

<table>
<thead>
<tr>
<th>Company</th>
<th>First Name</th>
<th>Middle Initial</th>
<th>Last Name</th>
<th>Company</th>
</tr>
</thead>
<tbody>
<tr>
<td>ADDO-X, Inc.</td>
<td>Albert</td>
<td>J.</td>
<td>Addon</td>
<td>Incorporated</td>
</tr>
<tr>
<td>American Evatype Corp.</td>
<td></td>
<td></td>
<td>Addon</td>
<td>American Evatype Corp.</td>
</tr>
<tr>
<td>API-Truisms, Inc.</td>
<td></td>
<td></td>
<td>API-Truisms</td>
<td>Incorporated</td>
</tr>
</tbody>
</table>

Behind each guide is a folder for each letter of the alphabet. As material is received, it is placed in the corresponding folder. When five or more pieces of material have been received of the same name, the material is pulled from the general letter folder and an individual folder is created for that name.

The alphabetical arrangement is commonly used for correspondence. Copies of the outgoing replies are filed with the inquiries. As the file grows and more individual folders are created, the file will eventually resemble a telephone directory. As long as the name is known, anyone can have direct access to the file without indexes. Retrieval and reference are rapid when all requests for information are made by name. Alphabetical filing systems are very flexible.
Cross-reference is required in an alphabetical file when the information can be asked for in more than one way, such as name of respondent and name of firm. A record should always be filed the way it will most often be requested. The cross-reference is accomplished by inserting a cross-reference guide or copy of the record into the second possible file location. If the documents are requested by the subject to which they relate, then perhaps a subject file rather than an alphabetical file is needed.

2. **SUBJECT FILE** - Records arranged according to their subject matter, with all the information about one topic filed in one folder. The grouping of related information gives the system its usefulness and creates its limitations.

This system is flexible; any number of subjects can be added. Each subject, however, must be specific and exclusive to assure the record is filed under the subject by which it will be referenced. The selection of subjects and classification of records in the system is critical in making subject files work. Subjects must be selected that reflect the way the records will be used. The records must be filed by an organized and consistent pattern so that anyone referencing the file will know which subjects to consult for needed material.

A record should be placed in the subject location by which it will most often be referenced. Alternative location(s) must then be cross-referenced to the record.

**DICTIONARY ORDER** - A subject file can be arranged in either a dictionary or encyclopedic order. The dictionary order, or topical file, has the subjects arranged alphabetically, very similar to the words in a dictionary. Every subject has its own folder. The larger subject files (more than a drawer or two) are better suited for an encyclopedic arrangement.
ENCYCLOPEDIC ORDER - Subjects classified into major headings. These headings are placed on guides, to the left; minor headings are placed on secondary guides, in the center; and the specific folder labels are to the right. Reference is like using an encyclopedia: look up the general subject, look for the specific topic, and then look for the desired information. When the encyclopedic arrangement is used, a relative index must be provided for larger files. This index lists the subjects in alphabetical order and gives their correct location within the file.

3. NUMERIC FILE - Records classified by number rather than name. Numeric files originate where the number is part of the record itself and where a number is added to facilitate processing and filing. When a number is part of a record, reference will often be by number. When numbers are added, reference usually will be by subject. Numeric files are divided into three basic types: serial number filing, digit filing, and numeric coding of subjects and names.
a. **SERIAL NUMBER FILING** - The system most often associated with numbers that are pre-printed on the original record. This is particularly true of fiscal records. As each new pre-numbered record is created, it is filed at the end of the record series. This system is easy to operate and works well when the record is referred to or asked for by its number.

![Diagram of Serial Number Filing]

b. **DIGIT FILING** - The best method for filing and referencing extremely large file series. A file which must be cut off each year would not be suited to digit filing since a minimum of 10,000 folders should exist prior to establishing a digit file. This type of file system should be considered when a previously assigned number is being used for identification, such as social security number, invoice number, or voucher number. It also facilitates space utilization.

c. **TERMINAL DIGIT FILING** - Requires that the number be broken into three groups of digits rather than using the entire number as a unit to establish the filing arrangement. In this system, the numbers are read from right to left.

d. **MIDDLE DIGIT FILING** - Filing as above, but uses the middle two digits as the primary numbers, the two digits to the left as the secondary, and the two digits on the right as the ternary.
e. NUMERIC SUBJECT FILE - Numbers assigned to replace the subject or name titles on the folders. Since labels do not disclose file contents, a certain amount of security is inherent in this system.

The file can only be referenced by use of an index. The index will contain all subjects with cross-reference, and numeric codes for the subjects and names. The maintenance of the index is, however, almost as much as maintaining the file itself.

Numeric filing has advantages in flexibility, expandability, security, and, since it contains an index, easy cross-referencing. Numeric system limitations center on access and references to the files, retrieval, disposal of older files, and difficulties in training personnel to operate the system.
4. **CHRONOLOGICAL FILE** - Arranged by date. Each folder is usually labeled for a specific day. Such an arrangement has limited use, with only two generally accepted applications: suspense files and chronological transaction files.

Suspense files, or tickler files, are the most common application of the chronological file. The folders are labeled for each day of the month. As records are received which require action in the future, the record is filed in the folder with the date action is due. The suspense file is checked each morning to "tickle" the memory. Since the records are then removed for action, no records accumulate in the file, and the same folders are utilized again each month.

The other type of chronological arrangement is the transaction file. It is rare and specialized. The records are organized by date of transaction. Its most practical use is for documenting transactions that begin and end on a given day, and not for ongoing activities.
5. **GEOGRAPHIC FILE** - Classification of records by the location to which they refer. Geographic systems are usually a two or three division level alphabetic system. Records are first classified by geographic location, state and city are most common, and then by subject and correspondent. These systems are useful when the information is referenced by locale, rather than by individual name.

6. **ALPHA–NUMERIC FILE** - Classification of records by codes. The codes should provide some information about the contents of the folders. Such codes are called "mnemonic capability," and are divided into two general types: subject and name files.

Subject files generally follow an encyclopedic arrangement with numeric coding of records and folders.
Name file systems are mostly of the "Soundex" variety. Soundex, a patented system, brings all names together that sound alike.

Filing Procedures

Once a filing arrangement has been adopted, certain filing procedures must be implemented to protect the integrity of the file. The procedures are: preparing records for filing, maintaining the file, controlling the records, and disposing of the records in accordance with established retention schedules. There are no shortcuts; filing procedures must be vigorously followed. From one to five per cent of records are misfiled, and nearly half of these are never found, resulting in high costs.
Preparing records for filing is the first step. All paper clips, brads, pins, and rubber bands should be removed. Staple related materials which are filed together. Any records which are stapled together when they arrive at the files should be checked to make sure they should be filed together. Loose clippings and small items should be fastened to a sheet of paper so they will not be lost in the file. All documents which are torn or damaged should be mended before filing.
Filing authority: A notation from the person in authority that the record is important and should be placed in the file. The responsible person places their initials and the notation "file" in the upper right hand corner of the record. This not only gives authority to the file, but also indicates the record has been seen and acted on by the appropriate person.

Indexing: Determining the filing unit under which the material is filed. The document is read briefly to get the message. The filing unit (a name, number, or subject) is underlined as the document is read.

Coding: Identifying the record with its filing unit. The filing unit is written in the upper right hand corner.

Sorting: Dividing records into related groups and putting them in order for faster filing.

Cross-referencing: Directs the searcher from one location in the file to another where the information can be found. Cross-referencing is used: 1) when an item could logically be in two or more places in the file; 2) when related material is in another location; or, 3) when information or a folder has been moved within the filing systems. The cross-reference may be either an item cross-reference or a permanent cross-reference.

Item cross-references are used when the item could be in more than one location. This can either be a duplicate copy of the item or simply a cross-reference form. If it is a single item, the duplicate copy of the information is the best method since it gives the searcher all the information at one time. For a file containing more than one page, copying could significantly increase the bulk of the file, so a single cross-reference form for all these is preferred.

Permanent cross-referencing is used in the filing system to refer the user to another location where the folder can be found. These cross references are put on tabs, usually made from half of an old folder. These permanent cross-references should be considered part of the file and microfilmed, if the file is filmed, or transferred with the file.

Once the records are in proper filing arrangement, actual filing is more accurate and less time consuming. Filing is the placing of the record within the file system. The filing unit is read on the record, the nearest guide located, and then the corresponding folder found. The folder is removed completely from the file by grasping the body of the folder, not the tab. Papers are inserted facing forward, with top of the page to the left. Documents should be arranged chronologically within the folder with the latest record on top.

When oversized materials are filed in a folder, each sheet should be folded so that it is usable alone. Legal size papers placed in a letter-size file can present problems. Each page is folded individually, not the entire document as one bunch. This reduces the amount of space required. If the document is too wide, the paper is best folded like a book, with an additional fold in the corner. In this way, the document can be opened and read, even in a fastener-type folder.
CROSS REFERENCE

Name or Subject: Henderson Office Supply  
Date: 2-15-76

Regarding: Office Supplies

SEE Office Supplies - Office

Permanent Cross Reference

• Williams Equipment
• SEE: Haas & Williams

*********************** **************"**********************

YES NO

Folding Oversize Material
Maintaining the File Management System

Responsibility is the key to making a filing system function properly. While no file can survive without the cooperation of all its users, all of those people cannot be responsible for seeing that the system runs properly. Maintaining the files is an important job. One person should be held accountable for the files and have authority to control their use.

Time set aside for filing is important. The information in the files will only be reliable if the files are complete. Returned material must be filed daily. Daily filing is necessary to have complete files with no backlog of work.

Labeling of drawer and shelving units is a must for fast retrieval and proper control of the files. Each drawer should have a label stating the record series, including dates and retention period. This information reduces the need to open extra drawers in searching for the correct file. Having the retention period on the label makes timely disposition of older records easier.

Access to the files is the single most effective control for file integrity. The fewer people who retrieve and refile, the more efficient the system. Charge-out control is important in a well-run system. It insures the location of all records in the event an emergency need arises for the record. Nothing is removed from the files without a charge-out.

