

NEW YORK STATE ARCHIVES

# MANAGING INACTIVE RECORDS

## AGENDA

9:00-9:15	Introduction and Workshop Goals
9:15-9:30	Overview of Inactive Records Identifying Inactive Records
9:30-10:45	Storing Inactive Records Onsite and Offsite Storage Using a Records Center Facility Development Physical Planning - Space, Environment, Health Safety Security Exercise 1 - Site Selection Shelving, Tracking, and Locating Equipment and Supplies Exercise 2 - Shelving Plans
10:45-11:00	Break
11:00-11:45	Tracking and Locator Systems Arrangement, Labels and Box Content Inactive Records Database Exercise 3 - Setting up a Records Storage Area
11:45-1:00	Administration of Facility Policies and Procedures Transfer Process Destruction of Records Reporting Summary



New York State Archives

# Managing Inactive Records



---

---

---

---

---

---

---

---

## Today, We Will...

- Define inactive records
- Outline steps for creating storage facilities
- Examine arrangement of records
- Discuss administrative processes



---

---

---

---

---

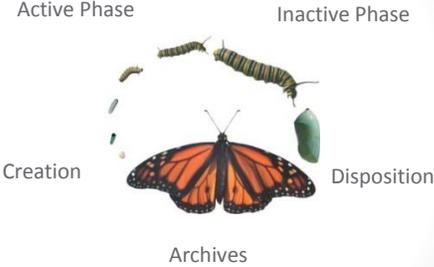
---

---

---

## Life Cycle of Records

Active Phase      Inactive Phase



Creation      Disposition

Archives



---

---

---

---

---

---

---

---

### Identifying Inactive Records

- Records inventory
- Records survey
- Periodic review of active records
- Infrequency of use
- Retention schedules



---

---

---

---

---

---

---

---

### Using Inactive Storage

- Saves money
- Improves efficiency
- Provides physical security
- Protects from unauthorized access
- Provides systematic disposition



---

---

---

---

---

---

---

---

### Storing Inactive Records

- Onsite and in-house
- Offsite records center
- Offsite commercial facility



---

---

---

---

---

---

---

---

### Onsite Storage

- Often requires a renovation project
- Can be less secure than other options
- Allows direct control and easier access
- No rental fees



---

---

---

---

---

---

---

---

### Offsite Records Center

- Efficient use of space
- Saves money
- Formalized operating procedures
- Security
- Environmental controls
- Systematic disposition of records



---

---

---

---

---

---

---

---

### Records Storage Vendor

- Fees for storage and other services
- Research the quality of storage site and level of service
- Conduct a cost comparison
- Must have a contract



---

---

---

---

---

---

---

---

### Inactive Storage Development

- Site selection
- Physical planning
- Equipment
- Administration



---

---

---

---

---

---

---

---

### Site Selection Factors

- Physical structure
- Space requirements
- Environment
- Safety
- Security



---

---

---

---

---

---

---

---

### Physical Structure

- |                                |                        |
|--------------------------------|------------------------|
| <b>Involve professionals</b>   | <b>Examine</b>         |
| • Building and fire inspectors | • Floor strength       |
| • General contractor           | • Wall construction    |
| • Engineers                    | • Structural soundness |
| • Architects                   | • HVAC systems         |
|                                | • Wiring               |
|                                | • Plumbing             |



---

---

---

---

---

---

---

---

### Determining Space Requirements

- Inventory, survey, site inspection
- Collect information
  - Volume, format, retention
- Add 30% to total cubic feet for growth



---

---

---

---

---

---

---

---

### Consider Other Formats

- Microfilm
- Discs
- Photos
- Negatives
- Blueprints
- Tapes
- Maps
- Bound volumes
- Videos
- Glass negatives



---

---

---

---

---

---

---

---

### Environment and Human Health

- Mold
- Poor air quality
- Storage of toxins
- Insufficient workspace
- Isolation
- Disaster recovery complications



---

---

---

---

---

---

---

---

## Environment

- Temperature (65-72° F)
- Humidity (40-55%)
- Cleanliness
- Air circulation
- Lighting



---

---

---

---

---

---

---

---

## Safety

- Fire prevention
- Flood prevention
- Disaster planning



---

---

---

---

---

---

---

---

## Security

- Restrict access
- Install locks and limit keys
- Alarms and guards
- Install security cameras
- Get management support



