

CHAPTER

7

Storing, Retrieving, and Transferring Records



Records Retention Program

- Policies and procedures
 - What documents to keep
 - Where and in what type of environment the documents are kept
 - How long these documents are to be kept

Records Values

Nonessential Records	Not worth keeping
Useful Records	Short-term storage— up to three years
Important Records	Long-term storage— seven to ten years
Vital Records	Permanent storage

Records Inventory

- A detailed listing of an organization's records that includes:
 - Types
 - Locations
 - Dates
 - Volumes
 - Equipment
 - Classification systems
 - Usage Data

Radio Frequency Identification (RFID)

- A technology that uses electromagnetic or electrostatic radio frequency to identify an object, animal, or person
 - Used as an alternative to bar codes
 - Does not require direct contact or line-of-sight scanning
 - Can be used to conduct records inventories

Components of RFID System

- Antenna
- Transceiver/reader
- Transponder—the tag or chip

Records Inventory

- Names & dates of records series
- Records locations
- Storage equipment
- Number of storage containers
- Records reference rate
- Records media—paper, micrographic, electronic, or optical

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Records Inventory

- Records size—letter, legal, tab/checks, other
- Records housing
- Records value
- Retention requirements

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RECORDS INVENTORY WORKSHEET		
(Complete one form for each records series.)		
Department Legal	Person Taking Inventory Randy Thompson	Date of Inventory 01/15/2005
Department Contact Person and Title Tiffany Smith	Telephone / Ext. 1153	E-mail Tiffany.smith@rmg.com
Records Series Title Townsend v Hopkins LLC	Dates of Records Series From <u>Jan 1, 2002</u> To <u>Jan 1, 2005</u>	No. of Storage Containers <u>6</u>
Description of Records Series (Contents; Purpose; Form Numbers, etc. Continue on reverse side if needed.) Closed case files, investigation reports, forensic reports, depositions, court records		
Records Format/Media <input checked="" type="checkbox"/> Paper <input type="checkbox"/> Microform (Specify) _____ <input type="checkbox"/> Electronic (Specify) _____ <input type="checkbox"/> Optical (Specify) _____ <input type="checkbox"/> Publications/Books _____	<input checked="" type="checkbox"/> Letter <input type="checkbox"/> Legal <input type="checkbox"/> Maps, Drawings <input type="checkbox"/> Printout <input type="checkbox"/> Binders <input type="checkbox"/> Video/Audio Tape <input type="checkbox"/> Other _____	File Arrangement <input type="checkbox"/> Alphabetic <input type="checkbox"/> Geographic <input type="checkbox"/> Numeric <input type="checkbox"/> Chronologic <input type="checkbox"/> Alphanumeric <input checked="" type="checkbox"/> Calendar Year <input type="checkbox"/> Subject <input type="checkbox"/> Fiscal Year <input type="checkbox"/> Other (Specify) _____
Volume of Records Filing Inches _____ Cubic Feet <u>6</u> Annual Accumulation Rate Filing Inches _____ Cubic Feet _____	Records Value <input type="checkbox"/> Nonessential <input type="checkbox"/> Useful <input checked="" type="checkbox"/> Important <input type="checkbox"/> Vital	Reference Rate <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Monthly <input checked="" type="checkbox"/> Less Than Once a Month <input type="checkbox"/> Annually
Storage Equipment <input type="checkbox"/> Cabinet <input checked="" type="checkbox"/> Box <input type="checkbox"/> Roll <input type="checkbox"/> Shelf <input type="checkbox"/> Flat <input type="checkbox"/> Vault <input type="checkbox"/> Other (Specify) _____	Current Retention Period Active (in Office) <u>3 years</u> Inactive (in Storage) <u>5 years</u> Total <u>8 years</u>	Required Retention Period—Schedule Active <u>Until case closed</u> Inactive <u>10 years</u> Total <u>20 years</u> Destruction Date <u>Jan 1, 2045</u>
Form 203 (Rev. 01/05)		

Records Retention Schedule

- A comprehensive list of records, indicating the length of time records are to be maintained.
 - **Records series**—a group of related records that normally are used and filed as a unit and can be evaluated as a unit to determine the records retention period.
 - **Retention period**—the length of time that records must be kept according to operational, legal, regulatory, and fiscal requirements.

RECORDS RETENTION SCHEDULE			
Records Series	Years Active	Years Inactive	Total Years
Accounting and Fiscal			
Accounts payable invoices	3	3	6
Accounts payable ledger	3	3	6
Accounts receivable ledger	3	3	6
Bank deposit records	3	3	6
Bank reconciliations and statements	3	3	6
Annual audit reports	3	P	P
Records Management			
Inventories	1	0	1
Office equipment records	3	3	6
Requisitions for supplies	1	0	1
Records Management			
Records destruction documentation	3	P	P
Records inventory	1	0	1
Records management policies	1	P	P
<i>P = Permanent Term = Termination</i>			
Form 220 (Rev. 01/05)			

Records Retrieval

- **Retrieval** is the process of locating and removing a record or file from storage.

