Tennessee ◆ Records ◆ Administration ◆ Information ◆ Newsletter

TRAIN

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How Secure are Your Records?

In Nashville, a flight attendant hired a nanny to watch her two children and her home. The nanny preceded to open 14 charge accounts and bought several cars in the attendant's name. Bills were intercepted by the nanny so payments were not made. Only when the attendant finally received mail one day did she realize that her identity had been stolen. In Phoenix, a burglar allegedly lifted a computer from a healthcare association that holds key personal information, including Social Security numbers and health records of 500,000 U.S. Defense Dept. employees from 16 Western states. In Long Island, N. Y., a low-level clerk at a tech company has been charged with downloading 30,000 credit reports without authorization and selling them to two accomplices for $60 apiece to assist a wide-ranging identity-theft caper. And at Boston College, authorities say a computer-science student installed software to grab keystrokes on hundreds of campus computers to harvest personal information. They allege that he nabbed key data input by thousands of professors, staff, and fellow students, including hundreds of Social Security numbers. These incidents occurred within the last nine months.

Most states have enacted identity-theft laws. In 1999, Tennessee enacted T.C.A 39-14-150 which indicates that "(a) A person commits identity theft who knowingly transfers or uses, without lawful authority, a means of identification of another person with the intent to commit, or otherwise promote, carry on, or facilitate any unlawful activity, (b) As used in this section, "means of identification" means any name or number that may be used, alone or in conjunction with any other information, to identify a specific individual, including: (1) Name, social security number, date of birth, official state or government issued driver license or identification number, alien registration number, passport number, employer or taxpayer identification number; (2) Unique biometric data, such as fingerprint, voice print, retina or iris image, or other unique physical representation; (3) Unique electronic identification number, address, routing code or other personal identifying data which enables an individual to obtain merchandise or service or to otherwise financially encumber the legitimate possessor of the iden-

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So You're thinking about Electronic Records….

For years electronic records have been talked about and the paperless office has been everyone's dream; no more piles of papers. As we are getting closer to the reality of having a paperless office, these are a few points to remember as you ponder the decision.

- Review and make revisions for access levels, high security records, training, auditing, and monitoring.
- Make sure that you can delete duplicate information – Remember all users should not have delete rights.
- The system should allow you to scan information. State agencies will need to scan information containing signatures, such as applications, administrative/legal forms, advance directives (such as living wills), receipts of goods, letters from clients, and e-mails.
- Additional computers may be necessary for convenience and to resolve printing problems.
- One needs to make a printing policy and address who will have access to printing. You don't want to move to an electronic system and still have duplicate information.
- The agencies should continue to standardize forms and you may want a system that can barcode the kind of forms you use.
- You should have RDAs for applicable forms and know how long this information needs to be maintained.
- Do not forget to train employees on confidentiality and HIPAA laws.

If you decide to implement an electronic records system, your benefits will include quick and easy access to information, reduction of lost records, improvements in the security of records, and the elimination of the need for file storage space.

I hope this article will help your agency manage electronic records now and in the future.

By Alice Drummond

Mark Your Calendar!
October 16, 2003
RMD Eleventh Annual
Fall Seminar

Look for Details

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How Secure are Your Records

tifying data; or (4) Telecommunication identifying information or access device. (c) A violation of this section is a Class D felony." By the way, sentencing for this type of felony is not less than two (2) years nor more than twelve (12) years. In addition, the jury may assess a fine not to exceed five thousand dollars ($5,000), unless otherwise provided by statute. Good for Tennesseans. Bad for the criminal……if caught!

According to Alex Salkever of *BusinessWeek*, "the federal government passed the Fair Credit Reporting Act in 1996, which gives individuals better access to their credit reports. And Uncle Sam made identity theft a federal crime in 1998. However, none of these measures has reduced the amount of ID thefts. According to numbers collected by the Federal Trade Commission, reports of identity theft rose by 88% last year to 380,000 from 220,000 in 2001. The real total could be closer to 1 million victims, considering that many don't bother to report their situation to the FTC. Unfortunately, the trend is crystal clear: Identity theft will grow more common in the next year. Usually, victims don't realize that someone has started using their identity until 14 months after the fact." Now that's a sobering fact.