At no time are controls more important than when a needed file is missing and cannot be found. Time and money is wasted searching haphazardly for misplaced files. An organized search procedure should be followed:

1. Look on the desks of people through whom it was routed — particularly in the in-baskets and out-baskets;
2. Look again all the way through correct folders to see if it is out of order or with another document;
3. Look in the folder in front of and behind the correct folder;
4. Look in the folder to see if the record was filed incorrectly between folders or if it slid down behind them;
5. Look under similar spellings and abbreviations or similar and related subjects; and
6. If it is a numeric file, look under those numbers which have the same digits in case the numbers were transposed.

Should all these steps fail, the file is probably lost, and enforcing the controls will seem like cheap insurance to prevent a recurrence.
Microforms

A microform system will not cure the ills of poor file procedures or a poor files system. Yet, a miniaturization system should measurably improve an already good, but inadequate system.

Microfilming is the method of photographically reproducing records or other documents in a reduced size. When most people think of microfilm, they think of a strip of film on a reel. This format is roll film and also comes in cartridges or cassettes. Other microforms are microfiche and aperture cards. A microfiche is a sheet of microfilm containing multiple images in a grid pattern. Aperture cards resemble computer cards with a rectangular hole in one end where a frame of microfilm is mounted.

A parallel can be drawn between a file folder and a microform: both are containers for information. The microform is just smaller in size. One of the major advantages of the microform is that it contains more data than a file folder. Regardless, the information it holds must be organized in a logical manner for effective retrieval.

Why microfilm?

Microfilm, as a medium for storing and handling information, may benefit local government operations by:

1. Saving space - Microforms usually require 2-10 per cent of the space of the original paper files. With Computer Output Microfilm (COM), for example, several sheets of microfiche replace lengthy runs of computer printouts.

2. Providing a security copy of records. A duplicate microform copy stored off-site, under proper environmental conditions, affords protection against mutilation or loss of the original record from theft, sabotage, vandalism, fire, flood, or other causes.

3. Insuring the integrity of the records. Once microfilmed, records cannot be tampered with or lost through misfiling.

4. Permitting easier access to information. Compact microform formats are easy to handle. New technologies, like cartridge loading readers and computer assisted retrieval systems, bring records even more quickly to the user.

5. Offering wider dissemination of information to the public. Multipl copies of records of widespread interest, such as assessment rolls, can be made available for public inspection, freeing office space and staff from the demand of routine information requests.
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6. Preserving fragile documents. Records on fragile and brittle paper, especially items of permanent value, and those whose size makes handling and storage difficult, can be preserved on microfilm.

Municipalities must evaluate their system in order to judge whether or not a microfilming system is justified. The following pages list factors that need to be considered in the analysis of the current system, as well as of a microfilm system. Other useful aids included in this section are examples of how to estimate microfilming costs, a diagram of the microfilm cycle, a microfilming log, and description of various microform characteristics and their major applications.

Here are a few guidelines that municipal governments may follow:

As a general rule, it is not cost-efficient to microfilm records which will be retained for seven years or less. Microfilm costs will far exceed storage costs for such a short period.

Larger municipalities may find off-site storage for semi-active records an effective alternative to expensive office space in the city hall and to microfilming.

Where records management considerations demonstrate a need for longer retention of non-current records, properly produced and stored microfilm is an excellent medium for information storage.

Microfilm files, unlike paper files, must be stored in a controlled environment. Film kept in direct sunlight or near sources of heat will quickly deteriorate. It is highly desirable to make two copies of microfilm records, especially for vital records if the originals are destroyed: one for use in the office and one for archival storage. This will provide a source for duplicating valuable records for office and other use.

Microforms require external and internal indexes to reference the files. Roll film is usually filed in a 10-drawer cabinet or shelves. Aperture cards are filed in computer card cabinets using guides and out-cards to control the file. Microfiche is stored in card files with guides. Heavy stock colored out-cards are used to control microfiche files.
### FACTORS TO BE CONSIDERED IN ANALYSIS OF CURRENT SYSTEM

#### USER'S NEEDS

<table>
<thead>
<tr>
<th>Factor</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of people making daily searches</td>
<td></td>
</tr>
<tr>
<td>Departmental location of major uses</td>
<td></td>
</tr>
<tr>
<td>Use made of records after location</td>
<td></td>
</tr>
<tr>
<td>Location of users: on premises, off-site, remote locations</td>
<td></td>
</tr>
<tr>
<td>Need for current information: updates every 24 hours or less</td>
<td></td>
</tr>
<tr>
<td>Training of personnel, supervision</td>
<td></td>
</tr>
<tr>
<td>Labor costs to service user's needs</td>
<td></td>
</tr>
<tr>
<td>Centralized/decentralized files</td>
<td></td>
</tr>
</tbody>
</table>

#### CHARACTERISTICS OF DOCUMENTS

<table>
<thead>
<tr>
<th>Characteristic</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>Volume: number of documents in each file, total number of files, total number of pages, number of new documents entering the system.</td>
<td></td>
</tr>
<tr>
<td>Time span of records</td>
<td></td>
</tr>
<tr>
<td>Size: overall dimensions - letter size, smaller, larger; mixed sizes; thickness of paper(s)</td>
<td></td>
</tr>
<tr>
<td>Color(s): of paper, letterhead, logo, printed copy</td>
<td></td>
</tr>
<tr>
<td>Condition: torn, wrinkled, stapled, paper clipped, fan-folded, fastened into folders</td>
<td></td>
</tr>
<tr>
<td>Space and equipment required to maintain files</td>
<td></td>
</tr>
<tr>
<td>File maintenance costs</td>
<td></td>
</tr>
</tbody>
</table>

#### FILE ACTIVITY

<table>
<thead>
<tr>
<th>Activity</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of searches each day</td>
<td></td>
</tr>
<tr>
<td>Access time</td>
<td></td>
</tr>
<tr>
<td>Reference Time</td>
<td></td>
</tr>
<tr>
<td>Interfiling or add-ons; identify most active files</td>
<td></td>
</tr>
<tr>
<td>Refiling time</td>
<td></td>
</tr>
<tr>
<td>Number of people needing documents at one time</td>
<td></td>
</tr>
<tr>
<td>Time of day most refiling is done</td>
<td></td>
</tr>
<tr>
<td>Amount of time needed to add a document to the system</td>
<td></td>
</tr>
<tr>
<td>Active/inactive records</td>
<td></td>
</tr>
</tbody>
</table>

#### RECORD MANAGEMENT PROCEDURES

<table>
<thead>
<tr>
<th>Procedure</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>Indexing</td>
<td></td>
</tr>
<tr>
<td>Coding</td>
<td></td>
</tr>
<tr>
<td>Sorting</td>
<td></td>
</tr>
<tr>
<td>Filing</td>
<td></td>
</tr>
<tr>
<td>Retrieving</td>
<td></td>
</tr>
<tr>
<td>Interfiling</td>
<td></td>
</tr>
<tr>
<td>Retention (legal considerations)</td>
<td></td>
</tr>
<tr>
<td>Transfer</td>
<td></td>
</tr>
<tr>
<td>Disposal</td>
<td></td>
</tr>
<tr>
<td>File security</td>
<td></td>
</tr>
</tbody>
</table>
## FACTORS TO BE CONSIDERED IN ANALYSIS OF A MICROFILM SYSTEM

### FILMING AND PROCESSING

- **Initial conversion to microforms**
- **Filming of new material for files**
- **Work to be done in-house:** size of files, information; equipment required (depending on microforms selected): rent, rent with option to buy, lease, purchase; special plumbing costs
- **Use of service bureau:** initial conversion; use on a regular basis
- **Costs:** for film, chemicals, other supplies; labor costs

### DUPLICATION AND DISTRIBUTION

- **In-house space requirements; contact for duplication of microforms**
- **Use of a service bureau**
- **Cost of duplicating film (silver, diazo, vesicular); other supplies**
- **Distribution costs of microforms**
- **Labor costs involved in duplication and distribution of microforms**

### FILING AND RETRIEVAL EQUIPMENT AND FACILITIES

- **Storage and retrieval equipment:** usage, rate of growth, updating; type of forms
- **Microform retrieval:** manual, mechanized, automated system - extra cost of encoding of microform; remote retrieval - terminal installation and maintenance, and transmission costs; labor costs
- **Space requirements:** for paper files if they must be retained; for microforms; for duplicate files as needed

### DISPLAY AND REPRODUCTION EQUIPMENT AND FACILITIES

- **Purchase or rental of readers, reader-printers, or enlarger-printers (no display capability)**
- **Space requirement:** depends on type chosen; range from lap readers to central reference readers; varied sizes of reader-printers and enlarger-printers; automated retrieval units with display and print capabilities
- **Cost of materials consumed in the production of hard copy such as paper, chemicals**
ESTIMATE OF MICROFILMING COSTS

1. VOLUME OF RECORDS TO BE MICROFILMED
   a. No. of sheets or cards ( ) ................................................................. -- -- --
   b. No. of cubic feet of records (cu. ft) ................................................. -- -- --

2. PREPARATION OF RECORDS
   (Readying records for filming, i.e., removing clips and staples, unfolding, arranging, preparing and inserting targets, etc.) $ $ $

3. FILMING
   a. Operator's time ................................................................................. -- $ $ $ 
   b. Equipment time .................................................................................. $ $ $ (Hourly rate from Form 1, Item 5)
   c. Film _______ reels at $_______ per reel .............................................. -- $ $ $

4. INSPECTION OF PROCESSED FILM ...................................................... $ $ $

5. RETAKES
   a. Preparation of Records ..................................................................... $ $ $ 
   b. Operator's time .................................................................................. $ $ $ 
   c. Equipment time .................................................................................. $ $ $ 
   d. Film _______ reels at $_______ per reel .............................................. -- $ $ $

6. REPLACING RECORDS IN FILE ............................................................. $ $ $

7. TRANSPORTATION (Records to camera or vice versa) ......................... -- -- -- $ 

8. TOTAL COST OF MICROFILMING ....................................................... -- -- -- $ 
   (Total of Items 2 through 7)