---

---

---

---

---

---

---

---

## Exercise 1 Site Selection



---

---

---

---

---

---

---

---

## Shelving, Tracking, Locating

- Shelving plans and layouts
- Tracking and locating systems
- Labels and contents
- Databases



---

---

---

---

---

---

---

---

## Shelving Layout

- Use steel shelving
  - Of proper gauge and dimensions
  - That meets your needs
- Allow for
  - 30% growth in records storage
  - Adequate aisle widths



---

---

---

---

---

---

---

---

## **Exercise 1: Site Selection**

You are the Records Management Officer (RMO) of a mid-sized municipality. You have been working with your government officials on selecting an appropriate site for storing inactive records. The budget will not permit construction of a new facility, but there are currently two possible sites available. You are responsible for making the selection.

With a checklist in hand, you visit each site along with a general contractor and engineer and learn the following about each site:

### **Site A (Offsite)**

A basement floor room is available two blocks away in an old warehouse. The dimensions are 40' x 60' x 16'. The building was used for many years to store staple goods such as flour, sugar, and grains for local grocers. The basement room has been empty for five years. There was a new HVAC (heating, ventilation, and air-conditioning) system installed shortly before the basement was no longer in use. There are no windows, exposed pipes, or leads.

The two floors above the room are presently used to store obsolete computer hardware. The annual rental fees are \$7/sq. ft. (average in the area is \$12/sq. ft.). There is a security guard in the evenings only. The other two floors above have an electronic alarm system as well as a dry-pipe sprinkler system with smoke detectors and fire alarms. Wiring for lights has not been updated in the basement since its 1940 installation and there are no telephones.

Within the room, there are several old desks, chairs, bookcases, and file cabinets left behind by previous tenants. The floor is concrete with no apparent cracks, though it is uneven. At the end opposite the room's only entranceway, there is a loading dock with a small parking area (three spaces). The building is at the base of a hill and there is no sump pump. Readings taken over a week show temperatures and humidity to be steady and within ideal ranges (65-72 degrees F, 40-55% RH).

## **Site B (Onsite)**

A ground floor room has recently become available in your own building. The building is six years old and meets all local codes and regulations. The dimensions are 35' x 30' x 9'. Previous tenants were involved with publication distribution and accordingly left a bank of shelves (126" x 42" x 56") along the north wall. No other furniture or equipment was left. Computers and telephones were used previously in the room. Two large windows are spaced evenly in the west wall. The relative humidity in the room fluctuates due to late afternoon sun through the windows and a recently discovered problem with the HVAC system. In addition, during the previous winter, a frozen water pipe in an adjacent room had burst. Unfortunately, it occurred over a weekend and wasn't discovered until the following Monday. Thousands of publications were ruined and, in fact, the flooding provided the impetus for the previous tenants to move to a more suitable location.

Directly around the corner from the room's one doorway is the loading dock, and the freight elevator is nearby. The doorway was designed to be wide enough to accommodate shipments of publications received by the former tenants. There is a building-wide smoke detector/sprinkler system and a security alarm system. Presently, there are no locks on the door to the room.

## **Exercise**

Working in groups, decide which site you would select for your inactive records storage facility and write down the reasons for your selection. Use the checklist to help you with your selection.

# Inactive Records Storage --- Site Selection

## CHECKLIST

### General Site Information

Name of Building: \_\_\_\_\_ Age of Building: \_\_\_\_\_

Address: \_\_\_\_\_ No. of Floors: \_\_\_\_\_

Current Use: \_\_\_\_\_ Original Use: \_\_\_\_\_

Distance from Local Government Offices: \_\_\_\_\_

Dimensions of Storage Area: length: \_\_\_\_\_ ft. width: \_\_\_\_\_ ft. height: \_\_\_\_\_ ft.