So what does any of this have to do with records? Businesses can become victims of identity theft just as certain as individuals. How well you manage your records, how alert you and your co-workers are to policies and procedures of the business will determine if the business indeed becomes a victim and how much it will cost in money, time and aggravation. Simple things like following procedures, asking all employees to become aware of surroundings and asking employees to communicate their suspicions will help to mitigate potential losses.

Individuals need to safeguard their records as well. Here are a few steps to secure your identity:

- Never have your Social Security # printed on your checks.
- When you are writing checks to pay on your credit card accounts, DO NOT PUT the complete account number on the "For" line. Instead, just put the last four numbers. The credit card company knows the rest of the number and anyone who might be handling your check as it passes through all the check processing channels won't have access to it. Most online payments do this for you.
- If you have a PO Box, use that instead of your home address.
- Photocopy the contents of your wallet. Do both sides of each license, credit card, etc. You will know what you had in your wallet and all of the account numbers and phone numbers to call and cancel. Keep the photocopy in a safe place.
- Also carry a photocopy of your passport when traveling either here or abroad.

An excellent site if you have your identity stolen http://www.consumer.gov/idtheft/index.html

Identity theft. Be alert. Don't become a victim.

By Donna Bridges

Dear TRAIN:

Is my department required to have a Records and Forms Review Committee?

Yes. Executive Order 38 states that the commissioner of each state department and chief executive of each executive body not assigned cabinet or departmental status establish a "Records and Forms Review Committee". The Commissioner should notify the Commissioner of General Services in writing of the committee members, chairperson and any updates to the committee. The committee should be composed of representatives selected by the commissioner or chief executive to include the records officer, forms officer and sys-

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"Electronic Records Archive of the Future"

The concept of an effective record and information management program is relatively constant and has not changed that much over the years. Right now, the bridge between the past and the present can be navigated. Records documenting events and actions taken by individuals can pass a battery of tests for authenticity and accuracy. However, in the near future, time travel to the past relative to electronic records might not be so easy, and the trustworthiness of the records will certainly be a concern, or will it? For example, it is well known that some of NASA's early program records have deteriorated, or cannot be accessed because they were created in an electronic format and were never migrated to the next generation systems or programs. That information is now lost forever.

Technology is such a beautiful thing. (Virtually, everything we touch today has a computer chip embedded somewhere within it). Particularly, when it does what it is supposed to do. When it doesn't, it's like being in quicksand and no one seems to be willing to throw you a rope to help you get out. However, without information technology many government agencies would collapse. If they did collapse, citizens would be screaming bloody murder and demanding that someone pay for the technological debacle in the form of public executions, and certainly demand that the individual or individuals responsible for the program failure be fired and run out of town in quick fashion.

But let's assume government systems are efficient and well maintained, and there is little chance of system failures or hackers hacking, or viruses eating their way through the many walls of defense constructed by the IT staff. We go about our business adding new systems, upgrading, discarding old ones, and everyone's happy. But there is still an important question that remains to be answered. With the advent of ever changing technology, how will future generations access records created electronically today?

It's a good chance that the answer to the above question lies with the National Archives, the San Diego Supercomputer Center and the Georgia Tech Research Institute. The National Archives has taken a bold step in trying to solve a major problem. They know that a solution has to be found for the preservation and accessibility of electronic records generated in any format that might be obsolete, but still has historical value. The group has been working on an Electronic Records Archives system, which will be a comprehensive, systematic, and dynamic means for preserving virtually any kind of electronic record, free from dependence on any specific hardware or software. It appears as if this system, at least from a researcher's viewpoint, will eliminate "we no longer can access the data syndrome". This system will have the ability to access and read

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tems analyst.

Dear TRAIN:

Does my department receive a notice before my records are to be destroyed?

Yes. Even though the retention schedule specifies when records are to be destroyed, a "Notice of Pending Records Destruction" will be sent to the Agency Records Officer prior to expiration of the retention period of records stored in the Records Center. This action is taken to allow the agency ample time to notify the center of any pending actions relating to the records scheduled for destruction. Agency must respond in writing within 30 days to defer action.

Dear TRAIN:

How does Records Center storage differ from Tennessee State Library and Archives Storage?

