Agency Instruction Manual

SMART

State of Missouri Agency Records Tracking SYSTEM

Missouri Office of the Secretary of State
Records Management
(573) 751-3319

PO Box 1747 · Jefferson City, Missouri · 65102
www.sos.mo.gov

February 2017

List of Topics

Topic 1: System Overview

1.1 System capabilities and purpose

1.1.1 The **S**tate of **M**issouri **A**gency **R**ecords **T**racking System, SMART, is a web-based application that requires Internet Explorer. No additional software is necessary.

1.1.2 SMART will track the entire lifecycle of an individual record, including Creation, Delivery, Request, Service, and Disposition. SMART will also manage the entire workflow of storing records at the State Records Center, including printing labels, making pull requests, and generating disposition certificates.

1.1.3 Before anyone can access SMART, users will be assigned a username and generic password by a records analyst. Upon login, users will be required to create a new password meeting these criteria: must be 8-12 characters and use a combination of 3 of the following 4 criteria: uppercase, lowercase, number, and/or special character.

Requirements

1.1.4 While SMART may be accessed through the internet to physically transition boxes to a Records Center facility, there are certain stock materials that will be required.

1.1.4. (a) Records Center boxes – Agencies sending their records to the State Records Center will need to purchase box number 242.SZ – File Box With Flaps 15” x 12” x 10” through Missouri Vocational Enterprises. Other box types/sizes are not accepted.

1.1.4. (b) Box Label Stock – Dimensions: 5” x 3 ½”
Box labels are a critical component. Box Labels hold key information, including:

- owner
- box barcode
- record series information
- total retention length.

Note: *Records Center personnel cannot accept boxes that do not have a box label affixed to them. The label must be in the upper right hand corner, of the box, on an end that has a hand hold. Agencies will need to assume the cost of these labels.*

1.1.4. (c) File Label Stock – Dimensions: 1” x 2 ⅝”
File labels are an important feature. While records management does not currently require that files be labeled with a barcode for most agencies, it is STRONGLY recommend. Records management reserves the right to require barcodes for any agencies that have a high volume of file requests. This will help

agency personnel receive requested files faster and help ensure the accuracy of the file information for a box. Agencies will need to assume the cost of these labels.

Recommendations

1.1.5 While SMART will be accessed online, there are a number of options available which will make the transfer of boxes/files/film to a Records Center facility more efficient, effective, and effortless.

1.1.5. (a) Portable Scanners – These scanners are designed for performing large numbers of transfers of items (boxes, files, etc…) in SMART without having to manually enter barcodes and transfer destinations. Agencies who regularly use Records Center Services, particularly for pulls and refiles, as well as those who perform on-site self-services are strongly encouraged to take advantage of the built-in barcode technology in SMART.

1.1.5. (b) Tethered Scanners – These scanners are continuously hooked to a computer; they become functional only when a user is logged into SMART. However the tethered scanner is not limited solely to a transfer function. Inside the “Reports” tab in the Top Level Menu is a specific report of Action Barcodes for the tethered scanner.

***NOTE: More information on configuration and purchasing details can be found in the “Scanner Configuration and Use” Guide**

1.1.5. (c) Dymo Label Writers – Using a Dymo-brand label writer can be particularly useful for labeling individual files. SMART System software is compatible only with DYMO-brand label writers.

1.2 Permissions, roles, and rights in SMART

1.2.1 SMART is role-based software. Rights, permissions, and restrictions are based on an assigned role to an account.

Permissions

1.2.2 Permissions determine whether a user can view items, such as boxes, files, or microfilm.

1.2.3 With the hierarchical structure of government, permissions are, at the most basic level, restricted depending upon the department, division, section, or sub-section a user is assigned. This means that users designated at the department level will have permission to view items in any division, section, or sub-section within the department.

1.2.4 Similarly, users designated at the division level will have permission to view items in any section or sub-section within the division. However, users designated at the division level will <u>not</u> be able to view items at the department level or within other divisions. This pattern follows for section and sub-section users.

Roles

1.2.5 Roles identify how users may interact within SMART. Roles in SMART are based upon how individuals interact with Records Management. The roles for agency personnel are:

1.2.5(a) Records Center User (RCU) – Agency personnel who create, transfer and request boxes and files from the Records Center will be assigned this role.

1.2.5(b) Records Management Liaison (RML) – This is the agency contact with Records Management for the purpose of creating and revising retention schedules and overseeing the disposition of agency records.

1.2.5(c) Agency Contract Personnel – Personnel who are under state contract who have the same responsibilities as RCU's will be assigned this role. Logins for personnel with this role will be disabled at the beginning of every fiscal year unless the office of Records Management is informed otherwise.

1.2.5(d) Assignee – This role does not allow users to have any access to the system. Personnel who do not need to request boxes or files from the system, but do have boxes and files delivered to them will be assigned this role.

1.2.5(e) View Only - Personnel who do not need to create, transfer or request boxes or files, but do need to locate boxes, files, or access retention schedules through the SMART system will be assigned this role.

Rights

1.2.6 Rights determine what functions a user may perform on items. A user must first be granted permission to an item before they may get rights to an item.

1.2.7 Rights are granted to a role. Roles are given standard rights, such as creating, viewing, updating, etc. Role rights in conjunction with user permissions define user rights.

1.3 Navigation of SMART

1.3.3 Once logged in, the basic structure of SMART includes the following:

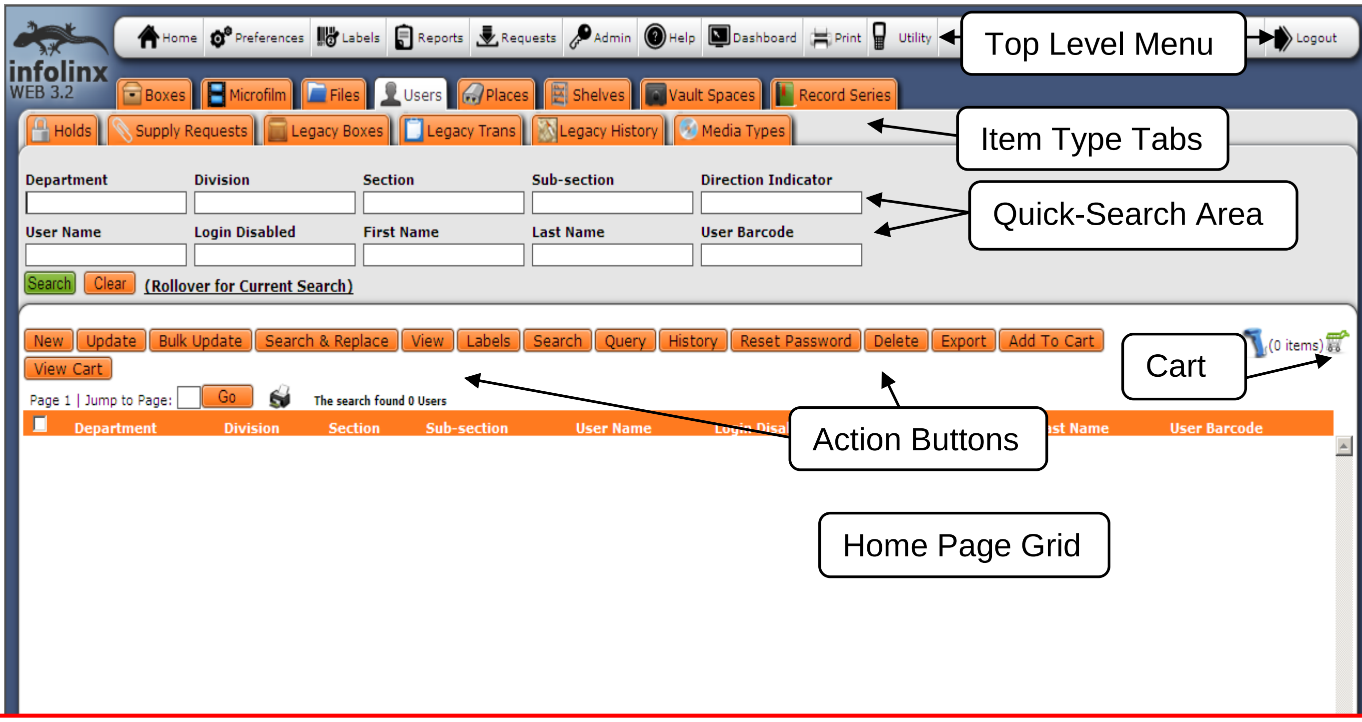

Figure 1.1 – SMART System Home Screen listing search results in the Home Page Grid on the "Boxes" tab. Other tabs display their own Home Page Grid and search results.

Sort results by clicking on any column header (Dept., Div., Sec., etc.). Click again to reverse sort.

1.3.4 "Top Level Menu" – Gives users access to change settings in preferences, print labels, view and print reports, download scanner information for bulk updates, access help, dashboard and logout.

1.3.5 "Item Type Tabs" – Access boxes, files, microfilm, information on users, places, shelves, records series, holds, and the snapshot of Records Management's previous Legacy holdings database.

1.3.6 "Quicksearch" – Each tab has a specialized Quicksearch; these fields are designed to be the most useful in locating boxes, files, etc. The majority of all searches in SMART will be done in this area.

1.3.7 "Action Buttons" – Each button corresponds to an action in SMART (i.e. the "Transfer" action button transfers an item).

1.3.8 “Home Page Grid” – Displays all search results from either the Quicksearch or the query action button.

1.3.9 “Cart” – Allows users to compile selected items from multiple searches and access them at a later time. There is a separate cart for each tab. Items remain in the cart until they are removed by the user.

Topic 2: Using, Viewing, and Printing Retention Schedules

Understanding and utilizing a records retention schedule is critical to both records management and the use of SMART.

2.1 What is a retention schedule?

2.1.1 A records retention schedule is a document that lists all types of records created and maintained by an agency whose dispositions have been approved by the State Records Commission. For each type of record, the schedule details:

- department, division, section, or sub-section
- series number
- title of a given records series
- description
- any notes (such as reformatting)
- the cut-off event which indicates when the record becomes inactive
- how long to retain the record once it has become inactive
- the proper disposition of those records

Agency Records Disposition Schedule

Department: Office of the Secretary of State — Section: Records Management
Division: Records Services — Sub-Section:

TITLE: Agency Records Disposition Schedules — CUTOFF: 2-Aug-2007
DESCRIPTION: Offical signed records disposition schedule approved by the State Records Commission and the corresponding agency on or before August 2, 2007. Schedules may contain multiple record series. Schedules serve as State Records Commission's authorization for the disposition of state records per RSMo 109.250(2).
RETENTION: Years: 10 Months: Days:
NOTES: Per policy change by the State Records Commission on December 17, 2008, all future retention schedule items will be maintained under the "State Record Commission Approval Form", record series #23137.
DISPOSITION ACTION: Transfer to Missouri State Archives
SERIES #: 13742 SERIES STATUS: Approved APPROVAL DATE: 10/27/2009

TITLE: Disposition Approval Forms — CUTOFF: EOCY
DESCRIPTION: Form is a signed authorization, by the originating agency, for the disposition of records in the State Records Center that have met their retention. Upon receiving the form, Records Management staff indicate in the records tracking system that the records have been approved for final disposition.
RETENTION: Years: 50 Months: Days:
NOTES:
DISPOSITION ACTION: Destroy
SERIES #: 1194 SERIES STATUS: Approved APPROVAL DATE: 10/27/2009

Figure 2.1 – A sample records retention schedule in SMART

2.1.2 The schedule will also note if and when a record series item has been approved by the State Records Commission or if the records series item is pending approval.

2.1.4 If there are questions about an agency's records retention schedule consult the Records Appraisal and Scheduling Standard for State Agencies; this standard is available online http://www.sos.mo.gov/records/recmgmt/appraisalSchedulingStd.asp

2.2 Viewing and printing a records retention schedule

To View and Print a Records Retention Schedule:

1. Click on “Reports” in the Top Level Menu
2. Scroll to the Agency Retention Schedule Report
3. Click “Add Filter” to categorize results for division, section, and/or sub-section, then click “Run Report.” A new, separate report window opens
4. Click on the printer icon on the Acrobat tool bar to print the document.
5. Close the Adobe Reader® preview window – (click the X in the upper right corner)

Topic 3: Creation of Boxes and Files

3.1 Privacy of boxes and files

The information in SMART is shared by many users. Though users' permissions are restricted by agency assignment and role (see Topic 1.2), many users within an agency will be able to view one another's boxes. If boxes and files are described, labeled, or named with reference to individuals' names or other individually identifiable information, users may inadvertently reveal confidential information, depending on the record series involved. SMART users should be cognizant of any privacy rules and regulations applicable to their records and use discretion when describing box and file contents.

3.2 Creation of a box in SMART

3.2.1 Boxes in SMART are for inactive files only. If records are not yet closed or inactive, then the box cannot be entered into SMART. Once a box has been created in SMART, the system will keep track of the scheduled disposition date (the date when the box can either be destroyed or transferred to the Missouri State Archives). The following procedures provide basic guidelines on how to create a box in SMART. Note, to prevent untimely destruction of records, it is important to describe the box accurately when it is created. In case of questions, the user should contact his/her agency's records management liaison or his/her agency's records management analyst.