### General Building Features

Is the record storage area on only one floor? Yes  No

Does the building have a loading dock? Yes  No

Does the building have a freight elevator? Yes  No

Would the building be used solely for records storage? Yes  No

Is the building within toll-free dialing area from local gov't? Yes  No

Is there adequate parking space? Yes  No

Is the building handicapped accessible? Yes  No

### Storage Area Features

Does facility have suitable area for office(s)? Yes  No

Are there rest rooms and drinking water near storage area? Yes  No

Is there space for records processing and disposal? Yes  No

Is there space for microfilming/film processing? Yes  No

Is there space for researchers, if applicable? Yes  No

Is there adequate lighting for records activities? Yes  No

### Safety/Security Features

Is there a security alarm connected to local police station? Yes  No

Is there a fire alarm connected to local fire department? Yes  No

Does the building/storage area have a sprinkler system? Yes  No

Is it a dry pipe sprinkler system? Yes  No

Are there water pipes in area other than sprinkler pipes? Yes  No

Do doors to storage area have deadbolt locks and/or alarms? Yes  No

Are there smoke or heat detectors? Yes  No

Are there windows? Yes  No

How many? \_\_\_\_\_ Secure from unauthorized entry? Yes  No

**CHECKLIST** (CONTINUED)

**Environmental Conditions**

- |   |                              |                             |
|---|------------------------------|-----------------------------|
| Is the storage area heated?                       | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| Is the storage area air-conditioned?              | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| Is there air ventilation/circulation?             | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| Does the area have a separate HVAC system?        | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| Are there temperature/humidity controls?          | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| Are lights an adequate distance from shelves?     | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| Are lights off when area is not in use?           | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| If there are windows, do they have shades/blinds? | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| Are there potential water leaks?                  | Yes <input type="checkbox"/> | No <input type="checkbox"/> |

**Equipment**

- |   |                              |                             |
|---|------------------------------|-----------------------------|
| Is there shelving in the storage area?                | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| If so, describe (fixed, mobile, dimensions) _____     |                              |                             |
| Are there file cabinets (paper, microform)?           | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| If so, how many and what size? _____                  |                              |                             |
| Are there map cases or other storage furniture?       | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| If so, describe: _____                                |                              |                             |
| Are there ladders (step, platform), pallets, dollies? | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| If so, describe _____                                 |                              |                             |

**Structural Soundness** (section for qualified professional)

What materials were used in constructing walls, floors, roof?

---

- |  |                              |                             |
|--|------------------------------|-----------------------------|
| Can floor support minimum load of 300 lbs./sq. ft.?                          | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| Is the roof non-combustible construction? Leak proof?                        | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| Are combustible materials present (furnaces, boilers, transformers)?         | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| Is there evidence of or favorable conditions for seepage?                    | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| Is flooding of the building possible?  | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| If flooding is possible, is a sump pump connected to ancillary power supply? | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| If present, are sprinkler heads independently dischargeable?                 | Yes <input type="checkbox"/> | No <input type="checkbox"/> |



---

---

---

---

---

---

---

---



---

---

---

---

---

---

---

---



---

---

---

---

---

---

---

---



---

---

---

---

---

---

---

---



---

---

---

---

---

---

---

---



---

---

---

---

---

---

---

---



---

---

---

---

---

---

---

---

### Storage Equipment

- Shelving
- Boxes
- Archival supplies
- Map Towers
- Map Cabinets
- Oversized
- Ladders
- Carts
- Dehumidifiers
- Shredders



---

---

---

---

---

---

---

---



---

---

---

---

---

---

---

---

## EQUIPMENT AND SUPPLIES

### Shelving units

- 18 gauge steel – reinforced lateral braces
- Back to back for maximum storage
- Allow 12-14" between shelves
- 16" x 42"** = 3 cu. ft. or 3 standard records center cartons (with no overhang)
  - ✓ easy to see and get at boxes
- 32" x 42"** = 6 cu. ft. or 6 standard records center cartons (with no overhang)
  - ✓ maximizes space but it is more difficult to get to middle boxes
- Cost varies: Approximately \$340, including installation, for 32" x 42" x 88"

### Microfilm cabinets:

- 11 drawer cabinet (25" x 29" x 52")
  - Holds: 880 35mm reels or 1430 16mm reels
  - Weight: 400 lbs Cost: approximately \$2035

### Flat files and map cases

Drawer interior: 43" x 32" x 2" (5 drawer)  
Weight: 195 lbs Cost: approximately \$790

### Platform ladders

Moveable stairs w/handrails and platform for placing boxes  
Spring wheels  
Cost: approximately \$450-750

### Boxes

#### Standard record center carton

Size: 10" x 12" x 15" holds 1 cu. ft.  
Cost: From New York State Industries for the Disabled:  
\$1.33/carton in batches of 25 (2007 price)\$33.22 case