Records Center storage is for records that are inactive or have permanent retention. TSLA storage is reserved for those records having archival value. Title to any record transferred to the State Records Center will remain with the agency transferring such records to the Records Center. Title to any record transferred to TSLA is vested in TSLA.

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"Electronic Records Archive of the Future"

the original data from both old and new systems.

For some, this might not seem like a big deal. If this system works, it will obviously be a tremendous breakthrough for Records Managers, Archivist and researchers. It will also be an asset to Information Systems Managers as well.

For more information on the National Archives' "Electronic Records Archives" you can visit the following sites:

www.sdsc.edu/NARA
InterPARES www.interpares.org/
www.is.gseis.ucla.edu/us-interpares/
Open Archival Information System
www.ssdoo.gsfc.nasa.gov/nost/isoas/

By Chester Hughes

New on the RMD Website:

Tennessee Rules of Evidence

Personal Privacy and the State

In 2002, *The Privacy Journal* compiled a Compilation of State and Federal Privacy laws which ranks fifty states and the District of Columbia regarding personal privacy protection. So how does the State of Tennessee rank in terms of personal privacy and its privacy laws? Let's take a look.

The *Privacy Journal* considered the following factors in terms of rankings:

- Is a right to privacy included in a State's constitution?
- Do privacy statutes exist?
- Is access to a patient's own medical records permitted?
- Are library records confidential?
- Are State agencies limited by how much information may be disclosed to the public?
- Are bank records confidential?
- Are there State statutes protecting credit records?
- Are innocent people's arrest records erased or do these records have significant privacy protection?

Compared to other states, Tennessee fell within the fourth tier ranking along with Alabama, District of Columbia, North Dakota, Nebraska, New Hampshire, New Mexico, Pennsylvania, South Carolina, and West Virginia.

The journal placed California and Minnesota first. Both ranked 33% higher than the State that ranked next.

You may reference Tennessee Code Annotated 10-7-504 which specifies which records are considered public confidential. You may contact your State Representative if you feel additional personal privacy protection is needed.

By Carolyn Jamison

UT Knoxville Records Center is Housing State Records

During its meeting in December 2001, The Public Records Commission (PRC) designated UT Knoxville as an alternative State Records Center for storing state records. This should prove useful to agencies with divisions/departments in the Knoxville area and/or East Tennessee.

Currently, the Dept of Human Services is the only agency

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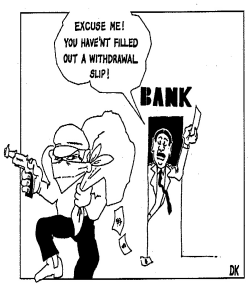
UT Knoxville Records Center

using the facility. In these strict budgetary times, using the UTK Record Center would 1) save the cost of shipping records to Nashville and 2) would allow agencies to have records close to them. Also, existing RDAs are enforced by the staff of UTK RC for state records. They follow the same procedures as the State Records Center in Nashville regarding access to agency records.

If anyone would like a tour of the facility, contact Debbie Keck, UTK Records Manager. Ms. Keck will arrange for a tour and discuss storage cost. She can be reached in Knoxville at (865) 974-6328 or on email: dkeck@utk.edu

By Donna Bridges



Records Management Training

The goal of our Records Management Training is to provide information and procedures for retention schedules, record related laws, electronic records, forms, publication guidelines, disaster planning and other related topics. The classes are designed for Records Officers and Records Clerks but we allow anyone working with records to attend. Changes and updates occur in records management periodically. Therefore, we encourage persons responsible for records management to take advantage of these informational classes.

We regret having to suspend travel to cities across Tennessee due to the current state financial constraints. We hope to resume these classes in the near future. In the meantime, we offer classes each month at the Records Center on Cowan Street. The schedule for the next three (3) months is as follows: July 23, 2003, August 13, 2003, and September 24, 2003. Classes are from 8:00 a.m. until 3:30 p.m. The Records Officer will be notified each month of these classes. It is important that each department have newly appointed personnel attend. We also offer customized classes for agencies upon request. We will come to the department for these presentations. For additional questions and to register for training, please contact: Claude.Cartwright@state.tn.us or Thomas.Oduor@state.tn.us

By Claude Cartwright

It's Coming, It's Coming!!!