3.2.2 The files should be physically placed in the correct records center box BEFORE creating the box in SMART. This will ensure that the information in SMART matches the files that are actually inside each box. From the "Box" tab click on the "Create" action button to open the "Create a new Box" screen.

3.2.3. The "Create a new Box" screen has several data fields to fill. Some fields are optional and others are required. Required fields are identified on the "Create a new Box" screen by an asterisk (*) next to the field's name.

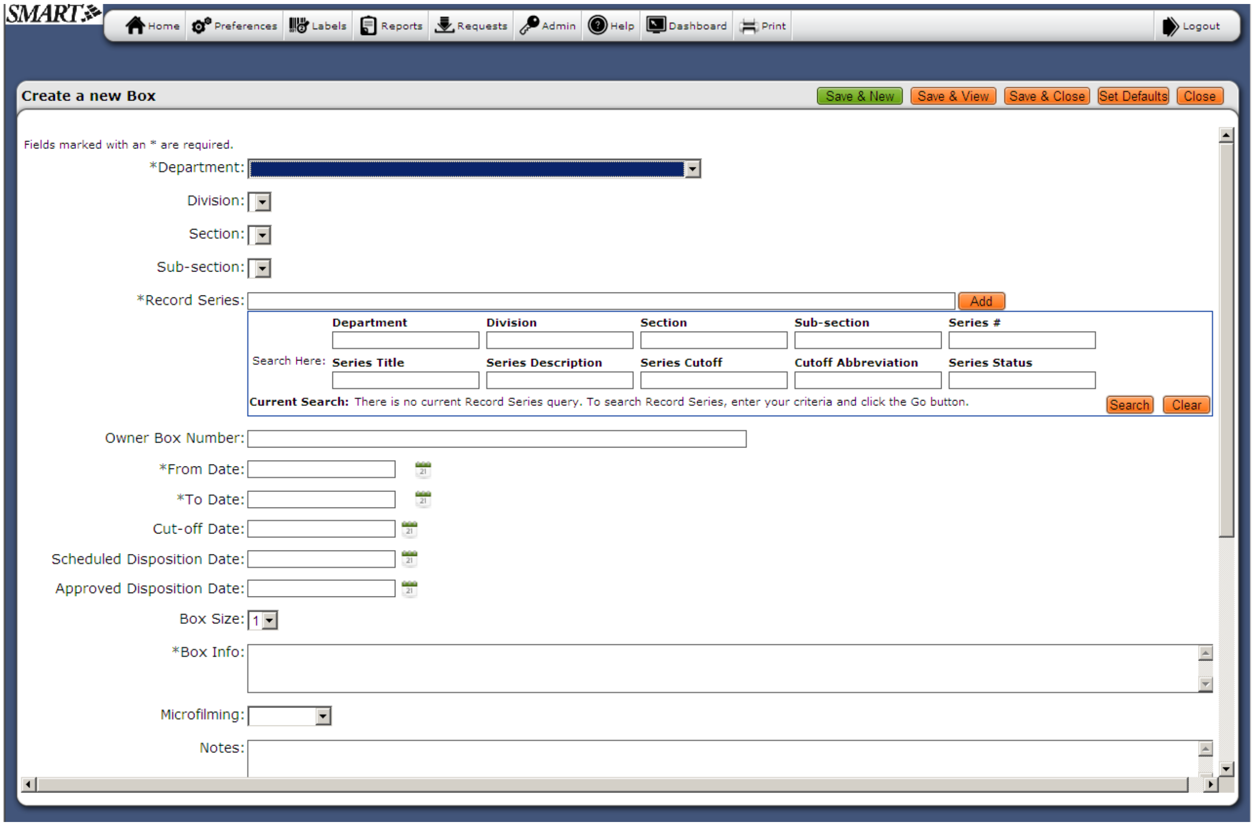

Figure 3.1 – "Create a Box" page

Agency

3.2.4 The agency information will match the user's profile, down to the level that the users profile is defined. For example, if the user's profile is defined at the "Department" level, the user can assign the box to any division, section or sub-section of that department. If the user's profile is defined down to the "Division" level, the user can assign the box to any section or sub-section within that division. On the other hand, users assigned to a particular section, or sub-section will be able to create boxes only within their assigned section or sub-section. It is extremely important that a box is assigned to the correct level, because access to the records will be limited to users with the same level assignment, or higher.

Record Series

3.2.5 Use the search windows to find the correct record series. Select the correct records series by clicking the button on the left hand side of the list. The page will refresh for a moment, and the correct information will appear in the "Record Series" space of the form. Be sure that the record series either belongs to the General Retention Schedule or is assigned to the same agency as the box. Click on the hyperlink text in the "Department" column to view that record series' complete description.

3.2.5. (a) There is a shortcut commonly used for selecting a record series. Enter the record series number from the agency's records disposition schedule into the series number field. The field is underneath the record series information field. Then click the go button. The information will automatically fill in where it is needed.

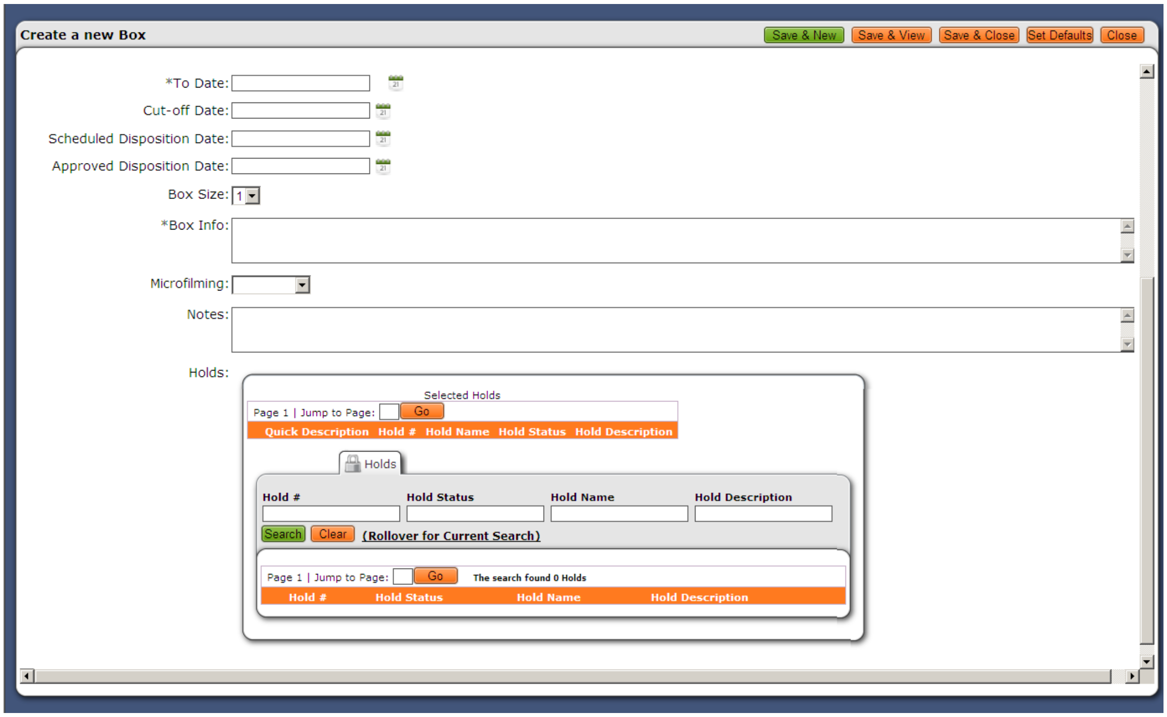

Figure 3.2 – Continuation of the "Create a Box" page

Owner Box Number

3.2.6 The "Owner Box Number" is a text field for an agency defined numbering system.

"From Date" and "To Date"

3.2.7 These fields are used to describe the range of dates for the materials. The "From Date" is the earliest dated materials in the box and the "To Date" is the newest materials in the box. The "To Date" is especially important, because the cut-off date is often calculated from the "To Date," depending on the particular record series.

3.2.8 These dates will also make it easier for the user to search for boxes or files within a range of dates.

Cut-off date

3.2.9 The cut-off date indicates when the records in the box became inactive and the retention period started. This date is automatically assigned by SMART based on the to-date and the cutoff of the selected record series.

NOTE: Records associated with grants or projects might need to be kept longer than the cut-off date automatically generated by the SMART system. **Confirm that the cut-off date is correct in those instances.** Contact your agency's records analyst if you suspect that the automatically-assigned cut-off date is inaccurate.

Scheduled disposition date

3.2.10 The scheduled disposition date is calculated automatically by SMART, based on the cut-off date and the retention period of the record series assigned to the box.

Approved disposition date

3.2.11 The approved disposition date is the date the disposition of a box was approved by the agency. This information is entered by the agency's analyst

Box size

3.2.12 For the free standard-sized records box, the default is box size "1." Box size "1" is the only box accepted by the Secretary of State's records center for inactive storage. To obtain these boxes, see Topic 5.1, under "Requesting Records Center boxes." The other sizes are for use by the Missouri State Archives only.

Microfilming dropdown menu

3.2.13 If the box is to be microfilmed by Records Management's Imaging Services, select "Requested" in the "Microfilming" dropdown, and follow all instructions in Topic 8 “Microfilm Users.” Otherwise, do not select this dropdown menu.

Box info

3.2.14 The Box Info field is best used to describe shared characteristics of all files in the box, rather than to list each file individually. If searchability of file names is needed, it is best to create files individually (explained in part 3.3 of this topic). That way, if the file moves, it will not be necessary to update the "Box Info" field. The use and format of this field is left to agency discretion, but for best results, agencies should agree on a "controlled vocabulary," or shared syntax to be used in the "Box Info" field. This allows for more predictable search results.

Holds

3.2.15 Holds are the suspension of disposition for a box. For further information on holds see section 5.4.

Save the box

3.2.16 There are three ways to save the box.

3.2.16. (a) **Save and New** – Click this button if there is a need to create another box. This button will save the current box and take the user to a fresh "Create a new Box" screen. Some fields will be auto filled to match the previous box. This eliminates a lot of duplicate data entry.

3.2.16. (b) **Save and View** –This button will save the current box and take the user to the "View a box" screen, where other actions concerning that box can be taken and where the box can be reviewed for accuracy. This is a convenient way to add files to the box immediately.

3.2.16. (c) **Save and Close** –This button saves the current box and takes the user back to the home page grid.

3.2.16. (d) **Close** –This button will return the user to the home page without saving any information

Printing labels with the label queue

3.2.17 It is important to print box labels, so the records can be tied back to the information in SMART. No records will be stored at the records center without a SMART-generated box label. All labels should be printed on label stock.

3.2.18 When a box is first created and saved, SMART automatically generates a label and sends it to the queue. After creating several boxes, the user just has to go to the queue one time to print all the labels.

1. At the "Top Level" menu, click on "Labels."
2. Select the Missouri Box Label. The number in parentheses next to each type of label is the total number of labels in the queue.
3. Select and print the labels listed at the bottom of the page, or click on "Print All."
4. When the PDF opens, go to File>Print, and change the page scaling to "none." This will make sure the barcodes are readable and the margins are lined up correctly.
5. Make sure the label orientation is landscape.
6. Select a printer that has been the correct size label stock loaded.
7. After printing the PDF, be sure to click on the "remove labels from queue" button, so that next time there will be no confusion about which labels have already been printed.

3.3 Creation of a file

3.3.1 Files in SMART can be either active files or inactive files. Creation of files in SMART will vastly improve the accuracy of future pull requests and improve records center response time. While the creation of files is optional, there are many benefits for state agencies. The following functions will be possible, only if individual files are created in SMART:

- Track the location of files, as they are re-assigned to different users or returned to the box.
- Search for files using the "file" tab.

- Request individual files to be returned for reference.
- Convenient reassignment of files to different boxes.
- Identify each of the component folders that make up a large file.

3.3.2 Users can access the "Create a new File" screen in two ways.

3.3.2. (a) **From the Home Page Grid, "File Tab" –**"Click on the "Create" action button. This is convenient for creating files that are still active or not assigned to any particular box. This is the most likely method for creating active files that are not housed in a box.

3.3.2. (b) **From the "View a Box" screen**, click on "Add New." All files created this way will automatically be assigned to the box.