9. COST OF MICROFILMING PER CU. FT. OF RECORDS ....................... -- -- -- $ 
   (Item 8 divided by Item 1b)

MICROFILMING RECORDS

- Records
- Document preparation including indexing and identification
- Camera
- Original records
  - (a) returned to Archives
  - (b) disposed of in accordance with schedule
- Film processing
- Checking completeness and testing and inspection for archival quality
- Archival storage of original film
- Film duplication
- Working copies of film
## MICROFILM LOG

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<tr>
<th>Dept.</th>
<th>Reel</th>
<th>Date Filmed</th>
<th>Oper.</th>
<th>Title Of File</th>
<th>Date Jacket</th>
<th>Oper.</th>
<th>Date Dup.</th>
<th>Oper.</th>
<th>Date Rtn.</th>
<th>Comments</th>
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<td>Roll Microfilm: film is in widths 16, 35, 70, and 105 millimeters, on a reel, spool, or core. The predominant widths for roll systems are 16 and 35 millimeters.</td>
<td>16mm Rolls: general records (old files too bulky to maintain in their original form, only occasional referencing); transaction records such as sales slips, checks.</td>
<td>Least expensive to create. Least expensive to duplicate. Can store large units of information in a little space at low cost.</td>
<td>Information must be batched or programmed for a roll. It takes longer to locate information on a roll than it does on any other microform.</td>
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<td>On 16mm film, images may be in a line, or side by side on the film (when arranged side by side or in comic mode, approximately 2800 images of 8 1/2 x 11 inch documents reduced 24:1 can be filmed on a full reel).</td>
<td>35mm Rolls: newspapers, periodicals, other publications.</td>
<td>Good choice when information is added to the roll continuously in sequence and updating is infrequent. Advantageous if file size will allow full or nearly full utilization of the reel.</td>
<td>User needs to have some knowledge of equipment, procedures for handling film. Readers cost more than microfiche or aperture card readers.</td>
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<td>On 35mm film, frames are arranged single file along the length of the film; a full reel will contain approximately 600 images. An average length of film on a reel is 100 feet. Longer lengths are becoming more common with the use of new thinner films. Roll film is a non-unitized or collective microform.</td>
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<td>Film can be spliced, but it is difficult to update with interspersed additions; updating can be done by adding on to the end of the roll.</td>
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## MICROFORM CHARACTERISTICS AND MAJOR APPLICATIONS (con't)

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<tr>
<td>Cartridges: a container enclosing roll microfilm, usually 16mm. The average film length is 100 feet, but longer lengths are available. Images are arranged in the same manner as on film or rolls. Cartridges are non-unitized microfilm.</td>
<td>Records storage (used by electronic equipment and supplies companies, paper and allied products firms, and by textile companies.)</td>
<td>Average lookup time 30 seconds - savings in retrieval time. Possible to establish control to guarantee user accurate information. Film is protected from fingerprints, dust and other damage. Easy to handle film in a cartridge. Ideal for self-service stations.</td>
<td>Cost of cartridge. High cost of end use equipment. Longer updating cycle than is required for microfiche or aperture cards.</td>
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<tr>
<td>Cassettes: similar to cartridges; film is encased in a plastic container. The cassette contains two reels - the film can be seen through an aperture as it moves from one reel onto the other. Cassettes are a non-unitized or collective microform.</td>
<td>Records storage (used by electrical equipment and supplies companies.)</td>
<td>Encasement of film ensures less wear and tear on the film. Savings in user time because there is no threading or rewinding of the film.</td>
<td>Specially designed readers are required. Cost of casing.</td>
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<td>Microfiche: a flat sheet of film with a number of microimages arranged in standardized columns and rows; its most common size is 4&quot; x 6&quot;. This size microfiche can contain up to 98 images.</td>
<td>Short-run publishing, reproduction reports, catalogs, parts lists, price lists, training manuals, educational materials.</td>
<td>Eye-visible title for reference, Uniform format, Speed and ease of creation, May be replicated in several ways, Low cost readers, reader-printers; low cost copies, Color in microfiche permit longer viewing periods without eye strain, Updatable microfiche, Easy to use, No sophisticated retrieval system need, Low-cost distribution, No special carriers such as cassettes, cartridges, and reels.</td>
<td>Cost of production, Initial investment in equipment,</td>
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<td>A master microfiche may be created from hard copy documents or through COM.</td>
<td>Microfiche are a non-unitized microform.</td>
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<td>Ultraliche: documents are filmed at 90% or higher reduction. One ultraliche may contain several thousand pages.</td>
<td>Used as a publications media for catalogs and books with wide distribution.</td>
<td>Can store more information in less space than a standard microfiche.</td>
<td>Seldom prepared in-house.</td>
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<td>Ultraliche are a unitized microform.</td>
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<td>Preparation requires exceptionally clean conditions.</td>
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<td>Micro-opaques: similar to microfiche; multiple micro-images are arranged in a grid pattern and produced a opaque stock instead of film.</td>
<td>Used primarily for reading.</td>
<td>May contain a separate set of images on each side.</td>
<td>Cannot easily be duplicated.</td>
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<td>Micro-opaques are a unitized microform.</td>
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<td>Require comparatively high-intensity illumination for viewing and printing.</td>
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<td>Jackets: Jacketed microfilm is a combination of the roll film and microfiche concept; composed of two sheets of clear plastic or paper with open end channels into which strips of roll film are inserted.</td>
<td>Accounts payable and payroll records; personnel records; subject correspondence, medical, legal and court records; educational records; customer and insurance files.</td>
<td>Eye-visible title for easy reference. Easy update/revise by adding or removing individual film images. Space savings. Can be duplicated and distributed easily and inexpensively.</td>
<td>Updating can be time consuming. Original creation and updating required extra procedural steps and specialized equipment. Can cost up to 3 times the cost of a roll film application.</td>
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<td>Jackets (cont'd)</td>
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<td>May be viewed with the same readers as microfiche.</td>
<td>Can be costly to produce.</td>
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<td>Aperature Cards: a 3-1/4&quot; x 7-3/8&quot; tabulating card with a 35mm microfilm chip mounted in a rectangular opening. Also cards are available with a 16mm film chip and with a 16mm/35mm combination. Cards may contain more than one opening. The film may be held in place either by pressure sensitive adhesive or by insertion into a transparent sleeve. Aperature cards are a unitized microform.</td>
<td>Engineering and manufacturing data; X-rays; specialized information management systems with heavy file usage.</td>
<td>Greatest flexibility in replication and end usage (film-to-film, film-to-paper, film-to-vellum, film-to-offset). Can be programmed for distribution by a complete or partial deck. User does not need to batch information. Easy to update or delete information from the file. Easiest form to use in interfiling. The card area can be used for notes. Indexing data can be automatically reproduced by a keypunch machine.</td>
<td>Limitation in page length. Easy to misfile and lose.</td>
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<td>Aperature Cards (con't)</td>
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<td>Input cycle from document to ready-to-use microform in 45 seconds.</td>
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<td>Low cost equipment, low cost copies.</td>
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<td>Ultrastrips: short strips of processed film containing material photographed at high reductions. Strips are inserted into a container for use in a retrieval device. Ultrastrips are unitized microforms.</td>
<td>Very limited use at the present time.</td>
<td>Especially tailored to facilitate automated retrieval, resulting in saving in user's time.</td>
<td>Expensive - requires a two-step creation process.</td>
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<td>Creation must be done under exceptionally clean conditions.</td>
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<td>Chips: small pieces of film containing microimages. May contain optical or magnetic coding in addition to images. These chips are stored in a cartridge or cell in a retrieval device, and are retrieved automatically by electronic circuitry or by electro-mechanical equipment.</td>
<td>Best suited for very large files where high speed retrieval is necessary.</td>
<td>Savings in time - retrievable at exceedingly high speeds.</td>
<td>Not ordinarily available.</td>
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<td>Very expensive; custom designed for special applications.</td>
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Computer Printouts and Magnetic Tapes

The major data forms resulting from computer systems - printouts and magnetic tapes - must be filed. All computers have some kind of output device for the information that has been stored or processed by the system. Most systems use a printer. The result is a computer printout - a continuous sheet of information from the computer on manifold paper. It is produced at a rapid rate and, due to the uneven length of the reports, the printout varies greatly in thickness.

This non-standard aspect makes printouts extremely awkward to file in conventional equipment. The primary reasons are: 1) they are of varying sizes, 2) they are flimsy, and 3) they cannot stand upright for shelf filing. Hanging the printouts is a solution that saves space and accepts printouts of varied size. The computer records are filed in an upright position instead of flat. Hanging only uses the amount of space needed for each printout. This can be done either by placing printouts in hanging folders or by using clips which become part of the binding.

Another computer data form is magnetic tape. It is on large spools and is mounted on the computer for use. When not in use, the tapes are placed in dust-proof containers and stored in racks. Information is recorded on the tape in a pattern of magnetic tape impulses that only the computer can read. Tapes must be organized to permit easy identification, selection, retrieval, and retention. A label should include a file description, program number, reel number, date created, recording density, and retention period. The dust cover can be color-coded for visual control.
Miscellaneous

Books and Catalogs: Best filed in shelves or in bookcases within a designated location. Books should be indexed by subject, author and title, and filed by a number assigned by the indexing system. The most common of these indexes are the Dewey Decimal and the Library of Congress.

The Dewey system is preferred for use in a small office collection of books. Catalogs are usually filed by name of issuing company along with a subject cross-reference. Catalog supplements too small to file alone can be placed in a folder to give them support and then filed with the catalog they supplement.

Maps and Drawings: Require special filing arrangements. Like other files, how these records are filed depends on how the information will be requested. Maps are usually requested by location. Maps of the smallest practical region (city, county, or state) are filed together. If two or three large series of maps are kept (political, topographical), some offices may find it best to file these by series and then by region. Usually, drawings are requested by project number or building name. Those drawings are filed by building name and then subdivided by plat, architectural, electrical, mechanical, structural, or revised drawings. Engineering drawings of equipment are usually filed by the name of equipment, then by name of part or part number.
There are three principal ways to store maps and drawings: (1) pigeon hole shelves, (2) map cabinets, and (3) hanging files. The traditional method of storage is the pigeon hole cabinet. The drawings are rolled and tied together with a file tag attached to a string fastened to the roll. The filing method causes drawings to curl permanently. This type of storage should be used only for inactive drawings. It does, however, possess the advantage of providing storage for a large quantity of mixed-size drawings inexpensively. Large drawings, up to "D" (22' x 34') size without folding, can be filed flat in map cabinet drawers. The drawer files are favored for single maps or other materials that are semi-active or inactive. Hanging files use clamps to suspend maps and drawings from rods. This is preferred for drawings consisting of several pages. Hanging files are recommended for active files. The top front, left or right, should be labeled to provide for rapid retrieval of drawings. Hanging has the advantage of using space very effectively.