"Where in the world is our new records management software?" "Ooohh, that webpiece is so much easier to use than REM." " You mean I won't have to sign a zillion pieces of paper to get one box from the Record Center?"

These are just a few comments or questions agency employees have given in regard to receiving and testing the new records management application. We had hoped it would be in production by this issue but we ran into a few unexpected bugs. The vendor (Documentum - formerly TrueArc), OIR, Department of General Services Information Services and the Records Management Division are working diligently to bring you the best possible solution to TRACES. We think you'll find it worth the wait. We'll let you know just as soon as it's available.

Thank you for your patience and cooperation.

By Donna Bridges

Don't Become Victimized by Property Loss; Be Prepared

I recently came across an article concerning Hurricane Andrew that devastated south Florida on August 16, 1992. The tragic aftermath of Hurricane Andrew changed the demographics of south Florida on a large scale. Individuals and families were so traumatized by the loss of their property and possessions that many families elected not to rebuild but to resettle farther north. A recent article written by a psychologists studying the effects of storm related trauma, emphasized that people often have great difficulty dealing with and overcoming their loss.

Lives become changed overnight. Individuals face not only the overwhelming loss of their possessions but often become burdened with greater financial debt. The stress and strain of dealing with personal loss often breaks families apart.

We do not experience hurricanes in Tennessee but we often see the tragic aftermath of tornadoes and flood damage. So what can we do to lessen the trauma incurred from a weather related event?

Begin by exploring your insurance coverage. Read your homeowners' policy thoroughly. Call your insurance agent and ask questions to make sure that you have adequate coverage. Some questions to ask are:

1. Is my coverage sufficient to allow me to rebuild my home or business at today's costs? Replacement Cost Value is the term that the insurance industry uses. For example, if your home cost $80,000 to build thirty years ago, it would more than likely cost at least two thirds more to build at today's inflation rate. Paying an additional premium for Replacement Cost Value coverage ensures that should your home become totaled due to a fire or storm, you would not suffer an additional economic loss when you rebuild.

2. Will I receive a fair replacement value for my personal property? Bear in mind that many items you take for granted may not be covered under your homeowner's insurance policy. High value items such as jewelry, coin collections, handguns, boats, etc. require a separate floater.

3. What type of information will my insurance agent require as to proof of ownership and value of personal property? One of the best ways to ensure a higher replacement value for personal property is to videotape the inside and outside of your home. The videotape should then be stored at an off-site location, if possible. Another way is to prepare an inventory book, listing your most valued possessions. It is difficult to remember those items of value that were stored away in closets and attics.

4. Does my homeowner's insurance cover flood damage, earthquake damage, etc? Or do I need a separate floater? Many homeowners' policies do not automatically cover earthquake damage. Flood damage is never covered by a standard homeowner's policy. Flood insurance is obtained only through the federal government flood program. If you live in a floodplain, talk with your agent. Your agent may be able to attach a flood clause to your policy that is underwritten by the federal government.

5. Does my homeowner's insurance provide a stipend for living expenses while my home is being repaired or rebuilt?

6. Does my renter's insurance provide adequate coverage?

7. Does my automobile insurance cover when damage occurs as a result of a tornado, water damage from flooding, etc.?

8. Does the insurance coverage on my home business cover items needed, e.g., desks, file cabinets, computers, etc.?

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What about the emotional toil that often follows a devastating storm event? Many people become so overwhelmed by their loss that they lose the ability to function. Emotional trauma can take its toil in loss of sleep, ability to concentrate, and inability to make decisions.

Some steps to take to ease oneself through the difficult coping process are:

- Talk with your physician. Sometimes a mild sedative can help calm frazzled nerves.
- Take advantage of federal and community programs that offer financial assistance.
- Be a friend and neighbor. Offer to help your devastated neighbor or friend with cleanup, a good meal, assistance in completing forms, transportation, childcare, etc.
- Consult with experts concerning insurance questions or problems.
- Make sure that contractors used are licensed by the State of Tennessee.

By Linda Frankum

Forms Design Standards

Listed below are the design standards which should be applied to all forms when they are designed as new forms or when they are revised. This includes forms that are used internal as well as forms that are sent to other agencies or outside of state government. It also includes forms designed on computers. Regardless of where the forms are printed, these standards should be applied.

