



Tennessee Secretary of State Records Management Division

ELECTRONIC RECORDS INVENTORY WORKSHEET PART ONE

1. Department/Division	2. Allotment Code	3. Cost Center	4. Edison Speedchart #
5. Contact Person Phone Number	6. Systems Analyst Name Phone Number		
7. ECM Analyst Name Phone Number	8. Date Completed		

DESCRIPTION OF ELECTRONIC RECORDS SERIES

9a. Electronic Record Series Title _____	b. RDA # Assigned <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, indicate RDA # _____ <input type="checkbox"/> Paper _____ <input type="checkbox"/> Electronic	c. Indicate at which level system is used: <input type="checkbox"/> State <input type="checkbox"/> Department <input type="checkbox"/> Desktop
10. Classification: <input type="checkbox"/> Essential <input type="checkbox"/> Non-Essential		
11. Security Class: <input type="checkbox"/> Public Electronic Record <input type="checkbox"/> Confidential Electronic Record		
12. Purpose of Records Series _____		
13. Description of Records Series (Attach samples. Attach additional sheet for description, if needed. Include acronym, if applicable)		

ELECTRONIC RECORDS PLAN INVENTORY

14. System Name	15. IT-ABC Number
16. Hardware Environment Description	
17. Software Environment Description	
18. Physical System Location	
19. Backup Procedures (Include the storage medium, location and frequency)	
20. Disaster Recovery Procedures	

METADATA DESCRIPTION

21.

Name	Retention Period	File Format

**INSTRUCTIONS FOR COMPLETING ELECTRONIC RECORDS INVENTORY WORKSHEET
PART ONE**

1. Enter the Department and Division who has ownership of the record series.
2. Enter the Division's five-digit allotment code. (If not yet using Edison)
3. Enter the Division's cost center number or index code. (If not yet using Edison)
4. Enter the Edison Speedchart number.
5. List the name and phone number of the contact person assigned to this electronic record series.
6. List the name of the Information Systems Analyst assigned to this electronic record series.
7. List the name of the Electronic Records Content (ECM) Analyst assigned to this electronic record series and the contact phone number.
8. Indicate the date the Inventory Worksheet was completed.
9. a) List the Record Series Title
b) Indicate if there is an assigned Records Disposition Authorization (RDA) number, and if yes, write in the number.
c) Indicate whether the system is used at the State, Departmental or Desktop level.
10. Indicate if the record is classified as Essential or Non-Essential.
11. Indicate if the record is classified as a Public Electronic Record or a Confidential Electronic Record
12. Give a brief (approximately one sentence) description of the purpose of the electronic records series.
13. Give a brief (approximately one paragraph) description of the electronic records series. Attach samples. Attach additional sheet for description, if needed. Include acronym(s), if applicable.
14. Indicate the name of the system in which the record is stored.
15. List the IT-ABC number assigned.
16. Describe the hardware environment.
17. Describe the software environment.
18. Indicate the physical location where records are stored.
19. Describe the backup procedures in place. Include the medium, location and frequency.
20. Describe the disaster recovery procedures in place for this electronic records series.
21. For each record series included in the inventory, provide type, length and format

**ELECTRONIC RECORDS INVENTORY WORKSHEET
PART TWO**

Department/Division	Record Series Title:
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RECORDS MANAGEMENT INFORMATION
(to be completed by Records Officer or Coordinator)

1. What is the date range of the record series? (Indicate oldest & newest date: mm/yy) From ____ / ____ To ____ / ____ or current

2. What is the current amount of storage per records series? _____ gigabytes terabytes other (indicate) _____
 What is the expected amount of storage accumulation per year? _____ gigabytes terabytes other (indicate) _____

3. Is the information shared with other state agencies or organizations outside the state? yes no
 If yes, list agencies and/or organization(s) _____

4. Is data converted to paper or microform? yes no If yes, indicate the media _____

5. Indicate data value(s) Administrative Fiscal Legal Historical Evidential

6. Is the information subject to a fiscal audit? yes no If yes, indicate if required by Federal State or Both

7. Is the data/record required by Federal or State statute? yes no
 If yes, cite statute: TCA: _____ Retention Period: _____ and attach copy of statute:
 CFR: _____ Retention Period: _____ and attach copy of statute:
 Other _____

8. Is the data essential to your operation? yes no

9. Is this information confidential? yes no If yes, cite statute stating confidentiality: _____

10. How often is the data updated? _____ (daily, weekly, monthly, yearly)

11. How often is the record series referenced? (indicate number of references) _____ Current year Ref./Monthly;
 _____ Past Year Ref./Monthly; _____ 2 thru 5 years Ref./Monthly; _____ Over 5 years Ref./Monthly

12. Recommended Disposition of record series: The files are to be cut off at the end of each
 calendar year fiscal year other If other, specify _____ then,
 maintain in agency _____ months _____ years, then;
 convert to (indicate media): _____
 transfer to the State Records Center; Hold ____ years, then;
 Destroy
 Destroy after _____
 Destroy when _____
 Maintain permanently
 Transfer to Tennessee State Library and Archives.
 Backup tape/copy disposition will follow State-Wide RDA #10115.
 Other (specify) _____

13. Justify the recommended disposition as stated above:

This Inventory Worksheet has been reviewed and approved by the Agency Records & Forms Review Committee.