Files Management Equipment

In today's office, most of the filing equipment used is vertical, lateral, shelf, or mechanized. To choose the right equipment for the job, the officeholder must consider the advantages and disadvantages of each type, then make a comparative analysis of which type of equipment will best meet the requirements of the municipality's proposed data retrieval system.
A. **VERTICAL CABINETS:** The vertical filing cabinet is the most common type of equipment used in individual offices. It is primarily for filing correspondence and similar types of material. It is available in letter and legal sizes containing from two to five drawers, and in drawer sizes to accommodate a variety of materials, from 3" x 5" cards to maps.

Vertical cabinets use the most floor space relative to their storage capacity. When figuring space requirements, there must be a minimum 44-inch aisle in front of the cabinet for drawer pull-out and operator room. The four- and five-drawer letter and legal filing cabinets are the most popular sizes. The five-drawer cabinet costs less per filing inch. Its filing capacity is 25 per cent greater than a four-drawer cabinet and requires no additional floor space. Filing is usually accomplished by placing folders front to back with the folder label facing the operator.

Vertical cabinets are suitable for small record series. They are particularly suitable for subject files. Alphabetic, subject-numeric, and most other types of filing systems can be used in these units. However, this equipment should not be used with terminal digit systems. In small, cramped offices with small storage requirements, a vertical cabinet often fills the need best and is advantageous as they are relatively easy to move.

Like the other types of enclosed equipment, vertical cabinets work well if there is a need for controlled access. Cabinet locks do not provide security, but merely controlled access. A standard vertical cabinet is not fireproof; therefore, if fire protection is required, the cabinet must be specifically constructed with insulation.

Only one person at a time can retrieve files from a cabinet. This creates a problem in active files. When the file series requires more than four or five cabinets, equipment and floor space costs are greater for vertical cabinets than for other equipment with comparable storage capacity. This is due to the large aisle space required to access the equipment.

B. **LATERAL CABINETS:** Lateral cabinets are among the most versatile of all filing cabinets. A lateral cabinet may be used for both letter and legal size files. These cabinets are usually 15 inches deep and come in widths of 32, 36, and 42 inches. The cabinets require a 30-inch aisle for drawer pull-out and operator room. The cabinets hold folders, which are usually filed left to right as in a shelf filing arrangement.

Lateral cabinets, however, are not economical in terms of cost or space. The cabinets cost more per filing inch than either vertical cabinets or shelves. They use more floor space per filing inch than either shelves or letter-size vertical cabinets.
C. SHELF FILES: Shelf filing is a method of storing records on horizontal shelves rather than in closed drawers. The folders are arranged in rows with the tabs to the outside for ease in reading. This equipment is particularly suited to files where an entire folder is retrieved intact. Terminal digit filing for large case file series is extremely compatible with this equipment. This type of equipment is the most economical of all available filing units and can provide the answer to many filing problems stemming from rising costs, lack of floor space, and inefficient records retrieval.

Shelving without doors is the least expensive of all filing equipment, usually costing 30 per cent less than other non-motorized filing equipment housing an equal volume of records. Shelving requires less floor space than most other types of equipment. The absence of drawers to open and close saves labor and provides much faster access to records. Shelf filing equipment is the only equipment that allows multiple user access to the file. Because of its size and structure, shelving is generally more difficult to move than vertical and lateral cabinets, when it is disassembled. Records stored on shelving units without doors are more susceptible to fire and water damage. Shelving does not provide controlled access to the records to the extent of closed equipment.
D. **MECHANIZED FILING EQUIPMENT**: Mechanized filing equipment is a form of automated filing equipment in which records are accessed by mechanical means. Mechanized files are different from most conventional filing equipment in that the file is brought to the operator mechanically rather than the operator going to the file. Mechanized files are available in two basic vertical and horizontal configurations. They are available in the letter or legal-sized trays for various sized cards and other records. The cost of this equipment varies greatly both for equipment and floor space, with compatible shelving being the least expensive and vertical power files the most expensive. However, any mechanized equipment is usually more expensive than non-mechanized and should be carefully evaluated before being recommended.

Compactable mechanized shelving (see next page) consists of modules of shelving which are placed on tracks, allowing a range of shelving to be opened for filing and retrieving records. Records are retrieved by the operator going to a range of shelving and pressing a selector button. The range automatically opens, creating an aisle.
File arrangements that are compatible with regular shelf filing are easily adapted to this equipment. This same style of equipment is available in the manual configuration. It is the same in all respects except that the searcher pushes the shelving units apart manually to create the aisle.

While compactable shelving is the least expensive mechanized filing equipment, it is still two times as expensive as fixed shelving of the same capacity. Despite the savings in floor space, it requires up to 15 years of use to recover the difference in original equipment expenditures between compactable shelves and fixed.

**Selection of Equipment**

There are many considerations involved in the selection of filing equipment. There is no one "best" type of equipment; each filing system or operation should determine the type.

The most important consideration is access. Since records are filed so that they can be referenced, retrieval of the information should be a foremost consideration. The records should be as open as possible, located near the users, and have the potential to be used by several people simultaneously.

Security is another consideration in acquiring equipment. With the exception of shelving without doors, all of the basic equipment described can be equipped with locks to provide controlled access. Most locks on filing equipment can be readily opened with a paper clip or nail file, and master keys are available which will open practically all locks made by one manufacturer.

In considering the long-range effect, an officeholder must take into account the anticipated growth of the file. All too often, the easiest solution to the equipment problem is to add another piece of equipment which become the established pattern. Often the proper solution is something other than additional equipment.

A final consideration in the selection of any equipment is the cost. Every effort must be made to restrict equipment purchases to those situations where record-keeping efficiency has been effected, and there is still an unquestioned need for additional equipment.

**Acquisition of Equipment**

When a need for additional equipment arises, the municipality should first make sure that the need is genuine. In too many cases, equipment needs can be met by more efficient and effective use of equipment already in the office. The administrator should always check to see if:

1. Inactive records are stored in filing equipment;
2. Equipment is used to store office supplies: blank forms, publications, or other non-records material;

3. Drawers or shelves in the existing equipment are not 3/4 full;

4. Record material eligible for destruction is being retained in equipment; and

5. Records have not been scheduled.

If any of the above conditions exist, action should be taken to correct them.

If the office is efficiently utilizing its equipment and there is still a need for more, the administrator should next try to locate the equipment within the organization or other municipal offices. If the required equipment is located, but is not servicable, action should be taken to have the designated equipment repaired or reconditioned. If there is a need for additional equipment, the next step may be to check with the Tennessee Department of General Service - Surplus Property. If current equipment is properly utilized and no equipment available, new equipment should be ordered through proper purchasing procedures.
CONCLUSION

The municipal office and the records system it uses are changing rapidly as many new products, methods, and information needs make past and current operations obsolete. At the same time, in many ways, the office remains the same. Municipalities, more than ever, are the focus of information processes, and the need for a well-developed records keeping system has never been greater.

Offices are built upon systems that evolved from certain information needs, such as the needs to record, duplicate, index, sort, compute, file, retrieve, transmit, and destroy information. It is with the cycle of records management that municipal administrators, from all departments, need to familiarize themselves. This manual should be used as a basic guide, but is by no means exhaustive to the countless systems in use today.

Records are no longer considered as isolate pieces of paper but rather as integrated and vital units of information that fit into the scheme of the daily routine of a city recorder of finance officer; the burden of responsibility falls on each employee to become educated in records management.

As technology advances, control of records probably will become more automated. Documents will continue to exist in various forms such as hard copy, microforms, or in electronic form in computer files. As municipal governments are becoming more and more responsible for their actions, it is extremely important that records are clear, concise, and accessible for governmental action.
APPENDIX A

TENNESSEE CODE ANNOTATED

Chapter 7 - Public Records

Part 3 - Public Records Commission

10-7-301. Definitions.
(a) "Section" and "Division" shall mean the records management division of the department of general services.
(b) "Public record(s)" or "state record(s)" shall mean 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.
(c) "Permanent records" shall mean those records which have permanent administrative, fiscal, historical, or legal value.
(d) "Temporary records" shall mean 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.
(e) "Working papers" shall mean 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.
(f) "Agency" shall mean any department, division, board, bureau, commission, or other separate unit of government created or established by the constitution, by law or pursuant to law, including the legislative and judicial branches.
(g) "Disposition" shall mean preservation of the original records in whole or in part, preservation by photographic or other reproduction processes, or outright destruction of the records.
(h) "Records creation" shall mean the recording of information on paper, printed forms, punched cards, tape, disk, or any information transmitting media. It shall include preparation of forms, reports, state publications, and correspondence.
(i) "Records management" shall mean 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 record-keeping. It shall include 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.
(j) "Records officer" shall mean an individual designated by an agency head to assume responsibility for implementation of the agency's records management program.
(k) "Essential records" shall mean 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.

(1) "Records disposition authorization" shall mean 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.

(m) "Records of archival value" shall mean any public record which may promote or contribute toward the preservation and understanding of historical, cultural, or natural resources of the State of Tennessee. [Acts 1974 (Adj. S.), ch. 739, § 1; 1975, ch. 286, § 2; 1978 (Adj. S.), ch. 544, § 3; T.C.A., 15-401; Acts 1981, ch. 364, § 3; 1984, ch. 891, § 1; 1984, ch. 947, § 1].