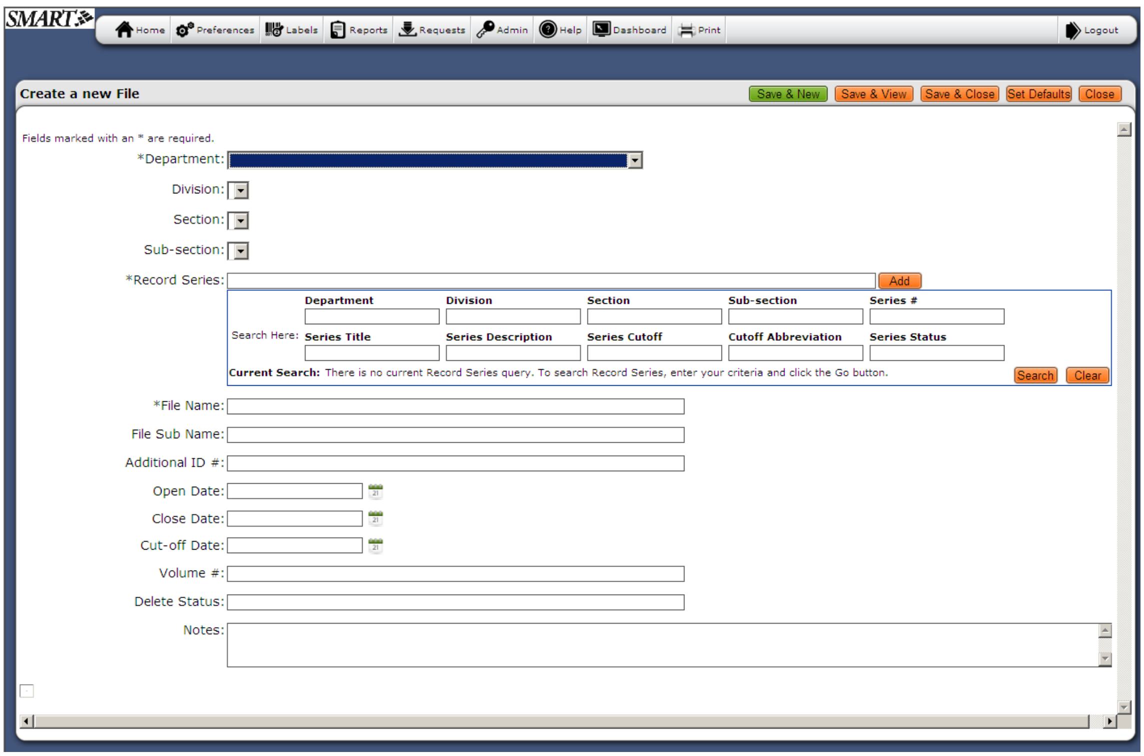

Figure 3.3 – "Create a File" page

Agency

3.3.3 The agency information will match the user's profile, down to the level that the profile is defined. For example, if the user's profile is defined only at the "Department" level, the user can assign the file to any level below the department level. Users assigned to a particular division can assign files to any section or sub-section within that division. On the other hand, users assigned to a particular section, or sub-section will be able to create files only within that section or sub-section. It is extremely important that a file is assigned to the correct agency, because access to the records will be limited to users with the same agency assignment.

Record Series

3.3.4 Use the search windows to find the correct records series. The record series assigned to the file MUST be the same as the record series assigned to the box. Select the correct record series by clicking the button on the left hand side of the list. The page will refresh for a moment, and the correct information will appear in the "Record Series" space of the form. To view more information about a record series, click on the hyperlink text in the "Department" column of the series selection part of the screen.

File Name

3.3.5 This is the primary name, the name by which the files are ordered within the box. The file name may be either alphabetic and/or numerical, depending on the agency's naming schema.

File Sub Name

3.3.6 This is an optional field, but may be useful for many users for secondary references, such as partitions within large files, subcategories of files, or other annotations.

Additional ID#

3.3.7 This is an optional field that provides an additional way to reference files. It is especially useful for information that should be kept private as it is not printed on labels or file requests.

Open Date

3.3.8 This is the beginning date for the file, to be determined based on the particular file involved. In some cases, it may be appropriate to enter the beginning of the fiscal year, calendar year, or the actual date the file was opened. This field is optional.

Close Date

3.3.9 This is the closing date for the file, to be determined based on the particular file involved. In some cases, it may be appropriate to enter the end of the fiscal year, calendar year, or the actual date the file was closed. In many cases the date the files are boxed would be the closing date. This field is optional because many users may find it useful to use SMART to track active files. Files without a close date are considered "active," and they may not be placed in boxes.

Cut-off Date

3.3.10 This field is automatically filled in by SMART, to match the Close date. For cases in which this is incorrect, the user will have to manually change the "Cut-off" date field to match the correct date, depending on the record series and the nature of the files.

Volume #

3.3.11 This optional field is used to distinguish the parts of large files housed in multiple file folders. This field is only two characters.

Notes:

3.3.12 This optional field is used to record any other pertinent data about the file. Users should consider syntax and language other users may use when searching for a particular file. For best results, agencies should agree on a "controlled vocabulary," or shared syntax to be used in the "Notes" fields. This allows for more predictable search results.

Save the file

3.3.13 There are three ways to save the file.

- 3.3.13. (a) **Save and New** –This button will save the current file and take the user to a fresh "Create a new File" screen. Click this button if there is a need to create another file.
- 3.3.13. (b) **Save and View** –This button will save the current box and take the user to the "View a File" screen. Click this button if, after creating the file, there is a need to review the information or print a label.
- 3.3.13. (c) **Save and Close** –This button saves the file and takes the user back to the home page grid.
- 3.3.13. (d) **Close** –This button will return the user to the home page without saving any information

Printing file labels with the label queue

3.3.14 It is important to print the label for the file, so the records can be tied back to the information in SMART, but file labels are optional. In general, if the agency anticipates requesting one or more files from a box at any time in the future, all files in the box should be labeled with SMART system barcodes. If files are created, labels should be attached to the files before they are sent to the Records Center for storage.

3.3.15 When a file is created and saved, SMART automatically creates a label and stores it in the label queue. After creating several files, it is then very convenient to open the queue and print all the labels at once.

1. At the "Top Level" menu, click on "Labels."
2. Select “Missouri File Label” from the choices available. The number in parentheses next to each type of label is the total number of labels in the queue.
3. Select and print the labels listed at the bottom of the page, or click on “Print All.”
4. When the PDF opens, go to File>Print, and change the page scaling to “none.” This will make sure the barcodes are readable and the margins are lined up correctly.
5. Make sure the label page is printed portrait.
5. Select a printer that has been the correct size label stock loaded.
6. After printing the PDF, be sure to click on the "remove labels from queue" button, so that next time there will be no confusion about which labels have already been printed.

3.3.16 Printing file labels with the Dymo file label queue.

1. At the "Top Level" menu, click on "Manage Label Queues."
2. Select “Dymo file label queue” from the choices available. The number in parentheses next to each type of label is the total number of labels in the queue.
3. Select and print the labels listed at the bottom of the page, or click on “Print All.”
4. When the PDF opens, go to File>Print, and Select Dymo Printer in the drop down menu.
5. Change the page scaling to “none.” This will make sure the barcodes are readable and the margins are lined up correctly.
6. After printing the PDF, be sure to click on the "remove labels from queue" button, so that next time there will be no confusion about which labels have already been printed.

Topic 4: Finding a Box or a File

4.1 Using the Quicksearch feature

4.1.1 The Quicksearch feature is the basic search engine for SMART. It is located under each Item Type Tab and is specifically designed to search under the most common fields to find a given item. This means the searchable fields are dependent upon what type of record is being searched. For example, the *file* barcode is not a searchable field in the *box* Quicksearch.

4.1.2 To search for boxes:

1. Select the “Boxes” Tab
2. Choose the field(s) in the Quicksearch Area you wish to search.
3. Enter appropriate search criteria in any one or more of the search fields.
4. Click the Go Button (far right) or press <Enter>.
5. Results will be displayed in the Home Page Grid.

4.1.3 To search for files:

1. Select the “Files” Tab
2. Choose the field(s) in the Quicksearch area you wish to search.
3. Enter appropriate search criteria in any one or more of the search fields.
4. Click the Go Button (far right) or press <Enter>.
5. Results will be displayed in the Home Page Grid.

4.1.4 If the search returns no items, too many items, or incorrect items, modify search criteria. Try fewer or different field(s), using the “%” wildcard around key words or phrases, check spelling, or simplify the search. For example, to find anything with the word “correspondence” key in “%correspondence%”. Click the Clear Button to start a fresh search.

4.1.5 The ability to find the specific box or file is a critical feature to best utilizing SMART’s records tracking component. To return more concise results agency users should include as much information as possible. Agencies should also ensure that all users are entering information the same way.

4.2 Searches

4.2.1 The Quicksearch feature will be the most useful because a majority of searches in SMART only require a small number of fields or a combination of those fields. However, users may need to search for certain items outside of fields listed in the Quicksearch. These searches should be done through an Item Type’s search page.

4.2.2 Any item search page can be found using the Search button. This page lists all the fields found when creating items, as well as system fields where actions taken by users are recorded.

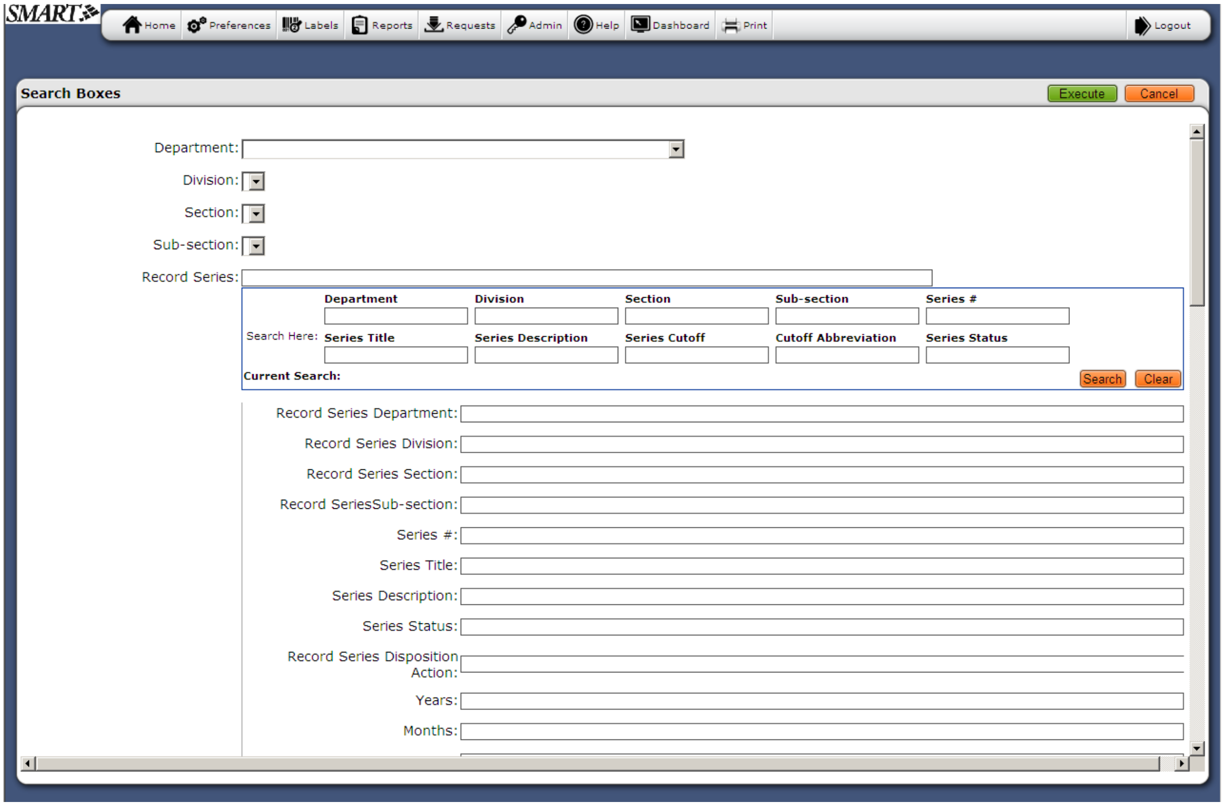

Figure 4.1 – Search page for Boxes

4.2.3 A combination of the item-create fields and the system fields should yield results not easily accessible through the Quicksearch feature.

4.3 Advanced Queries

4.3.1 In addition to the Quicksearch feature and generalized Searches, SMART offers an advanced query function. The advanced query page uses a complex set of fields, criteria, and operators to return search results.

4.3.2 Queries can be built using the “Query” Action Button under any Item Type Tab. Each Item uses different fields and criteria so the query is specific to the item type being searched.

4.3.3 To perform a query:

1. Under any Item Type Tab, click the “Query” Button
2. Select, under the first column, the desired field to search
3. Select the operator to define the parameters (equals, less than, greater than, etc.)
4. Define the criteria to search for within the first column field
5. Note in the logic column whether to continue search by expanding through “or” or further limit with “and”
6. Define how to order results of the given search line
7. Prioritize results with numeric delineator (1, 2, 3, etc.)

