User Guide

Missouri Office of the Secretary of State
Records Management
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System Overview

The **S**tate of **M**issouri **A**gency **R**ecords **T**racking (SMART) system is a web-based application that only requires an internet connection and a browser to use. No additional software is necessary.

SMART can track the entire lifecycle of a record, including creation, use, retention, and disposition. SMART also manages the entire workflow of storing records at the State Records Center, including printing labels, making records requests, and generating disposition approval forms. Agencies can also use SMART to track active records kept in-office.

Users must complete training to access SMART, after which a user name and temporary password is assigned by Records Management. Upon initial login, users are required to create a new password that is 8-12 characters long and uses 3 of the following 4 criteria: an uppercase, lowercase, number, or special character. Username and password information is private and should not be shared.

Required Supplies
1. **Records Center Boxes** – box type **242.SZ** – File Box with Flaps 15" x 12" x 10" purchased by your agency from **Missouri Vocational Enterprises (MVE)**. Other box types/sizes are not accepted.
2. **Box Label Stock** – any self-adhesive label stock measuring 5" x 3 ½" such as Avery 8168.
Note: The Records Center will not accept boxes without box labels. Labels must be in the upper right-hand corner of a handle side. Agencies must provide their own labels.

Optional Supplies
1. **File Label Stock** – any self-adhesive label stock measuring 1" x 2 ⅝" such as Avery 8160.
Note: Records Management does not require all agencies to label files, however, it is recommended. Records Management reserves the right to require file labels for agencies with a high volume of file requests. Agencies will need to assume the cost of these labels.
2. **Barcode Scanners** – useful for agencies with large file rooms where manual transfers in SMART would be time-consuming. The SMART system vendor, *Infolinx*, sells compatible scanners (tethered, portable, and wireless) directly.
Note: More information on configuration and purchasing details can be found in the "Scanner Configuration and Use" Guide.
3. **Dymo Label Writers** – useful for labeling files. SMART is compatible only with DYMO-brand label writers.

Roles, Permissions, and Rights
1. **Roles** determine the permissions and rights for each user in the SMART system.
   a. **Records Center User (RCU)** – Personnel who create, transfer, and request records from the Records Center. Most SMART users are RCUs.
   b. **Records Management Liaison (RML)** – Agency contact with Records Management for the purpose of creating and revising retention schedules and overseeing the disposition of agency records.
   c. **Agency Contract Personnel** – Personnel who are under state contract who have the same responsibilities as an RCU. Logins for personnel with this role will be disabled at the beginning of every fiscal year unless Records Management is informed otherwise.
   d. **Assignee** – Personnel who do not need to request records but do have records delivered to them.

e. **View Only User** - Personnel who do not need to create, transfer, or request records but do need to locate records or access retention schedules through SMART.

2. **Permissions** determine which records a user can view.
    a. Permissions are restricted depending upon the department, division, section, or sub-section a user is assigned.
    b. Users can see records at their assigned level and below. For example, users at the department level have permission to view records in any division, section, or sub-section within their department. Users at the sub-section level can only view records within their sub-section.
3. **Rights** determine what actions a user may perform on items.
    a. Rights are role-based. For example, View Only users cannot create items in SMART, but Record Center Users can.