10-7-302. Public Records commission created - Duties.
A public records commission is hereby created to consist 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, any of whom may designate a deputy with a vote as his agent to represent him, the president of the Tennessee historical society as a nonvoting member, and, when required, one (1) temporary and nonvoting member as provided in 10-7-303. It shall be the duty of the commission to determine and order proper disposition of state records. The commission shall direct the department of general services to initiate, through the records management division, by regulation or otherwise, any action it may consider necessary to accomplish more efficient control and regulation of records holdings and management in any agency. Such rules and regulations may authorize centralized microfilming for all departments, etc., or provide for other methods of reproduction for the more efficient disposition of state records. The commission shall elect its chairman and shall meet not less often than twice annually. Members shall be reimbursed for actual and necessary expenses when attending meetings, and those members who do not receive a fixed salary from the state also shall be paid a per diem of ten dollars ($10.00) for each day of actual meetings. All reimbursement for travel expenses shall be in accordance with the provisions of the comprehensive travel regulations as promulgated by the department of finance and administration and approved by the attorney general. [Acts 1974 (Adj. S.), ch. 739, § 2; 1975, ch. 286, § 2; 1976 (Adj. S.), ch. 806, § 1(58); 1977, ch. 89, § 24; T.C.A., § 15-402; Acts 1981, ch. 364, § 3; 1982 (Adj. S.), ch. 810, § 3; 1984, ch. 728, § 8].

10-7-303. Records management division - Creation and disposition of records.
(a) The records management division of the department of general services shall be the primary records management agency for state government, and as such shall direct the disposition of all records including electronic processed records and computer output microfilm records.
(b) The division shall cooperate with other agencies in the creation of records, forms, etc., which will eventually be subject to retention and/or disposition scheduling.
(c) Whenever the head of any state department, commission, board, or other agency shall have certified that records created by his department, either permanent, temporary or working papers, as defined in § 10-7-301, have reached the end of the retention period established prior to the generation of such
records, the public records commission shall then approve or disapprove by a majority vote, the disposition of such records in a manner specified in the rules and regulations of the commission and any disposition schedule already in effect may be voided or amended by a majority vote at any time by the commission, upon recommendation of a member of the commission, board or other agency, in consultation with the staff of the records management division.

(d) No record or records shall be scheduled for destruction without the unanimous approval of the voting members of the public records commission.

(e) All records concerning private or public lands shall be forever preserved.

(f)(1) When the development of a records management system for legislative records or the disposition of legislative records is under consideration, the speaker of the senate, or his representative, the speaker of the house of representatives, or his representative, and the secretary of state, or his representative, shall serve as temporary nonvoting members of the commission. The representatives of the speakers of the senate and the house of representatives need not be members of the general assembly.

(f)(2) When the development of a records management system for judicial records or the disposition of judicial records is under consideration, the attorney general, or his representative, and the chief justice of the supreme court, or his representative, shall serve as temporary nonvoting members of the commission.

(g) This chapter shall apply to legislative and judicial records. [Acts 1974 (Adj. S.), ch. 739, § 3; 1975, ch. 286, § 2; 1977, ch. 38, § 2; T.C.A., § 15-403; Acts 1981, ch. 364, § 3; 1984, ch. 891, § 2].

10-7-304. Records officer for each department or agency - Duties.
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 section and the public records commission in carrying out the purposes of this chapter. It shall be the duty of the records officer to appear before the public records commission for the purpose of presenting on behalf of his department, commission, board or agency requests for disposition of records. [Acts 1974 (Adj. S.), ch. 739, § 4; T.C.A., § 15-404].

10-7-305. Administrative officer and secretary - Duties.
The commissioner of general services shall be the administrative officer and secretary of the public records commission and act on its behalf and by its direction to make and enter into contracts and agreements with other departments, agencies, boards and commissions of state government as the commission may consider necessary, expedient or incidental to the performance of its duties under this chapter. [Acts 1974, (Adj. S.), ch. 739, § 5; 1975, ch. 286, § 2; T.C.A., § 15-405; Acts 1981, ch. 364, § 3].

10-7-306. Rules and regulations of commission.
The commission shall issue rules and regulations which shall include such procedures as may be necessary to carry out the purposes of this chapter. Such rules and regulations shall provide for but not be limited to:
(1) Procedures for the adoption of any record to be created by any department, board, commission or agency;
(2) Standards and procedures for the reproduction of records for security and for disposal of original records;
(3) Procedures for compiling and submitting to the division lists and schedules or records proposed for disposition;
(4) Procedures for the physical destruction or other disposition of records.

All rules and regulations must be approved by a majority of the voting members of the commission. The commissioner of general services as the administrative officer and secretary of the commission shall sign all rules and regulations on behalf of the commission.

The rules and regulations shall be issued and promulgated in accordance with chapter 5 of title 4. The commission need not formally meet to act under this section, but may adopt any rule, regulation, procedure or disposal with the written approval of all voting members. [Acts 1974 (Adj. S), ch. 739, § 6; 1975, ch. 286, § 2; T.C.A., § 15-406; Acts 1981, ch. 364, § 3].

10-7-307. Title to and destruction of records transferred to state archives. Title to any record transferred to the state archives is vested in the state library and archives. The state librarian and archivist shall not destroy any record transferred to the state archives without advising a proper official of the transferring (or successor) agency prior to submitting a records disposition authorization to the public records commission, requesting such destruction authority. Concurrence or non-concurrence of the proper official of the transferring (or successor) agency shall be noted on the submitted records disposition authorization. If there is no successor agency, the records disposition authorization shall be signed by the state librarian and archivist in lieu of the agency head. [Acts 1978 (Adj. S.), ch. 544, § 4; T.C.A., § 15-407].

10-7-308. Title to records transferred to section. Title to any record transferred to the section (records center) shall remain in the agency transferring such records to a state records center. [Acts 1978 (Adj. S.), ch. 544, § 4; T.C.A., § 15-408].

Part 4 - County Public Records Commission

10-7-401. County public records commission created - Membership. The county legislative body of each county may create within the county a county public records commission, which when created shall consist of a member of the county legislative body designated by a majority vote of the county legislative body, a member of the board of county commissioners of the county, if there be a board of county commissioners in the county, a judge of one of the courts of record which holds court in the county, the county register of the county; the county historian, if there be such in the county, and a recognized genealogist, residing within the county, if there be such in the county, who is not on a public payroll. The judge of the court of record shall be selected and designated by a majority vote of all the judges of
courts of record holding court in the county and his designation as such member shall be entered upon the minutes of each court of record in the county. If there be a board of county commissioners within the county, the county commissioner to serve upon the commission hereby created shall be designated by a majority vote of the board of county commissioners. The genealogist shall be appointed by the presiding officer of the governing body of the county. All the members of the said county records commission shall hold office during the terms for which they have been elected to the office by virtue of which the several members became members of the said county records commission or until they are removed from such office by death, resignation, or otherwise, and shall be replaced upon the termination of their said terms or removal in the same manner in which the first members of said commission were selected. If the judges of the courts of record which held court in such counties should fail for any reason within sixty (60) days from the establishment of such county records commission to designate a member of the judiciary as a member of the said county records commission or should, when the position of the judiciary member of the county records commission becomes vacant, fail to designate a successor within sixty (60) days then the county legislative body shall select a member of the judiciary holding court within the county to fill such vacancy. Likewise, if no member of the county records commission is designated by the board of county commissioners within sixty (60) days from the creation of the county records commission or within sixty (60) days after the death, resignation or other removal of the member previously designated by the board of county commissioners, as the case may be, then the county legislative body shall select the member of the board of commissioners to fill the vacancy. [Acts 1959, ch. 253, § 1; 1965, ch. 316, § 1; 1968 (Adj. S.), ch. 507, § 1; 1977, ch. 78, § 1; 1977, ch. 468, § 1; impl. am. Acts 1978 (Adj. S.), ch. 934, §§ 7,36; T.C.A., § 15-501].

10-7-402. Organization of commission - Compensation - Meetings.
The county records commission shall elect a chairman and a secretary and shall keep and preserve minutes of all its proceedings and transactions. Members of the said commission shall receive no compensation except that any member who does not receive a fixed annual salary from the state or the county may be paid a per diem of twenty-five dollars ($25.00) for each day of actual meeting. Members may be reimbursed for actual necessary expenses incurred in attendance upon their duties. The commission shall not meet less than twice annually. [Acts 1959, ch. 253, § 9; T.C.A., § 15-502].

10-7-403. "Public records" defined.
Public records within the county shall be construed to mean all documents, papers, records, books, and books of account in all county offices, including but not limited to the county clerk, the county register, the county trustee, the sheriff, the county assessor, the county executive, county commissioners, if any; the pleadings, documents, and other papers filed with the clerks of all courts including the courts of record, general sessions courts and courts of justices of the peace and the minute books and other records of all said courts; the minutes and records of the county legislative body; all documents, papers, records, books of account and minutes of the governing body of any municipal corporation within said county, or of any office or department of such municipal corporation. [Acts 1959, ch. 253, § 2; impl. am. Acts 1978 (Adj. S.), ch. 934, §§ 7,16,22,36; T.C.A., § 15-503].

(a) The said county public records commission shall have the right to authorize the destruction of any and all public records as defined in §10-7-403 which are required by law to be retained, when the same shall have been photocopied, photostated, filmed, microfilmed, or preserved by microphotographic process, as hereinafter provided; provided that no record required by law to be permanently retained shall be destroyed without a majority vote of the county public records commission, and further that a county officer or judge of a court of records shall be entitled to prevent the destruction of documents, minutes, or records in his office or court. Provided, however, that the commission shall not have the authority to authorize the destruction of any financial or other record which is determined by the comptroller of the treasury to be required for audit purposes until the pertinent audit has been completed, following which disposition will be determined pursuant to procedures developed by the comptroller, provided, further, that the commission shall not have the authority to authorize the destruction of any other record which is otherwise required by law to be retained.

(b) The county technical assistance service, a unit of the University of Tennessee's Institute for Public Service, is authorized to compile and print manuals, in cooperation with the state library and archives, and the division of records management, department of finance and administration which shall be used as guides by all county public records commissions, county offices, and judges of courts of records, setting out which records shall or may be destroyed, and those which should not be destroyed, after photographing, photostating, filming, microfilming, or other microphotographic process. Until these manuals are available, the Tennessee county records manual compiled by the Tennessee state library and archives shall be used in lieu thereof. [Acts 1959, ch. 253, § 3; 1963, ch. 301, §§ 1,2; 1965, ch. 316, § 2; 1967, ch. 104, § 1; 1977, ch. 466, § 2; T.C.A., § 15-504].