Three Ways to Retrieve Records

- **Manual retrieval**—removing a record from a storage container by hand.
- **Mechanical retrieval**—using a mechanical means such as pushing a button to rotate movable shelves to the correct location for manual removal of the correct record.
- **Electronic retrieval**—using a computer to see an electronic record on a screen, in a database, or in an e-mail message.

Ten Steps for Retrieving a Record

1. Request stored record or records series
2. Check index for location of record(s)
3. Search for record or records series
4. Retrieve (locate) record or records series
5. Remove record(s) from storage

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Ten Steps for Retrieving a Record

6. Charge out records; insert OUT indicator; complete charge-out log
7. Send record(s) to requester
8. Follow up borrowed record(s)
9. Receive record(s) for re-storage
10. Store record(s) again; remove OUT indicator; update charge-out log

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Requisition Procedures

- A **requisition** is a written request for a record or information from a record.

RECORDS REQUEST	
Name on Record	Date on Record
Date Borrowed	Date to be Returned
Requester Name	Extension
Department	E-mail
Place white copy into folder. Place blue copy into tickler control file.	
Form 209 (Rev. 01/05)	

Charge-Out Procedures

- **Charge-out** is a control procedure to establish the current location of a record when it is not in the records center or central file—may be manual or automated.
- Supplies needed:
 - OUT indicators
 - Carrier folders
 - Charge-out log

Charge-Out Log

CHARGE-OUT LOG								
Name on Record	Date on Record	Name of Person Borrowing Record	Ext. or E-mail	Date Borrowed	Date Due	Date Returned	Date Overdue Notice Sent	Extended Date Due
Hillman Equipment & Rental Sales	5/17	M. Alvarez	1153	8/19	8/26	8/26		
Buchanan Flooring, Inc.	3/3	B. Amatulli	bamatulli@xyz.net	8/21	8/28	8/25		
The Learning Center	11/30	J. Lee	1206	8/22	8/29		8/30	9/6
LeBow Salon & Day Spa	4/27	L. Davis	ldavis@xyz.net	8/31	9/7	9/6		

Form 211 (Rev. 01/05)

Records Transfer

- The act of changing the physical custody of records with or without change of legal title.
- Records are moved from one storage area to another.
- Records are transferred when they are no longer used frequently.
- Older records are less frequently accessed and become inactive.

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Records Transfer

- Dates on records are considered when deciding to transfer records.
- Active files contain the current year's records plus those of the immediate past year.
- **Records disposition** is the final destination of records at the end of their retention period in active and/or inactive storage.
- Records may be transferred to an archives for retention or destroyed.

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Records Activity

- **Active records**—accessed three or more times a month; located near user
- **Inactive records**—accessed less than fifteen times a year; stored in less expensive area
- **Archive records**—kept for their continuing or historical value; stored in less expensive area, often off-site

Transfer Methods

- **Perpetual**—records are continually transferred from active to inactive storage areas
- **Periodic**—active records are transferred at the end of a stated period of time to inactive storage
- **One-period**—records are transferred at the end of one period of time (six months or a year)

Transfer Procedures

- Transferring department completes a multicopy transfer form.
 - Transferring department keeps one copy
 - Original and two copies go with box to inactive storage
 - One copy is returned to transferring department with storage location

Records Center Control Procedures

- A records center is a low-cost centralized area for housing and servicing inactive records whose reference rate does not warrant their retention in a prime office area.
- Records center control files
 - Inactive records index
 - Charge-out and follow-up file
 - Destruction date file
 - Destruction file

Records Destruction

- The disposal of records of no further value by incinerating, macerating, pulping, or shredding.
- Destruction is the definitive obliteration of a record beyond any possible reconstruction.

Records Center Control Procedures

- Maintain records to document when and how records are destroyed.
 - **Destruction date file**—a tickler file containing copies of transmittal forms completed when records are received in a records center.
 - **Destruction file**—a file containing copies of transmittal forms removed from the destruction date file after records are destroyed. Forms are filed by department names and destruction dates.

Records Center Software

- Improves productivity
- Helps center employees provide faster service
- Improves records system integrity
- Eliminates manual tasks when combined with bar codes or RFID tags

Main Functions of Records Center Software

- Box and/or records inventories
- Storage management
- Records and information searches
- Records retention schedules correlation
- Destruction methodology correlated with retention schedules
- Accounting
- User tracking

Functions of Records Center Software Combined with Bar Code and RFID Technology

- Locate a box on a shelf
- Check out/in a box or file
- Locate a folder in a box
- Identify a file or box for destruction
- Charge back costs to department that requested service