Navigating the SMART System
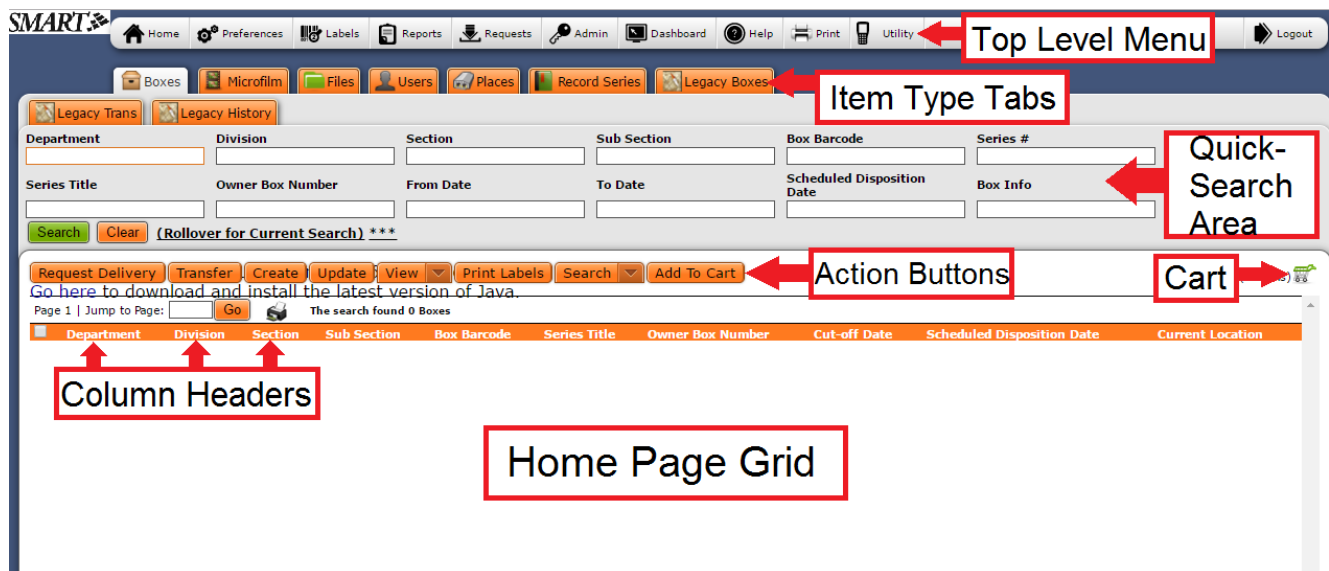
Figure 1 - The Home Page Grid of the "Boxes" tab. Each Item Tab displays its own Home Page Grid and search results.

Top Level Menu – For returning to the Home screen, changing settings, printing labels from the label queue, viewing and printing reports, accessing the Dashboard or Help section, and logging out of the SMART System.

Item Type Tabs – For finding specific item types such as boxes, files, or microfilm.

Quick Search Area – For entering search criteria such as department name or box barcode. *TIP: using percent signs (%) around keywords yields better search results.*

Action Buttons – For performing specific actions on items such as requesting or updating a box or file.

Home Page Grid – For displaying search results.

Column Headers – For sorting search results. Click header once to sort in ascending order; click again to sort in descending order.

Cart – For compiling selected items from multiple searches or setting aside items to be viewed at a later time. Items remain in cart until removed by user.

Viewing and Printing Records Retention Schedules

The Retention Schedule lists all records series information including the record series number, which is required when creating boxes or files. In addition to an agency-specific schedule, state agencies can use the General Retention Schedule (GRS) for commonly-produced records, such as correspondence or personnel documents.

1. Click on **Reports** in the **Top Level Menu**.
2. Find the **Agency Retention Schedule** report. (First report under the Retention section.)
3. Select **Filter** under the Action column.
4. Enter your Department, Division, Section, and Sub-section (if applicable). Remember to use percent signs (%) around search terms. Example: Type %general% in the Department field to search for the General Retention Schedule.
5. Click **Add Filter**
6. Click **Run Report**. A new tab or window will open displaying the retention schedule.
7. Right-click anywhere on the schedule and select **Print**, or use the browser options to download your agency retention schedule.

TIP: Agency Retention Schedules and the GRS can also be found on the Secretary of State's website at http://www.sos.mo.gov/records/recmgmt.

Reading a Retention Schedule:

Figure 2 – Sample retention schedule showing two series from the Human Resources portion of the General Retention Schedule (GRS).