10-7-405. Municipal records destruction - Condition.

No record of any municipal corporation required by law to be kept shall be ordered destroyed by the county records commission except with the concurrence of the governing body of said municipality. [Acts 1959, ch. 253, § 4; T.C.A., § 15-505.] (Emphasis added)

10-7-406. Original records photographed in duplicate before destruction - Stored for safekeeping - Accessible to public.

(a) Whenever the county records commission with the consent and concurrence of the officers and bodies, if any, as prescribed in §§ 10-7-404 and 10-7-405 shall determine to destroy the originals of any records required by law to be permanently kept, the said commission shall cause said records to be photographed, microphotographed, filmed, or microfilmed in duplicate, the process therefore to be such as will result in permanent records of quality at least as good as is prescribed by the minimum standard of quality for permanent photographic records made and established by the bureau of standards of the United States government. Where a marginal release or other information on old record has failed or has been obliterated to a degree that it is impossible to photograph, the same may be verified on the margin by the register before microfilming. One (1) copy of such reproduction shall be
stored for safekeeping in a place selected by the county records commission and concurred in by the county legislative body, said place to be in the state of Tennessee if proper facilities are available, but, if not, then in a place outside the state of Tennessee, said location to be selected with a view of protection of said records from fire and all other hazards. The other copy of each document shall be kept in an office or offices in the county accessible to the public and to the several county officers and the county clerks, together with the proper equipment for using, examining, exhibiting, projecting and enlarging the same wherever required and requested by the public during reasonable office hours. The records of each office may be kept in that office, or if the county records commission shall so determine, all the reproduced records may be kept in one (1) central records office.

(b) The purpose and intent of this chapter is to provide for the original recording of any and all instruments by photograph, photostat, film, microfilm, or other microphotographic process, and where any laws or parts of laws as set forth in this chapter are in conflict with such purpose, such laws or parts of laws to that extent are hereby repealed. [Acts 1959, ch. 253, § 5; 1963, ch. 203, § 1; 1971, ch. 154, §1; 1977, ch. 486, § 2; impl. am. Acts 1978 (Adj. S.), ch. 934, §§ 7, 22, 36; T.C.A., § 15-506].

10-7-407. Cost of storage and reproduction of municipal records borne by municipality.
If pursuant to the provisions of this chapter records of municipal corporations are reproduced municipalities shall pay the cost of such reproduction and the cost of storing and exhibiting the same, and if the said municipal corporations shall desire such records to be kept in the office of the municipality it shall bear the cost of the equipment required for examining, exhibiting, and projecting the same and the enlargement and reproduction thereof. [Acts 1959, ch. 253, § 6; T.C.A., § 15-507]. (Emphasis added)

10-7-408. Appropriation of fund to pay expenses.
The county legislative body of any county which shall create a county records commission shall have the power to appropriate such funds as may be required for carrying out the purposes of this chapter but not limited to the purchase or leasing of equipment, the equipping of an office and the payment of the expenses thereof, the furnishing of secretaries and clerical help and the employment of expert advice and assistance. [Acts 1959, ch. 253, § 7; 1968 (Adj. S.), ch. 507, § 2; impl. am. Acts 1978 (Adj. S.), ch. 934, §§ 7, 36; T.C.A., § 15-508].

10-7-409. Charges for copies of records authorized.
The county records commission shall have the power to establish charges for and to collect such charges for making and furnishing or enlarging copies of records. [Acts 1959, ch. 253, § 8; T.C.A., § 15-509].

10-7-410. Reproduction admissible as evidence.
Any reproduction of any record herein authorized to be made shall be deemed to be the original of the record so reproduced for all purposes and any facsimile of such record duly certified to be such by the officer or clerk charged by law with the custody thereof shall be admissible as evidence in any court or proceeding in this state and shall have the same force and effect as would the original of said document or a certified copy thereof if made from the original record, document or paper. [Acts 1959, ch. 253, § 10; T.C.A., § 15-510].
10-7-411. Rules and regulations of commission.  
Said county records commission shall have the authority to promulgate reasonable rules and regulations pertaining to the making, filing, storage, exhibiting and copying of the reproductions of records authorized by this chapter. [Acts 1959, ch. 253, § 11; T.C.A., § 15-511].

10-7-412. Destruction of public records authorized - Terminated mortgages, deeds of trust, chattel mortgages.  
The said county records commission shall have the right to authorize the destruction of any and all public records as defined in § 10-7-403 pertaining to all mortgages and deeds of trust on personal property and chattel mortgages, the terms of which have expired or the conditions of which have been complied with in their entirety; provided, that no such document or record of the county register's office shall be destroyed without the consent of the county register, and further provided that no such mortgages and deeds of trust on personal property and chattel mortgages shall be destroyed without a majority vote of the county records commission. [Acts 1963, ch. 304, § 1; 1967, ch. 105, § 1; 1977, ch. 486, § 3; T.C.A., § 15-512].

10-7-413. Preservation of records of permanent value.  
(a) Before any records are destroyed, after being so authorized by the county public records commission, ninety (90) days' notice shall be given to the state librarian and archivist, whereupon he, or his representative, shall examine said records approved for disposal and shall take into his possession, for preservation in the state library and archives, any records he believes to be of value for permanent preservation.  
(b) The county public records commission shall have the right to authorize the lamination of certain original records such as wills, will books, deeds, deed books, marriage licenses, marriage bonds, marriage registers, and other records which are to be permanently preserved. [Acts 1971, ch. 242, § 1; 1977, ch. 486, § 2; T.C.A., § 15-513].

10-7-414. Transfer of records to institutions or to state library and archives to be held for historical purposes - Funds for transfer and maintenance of records.  
(a) The county public records commission, after authorizing destruction of any public records and after examination of these records by the state librarian and archivist or his representative in accordance with § 10-7-413, the county public records commission may authorize, by majority vote, to place any document or record which would otherwise be destroyed in the custody of a local or regional public library, a local, regional, or state college library, or the county or regional historical society, to be held for historical purposes.  
(b) After custody of any document or record is given to any designated institution, the county public records commission, upon majority vote, may transfer custody of any document or record to another designated institution after giving one (1) month's notice to the institution originally designated. Further, upon request of the state librarian and archivist, the county public records commission may cause the transfer of any of said documents or records from a designated institution to the state library and archives.
(c) The county public records commission is authorized to expend funds appropriated by the governing body of the county for the purpose of transferring these documents and records and may also expend funds so appropriated for maintenance of these documents and records at any of the designated institutions. [Acts 1977, ch. 486, § 4; T.C.A., § 15-514].

Part 5 - Miscellaneous Provisions

The head of any department, commission, board, or agency of the state government may cause any or all records kept by him to be photographed, microphotographed or reproduced on film, provided that the microfilm project has been evaluated and approved by the records management division of the department of finance and administration. Such photographic film shall comply with the minimum standards of quality approved for permanent photographic records by the national bureau of standards and the device used to reproduce such records on film shall be one which accurately reproduces the original thereof in all details. [Acts 1947, ch. 26, § 1; C. Supp. 1950, § 255.93 (Williams, § 1034.82); Acts 1977, ch. 38, § 1; T.C.A. (orig. ed.), § 15-301; Acts 1981, ch. 364, § 3].

10-7-502. Photographic copy deemed original record.
Such photographs, microphotographs, or photographic film shall be deemed to be original records for all purposes, including introduction in evidence in all courts or administrative agencies. A transcript, exemplification, or certified copy thereof shall, for all purposes recited therein, be deemed to be a transcript, exemplification or certified copy of the original. [Acts 1947, ch. 26, § 3; C. Supp. 1950, § 255.93 (Williams, § 1034.82); T.C.A. (orig. ed.), § 15-303.]

10-7-503. Records open to public inspection - Exemption [Effective July 1, 1985].
All state, county and municipal records and all records maintained by the Tennessee performing arts center management corporation shall at all times, during business hours, be open for personal inspection by any citizen of Tennessee, and those in charge of such records shall not refuse such right of inspection to any citizen, unless otherwise provided by state statutes. Provided, however, that the head of a governmental entity may promulgate rules in accordance with the Uniform Administrative Procedures Act, compiled in title 4, chapter 5, to maintain the confidentiality of records concerning adoption proceedings or records required to be kept confidential by federal statute or regulation as a condition for the receipt of federal funds or for participation in a federally funded program. [Acts 1957, ch. 285; § 1; T.C.A., § 15-304; Acts 1981, ch. 376, § 1; 1984, ch. 929, §§ 1, 3.]
APPENDIX B

UNIFORM ACCOUNTING SYSTEM FOR TENNESSEE MUNICIPALITIES

PROCEDURES MANUAL

(Excerpted from Uniform Accounting Manual for Tennessee Municipalities, issued by Comptroller of Treasury, State of Tennessee)

SUBJECT: Records Management - Introduction

PURPOSE: To outline the need for control of records.

PRINCIPLE: A useful record is one that can be readily located.

GENERAL: 1. Records control, like birth control, should start with preventive measures but most often ends in chaos. For successful managerial control, it is necessary to:
   a. determine which papers to retain,
   b. file frequently used items in convenient locations,
   c. restrict access to records,
   d. periodically evaluate and improve the operation, and
   e. systematically destroy unneeded records.

2. Any type of record of municipal activity kept by a municipal official is a public record.

PROCEDURE: 1. Create a committee with authority to inventory and appraise the existing records. One person should be responsible for the project, and the committee should include:
   a. the mayor,
   b. the fiscal officer,
   c. the city attorney,
   d. the heads of the Boards of Public Works, Public Safety, and Public Utilities,
   e. the Superintendent of Schools,
   f. a lawyer with a knowledge of the legal value of records,
   g. a representative of the state historical society, and
   h. an accountant familiar with the financial and accounting records.