- Form Number. The state form number is printed in the lower left corner of the form. The state form number must be on all sheets of a multi-page form.
- RDA Number. The state RDA number is printed in the lower right corner of the form. The RDA number shall have the following construction: RDA NNNN (four or five digit number) or the notation "RDA PENDING" if the RDA is in the approval process.
- Dates. Revision dates are placed on all forms immediately following the state form number, i.e. GS-0704 (Rev. 12/98)
- Form Title. The title for a form should be brief and clearly state the function or purpose of the form. Words such as "form" or "sheet" are not used in the title of a form.
- Box Design. The box design arrangement is the most efficient design for variable data entry. The captions should be in the upper left corner of each box.
- Column Headings. These should be in all caps.
- Ballot Boxes. This feature should be used when the information requested can be answered in one word. The ballot box precedes the answer and should be aligned with other ballot boxes for ease of entry.
- Spacing. Spacing design must be for ease of completion.
- Instructions. Instructions should be printed on the form. These should be brief but leave no doubt about what is to be done and by whom.
- Distribution. Forms parts distribution should be printed at the bottom of the form and printed on every copy of the form.
- Personalization. Agencies shall not print names of individuals on forms (exceptions are the Governor and Commissioners). Print the names of departments and division or titles.
- Prenumbered Forms. Use prenumbered forms only if control is essential to the system. Allow a space of 1 ¾" x 1" to accommodate the numbering head on the press, if used. Recommended position is upper right corner.

Records Officer of the Year

The Records Management Division is seeking nominees for the "Records Officer of the Year" award for 2002. All agency Records Officers and Coordinators are eligible for nomination. The nominees will be evaluated according to the following guidelines and criteria developed by the RMD.

Initiative:

Independent problem-solving, self-starter, sound decisions made without close supervision, willingly assumes responsibility for carrying out tasks.

Creativity:

Demonstrated ability to develop new methods and ideas for achieving a desired goal or end result.

Productivity:

Accomplishes tasks in the least amount of time with the best result.

Enhancement of Department's Image:

Projects positive image while on the job; promotes the spirit of teamwork and dedication and works well with other Records Officers regardless of assignment.

Effort Beyond Job Duty:

Takes related courses outside work hours; achieves accreditation in chosen job area.

Objective/Fair:

Makes decisions based on seeing all sides of situation or issue; unbiased opinion.

One or more of the above criteria must be pertinent to the individuals under consideration for this award. Nominations should be submitted to the Records Management Division by July 15, 2003.

By Donna Bridges

Lifetime Estimates of Various Media (based on American National Standard Institute – ANSI requirements) as of May 13, 2003.

Microfilm

Silver gelatin microfilm (black and white)	
▪ Polyester-base	500 + years (if tightly controlled)
▪ Acetate-base	100 + years
Diazo microfilm	100 + years
Vesicular microfilm	100 + years
Thermally processed silver microfilms	100 + years
Color and other microfilm	not definable
Magnetic Media Harddrives	n/a, often malfunctions
Magnetic tapes (the larger the tape, the less	10 – 30 years
Optical disk: magneto optical	30 – 40 years
CDs: compact disk/dvd (software/hardware	25 years
DVDs – CD-R (non-erasable) (software/hardware become obsolete	75 – 200 years
CDRW, DVDR, DVD-RAM, DVDRW+	50 – 75 years

•RIMM Word Search•

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J	L	K	L	Z	X	F	C	V	B	N	N	M	M	Q	W	E	I	I	R
T	M	A	R	G	O	R	P	U	B	L	I	C	R	E	C	O	R	D	Y

APPRAISAL	NRIMW	INVENTORY
ARCHIVES	OFFSITE	KEYWORD
ARMA	PAPER	LIFECYCLE
AUDIT	PROCEDURE	LITIGATION
CD ROM	PROCLAMATION	MICROFILM
DISPOSITION	CELEBRATION	PROGRAM
E MAIL	CFR	PUBLIC RECORD
ELECTRONIC	COMPUTER	RECORD
HISTORICAL	DISASTER RECOVERY	RECORDS MANAGEMENT
INACTIVE	DISKETTE	RETENTION SCHEDULE

Source: ARMA HQ