Chairperson Signature _____ Division Director Signature _____
 Records Officer Signature _____ ISM Director Signature _____

**ELECTRONIC RECORDS INVENTORY WORKSHEET
PART TWO**

1. Indicate the beginning and ending (from and to) date range of the record series by completing the blanks. If the record series is still being created, use the word "current" for ending date.
2. Indicate the current volume per record series. In addition, indicate the expected annual volume accumulation per record series.
3. Indicate if the record series information is shared with other organizations by checking the appropriate box(es) and listing the organization who shares the data.
4. Indicate if the record series is converted to paper or microform by checking the appropriate box
5. Indicate the type or types of values the record series has for your organization by checking the appropriate box(es).
6. Indicate if the record series is subject to state or federal (or both) audits by checking the appropriate box(es).
7. If the data/record series is required by federal or state statute, cite the statute and the retention period in which the data/record series is to be maintained. Attach a copy of the statute to the worksheet.
8. Indicate if the record series is essential (vital) by checking the appropriate box.
9. Indicate if the record series is confidential by checking the appropriate box. If the record series is confidential, list the statute classifying the records series as confidential.
10. Indicate how often the record series is updated.
11. Indicate how often the record series is referenced.
12. Recommended Disposition of records: This item on the inventory worksheet should reflect your Records and Forms Review Committee's recommendation for the disposition of the record series based on the value of the records and how long the records are needed to conduct state business and under what condition if any the records series are to be destroyed. Indicate when the record series is to be cut off by checking either calendar, fiscal or other (if other, specify) then indicate how long the record series is to remain in the agency after it is cut off by entering the appropriate information for month(s) and year(s). Indicate if the record series will be transferred to the State Records Center and for how long. Indicate if the record series can be destroyed at this point or indicate special instructions for the disposal of the records series.
13. State or justify the reason for the recommended disposition as stated in the above question.

After the completion and review of this inventory worksheet, it is to be signed by the Records and Forms Review Committee, Chairperson, the Division Director, Records Officer and the ISM Director.

GLOSSARY OF TERMS

administrative	value defined as the importance or usefulness of records to assist the agency in performing its primary function.
archive	the act of transferring inactive electronic information to near-line or off-line storage.
Backup	Creating a copy of a computer file or data for use in case the original is lost, damaged or destroyed.
Confidential Electronic Record	any electronic record which has been designated as confidential in its entirety or portions of which have been designated as confidential by state law and/or federal law and includes information or matters or records considered to be privileged and any aspect of which access by the general public has been generally denied.
data file	a computer-processable file which stores quantitative values, possibly accompanied by textual information.
DB2 Relational	the IBM mainframe relational database management system.
DIF	DATA INTERCHANGE FORMAT; spreadsheet software package which can import or export files in the worksheet format. DIF was developed and popularized by Visicorp.
diskettes	platter-shaped magnetic recording media with flexible substrates; also termed floppy disks.
EBCDIC	Extended Binary Coded Decimal Interchange Code; a coding scheme specifies bit patterns for computer processable information.
electronic records	records that contain machine-readable, as opposed to human-readable, information.
FFT	FINAL-FORM TEXT document; a document with special print formatting codes to allow you to print the document with programs other than DW4 V2.
fiscal value	defined as the importance or usefulness of records in case of financial investigation or audit.
fixed magnetic disk	the most common type of hard disk drive. A magnetic disk drive with nonremovable, rigid platters.
historical value	defined as the importance or usefulness of records to document important past events.
image file	a file which contains computer-processable images.
IMS/DB	INFORMATION MANAGEMENT SYSTEM; The IMS/DB is a hierarchical database management system.
INFOPAC	an output management software used for Report Distribution; On-line Viewing and Archival/Retrieval.
inventory worksheet	a document used to monitor and measure the usefulness of records.
legal value	the importance or usefulness of records to comply with legal requirements for maintaining information or to provide protection for an agency or State in case of litigation or investigation.
media objects	on which data can be stored. Examples include floppy disks, cd-rom, hard disk and tapes.
medium	anything (such as a magnetic disk) on which information may be stored.
Public Electronic Record	any electronic record that is not exempt from public inspection according to the provisions of state and/or federal law.
record series	a group of similar or related records that are used and filed together as a unit. A record series is generally evaluated as a unit for determining the records retention period.
rewritable optical	type of optical disk which permits erasure and overwriting of previously recorded information.
RFT	REVISABLE-FORM TEXT: a form that documents are converted into before interchange can occur with other programs that support revisable form text.
source documents	paper documents which contain information to be converted to electronic records.
text file	a computer file which contains character-coded representations of letters of the alphabet, numeric digits, punctuation marks and other symbols encountered in typewritten documents. Text files may be created by word processing programs, electronic messaging programs or other computer software.
vital record	a record necessary to continue the operation of an agency in case of disaster or emergency.
working/active	Data or computer files currently in use.
write-once read many	(WORM) a type of optical disk in which information can be recorded once but can be read many times.