8. Use the Receive Scan column to note if the criteria entered will be received from a tethered scanner

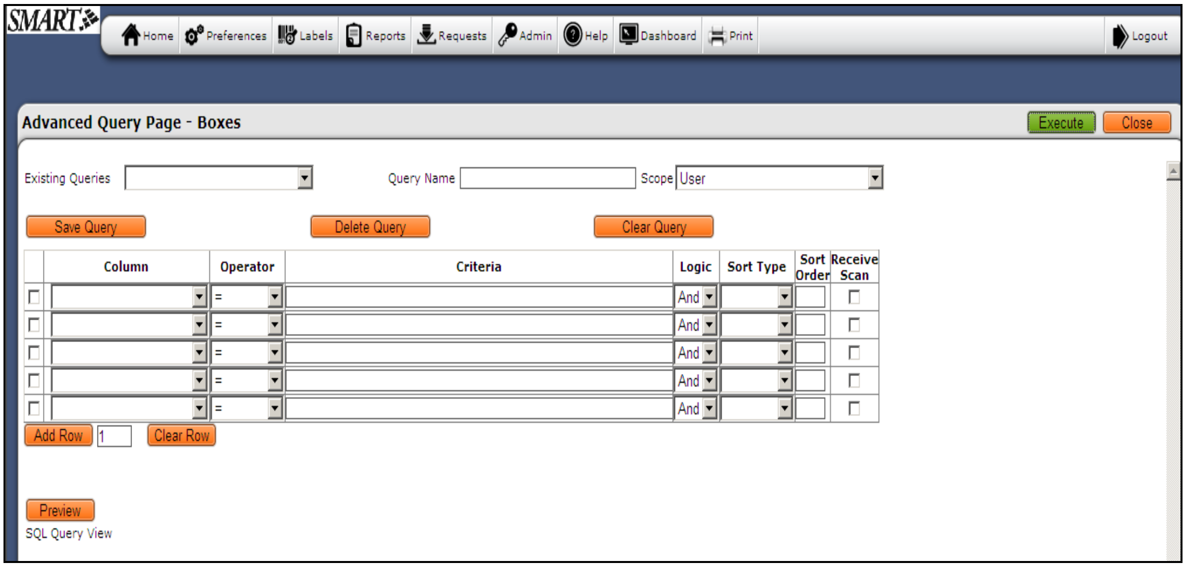

Figure 4.2 – The advanced query page

4.3.4 If certain queries are frequently used, a user may save a query, making sure to set the scope to "user." A query with a "system" scope is a saved query that any user of the system may access. A query with a "user" scope is a saved query that only the creating user may access.

Note - The advanced query is intended for use by users with knowledge of the SQL database language.

4.4 Legacy tabs

4.4.1 Records Management previously used an Access database to track holdings in the Records Center facilities. This information has been migrated into the new SMART System for <u>searching only</u>.

4.4.2 These tabs will not be updated since live boxes are tracked in SMART under the "Boxes" tab, the transmittal system has been replaced, and the history will be recorded on a per-item basis within SMART.

4.4.3 Searches in the Legacy tabs will follow the same procedures as searches under any other Item Type Tab.

Note - If users are unsure what the Legacy Box, Legacy History, or Legacy Transmittal tabs are, see "Glossary of Terms" Appendix.

Topic 5: Management of Boxes and Files

5.1 Transfer of boxes and files

5.1.1 When boxes and files are created in SMART, their default location is with the person who created them. When ready to transfer them to another location, the following steps should be taken.

Transfers – keyboard

5.1.2 Boxes and files are transferred among users and places using the "Transfer" action button.

5.1.2. (a) On the Home Page grid, the "Transfer" action button will open the transfer page and affect all boxes or files currently selected.

5.1.2. (b) On the "View" page for a box or a file, the "Transfer" action button will open the transfer page, but will only affect the object presently being viewed.

5.1.3 On the "Transfer" page, use the tabs in the search area to select the type of destination for the item's new location (user, place, or shelf).

1. Search for the desired destination. The search area works just like the quick search area on the Home Page.
2. Click the button next to an item in the search results to select the destination for the transfer.
3. Click the Ok button.
4. Remember, each transfer page can have only one destination for all items being transferred.
5. Previous transfer destinations may be listed at the bottom of the page. Click the button next to the listed destination to select future transfers.
6. After selecting the desired destination, the transfer is completed by clicking on the "Transfer" button.

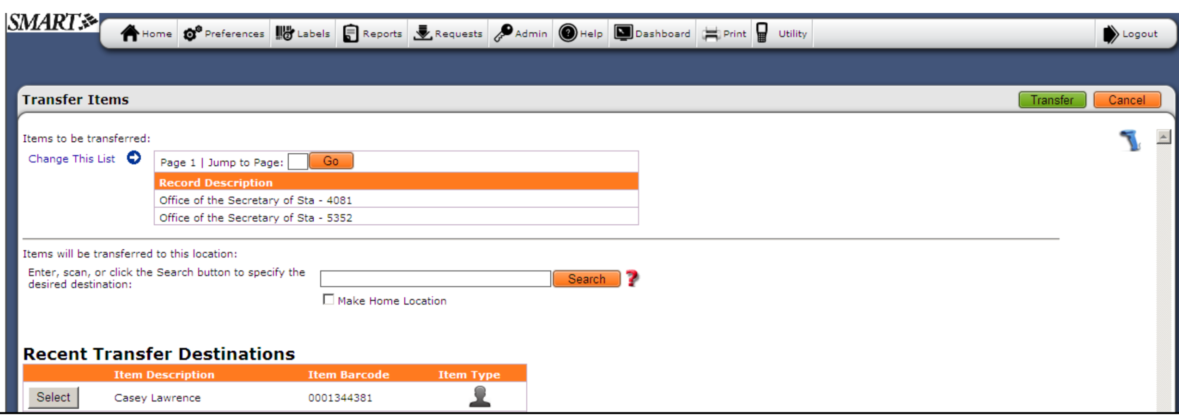

Figure 5.1 – Transfer screen

Transfers – tethered scanner

5.1.4 Transfer with a tethered barcode scanner is accomplished using the Action Barcode. Transfers with the tethered scanner take place immediately.

1. First scan the item to be transferred.
2. Next, scan the action barcode "Transfer."
3. Scan the destination barcode.

Transfers – portable scanner

5.1.5 Transfer via a portable scanner is accomplished differently. A transfer made with a portable scanner only takes effect after uploading the transfer data to SMART.

5.1.5(a) Scanning boxes to places

1. Clear all data from the portable scanner, if not done after previous upload.
2. Select option 1 in the menu, "Collect Data," by highlighting it and pressing the <Enter> key.
3. Scan the destination barcode.
4. Scan the item's barcode.
5. Upload the scanner data to SMART, being sure to click on the final “Update Locations” button.

5.1.5(b) Scanning files to boxes

1. Clear all data from the portable scanner, if not done after previous upload.
2. Select option 1 in the menu, "Collect Data," by highlighting it and pressing the <Enter> key.
3. Scan the destination barcode.
4. Scan “Make location” barcode
5. Scan the item's barcode.
6. Upload the scanner data to SMART, being sure to click on the final “Update Locations” button.

***NOTE: Steps 3 and 4 may be repeated multiple times. A portable scanner can store up to 20,000 barcodes, but the data should be uploaded every 100 scans, to prevent problems during transfer. Action barcodes can be found on reports page.**

5.1.6 More information on barcode scanner operation is available in the "Barcode Scanner Configuration and Use Guide."

5.2 Box and file data view screens

5.2.1 While viewing search results for files or boxes on the Home Page Grid, users can click the hyperlink in the Department column to open the "View" screen for boxes or files. This screen contains the most complete information on boxes and files.

5.2.1 (A) Users can also run their cursor over the department name, or the box barcode, and an abbreviated view a box screen will show up on the home page.

5.3 Updating boxes and files

5.3.1 To open the update screen, select box or file then click on one of the "Update" action buttons. The "update" action buttons are found on the Home Page Grid as well as the "View" pages. Users must use care to prevent accidental changes when using the Update page for boxes and files.

5.3.2 Once the update screen is opened, users have the ability to change the box's contents, change the record series, update cutoffs, place the boxes on hold, or make any other changes.

5.3.3 When boxes are located in any records center location, agency users will not be able to make any changes. To update boxes currently in the records center, contact the agency's records analyst.

5.4 Holds

5.4.1 To suspend the disposition of a box beyond its scheduled disposition date, place the box on hold. There are four types of holds in SMART:

1. **Audit** –for records that are awaiting the completion of an audit before they may be destroyed.
2. **Legal** – for records required for any expected litigation
3. **Schedule Revision** – for records awaiting the update of their retention schedule to lengthen the retention period, due to such things such as a change in the law, guidelines from the federal government, or other factors.
4. **Record Services Microfilming Re-Film** – for records that need to be refilmed by the Imaging Section of Records Management because of a quality control issue before they can be destroyed.

5.4.2 To place records on hold, go to the update screen and click the checkbox that corresponds to each type of hold. Holds should be lifted as soon as the specified condition has lapsed.

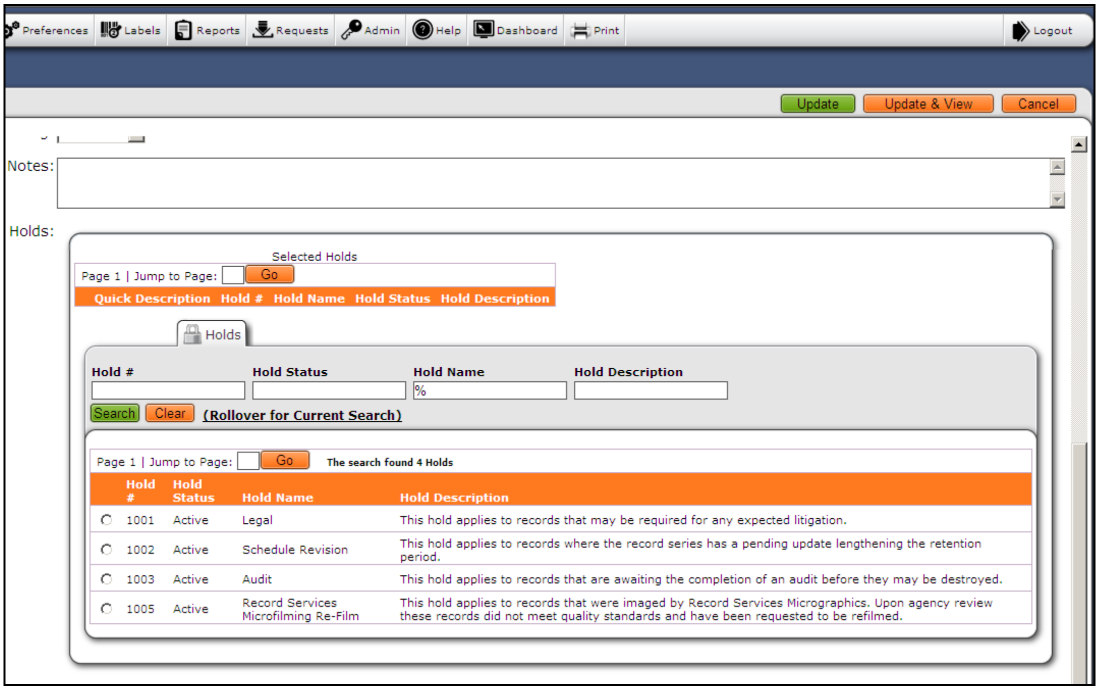

Figure 5.2 - Holds

5.4.3 When boxes are located in any records center location, agency users will not be able to make any changes. To place boxes currently in the records center on hold, contact the agency's records analyst.

5.5 Reprinting Labels

5.5.1 Users will discover a number of pathways and techniques to print labels. The methods described in Topic 3 works well when creating new boxes or files. The following methods will be useful in other instances.

Box Labels

5.5.2 Print a box label from the Home Page Grid

1. Select the box or boxes that need labeled.
2. Click the "Label" action button.
3. Select "Missouri Box Label", and click "print."
4. Select the starting position for the label (the labels come four to a sheet) and click the "Print Label" button.
5. When the PDF opens, go to File>Print, and change the page scaling to "None."
6. Finally, click "ok," and the label will be printed from your printer.

5.5.3 Print a box label from the "View" pages

1. Be sure to load the printer with the correct label stock for boxes.
2. Click on the "Label" action button.
3. Select "Missouri Box Label"

4. Select the starting position for the label (the labels come four to a sheet) and click the "Print Label" button.
5. When the PDF opens, go to File>Print, and change the page scaling to "None."
6. Finally, click "ok," and the label will be printed from your printer.

File labels

5.5.4 Print a file label from the “Home Page Grid”

1. Load the printer with the correct label stock.
2. From either the Home Page Grid, click on the "Label" action button.
3. Select "Missouri File Label."
4. Select the page position (there are 30 labels per sheet) and click the "Print Label" button.
5. When the PDF opens, go to File>Print, and change the page scaling to "None."
6. Finally, click "print" or "ok," and the label will be printed from your printer.

5.5.5 Print a file label from the "View" page

1. Be sure to load the printer with the correct label stock for boxes.
2. Click on the "Label" action button.
3. Select "Missouri Box Label"
4. Select the starting position for the label (the labels come four to a sheet) and click the "Print Label" button.
5. When the PDF opens, go to File>Print, and change the page scaling to "None."
6. Finally, click "ok," and the label will be printed from your printer.

5.5.6 Print a file label using a DYMO Label Writer:

1. From either the Home Page or the "View" page, click on the "Label" action button.
2. Select the “MissouriFileLabelDYMO” in the dropdown.
3. Select the Print button.
4. In Adobe Reader click on the printer icon on the Acrobat tool bar to print.
5. In the print screen popup, select the DYMO Label writer in the printer name dropdown.
6. Select Properties next to the Printer Name dropdown.
7. Under the Layout Tab, Orientation heading select “Landscape.”
8. Under Page Handling deselect the Auto-Rotate and Center option.
9. Select “OK” to print.

The Label Queue

5.5.7 The label queue is a way to store labels for later printing. This allows the user to print multiple labels at the same time, making better use of label stock.