A. **Series Title** – a concise label for the series.
B. **Cutoff** – point at which records under the series become inactive and the retention period begins. Records cannot be sent to the Records Center until cutoff happens.

C. **Retention Period** – length of time records must be retained after the cutoff. Agency remains in control of records while they are in retention, regardless of if they are stored in-office or at the Records Center. A record cannot be destroyed until the retention period is up.
D. **Description** – summary of what the records in the series are, how they are created and used, and any legal regulations that apply to them.
E. **Series Number** – an identification number that is unique to each series.
F. **Notes** – an optional field for additional information that is helpful for managing the records but does not fit in the description.
G. **Approval Date** – date that the series was approved by the State Records Commission. Series with approval dates older than 2005 should be revised and re-approved.
H. **Disposition Action** – what happens to records under the series once the retention period is up.

TIP: Contact Records Management to add or modify series on your agency retention schedule.
TIP: More information about records retention schedules can be found on the Secretary of State's website at http://www.sos.mo.gov/records/recmgmt/introduction.

Searching for Items

Use the Quick Search Area under any Item Type Tab to keyword-search for items.

1. Click the appropriate **Item Type Tab**: Boxes, Microfilm, Files, Users, Places, or Record Series.
2. Enter keyword(s) into one or more of the search fields in the **Quick Search Area**. Remember to use percent signs (%) around your search terms.
3. Click the green **Search** Button or press **<Enter>** on your keyboard.
4. Results will be displayed on the **Home Page Grid**.
5. Select the **check boxes** next to any search result to perform actions on the item or to add it to your cart.
6. Click the **Clear** button to quickly clear all fields if you want to perform a new search.

TIP: Start by searching one field at a time. Use additional fields to refine your search results.
TIP: The Barcode field is the best way to find items. If you know the barcode of an item, start there.
TIP: Click the down arrow on the Search action button for Detailed Search to search additional fields not listed in the Quick Search Area, such as Create Date or Created By.
TIP: To see every item owned by your agency under a particular Item Type Tab, leave all fields of the Quick Search Area blank and click the green Search button.
TIP: Contact your designated records analyst if you have difficulties locating items.

Printing search results:
1. Click the **column headers** to sort the search results (if necessary).
2. Click the **Print** button on the Top Level Menu or click the **printer icon** next to the Go button located below the row of orange action buttons.

TIP: You can export your search results into a spreadsheet by clicking the View action button and then clicking Export. Review the "How to Export Data" video in SMART's Help section for further instruction.

Requesting Items from the State Records Center

Use the Request Delivery button to retrieve items from storage.

Requesting a whole box:
1. Click on the **Boxes** item type tab.
2. Use the appropriate **Quick Search Area** fields to search for the box(es) as described in steps 2 – 3 of *Searching for Items*.
3. Select the **check box** next to each box you want to request.
4. Click the **Request Delivery** action button.
5. You are now on the **Request Items screen**. Your name and barcode should automatically be listed under the "*Items will be requested to this location*" text.
6. Click the green **Request** button. A message will pop up stating that the request was successfully submitted.

TIP: You can request items be viewed at the Records Center instead of delivered to your location by stating that you want to "review items at the records center" at a <u>specific date and time</u> in the "Special Instructions" field of the Request Items screen.

Requesting individual files from a box:
*** <u>IMPORTANT:</u> *Always search the **Files** Item Type Tab <u>FIRST</u> when requesting files as the file might already exist in the system.*
1. Click on the **Files** Item Type Tab.
2. Search for the file(s) using the **Quick Search Area** fields as described in steps 2 – 3 of *Searching for Items*.
3. *If the file <u>is</u> found*, click the **Request Delivery** action button, then click the green **Request** button on the following screen. A message will pop up stating that the request was successfully submitted.