#### Acid-free/lignin-free (for archival records)

Come in various sizes Cost: 10"x12"x15" boxes are about \$6-7/box

### Standard file cabinets

Letter size = 1.5 cu. ft./drawer or 6 cu. ft./cabinet Cost: approximately \$350-400  
Legal size = 2 cu. ft./drawer or 8 cu. ft./cabinet  
Lateral (letter) = 2.5 cu. ft./drawer or 10 cu. ft./cabinet  
Lateral (legal) = 3 cu. ft./drawer or 12 cu. ft./cabinet

### Miscellaneous

Carts, pallets, and dollies for moving boxes; make sure they fit in doorways

## STANDARDS/CODES/REGULATIONS

Live floor load	300 lbs. minimum
Light fixtures	1 ft. above boxes
Sprinkler heads	1.5 ft. above boxes
Aisles	30" minimum (more with equipment)
Main corridor	48"
Range/bay	maximum 50 ft.
Bays (perpendicular to wall)	1.5 ft. away

\*Floor load capacity = weight floor can stand (lbs./sq. ft.) X available space (sq. ft.)

**Example:** If a floor can stand 50 lbs/sq. ft. and the room is 300 sq. ft., 15,000 pounds can be stored in that room



---

---

---

---

---

---

---

---



---

---

---

---

---

---

---

---



---

---

---

---

---

---

---

---

# Exercise 2



Shelving Plans and Layouts



---

---

---

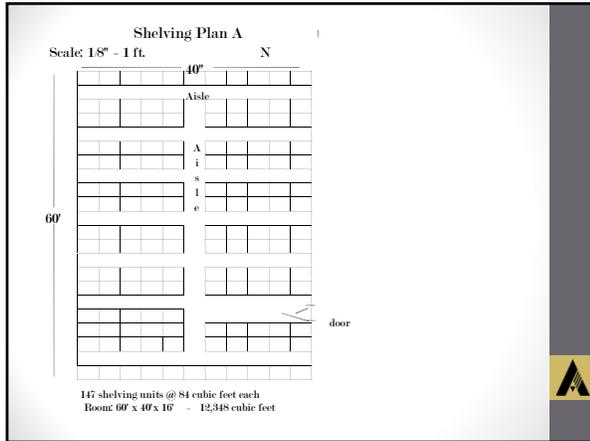
---

---

---

---

---



---

---

---

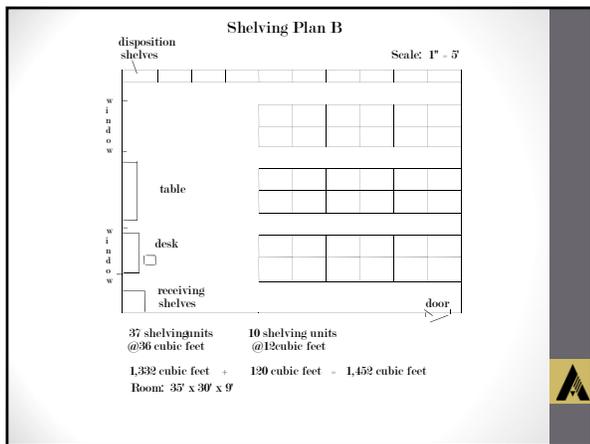
---

---

---

---

---



---

---

---

---

---

---

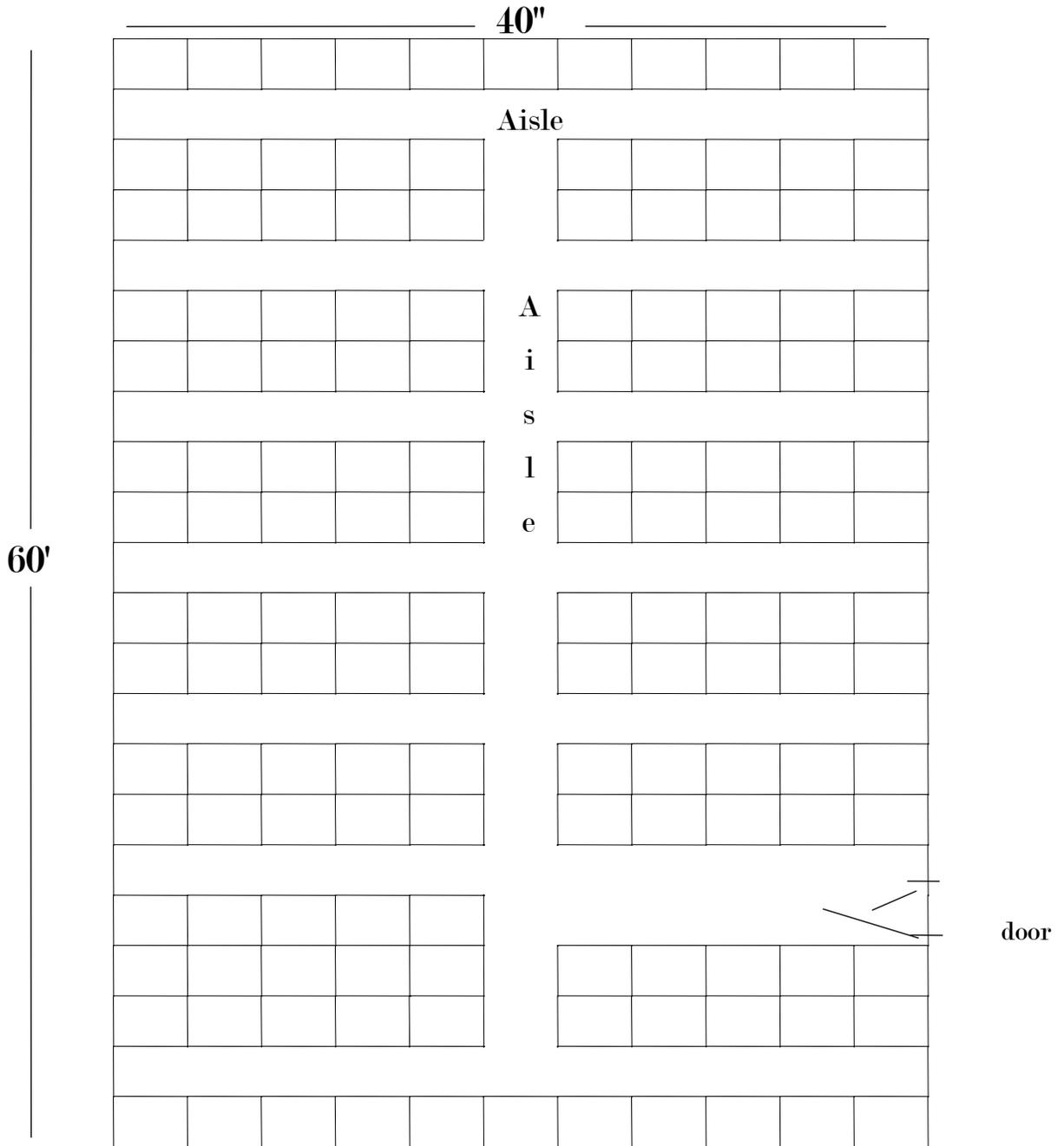
---

---

# Shelving Plan A

Scale: 1/8" = 1 ft.