5.5.8 When selecting labels to send to the queue,

1. Click on the "Labels" action button, either on the Home Page Grid or the "View" screen.
2. Click on "Send to label queue."
3. The labels will remain in the queue until removed, even after they've been printed.

5.5.9 Be sure to remove labels from the queue after printing them, to reduce a glut of unneeded labels. It is much easier to use the queue when it contains only labels that are needed, because the user can print the entire queue each time without selecting particular labels from the list.

5.5.10 Since the labels are in PDF format, they can be saved like any other PDF if the user wants to keep a convenient electronic copy on hand. There should be no need to leave labels in the queue for any length of time.

Topic 6: Sending Records to the Records Center

6.1 Requesting records center boxes

6.1.1 Before sending records to a records center facility, all agencies must place records in a records center box. These boxes must be purchased through Missouri Vocational Enterprises. Active files should be maintained in the office of origin until after the cutoff date.

6.2 Transferring new boxes

6.2.1 Once a box has been created and labeled it is ready for transfer to a records center facility. Sending the physical box(es) to a records center facility will be handled differently depending upon a number of factors.

In-town pick-up

6.2.2 Records Management provides pick-up services for agencies located within Jefferson City limits. For users located within Jefferson City, users in a particular department, division, section, or subsection will be able to see designated “Pending Transfer” locations. These locations are marked with a (PT).

6.2.3 After creating and labeling boxes, to then transfer the boxes users will need to find the corresponding boxes in SMART. There are many ways to do this; one way is to use the “Search” button (as previously mentioned in Topic 4.2), scroll to the bottom of the page, and insert the creating user barcode in the current location barcode field. This will display all boxes currently in a user’s possession. It may, therefore, be useful to include other factors, such as creation date, to help limit results further.

6.2.4 Once the boxes have been selected, click the “Transfer” button; then select a destination place. To find a destination place use the search button; each location will have two available places to transfer a box to: the location and a designated pending transfer (PT) location.

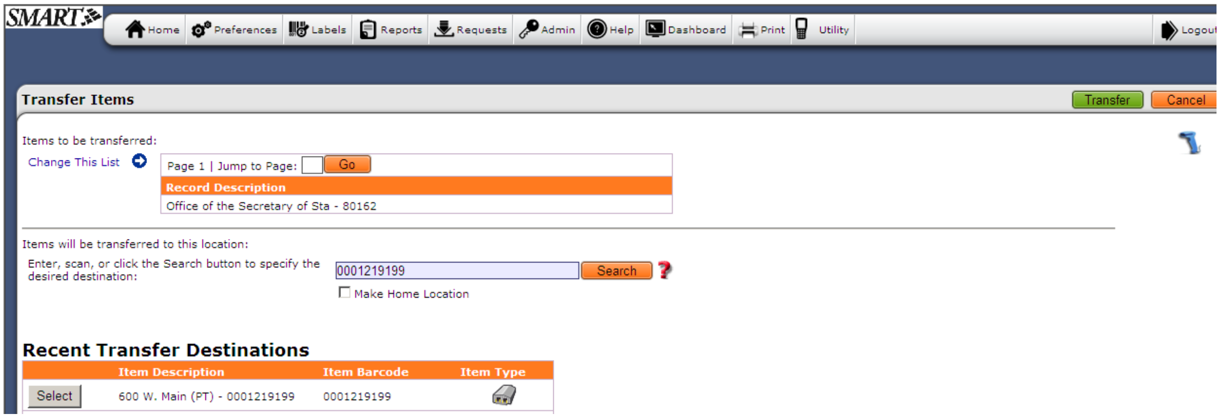

Figure 6.1 – Transfer screen with a pending transfer location

6.2.5 To notify the driver for delivery simply Transfer selected boxes to a pending transfer (PT) location.

In-town agency drop off

6.2.6 Agencies are always allowed to drop off records at a records center facility. Agencies wishing to do so will merely be required to schedule a time and place with a control center clerk.

Out-of-town agency drop off

6.2.7 Many state departments have regional or satellite offices throughout the state. Because Records Management cannot provide pick-up services throughout the state it is the responsibility of the agency to schedule a time and place with a control center clerk.

6.3 Returning boxes

In-town pick up

6.3.1 Because new boxes and refile boxes are not distinguished in driver delivery or pick-up routes, returning refile boxes will follow the same procedures as new boxes.

1. Select the corresponding box or boxes
2. Transfer the boxes to the appropriate pending transfer (PT) location

Out-of-town drop off

6.3.2 Out-of-Town agencies will schedule delivery times with control center clerks to accept delivery of records.

6.4 Returning files

6.4.1 Agency personnel within Jefferson City are to return files through the inter-agency mail process. If sending multiple files back to the records center, another option is to place the files in a box with a lid. Add the box to a group of whole boxes to be returned or new boxes to be sent to the records center. The records center driver will retrieve the boxes when picking up the new or refile boxes. Records will be transferred to a records center location by records center staff upon arrival at the records center.

Agency personnel outside of Jefferson City may send the file back to the State Records Center by mail.

6.5 Interfiles

6.5.1 "Interfile" refers to additional folders being added to record center boxes that did not previously contain them, as well as the addition of individual documents to folders in a record center box. Interfiling is an active file function that is the responsibility of the creating agency.

6.5.2 Agencies wishing to perform their <u>own</u> interfiles are free to do so at any records center location.

Topic 7: Retrieving Boxes and Files

7.1 Requesting a box from the records center

7.1.1 To request boxes from the records center, first find the desired boxes using the search function described in Topic 3. A single request can include multiple boxes or a single box, but all items on a single request must share the same destination.

1. Select the desired box(es) by clicking the checkboxes in the search results. It is only possible to select items from a single page of search results. More boxes can be added to the request later (step 3).
2. Click on "Request." The "Request Items" screen opens.

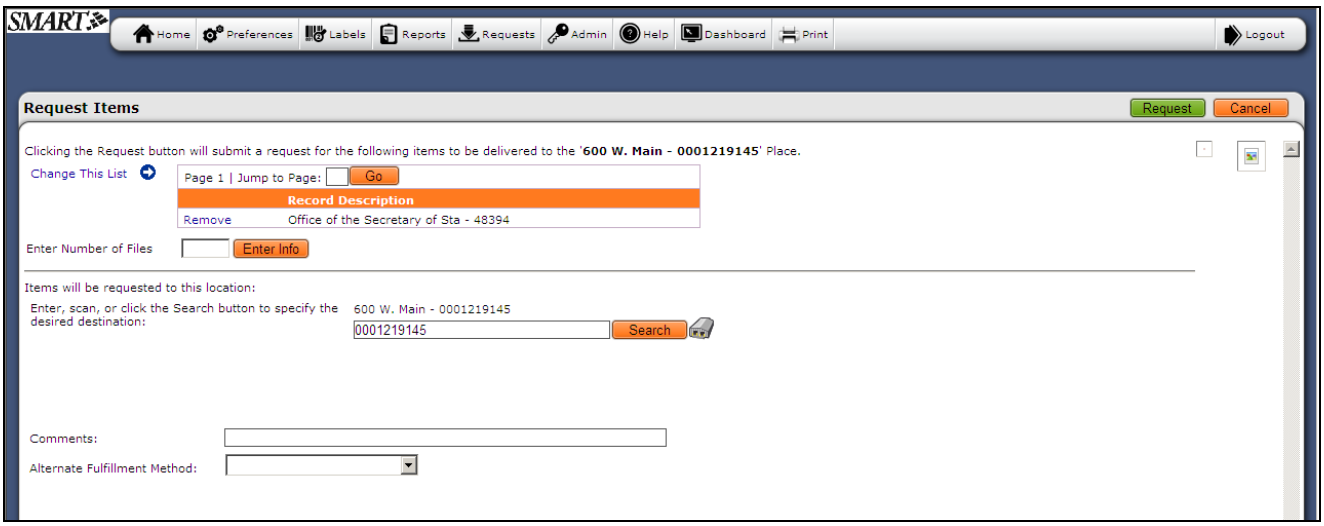

Figure 7.1 – Request screen

3. To add more boxes to the request, click on “change this list.” A Quicksearch area will open up and you can browse for more boxes. To add boxes from multiple pages within this Quicksearch, select the boxes on a page, click “add” and then move on to the next page.
4. The destination for the requested box(es) defaults to the user making the request.
   a. To change the destination to another user or place, click on the 'Search" button next to the window that displays the destination barcode.
   b. Select the desired destination, and the destination barcode number appears in the window.
5. After the new destination barcode number appears in the window, click "ok," to return to the "Request an item" page.
6. In the field labeled "Special Instructions," enter any special instructions for the records center staff, such as whether the boxes will be picked up at

the records center location, or other special instructions pertinent to the request.

7.2 Requesting a file from a box in the records center

Files already in SMART

7.2.1 Just as with boxes, a file must first be located by searching the "Files" tab. The user selects the desired files, then clicks on "Request." The destination can be searched and selected, just as with boxes. A single request can consist of multiple files or a single file.

Files not yet in SMART

7.2.2 If the files do not exist as items within SMART, then the user needs to search for and select the box that houses the file(s). After clicking the "Request" action button, the user will be taken to the "Request Items" page. Instead of following through with a request for the whole box, follow the instructions below to request individual files.

1. In the text box underneath the box description, enter the number of files being requested. Then click on "Enter Info."
2. A list appears at the bottom of the page.
3. Enter the file name for each desired file. For large files with multiple parts, each container should be listed separately
4. Click "Request" to request the files.

7.2.3 This method of requesting files creates the desired files in SMART, with date ranges and other characteristics that match the box. Users must use care when requesting boxes this way, to be sure that no incorrect data is introduced into the system.

7.2.4 Record center personnel will deliver pulled files through inter-agency mail. The inter-agency mail process may take more than one business day. For faster service agency personnel may pick up the file at the record center.

7.3 Self-service at the records center

7.3.1 State agency personnel are allowed to visit the state records centers to pull their own boxes and files or to return them. Self-service is the fastest way to receive needed records, especially for large requests. Records center personnel must be present at the time records are dropped off or picked up.

7.3.2 To ensure the integrity of the SMART database, all additions and subtractions to boxes must be documented within SMART. State agency personnel who do their own pulls and refiles within record center facilities will be expected to update the data within SMART to reflect all pulls and refiles. Barcode scanners will be provided to state agency personnel upon their arrival for onsite use. Use of barcode scanners is required for all transfers of records within the Records Centers.

7.3.3 For pulls, visitors MUST have barcode labels pre-printed for all files removed from boxes. Otherwise, the entire box will have to be pulled. This rule ensures that all records transfers will be properly documented in SMART.

7.3.4 All files <u>must</u> have barcodes when brought to the records center for refiling.

7.3.5 Records center staff will be on hand to instruct visitors on the correct use of barcode scanners and to ensure that the barcode scanner data is uploaded before the removal of any records from the Records Center.

7.3.6 Visitors making pulls and refiles at the Records Center must have a state employee identification and be a registered user in SMART.

Topic 8: Microfilm Users

8.1 Overview of Imaging Services

8.1.1 Imaging Services, a section of Records Management, provides a range of microfilm-related services to state agencies. Services include microfilming of paper records, processing of film created by other agencies or vendors, duplication, quality control analysis of film processed by agencies or vendors, and storage of silver halide film in the climate-controlled microfilm vault for long-term preservation. Some of these services are processed through SMART. Agencies with questions about these services should contact their records analyst or the Imaging Services Manager.

8.2 Boxes to be microfilmed by Imaging Services

8.2.1 Microfilm services are free-of-charge to state agencies, subject to the availability of staff and equipment. Records must have a retention period greater than 50 years to justify the expense of microfilm.

8.2.2 The original paper documents will be destroyed 90 days after filming. It is important for agency personnel to review their film and to promptly notify the Imaging Section if the records need to be re-filmed. The silver halide master copy of the film is stored in Imaging's microfilm vault. A diazo copy of the film is sent to the owning agency.

Requesting boxes to be filmed

8.2.3 The box must first be created in SMART, just like any other box.

1. Within the Box's data screen (Either "Create a new Box" or "Update a Box"), set the "Microfilming" field to "Requested," before printing the box label.
2. Enter owner box number in “Owner Box Number” field to ensure the boxes will be filmed in the correct order.
3. The box label will display special instructions for records center personnel.
4. Transfer the box as per normal procedure.
5. In addition, a microfilm work order form must be submitted, along with an index.