If the file <u>is not</u> found under the Files tab, then:
1. Click on the **Boxes** Tab.
2. Search for the box containing the file(s) you want to request as described in steps 2 – 3 of *Searching for Items*.
3. Click the **check box** next to the box containing the file(s) you want to request and then click the **Request Delivery** action button.
4. You are now on the **Request Items screen**. Look for the text that says "**Enter Number of Files**" (middle of screen). Enter the number of files you are requesting into the field next to the text and click the orange **Enter Info** button**.** A table titled "**Enter Folder Information**" will appear below the Enter Info button.
5. Enter the name of the file you are requesting in the ***File Name** field of the table. (Example: Smith, William).
6. Optional - Enter additional file identification information into the **File Sub Name** field. (Example: Case No. 1234567).
7. Click **Request Delivery.** You will get a message that your request was successfully submitted.

Creating Items in SMART

Creating a box:
1. Click the **Boxes** tab.
2. Click the **Create** action button.
3. Verify the **Department, Division, Section,** and **Sub-section** information is correct. If not, select correct info from drop-down menus.
4. Use the search fields of the **Quick Search** area below the ***Record Series** field to find the correct record series, or enter the **record series number** in the **Series #** field if you know it.
5. Click the orange **Search** button on the far right of the screen or press **Enter** on your keyboard. The search results will display below the Quick Search area.
6. Select the button next to the correct series (if necessary). The series number and title will automatically populate the ***Record Series** field above the Quick Search area.
7. Enter the **Owner Box Number** – a numbering system defined by your agency**.** (Optional)
8. Enter the **From Date** – the date of the oldest record in the box.
9. Enter the **To Date** – the date of the most recent record in the box.
10. Enter **Box Info** – a brief description of the box contents or keyword(s) that will help you locate the box in the system at a later time.
11. Click one of the following options in the top right corner of the screen:
    a. **Save & Close** – if you are done creating boxes.
    b. **Save & New** – if you want create additional boxes.
    c. **Save & View** – if you want to review the details or make files inside of the box you just created (see steps 3 – 6 of *Creating a File Inside of a Box)*.
12. A message will pop-up stating the barcode for the newly-created box. A label will automatically go to the Box Label Queue for later printing (see *Printing Labels*).

TIP: Keep track of the barcodes you generate in order to more-easily locate records in the system at a later time.

Creating a file inside of a box:
1. Click on the **Boxes** tab and perform a search for the box in which you want to add files. *Note: This must be a box in your possession as you cannot edit a box that is with another person or at the Records Center.*
2. Click the **checkbox** next to the box you want to add files to, then click the **View** action button and select **View Record** from the drop-down menu. You are now on the **View a Box** screen.
3. Scroll down until you see a **green file icon** – above a **black line** with text that reads "**Infolinx System Fields**."
4. Click **Add New** next to the green file icon. You are now on the **Create a New File** screen.
5. Check the **Department**, **Division**, **Section**, **Sub-section**, and ***Records Series** fields to make sure they fit the file you are adding.
6. Enter the file name in the ***File Name field**.
7. Click **Save & Close** if you are done adding files or **Save & New** to add additional files.

Creating an active file using the Files tab:
An active file is one that is kept at your agency because it is not yet ready to be sent to storage; it is still being utilized and has not met its cutoff. You can use SMART to track active files within your agency. Active files must be transferred to a box before they can be sent to storage at the Records Center.

1. Click on the **Files** tab.
2. Click the **Create** action button.
3. Verify the **Department**, **Division**, **Section**, and **Sub-section** information is correct. If not, select correct info from drop-down menus
4. Search for and select the appropriate **Series #** for the file as directed in steps 4 – 6 of the *Creating a Box* section.
5. Enter the file name in the ***File Name field**.
6. Click **Save & Close** if you are done adding files or **Save & New** to add additional files.

Note: File(s) will need to be transferred to a box before they can be sent to the Records Center.

Updating Items

Use the Update button to make changes to existing SMART entries.