2. The committee should inventory all record-keeping equipment and all books, forms, and records on cards to record:
   a. the title and complete description of the record,
   b. the type and capacity of the binder or storage area,
   c. the overall dimensions of the record,
   d. the age and condition of the records, and
   e. the volume and period of reference in years.

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PROCEDURE: The complete master index should include cross-reference title for easy location and should clearly fix responsibility for the custody of records.

The commission appraisal also should evaluate filing system defects, such as:

a. drawer fronts or transferred material not clearly labeled,
b. insufficient guides and broken index or folder tabs,
c. index not standardized or inadequate,
d. no folders for loose matter (papers filed behind guides),
e. miscellaneous folders not used,
f. overly bulky folders,
g. duplication of files or folders out of place,
h. incomplete files in office drawers,
i. uneven distribution of folders by file drawers,
j. insufficient flexibility in expansion or contraction,
k. charging or signing out method not adequate,
l. retaining material with no potential future usefulness,
m. undue segregation of files,
n. poorly trained filing staff, and

o. need of more effective records retention/disposal policy.

3. Periodically redesign forms as needed to adapt to the intended purpose. Forms should fix responsibility and and uniformly record and transmit information at the lowest cost. All possible uses of each form should be considered along with the relationship to other forms used for similar purposes, evaluating:

a. maximum reliance on stock forms and standard paper size and weight for economy,
b. whether all copies are used and if copies of an existing or redesigned form can replace the form,
c. if all information on the form is currently needed and is allowed adequate space and in proper sequence for processing,
d. use of check marks and printed information to avoid unnecessary writing,
e. if printed instructions and content and arrangement are clear and understandable,
f. prenumbering the form for control, and

3. If the form name and form identification number are printed at the top with space for the date and initials of the responsible official.

NOTE: The printer of prenumbered forms should deliver a certificate showing the serial numbers of all forms delivered. The finance officer or his authorized representative should secure receipts for forms issued and reconcile them periodically.
SUBJECT: Records Management - Retention Schedule

PURPOSE: To suggest a schedule for preservation and disposal of municipal records.

GENERAL: The Records Control Committee should adopt a plan which describes each class of records, fixes responsibility for custody, indicates where and how long a record should be retained, and provides for systematic disposal at predetermined times. Some records are permanently valuable, others require reference for only a few years, some have a very short period of reference, and other records have essentially no reference value after completion of the transaction. Documents should be separated by useful life to facilitate automatic disposal at the end of the specified retention period.

Records should be retained according to the need for legal protection of materials, the available storage space, the number of times and period of reference need, and common sense. Tennessee's six-year statute of limitations for open accounts and ten-year statute of limitations for judgments govern the period after which rights cannot be enforced by legal action. No record which could be involved in a case of fraud should be destroyed, and no financial records should be destroyed until after audit. Careful documentation is an important aspect of public life and public trust.

PROCEDURE:

1. **Immediately discard** unnecessary records including obsolete records and non-record material, regarding the waste basket as one of the most valuable items of filing equipment. Avoid other than temporary accumulation of periodicals, circulars, and other printed material.

2. **Correspondence** and general files should be retained in adequately-labeled annual files no longer than needed for frequent reference (usually a maximum of two years after the period covered by the record). Complete correspondence on inquiries usually can be hand-written marginal notes on the original letter and should not be retained after the matter has been closed.

3. **Three years** should be long enough to keep bank deposit slips, inventory records, time tickets, invoices, purchase orders, garnishments, and similar items.

4. **Six year** retention after the applicable transactions is recommended for contracts and leases, insurance policies, claims records, duplicate receipts, checks, and redeemed bond and interest coupons.
5. Ten year retention is recommended for accounts receivable and stores ledgers, cost records and journal vouchers, subsidiary revenue or expenditure ledgers, and voucher or check registers.

6. Permanent preservation and consideration of microfilming usually is recommended for:
   a. audit and financial reports,
   b. bond and interest ledgers,
   c. certification of bonds and interest coupons destroyed,
   d. charts of accounts and procedure manuals,
   e. deeds and other title papers,
   f. employee earnings records,
   g. fixed asset records,
   h. general ledgers and cash journals,
   i. investment security or trust records,
   j. special assessment ledgers, and
   k. tax rolls and other legal, statistical, accounting, and special reports.

7. Periodic evaluation of the records management plan should be undertaken -- experimenting with shorter retention periods and constantly keeping in mind the fire hazard, space cost, and excessive labor handling costs involved in unnecessary retention of records.
SUBJECT: Records Management - Filing

PURPOSE: To outline suggestions for establishing orderly filing procedures.

PROCEDURE:

1. Provide adequate equipment and space for safe storage with files, shelving, bookracks, and vaults for the material to be stored. Points to be considered in evaluating equipment include:
   a. duplication equipment to produce copies needed,
   b. burglary protection, and
   c. fire protection rating of the equipment and vaults.

2. Restrict access to important records.

3. Place reference material in the most accessible location convenient to users.

4. Place other specialized files at the most convenient location for maximum usefulness. Unpaid invoices, especially those offering a purchase discount, are filed by date of payment in a separate tickler date file and are transferred to a file by check number after payment.

5. Index or underscore the filing title for consistent classification, using captions which make sense to the personnel. The purpose of the record and how and why it is used are important factors. Records located by reference to:
   a. name - should be filed by name,
   b. subject or topic - should be classified according to a predetermined list of major subjects,
   c. number - should be kept in numerical order,
   d. date - should be filed chronologically.

Whatever method is use, it should be:
   a. logical and simple, with a natural sequence of self-explanatory filing captions adapted to the type and amount of material to be filed,
   b. flexible, to allow for necessary expansion.

The index should be maintained alphabetically in dictionary order, filing by the surname for individuals, by first name for organizations, and by the first portion of the main topic for subject files. Abbreviations and numbers also are considered as being written out in full. Units of the federal government are indexed under "United States Government" and then progressively by the name of the principal subdivisions.
6. Cross-reference multiple headings, marking the most likely subject heading on the records and alternative headings on cards.

7. Complete current action on each document before filing. The material to be filed should be kept in a clearly labeled, accessible desk tray. Extra carbon copies and other records which have served their full purpose should be eliminated at this point.

8. Filing should be a daily routine to sort, index, repair (if torn) and file. Since the papers most frequently needed are those most recently received,
   a. the documents should be placed in the folder in chronological order with the most recent paper in front,
   b. papers should be filed alphabetically in a miscellaneous folder under each letter until an individual folder is needed,
   c. when a folder contains more than fifty papers, a second individual folder should be prepared,
   d. while filing, the folder should be lifted about half way out of the drawer to avoid placing papers between folders, and
   e. about four inches of working space should be left in each file drawer for efficient filing.

9. Finding records should be routine. In searching for incorrectly filed items, check the folders immediately preceding and immediately following the correct one. Similar names and numbers should be investigated. It has been estimated that the average cost of each misfiled document is $60.00.

10. Adopt a chargeout system using heavy paper stock or cards which:
   a. protrude above other records,
   b. identify the records removed, and

11. Storage of inactive records should be an automatic process. At the end of each fiscal year new current files are opened, and old files are moved intact to inactive storage. The same procedure is followed at the end of each succeeding year until the oldest material reaches the discard date. Before final disposal, any material relating to court disputes should be placed in current files.

12. Restore damaged permanent records to usable condition, if possible, and describe in detail all records destroyed or badly damaged with certification of loss by the custodian.

REFERENCE: U.S. General Services Administration
SUBJECT: Records Management - Disposal

PURPOSE: To formulate procedures for the systematic disposal of unnecessary records.

PROCEDURE:

1. **Automatically carry out** the established records disposal schedule. Destroy each type of record at the predetermined date but make a notation at that time of what has been disposed of, how and where, and the legal authority for disposition (retaining for reference a sample of forms destroyed). Such records of disposition are valuable as legal evidence of the lack of availability of primary records.

2. Transfer records of **historical significance** to the authorized custodian after a minimum useful retention period and after contacting the State Library and Archives Commission.

3. Obtain **cremation** certifications from banks or other designated authorities for all bonds and coupons destroyed, after retention for the designated period.
APPENDIX C

GLOSSARY OF TERMS

Access. The availability of or the permission to consult records, archives, or manuscripts.

Active Files. Records in current use, usually by the creating or accumulating agency in its own space. They are referred to frequently by that agency to conduct its current business.

Aperture Card. A tabulating card with a rectangular opening specifically prepared for the mounting of a frame of microfilm.

Appraisal. The process of determining the value and thus the disposition of records based upon their administrative and other uses, their evidential and informational or research value, their arrangement, and the relationship to other records.

Archives. An area utilized for the permanent storage of valuable records and documents for the benefit of scholars and posterity.

Arrangement. The placement of records in order, in groups, so as to reflect an appropriate logic and the provision of corresponding guideposts to control them and to facilitate finding them.

Card File. An orderly arrangement of selected items of information recorded on separate cards.

Case File. Records, kept together, dealing with a particular transaction or with closely related transactions.

Central Files. The file of several offices or organizational units physically and/or functionally centralized and supervised in one location.

Charge Out. The procedure of recording material loaned out of the files.

Classification List. A list of subjects in their order of arrangement within the file.

Copy. A reproduction of the contents of an original document, prepared simultaneously or separately, usually identified by function or by method of creation. Copies identified by function may include action copy, comeback copy, file or record copy, information or reference copy, and official copy. Copies identified by method of creation include carbon copy, mimeograph copy, ribbon copy, and electrostatic copy.

Cubic Foot. The measurement used for storing records, archives, and manuscripts. It is that volume of records which fills a space one foot high by one foot wide by one foot long.
Cross Reference. A notation in a file or on a list showing that a record has been stored elsewhere.

Current Files Area (CFA). The designated area, usually the working office, where records in frequent use are maintained. In addition to records being accumulated in the present year, accumulations of the series cut off in previous years may also be found in this area.

Cut Off. To discontinue, at specified intervals, placing files in existing folders. All new material is placed in a new set of folders. The purpose of cutting off files is to remove them from the Current Files Area as soon as possible and transfer them to a low-cost storage area. The cut-off is stipulated in the records retention schedule and usually takes place annually at the end of the calendar year.