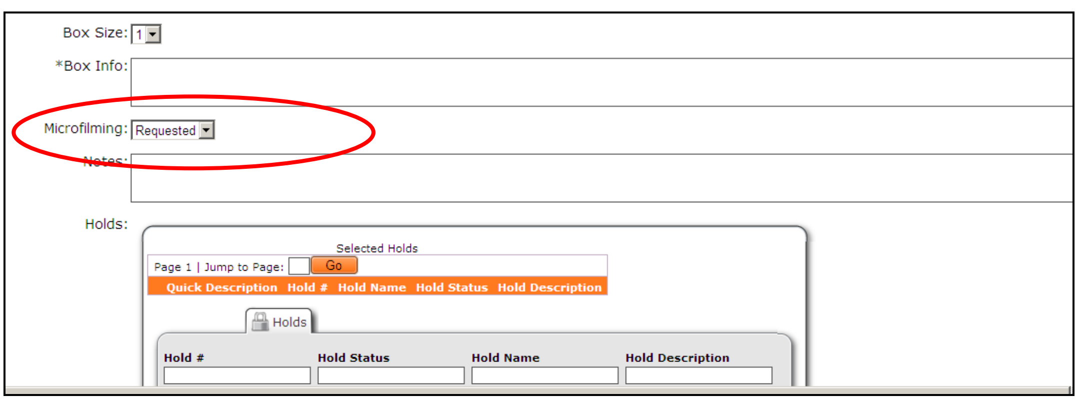

Figure 8.1 – Microfilming drop-down location

Microfilm request form

8.2.4 Microfilm projects require a completed microfilm request form. This form contains all the necessary information to complete the microfilm project. The microfilm request form is available from the Secretary of State Records Management Imaging Supervisor. Please contact the Imaging Supervisor at 573-751-4225. The form may be e-mailed to imaging@sos.mo.gov or printed and sent via interagency mail. The specific information on the form will depend on the particular service being requested. Separate request forms should be used for each film project.

8.2.5 Agencies should fill out the “record series number” field with the corresponding number in SMART. All boxes on the work order MUST belong to the same record series. The work order cannot be processed unless there is a valid record series listed on the form.

8.2.6 When requesting boxes to be filmed, agencies should fill out the "box barcode" column with a list of the boxes' barcodes from SMART. This list should put the boxes in the order they are to be filmed.

8.2.7 The "agency box number' and "title or description" columns should be filled out to clearly differentiate the different boxes and prevent confusion.

8.2.8 The “from/to date” columns should be filled out to indicate the oldest and most recent dates of the records in each box. These dates should be the same as the “From Date” and the “To Date” in SMART for each box.

8.2.9 In the "special instructions" column, indicate the type of film to be used, blip requests, whether the file folders should be filmed, and any other information regarding the request or the boxes.

Index

8.2.8 The index lists the individual files for each box, in the order they should be filmed. Indexes must be submitted with the microfilm request form for each project. Before the boxes are filmed, camera operators compare the index to the actual box on hand to verify that the boxes are complete. Any discrepancies will be reported to the agency. This process ensures that files are filmed in the correct order and microfilm is complete.

Preparation of records for microfilm

8.2.9 The following preparation must be completed by agencies requesting microfilm services. Records not properly prepared for filming will be returned to the agency, resulting in inconvenience and substantial delay of the filming project.

8.2.9. (a) Documents must be free of staples, paperclips, binders, or other fasteners.

8.2.9. (b) Paper should be white. Different colors of paper result in uneven image quality. Documents on colored paper should be photocopied onto white paper when being prepared for microfilming.

8.2.9. (c) Documents should not have colored ink. For best results, use only black ink on documents to be microfilmed.

8.2.9. (d) Small documents should be taped to full-sized sheets of paper.

8.2.9. (e) Oversized materials (*i.e.* maps, large drawings, blueprints) will be filmed on planetary cameras instead of the standard rotary camera. This is a slower process.

8.2.9. (f) Documents should be in file folders, but the folders may or may not be filmed, based on the microfilm request form.

8.2.9. (g) If file folders are not filmed, insert "targets" at the beginning of each file to provide a means to identify breaks between files.

8.3 Requesting a duplicate microfilm roll

8.3.1 Imaging Services can provide a copy of film stored in the Imaging Vault upon request.

1. Go to the microfilm tab and use the search fields to locate the desired roll of film.
2. Click in the checkbox on the left-hand side, by the roll's description in the search results.
3. Click on the "Request" action button.
4. On the "Request" screen, search for and select the designated recipient of the duplicate.
5. In the "Reason for request" field, enter any special instructions for the Imaging section.

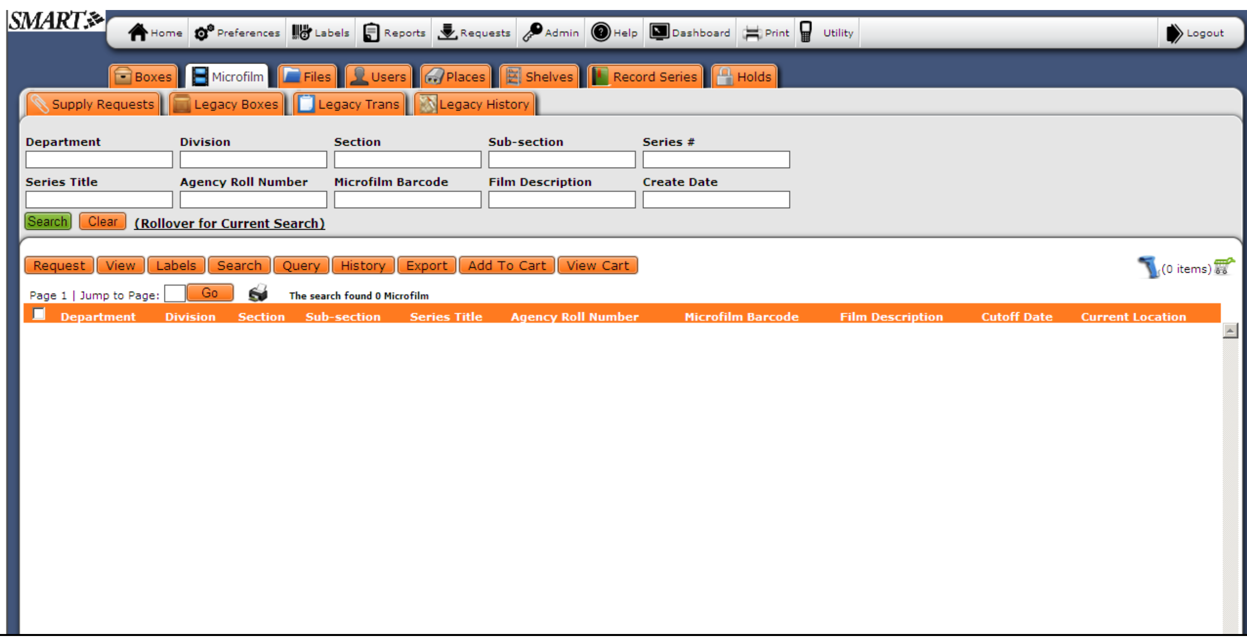

Figure 8.2 – Microfilm Home Page screen

Topic 9: Retention Schedule Revision

All state records are subject to an approved retention schedule. The approval process is a specific one reserved for agency personnel who, in coordination with Records Management, submit revisions and new record series to the State Records Commission for approval.

9.1 Retention Schedule Revision

9.1.1 To help distinguish record series with proposed changes and those without, record series will have a status. This indicates whether a record series has merely been proposed (submitted), reviewed by Records Management (pending), or approved by the State Records Commission (SRC).

Revision of existing items

9.1.2 To change a retention schedule item, the Records Management Liaison (RML) should enter the proposed changes in the "Proposed Changes" field and the RML should contact the agency's records analyst. Information in this field will provide the basis of revisions agreed upon by the liaison, the records analyst, the agency director, and the State Records Commission. The records analyst will make the item pending once the revisions have been agreed upon.

9.1.3 To propose changes to a retention schedule item:

1. Select the record series in the home page grid search results
2. Click the "Update" button
3. Enter any revision recommendations in the Proposed Changes field
4. Contact the agency's records analyst

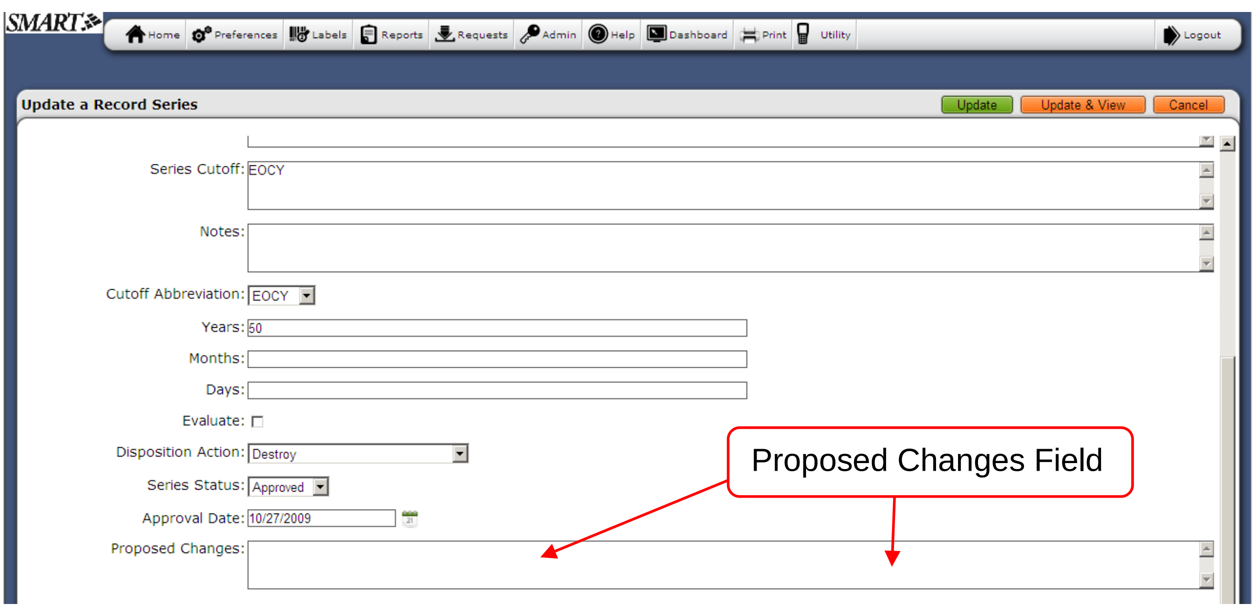

Figure 9.1 – Proposed changes field

Addition of new record series

9.1.4 To add a new record series to the retention schedule, the RML should contact the agency's records analyst. Analysts will work with an agency RML by providing a template for new record series. This spreadsheet will detail each field that needs to be filled out.

9.1.5 Once the RML returns the record series template to a records analyst, all new record series will be input into SMART by a records analyst with a series status as "Submitted."

9.1.6 Revisions of new record series will be handled in the same manner as revisions of existing retention schedule items, as detailed in 9.1.2 and 9.1.3.

Removal of record series

9.1.7 When an agency asks for a record series to be removed from their retention schedule, the agency's records analyst must be contacted. To remove a record series, written documentation by an agency must be provided.

9.1.8 Record series with no boxes attached will have their status changed to "obsolete;" however, the record series status will not be changed until all boxes attached to the record series have met the given retention period. Obsolete records series are maintained in SMART as a history of an agency's records schedule.

9.2 Approval of Changes

Records Management review process

9.2.1 Once a RML has submitted proposed changes, the agency's records analyst will continue to work with the RML to refine the record series and finalize the language.

9.2.2 Agency RMLs should provide the in-depth research on record series to take into account any retention issues, such as state statutes, federal statues, codes of regulation, legal issues with statute of limitation, administrative issues, audit issues, etc.

9.2.3 Once the agency's records analyst has addressed these issues, the proposed changes will be submitted for Records Management staff to review. This discussion will give other agency analysts, as well as the Senior Records Analyst and Director of Records Management, the opportunity to make any recommendations that may not have been previously addressed.

9.2.4 Once the Records Management staff has reviewed and agreed upon the proposed changes with the agency, the series status will change from "Submitted" to "Pending" for newly proposed record series. This indicates initial approval and records may begin to be submitted to a records center facility for storage; however, records attached to a "Pending" record series may not be destroyed until after that series has approval from the State Records Commission, at which point the status will move to "Approved."

State Records Commission approval

9.2.5 Proposed changes to record series that have been reviewed and approved by the Records Management staff will be taken to the State Records Commission (SRC) and reviewed on an item-by-item basis.

9.2.6 Before taking items to the SRC, Records Management staff will send the finalized version to the agency RML for a wet signature from the agency director.

9.2.7 Following SRC approval, Records Management staff will update SMART to reflect record series status changes and the most current SRC approval date for any retention schedule item.

Topic 10: Disposition

10.1 Types of disposition

10.1.1 "Disposition" is a term that describes what happens to records at the end of their retention period. The implementation of a disposition is referred to as disposal. Disposition for each record series is defined in the retention schedule. SMART includes the following types of disposition:

- ***Destroy –*** This is the most common disposition. It means simply that records are destroyed. When Records Management destroys records, the records are pulverized and recycled by a vendor without charge to the agency.
- ***Transfer to Missouri State Archives –*** This disposition is for records with enduring value that are transferred to the Missouri State Archives for preservation and maintenance as historical documents for the public. The determination for this disposition is made by Missouri State Archives staff.
- ***HIPAA-compliant shred –*** This disposition is required for medical-type records that must meet certain criteria in their destruction, established by the U.S. Department of Health and Human Services. Not all confidential records are required to be shredded in this manner. For records that must be shredded in this way, agencies will pay a vendor for this service.
- ***Transfer to appropriate file –*** This disposition is very rare, because it applies to some very unusual cases where documents are moved from one file to another, based on certain defined contingencies.
- ***Recycle –*** This is for rewritable computer media, such as backup tapes, that are re-used, replacing old records with new.

10.1.2 In addition, the following dispositions remain in the system as part of older retention schedules, but are no longer used for new retention schedules.