1. Click the appropriate **Item Type Tab**.
2. **Search** for the item you want to update. *Note: This must be an item in your possession. You cannot edit an item that is with another user or at the Records Center.*
3. Click the **checkbox** next to the item you wish to update.
4. Click the **Update** action button.
5. Make desired changes on the Update screen.
6. Click the **Update** button when finished.

TIP: *If you have several boxes that need updating, contact your record analyst for additional options.*

Printing Labels

Printing labels for newly-created boxes or files:
When a box or file is created, a label automatically goes to the label queue.
1. Click the **Labels** button in the Top Level Menu.
2. Select the **Missouri Box Label Queue** for box labels or the **Missouri File Label Queue** for file labels. Select the **Dymo Label Queue** if you use a Dymo Printer (optional). The labels in the selected queue are now listed at the bottom of the screen.
3. Click **Print All** if you want to print every displayed label, or click the **checkboxes** next to the labels you want to print, then click **Print Selected.** A new tab will open displaying the labels (pop-up blocker in browser must be turned off).
4. **Right-click** anywhere on the screen and select **Print** from the menu that appears.
5. Once the labels have been successfully printed, select **Delete** on the **Delete Printed Labels from Queue** screen in SMART.

Reprinting labels for boxes or files:
1. Click the appropriate **Item Type Tab** (Boxes or Files).
2. **Search** for the item(s).
3. Click the **checkbox** next to all items that need reprinted labels.
4. Click the **Print Labels** action button.
5. Verify design setting is **Missouri Box Label** for boxes or **Missouri File Label** for files.
6. Click **Print** button. A new tab will open displaying the label(s).
7. **Right-click** anywhere on the screen and select **Print** from the menu that appears.
8. Once the labels have been successfully printed, click **Close** on the **Print Labels – Choose Design** screen in SMART.

Transferring Items

Sending items to the State Records Center for storage.

Transferring boxes (agencies within Jefferson City only):
1. Click on the **Boxes** tab and perform a search for the box you want to send to storage.
2. Click the **checkbox** next to the box to be stored and then click the **Transfer** action button. You are now on the **Transfer Items** screen.
3. Click on the **Places** tab of the rectangular Quick Search area. Then click the green **Search** button.
4. Select the **Pending Transfer (PT) location** with your address. It must be the address of your location and it must contain (PT) in the **Location Name**.
5. Click the green **Transfer** button. The Records Center will be notified to pick up boxes from your address.
6. Move the boxes to the dock area of your building so that Records Center staff can easily retrieve them.

Transferring boxes (agencies outside of Jefferson City):
The Records Center does not pick-up outside of the Jefferson City area.
1. A SMART-generated box label should be affixed to each box.
2. Use a **parcel delivery service** such as FedEx or UPS to deliver boxes to the Records Center, or **contact the Records Center** at **573-522-9629** at least **24 hours in advance** to arrange a time for your agency to deliver the boxes. All deliveries go to:
> **State Records Center Annex**
> **4720 Scruggs Station Road**
> **Jefferson City, MO. 65109.**

Returning requested files (all areas):
The Records Center does not do pick-ups for individual files.
1. A SMART-generated file label should be affixed to the file.
2. **Mail** the file to the **State Records Center Annex** via inter-agency or postal mail or **hand-deliver** the file. No action is required within the SMART system.
Note: Agencies within Jefferson City can have individual files picked-up with box pick-ups. The individual files must be visibly marked as "Refiles" and placed by the boxes. Records Center staff will take the refiles when picking up the boxes.

Additional Resources

- Records analyst contact information: http://www.sos.mo.gov/records/recmgmt/contact.
- MVE website for ordering boxes (item number 242.SZ): http://doc.mo.gov/mve/index.html
- Packing records into boxes: http://www.sos.mo.gov/records/recmgmt/offsite/packingRecords
- Affixing box labels: http://www.sos.mo.gov/records/recmgmt/offsite/affixingLabels
- Microfilming: http://www.sos.mo.gov/records/recmgmt/microfilm/default