Disposition. (1) Determination whether records shall be retained, transferred, or disposed of. (2) The action taken upon the making of such a determination.

Files. A collective term usually applied to all records of an office or agency.

Filing System. A plan for organizing and identifying records so they can be found quickly when needed.

Fiscal Year. (1) A twelve-month period usually beginning July 1 and ending June 30. (2) A cut-off period when records are transferred.

Guide. A tab, placed on a heavy weight card with a heading used to subdivide the contents of a drawer; helpful in filing and locating records.

Microfiche. Miniaturized images arranged in rows that form a grid pattern on cardsize transparent sheet film.

Microfilm. A negative or positive microphotograph on film. The term is usually applied to a sheet of film or to a long strip or roll of film that is 16mm, 35mm, 70mm, or 105mm in width and on which there is a series of microphotographs.

Microform. A generic term describing any miniaturized form containing microimages, e.g., microfische, aperture card, microfilm, and similar media.

Misfile. (1) To place a record under the wrong file designation or in a wrong file sequence or position. (2) A record filed under an incorrect file designation or in improper sequence or position.

Printout. A computer listing of information on paper.

Public Records. (1) In general usage, records accumulated by government agencies. (2) Records open to public inspection by law or custom.
**Reader.** Device for viewing an enlarged microimage with the unaided eye.

**Records.** All documents, papers, books (except books in formally-organized libraries), maps, drawings, cards, charts, letters, photographs, microfilm, magnetic tape, or a copy or printout thereof and other materials regardless of physical form or characteristics made or received pursuant to law or ordinance or in performance of functions by an agency.

**Records Cycle.** The steps that a record passes through from its creation to its final use. The steps are creation, use, storage, retention, transfer, and disposal.

**Records Disposition Officer.** The agency official responsible for operation of an agency-wide records disposition program.

**Records Management.** That area of general administrative management concerned with achieving economy and efficiency in the creation, use and maintenance, and disposition of records, and assuring that needless records will not be created or kept and that valuable records will be preserved.

**Records Retention Schedule.** (1) The disposition instructions for stipulated accumulations of a file series. (2) A compilation, in catalog format, listing all records and their approved disposition within the organization.

**Reference Analysis.** A breakdown of the number of times within a given period that a specific file or collection of items is used.

**Relative Index.** An alphabetical listing of subjects in the file indexing those subjects to their correct classification and location within the filing arrangement.

**Retention Period.** The time period for particular records to be kept.

**Retrieval.** The technique of searching documents collection to recover specific documents or information.

**Scheduling.** The determination of what will happen to a record series. A retention schedule is a time table stating how long the series will be kept, when it will be moved to a holding area, records center, or archives, and its ultimate disposition. Retention schedules ensure the orderly movement of records from high-cost office areas to low-cost storage areas and control over the record-keeping process.

**Subject Files.** Records arranged and indexed by their intrinsic content, rather than addresses, dates, or other characteristics.

**Vital Record.** Any record vital to the resumption and/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 the citizens of the state.
APPENDIX D

RULES OF ALPHABETICAL FILING

Personal Names

A. Names of individuals are transposed for filing purposes: Last name (surname); first name (given name) or initial; middle name or initial.

Example: Robert H. Harris - filed Harris, Robert H.

B. Prefixes on surnames (D', d', del, L', M', Mac, Mc, St., Van and others) are considered inseparable parts of the surname and will be filed as through written as one. M', Mac, Mc are filed in strict alphabetical sequence.

Example: Benny MacDonald - filed MacDonald, Benny
Joan McCall - McCall, Joan
Howard Van Dyke - Van Dyke, Howard

C. Hyphenated surnames of individuals are filed as one complete surname.

Example: John Taylor-White - filed Taylor-White, John

D. Undetermined surnames will be filed as they are written when it is not possible to determine the surname.

Example: Henry George

E. Married women's names. The legal name will be used and the husband's name, if known, will be cross-referenced. (The legal name consists of first name, maiden surname and the husband's surname (Ann Jones Higgins) or her first name, middle name, and the husband's surname (Ann Marie Higgins).

Example: Ann Jones Higgins - filed Higgins, Ann Jones (Mrs.)
(Mrs. James E.)
Cross Reference - Higgins, James E. (Mrs.)
filed Higgins, Ann Jones (Mrs.)

F. Abbreviated first names are filed as though they were spelled in full.

Example: Chas. Jones - filed Jones, Charles

G. Nicknames followed by recognizable surnames are filed under the surname and the nickname is used as the first name. Nicknames with no recognizable surnames are filed as they are written.

Example: Red Jackson - filed Jackson, Red
Boston Jimmy - Boston, Jimmy
H. Titles or degrees of individuals, whether preceding or following the surnames, are placed in parentheses following the name and disregarded in filing (courtesy titles: Mr., Madam; official titles: Governor, Mayor; professional title: Dr., Prof.; titles of respect: Reverend, Honorable.) Titles followed by one or more names not recognizable as surnames are filed in order as written.

Example: Dr. Henry G. Williams - filed Williams, Henry G. (Dr.)
Father James - files Father James

I. Abbreviated designations such as Sr., Jr., appearing as part of a name are disregarded in filing but are shown in parentheses following the name.

Example: A. William Corbett, Jr. - filed Corbett, A. William (Jr.)

**Firms, Institutions, Government, and Geographical Names**

A. Coined names of firms, including trade names composed of separate letters or a single word, are filed as written, except when they embody the full names of individuals.

Example: AAA Chemical Co. - filed AAA Chemical Company
Aunt Jemina's Pancake Flour - filed Aunt Jemina's Pancake Flour

B. Surnames are used for filing when the full name of an individual is embodied in a firm or organization name: surname first, with the first name or initial immediately following and the balance of the name as written. Rules for personal names apply.

Example: Richard A. Miller & Company - filed Miller, Richard A. (&) Company

C. Prefixes on firm and geographical names such as D', d, Mac, Mc, O', and Van are considered inseparable parts of the names and will be filed as though written as one word.

Example: De la Verne Company - filed De la Verne Company
LaGrange, GA. - filed LaGrange, Georgia

D. Hyphenated firm names are filed as one complete name.

Example: Av-E-Ator Hang Glider Company - filed Av-E-Ator Hang Glider Company

E. Compound names which may be spelled either as one or two words are filed as one word. This rule must be restricted to a few frequently occurring words such as Inter State, Mid West, South Eastern, South Side.

Example: Inter State Warehousing Co. - filed Inter-State Warehousing Co.
F. Compound geographical firm names are filed as written. Abbreviations are filed as though spelled in full.

Example: Ft. Benning Military Reservation - filed Fort Benning Military Reservation

G. Abbreviations representing names or parts of names of government agencies or locations are filed as though spelled in full.

Example: Lt.-Gov. - filed Lieutenant-Governor

W. Peachtree Street - filed West Peachtree Street

H. Articles, conjunctions or prepositions such as "the, and, for," or "by" are disregarded in filing when they are part of the agency name and is enclosed in parentheses.

Example: The Attorney General - filed Attorney General, (The)

I. State, county, city, town or a similar word is filed as written when appearing as the first word of the name of the firm, institution, etc., and not referring to a government establishment.

J. Numerals of one or two digits which comprise a name are read in units and tens and are filed as though spelled out. A name with three or four digits is read in hundreds.

Example: 47 Trinity Avenue - filed Forty-seven Trinity Avenue

330 Capitol Avenue - filed Three hundred thirty Capitol Avenue

K. Firm names beginning with such phrases as Board of, Bureau of, or Commission for, which do not refer to any state function, are as filed as written.

Example: Bureau of Religious Training - filed Bureau of Religious Training

L. Change of firm name due to successorship should be filed under the current firm name and a cross-reference made under the former name.

Example: Harris Equipment Co. formerly Lawrence Supplies - filed Harris Equipment Co. (formerly Lawrence Supplies)

Cross-reference: Lawrence Supplies - filed Harris Equipment Co.

M. Multiple names: Firms doing business under two titles are filed under the more active or important name and a cross-reference is made under the other name. This includes firms "doing business as," written "d/b/a."

Example: Harry Jackson doing business as Harry's Print Shop - filed Harry Print Shop

Cross-reference: Jackson, Harry d/b/a/ Harry's Print Shop
N. Partnership and firm names, which contain the full names of two or more individuals, are filed by the name of the first individual mentioned.

Example: James Green & Adam Hall - filed Green, James ( & Adam Hall)

O. Various locations: The same agency appearing at various locations is filed by name of agency and then by city.

Example: Department of Human Resources: Employees Health Service, Atlanta Ga. Retardation Ctr. Chamblee

P. State department names: Agencies of state government are filed by name in alphabetical name file.

Example: Henry Grady Memorial Hospital - filed Grady, Henry Memorial Hospital

Q. Governmental subdivisions: Subdivisions of state, county, or municipal governments, such as departments, boards, commissions, etc., are entered after the name of the state, city, or county and are filed as the second and third units.

Example: Tourist Division, Georgia Dept. of Community Development - filed Community Development, Georgia Dept. (of) Tourist Division

R. Subsidiaries or divisions: Firms having subsidiaries or divisions may be filed either by name of the parent organization or by name of divisions. Whichever form is adopted should be followed consistently. Affiliations should be cross-referenced under either method.

Example: Truscon Steel Co. Division of Republic Steel Corp. - filed Republic Steel Corporation, Truscon Steel Co. Division

S. Banks, boards of trade, newspapers, etc.: Since the names of many banks, boards of trade, chambers of commerce, and newspapers are alike, the city is the identifying word. They are therefore filed by location: city first, the state in parentheses, followed by the name of the bank, board of trade, etc.

Example: Board of Trade, Chicago, Ill. - filed Chicago, (Ill.) Board of Trade.

Federal department names: Federal government departments and subdivisions thereof are filed by name in the alphabetical name file, disregarding the parent organization.
Example: Bureau of Budget - filed Budget, Bureau (of)
U.S. Coast Guard - filed Coast Guard (U.S.)
Office of Emergency Management - filed Emergency Management Office (of)
Great Lakes Naval Training Station - filed Great Lakes Naval Training Station
Executive Office of the President - filed President, Executive Office (of the)
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