- ***LS (Life of System) –*** This disposition indicated records systems such as databases, where the information is never purged and the data pool continually grows over time.
- ***Permanent –*** This disposition was used to describe records with a perpetual retention period. It is no longer used for new schedules. Experience has shown it is better to either define the retention period or transfer the records to the Missouri State Archives, than to let the records remain indefinitely in inactive storage.
- ***Return to Agency (RTA) –*** This term was once used to indicate that records were returned to the agency after being filmed. SMART continues to track records whether they are in the possession of the agency or the records center, so "RTA" no longer has any applicability.
- ***Completion of Federal Audit (CFA) –*** This disposition was used to describe records that were kept until a federal audit was completed.

10.2 Basic parameters of disposition

10.2.1 Once a box has been created in SMART, to delete it would alter the audit trail. Therefore, destroyed boxes are dispositioned instead of deleted. This preserves the audit trail. To mark the destruction or other disposition of a box, that box must undergo a disposition process. Disposition preserves the record of a box, but also removes it from the inventory of boxes that are "live."

10.2.2 Only RMLs and Records Services users have permission to use the Disposition module in SMART. The following rules govern every disposition, no matter who does it.

10.2.3 Dispositions can only occur for boxes residing in a "disposition trigger" place. The selected disposition is then executed upon all boxes within that place, so it is important that disposition places be used exclusively for the exercise of final disposition, and not for any other purposes.

10.2.4 No box may be transferred to a disposition place unless

- 10.2.4. (a) The current date is later than the box's scheduled disposition date.
- 10.2.4. (b) The disposition approval date has been filled.
- 10.2.4. (c) The box is not on hold.

10.2.5 The system retains a record of all destroyed boxes to be used as a reference if needed.

10.3 Disposition at the Missouri State Records Center

10.3.1 The Records Management staff will execute disposition on boxes stored at the State Records Center after the scheduled disposition date has occurred. Since there may be extenuating circumstances connected with any box (legal issues, pending changes in records schedules, etc.), Records Management personnel do not destroy boxes without expressed written approval. RMLs are expected to ensure that records eligible for disposition are properly reviewed and that approval, if appropriate, is promptly documented on the forms provided by Records Management.

10.3.2 The ordinary chain of events for the disposition approval process is:

- 10.3.2. (a) Records Custodians or RMLs will periodically receive a "Disposition Approval Form," for their records stored at the State Records Center.
- 10.3.2. (b) The Records Custodian or RML will have to ensure that the proper parties within their agency receive the forms and review the records in question.
- 10.3.2. (c) Agency staff must return the signed approval forms to the Records Management office.

10.3.2. (d) The records will be destroyed free-of-charge, except for HIPAA-compliant shredding.
10.3.2. (e) RMLs will receive notification when boxes are dispositioned.
10.3.2. (f) Due to the sheer volume of state records, there may be a lag time between approval and execution of disposition.

10.4 Disposition at state agencies

10.4.1 State agencies that dispose of records at their own locations also need to follow correct procedures within SMART to preserve the integrity of the database. The following rules should be observed for any records that have been created in SMART.

10.4.1. (a) Agencies must have a pseudo-location designated as their "Disposition Place." Details on creating a disposition place are described in Topic 12 "Places."
10.4.1. (b) SMART tracks disposition dates for boxes, not individual files. Files must be placed in a box to be dispositioned.
10.4.1. (c) When boxes are due for destruction, the RML needs to transfer them to the disposition place. Boxes can be transferred either using a barcode scanner or through keyboard operations, as for any other transfer. Make sure that only boxes to be disposed of are in the disposition place.
10.4.1. (d) After transferring boxes to the disposition place, go to the "Box" tab and click on the "Retention" action button.
10.4.1. (e) On the Retention page that opens, select the place from the disposition place from the dropdown menu.
10.4.1. (f) Click on "Apply filter."
10.4.1. (g) Enter the current date in the "Target Date" field.
10.4.1. (h) Click on "Run All Schedules" to execute disposition.
10.4.1. (I) A list of all boxes appears. This page grants the Liaison one more chance to review the boxes. If records should be on hold, they can be placed on hold by selecting the "On Hold" checkbox.
10.4.1. (j) After reviewing the boxes and being sure they are due for destruction, click on the "Disposition" button to finalize the disposition.

10.4.2 To ensure the proper use of SMART's disposition capability, agencies should contact their appointed records analyst in the Record Services Division before making a disposition place or executing any disposition actions in SMART.

Topic 11: User Management

While all new SMART users will be created by Records Management staff to ensure proper training, RMLs will be responsible for maintaining and updating users.

11.1 Profile Management

11.1.1 SMART is an organizationally-structured system; access and restrictions are based upon a combination of a given roles' rights and the hierarchical structure that a user falls into. Because a state agency's organizational structure is very dynamic, it is the responsibility of the RML to update the system to accurately reflect SMART users' current area of employment.

11.1.2 Liaisons should contact their assigned records analyst to update any users' information, such as department, division, section, or sub-section, and user contact information such as email, address, or phone number. Liaisons should contact their records analyst when an employee leaves their agency.

11.1.3 It is also the responsibility of the RML to contact the agency's records analyst if there are changes to the organizational structure of their department that need to be reflected in SMART.

Topic 12: Places

12.1 General overview

12.1.1 Places are important because boxes and files can only be found if they are assigned to places or users in SMART. Each place in SMART is assigned to one particular agency by department/division/section/sub-section, just like boxes, files, and users are.

12.1.2 It is up to RMLs to manage the places associated with his/her agency, and to consult with the records management office to update places.

12.2 Types of places

Agency places

12.2.1 Every agency within SMART needs at least one place tied to a particular building. Large agencies may have several places, each representing a separate building. In addition, agencies will usually have other places that are used for particular functions within SMART.

Pending transfer places

12.2.2 For each building and agency served by the records center delivery truck, a special "Pending Transfer" place is created. Agency users request the pickup of boxes by transferring them to a pending transfer place. The records management delivery driver is then able to generate a report through SMART that lists all the boxes in pending transfer places, so there is no need to notify the records center by phone or otherwise. The pending transfer place is a pseudo-place that does not correspond strictly to any real-life physical location. It is used only to signal the records management driver that boxes are ready to pick up.

Disposition places

12.2.3 To implement disposition in SMART, boxes must first reside in a disposition trigger place. Disposition trigger places are pseudo-locations like pending transfer places. The use of disposition trigger places allows system users to separate large groups of boxes from other boxes in the system, in order to select them for disposition. When a disposition is actually executed, it will affect all boxes within a particular disposition place.

Records center places

12.2.4 Places designated as "Records center" places have special rules. If a box is assigned to a records center place, agency users lose the ability to edit information about that box. Instead, they have the ability to view and request the records. State Records Centers are the only records center places in SMART.

Home location versus current location

12.2.5 Records have two locations: "Current" location and "Home" location. Current location is the box or file's present location. Home location is the place that box or file should eventually be returned. For example, a box transferred from the records center to a user would keep the records center home location, but its current location would change. In some cases, a record's home location will change automatically, such as when it is transferred to a records center location. Home location may be reassigned manually whenever records are transferred or through use of the "Change Home Location" action button.

12.3 Creating new places

12.3.1 RMLs can create new places in SMART. This may be useful for agencies that operate their own records centers, warehouses, file rooms, or if new buildings are added to an agency's facilities. Records analysts are ready to provide assistance with any questions related to creation of new places.

12.3.2 To create a new place, RMLs first go to the "Places" tab and click the "New" action button. The following description fields record all the data related to that place.

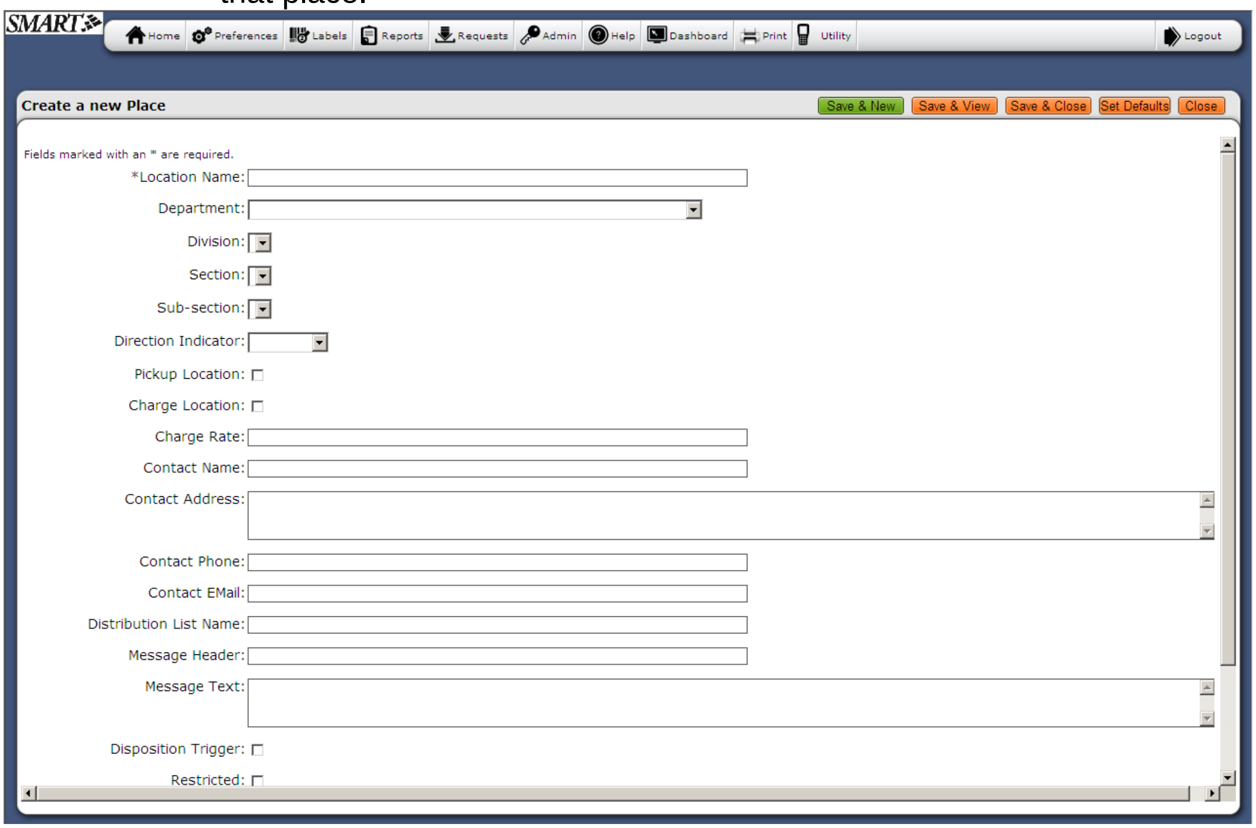

Figure 12.1 – The Create a Place screen

Location Name

12.3.3 Where applicable, this field will be the name of a building, such as "Truman Building," "Broadway Building," "Annex I," etc. If a building has no common name, then use the street address. Records Management staff may update any location names that prove unclear to the records management truck driver. Observe the following rules for naming places.

12.3.3. (a) For places within a building, the name should be descriptive. Examples: "KSIC Building – File Work Room," "Broadway Building – East Stairwell," "Truman Building – Cage," etc.
12.3.3. (b) Pending Transfer locations should have "(PT)" at the end of their location name.
12.3.3. (c) Disposition Trigger places should have " – disposition place" appended to the name of the actual location. Examples: "KSIC Building – disposition place," "Truman Building – disposition place," etc.

Department, Division, Section, and Sub-section

12.3.4 These fields assign the SMART location to a particular level of a department, division, section, or sub-section. Users assigned to one level within their organization can view and use locations assigned to all levels equal to and beneath them in the organizational hierarchy. However, users cannot see "upward" toward less narrowly defined levels of the hierarchy. For instance, a user assigned to the department, but not assigned to a particular division, would be able to use any of the places assigned beneath them. A user assigned to a particular sub-section would only be able to view and use places assigned to the same sub-section.

12.3.5 If multiple agencies (each division, section, or sub-section combination) share a building, then each agency MUST have its own version of that building location in SMART.

Direction Indicator

12.3.6 This is used to help the records management truck driver plan delivery and drop-off routes. Select either "Capitol," "East," or "West," depending on the place's location in Jefferson City. For places outside Jefferson City, leave this field blank.

Pickup Location

12.3.7 For places that have this checkbox selected, all boxes assigned to that place will show up on the Records Management driver's daily pickup report. Records center staff will create any new pickup locations, so agency personnel will not usually need to check this box.

Contact Name

12.3.8 This field should list the name of the individual that should be contacted regarding any issues related to delivery and drop-off of records at this location.

Contact Address

12.3.9 The full street address, including room or suite, and zip code should be listed in this field. P.O. boxes should not be listed. This field is used by the records management truck driver.

Contact Phone, Contact Email

12.3.10 These fields provide additional contact information for the person listed above. Both of these fields are especially important to help Records Management staff coordinate pickup and delivery services.

Distribution List Name, Message Header, Message Text

12.3.11 These fields are part of SMART's advanced functionality, and they are not presently used.

Disposition Trigger checkbox

12.3.12 This checkbox makes the place a disposition place. Only boxes that have been transferred to a disposition place can be dispositioned. RMLs should contact their records analyst before designating any place a disposition trigger place. Disposition places are pseudo-places, not to be confused with the building in which disposition may occur.

Restricted checkbox

12.3.13 Use of this checkbox will designate a place as a records center place, enacting all special rules that correspond to records center locations. Agency RMLs should never select this checkbox.

Is Archive Location

12.3.14 This checkbox is part of the original functionality within the SMART system and was not incorporated. Do not check this box.

Make Home on Transfer

12.3.15 Any records transferred to places with this checkbox selected will have their home location changed to that location upon transfer. In general, this checkbox should not be selected.

12.4 Agency Records Centers and File Rooms

12.4.1 By creating additional places, RMLs can use SMART to manage records not sent to the State Records Center, such as active files in a file room setup. System users would check files in and out of the agency's file room, just as they request files from the records center. The success of these types of applications depends on proper planning and configuration of SMART. RMLs should contact their records analyst for consultation before implementing these advanced system applications.

Appendix A: Glossary of Terms

action barcode – Specialized barcodes for the tethered scanner that perform a variety of actions, including transfers, home location changes, review item history, and others. Action barcode are distinct from ordinary barcodes because ordinary barcodes simply identify objects, while action barcodes actually cause system actions to occur when scanned.

action button – Buttons on the SMART Home Page, between the quick search fields and the search results grid. Each button corresponds to an action in SMART (i.e. the "Transfer" Action Button transfers an item).

active records – Records that continue to be used with sufficient frequency to justify keeping them in the creating office.

actual disposition date – A box attribute describing the actual date the box was destroyed or transferred to the Missouri State Archives. Field is updated automatically when transfer occurs.

agency – Any department, division, section or subsection that is dealing with SMART or records management.

agency retention schedule - A document that lists all records created and maintained by an agency. For each record, the schedule explains what the records are, when they become inactive, how long to keep them and what happens to the records when they are no longer needed. The schedule should list all records created and maintained by an agency, not just records to be stored in the state records center.

approved disposition date – The date the disposition of a box was approved by the agency. SEE ALSO disposition date.

archival records – Materials created or received by a person, family, or organization, public or private, in the conduct of their affairs that are preserved because of the research value contained in them.

archives – A facility and/or organization that preserves and provides access to non-active records that have no further administrative value to the originator. SEE ALSO Missouri State Archives.

barcode – The unique identifier for objects tracked in SMART, whether the object is a box, file, user, place, or any other object. Barcodes may be represented in a font readable only by laser barcode scanners or in an eye-readable "barcode number." SEE ALSO Action Barcode.

barcode scanner – Optional hardware to facilitate item transfers and other designated actions. Barcode scanners read barcode data used as identifiers for objects within SMART.

blip – A mark on microfilm rolls that is used to count frames automatically.

box – A container for inactive records. Inactive files must be assigned to a box in SMART before being dispositioned.

box pull request report – A report printed by Records Management users that lists all the box requests submitted by system users.

boxes ready to be microfilmed – A report run by Records Management's Imaging Section staff that lists which boxes are on hand and ready to be microfilmed.

box shelving report – Report used by Records Center staff in the process of returning boxes to shelves after they have been returned to the State Records Center.

cart - stores selected items that a user can access at a later time

chargeback – Part of the advanced functionality of SMART. Since all current services are free to agencies, it is not being used.

current location – The current location indicates the actual physical location of a box/file at any given time.

cutoff event – The event that triggers the closure of records, beginning the retention period. The cutoff depends on the records series.

cutoff abbreviation – acronyms to indicate the generic cutoff of a record series. For a full list of acronyms used by the Division of Records Management please see the Retention Schedule Acronym List for State Agencies in your SMART packet or online at http://www.sos.mo.gov/records/recmgmt/retention/Acronymlist.pdf

cut-off date - Indicates when the records in a box become inactive and the retention period starts.

dashboard - stores data that is frequently accessed by each user.

department – The highest level of the organizational hierarchy in state agencies. SEE ALSO division, section, and sub-section.

destroyed boxes place – A pseudo-location used to keep records of boxes that have been destroyed.

diazo microfilm – A type of film used for duplicates. A diazo copy is what is provided to agencies for direct access to their microfilmed records.

direction indicator – An attribute of places used by the records center driver for pickup locations in Jefferson City that indicates which side of town the place is located.

disposal – SEE disposition.

dispose – the transfer of records to their final disposition, either destruction or archival preservation. SEE ALSO disposition.

disposition – The fate of records at the end of the retention period. The disposition of a state agency records is based on the records series, as approved by the State Records Commission. Dispositions include destroy, transfer to the Missouri State Archives, HIPPA-compliant shred, transfer to appropriate file, permanent, recycle, life of system, completion of federal audit, and return to agency.

disposition approval form – A report generated by Records Services staff for distribution to state agencies. The report lists all boxes stored by Records Services that have reached their scheduled disposition date. There is a space on the form for the owning agency personnel to indicate approval for destruction or transfer to Missouri State Archives. When the form is returned to Records Services, the SMART record is updated to indicate the approved disposition.

disposition picklist – A report generated by Records Services users that lists all boxes in a particular building that have been approved for disposition.

disposition place – SEE Pending disposition place

disposition schedule – SEE Retention schedule.

division – The second level of organizational hierarchy in state agencies. SEE ALSO department, section, and sub-section.

driver pick up list – A custom report for the Records Management Driver to facilitate drop off and delivery of agency records that lists all boxes in pending transfer locations.

duplication request report – This report generates all outstanding requests for copies of state agency microfilm located in the Records Services Vault.

file – Related documents kept together, typically in one or more file folders.

file pull request report – This report generates all outstanding requests for files in records center boxes that are located at a Records Management facility.

file shelving report – Report used by Records Center staff in the process of returning files to their corresponding box, upon the files return to the State Records Center

final disposition – SEE Disposition.

general retention schedule - The Missouri General Retention Schedule (GRS) is a retention schedule that assigns the retention period to the most common types of records maintained by multiple state agencies. All state agencies should follow the GRS as well as their agency specific schedule. An agency may or may not have all the record series listed on the GRS in their office.

hold –The suspension of disposition for a box. There are three types of holds in SMART:

legal hold – The legal hold is used if there is a pending lawsuit or another legal reason to suspend destruction of a box.

audit hold – The audit hold is used if the box is required for the completion of an audit.

schedule revision – The schedule revision hold is used when there is a pending change to a record series that would change the disposition date on a box to a later date.

microfilm – The microfilm hold is used when a quality control issue has been found with a roll of film and the boxes need to be re-filmed before they are destroyed.

home location – The home location indicates the long-term location of a box/file. A box can leave its home location, but that location is tracked so users know where the box belongs. For example, when a box leaves the records center the home location will stay the same and only the current location will change.

home page grid – Displays all search results from either the Quicksearch fields or the search/query action buttons. This page also includes the top level menu and the action buttons.

Imaging – A section within the Records Management office that provides microfilm services for state agencies.

inactive records – Records related to closed business; not needed frequently, but required to be maintained for a certain period of time beyond the closed business.

index (microfilm request) –An ordered list of files located within a given box.

Infolinx – The vendor and developer of SMART.

Interfiles – additional folders being added to record center boxes that did not previously contain them or the addition of individual documents to folders in a record center box.

item type tabs – Located under the Top Level Menu, each tab contains information on one type of item. The tabs are boxes, files, microfilm, users, places, shelves, records series, holds, and the legacy tabs that contain a snapshot of the old Records Management database.

legacy box – Any box sent to a Records Management facility prior to the launch of SMART.

legacy history – A specialized tab allowing users to search for Legacy Box information.

legacy transmittal – A specialized tab allowing users to access information regarding transmittals, the paper-based system of accepting records from agencies that was in use prior to the launch of SMART.

liaison – SEE Records Management Liaison.

microfilm – 35mm or 16mm roll film containing highly reduced images of documents and used as a preservation method for long term storage of records.

microfilm request form – Form used by Records Management's Imaging section to verify what boxes need to be filmed and in what order. The form also contains any special instructions the imaging staff might need to complete the request.

Missouri State Archives – A division of the Secretary of State Records Services Division that preserves and provides public access to the historically significant records of state agencies and local governments after those records have been transferred to the Archives.

owner – The creating Department, Division, Section, or Sub-Section which retains intellectual custody of a record while it is stored at the records center prior to transfer of ownership to the Missouri State Archives.

owner box number – An agency-designated number used to assist agency and records center personnel in identifying boxes.

owner file number – Can be entered into the additional ID# field when creating a new file. This is an agency-designated number used to assist agency personnel identify files.

owning agency – SEE Owner.

pending disposition place – A Records Center pseudo location used in the disposition of boxes.

pending transfer (PT) location – The pseudo location where boxes will be placed in SMART to indicate a shipment of records is ready for Records Management pickup.

pickup location – Locations inside the Jefferson City's city limits from which boxes and files will be dropped off or picked up by the Records Management driver.

place – Any location designated in SMART. Places are usually buildings, but could be used to describe particular rooms, file cabinets, closets, or other specific locations. Places may also be designated as a "pickup location," "disposition place," or "restricted location."

portable scanner – A barcode scanner designed solely for the transfer of items from one container or location to another. This scanner is detachable from a dock continuously connected to the computer. Transfers made with a portable scanner are not recognized by SMART until the scanner is docked and data uploaded to the system. SMART can only use the Metrologic Optimus S SP5500 portable scanner.

pseudo-location – Used by SMART to perform specific tasks, but does not correspond to any real-life physical location. Examples include pending transfer locations and pending disposition places.

query – The queries page uses a complex set of fields, criteria, and operators to return search results.

quicksearch – Each tab has a specialized Quicksearch; these fields are designed to be the most useful in locating boxes, files, etc. The majority of all searches in SMART will be done in this area.

records – Official information that may be used as evidence or proof. Records are created in the course of normal activity and set aside as evidence or a transaction or for future reference. RSMo 109.210 (5) defines a record as a "document, book, paper, photograph, map, sound recording or other material, regardless of physical form or characteristics, made or received pursuant to law or in connection with the transaction of official business." SEE ALSO active record, archival record, inactive record.

records center – Facilities operated by the Records Management that stores inactive records owned by state agencies for the continued administrative use of those records by the records originators. Currently there are 2locations.

records management liaison (RML) – The designated agency personnel with the responsibility of developing and updating records retention schedules, applying holds to boxes stored in the records center, and setting the disposition of items in SMART that have met retention and are not located in a Records Management facility. RMLs also serve as contacts with Records Management to coordinate approval box dispositions in the records center.

records management – An office within the Records Services Division of the Missouri Office of the Secretary of State, tasked with assisting agencies in the development of retention schedules, facilitating offsite storage of inactive records, records management consultation, imaging services, and the administration of SMART.

record series – A category of records listed on a retention schedule. Record series are a group of records that share characteristics of purpose, format, function, agency business process, and retention period.

Records Services Division – A division of the Office of the Missouri Secretary of State which includes the Missouri State Archives, the Local Records Preservation Program, and Records Management. Records Services is headed by the Missouri State Archivist.

refile – The return of a box or file to a records center location.

retention schedule – A document that defines an agency's policy for the retention and disposition of records. May be either an agency retention schedule or the General Retention Schedule.

search – This is an action button located in each tab that allows the user to search by any of the data fields for the specific item type tab.

scanner – When used in discussion of SMART, this is a shortened form of "barcode scanner," not a reference to a document imaging device.

schedule – SEE Retention schedule

scheduled disposition date – The date when a box is initially scheduled to be disposed.

section – The third level of the organizational hierarchy for state agencies. SEE ALSO department, division, and sub-section.

security silver microfilm – A silver halide preservation copy of archives microfilm that is stored offsite for security purposes.

series status – The status of a record series, including Submitted, Pending, Approved, Obsolete, and Rejected.

shelf – A location within a place for storing items such as files, boxes, or microfilm.

silver halide microfilm – This is the preservation copy of microfilm. It can be used to create duplicate diazo versions.

SMART – Acronym for State of Missouri Agency Records Tracking system.

SRC approval form – A report listing Record Series for State Records Commission approval.

staging place, the – A pseudo-location used by Records Center staff for boxes and files that have been delivered to the State Records Center.

State Records Center – SEE Records Center.

sub-section – The lowest level of the organizational hierarchy for state agencies. SEE ALSO department, division, and sub-section.

system user – SEE User.

tethered scanner – A type of barcode scanner that has a cord attaching it to a PC. Tethered scanners provide SMART users a way to view data associated with scanned barcodes or a way to use action barcodes to streamline some processes and minimize data entry.

top level menu – The top row of hyperlinks on any page within SMART. These links allow users to change settings in preferences, print labels, view and print reports, download scanner information for bulk updates, access space management, access the generic help, and logout.

user – Any person who uses SMART. Users are assigned a particular role that alters their permissions and access to various parts of the system. Users can be Administrators, Records Services Users, Records Liaisons, or Agency Users.

vault – The Records Services media vault located in the Kirkpatrick State Information Center that houses microfilm and microfiche jackets processed by Imaging Services.

vault space – A shelf location within the vault place where microfilm is stored by Imaging Services.

wet signature – A signature inscribed by hand, in ink.