N



147 shelving units @ 84 cubic feet each

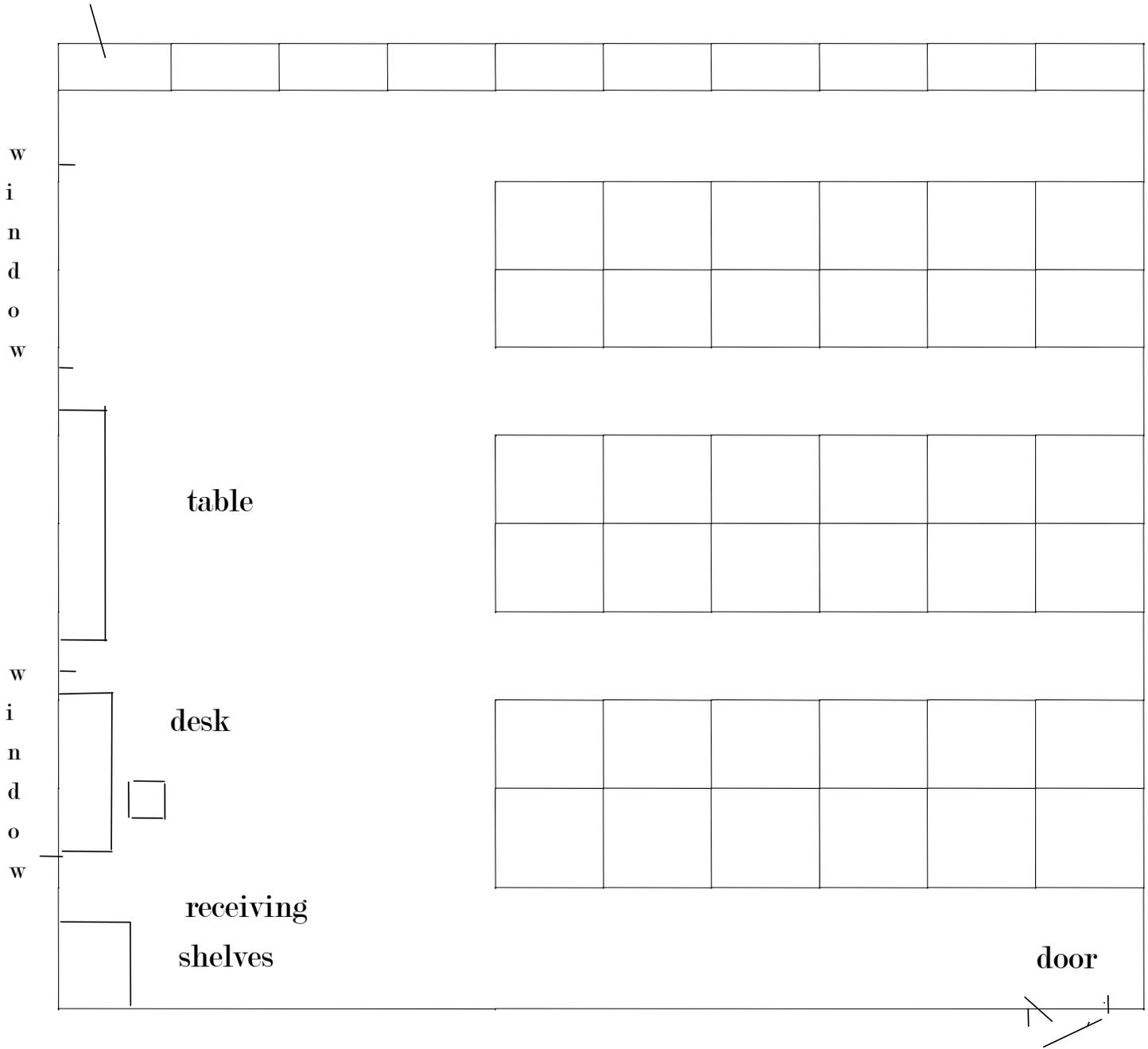
Room: 60' x 40' x 16' = 12,348 cubic feet

# Shelving Plan B

disposition

shelves

Scale: 1" = 5'



**37 shelving units**  
@36 cubic feet

**10 shelving units**  
@12cubic feet

**1,332 cubic feet + 120 cubic feet = 1,452 cubic feet**

**Room: 35' x 30' x 9'**

## Making Records Accessible

- Processing records
- Box contents and labels
- Physical arrangement
- Tracking systems



---

---

---

---

---

---

---

---

## Processing Inactive Records

- Step 1. Purge obsolete records
  - Identify record in schedule
  - Separate records to be destroyed
  - Obtain authorization
  - Document disposition process
  - Destroy obsolete records



---

---

---

---

---

---

---

---

## Processing Inactive Records

### Step 2. Process remaining records

- Organize by records series
  - Retain original order or sequence
  - Don't mix records from different departments
- Box and label
- Record tracking data



---

---

---

---

---

---

---

---

### Box Contents

- One records series per box
- Or one retention period per box
- No hanging folders
- No binders
- No folding or over packing



---

---

---

---

---

---

---

---

### Labels

- Use uniform labels on all boxes
- May use preprinted labels
- Include necessary information
- Choose labels with good adhesive
- Supply each unit or department



---

---

---

---

---

---

---

---

### Label Types

- Standard labels
- Blind labeling
- Color-coded labels



---

---

---

---

---

---

---

---

## Permanent Records

- Use acid-free, pH-neutral, lignin-free boxes and file folders
- Protect photographs with inert polyester sleeves
- Remove rubber bands, staples, tape
- Unfold and flatten records



---

---

---

---

---

---

---

---

## Physical Arrangement

- Place records on shelves by
  - Series
  - Department or unit
  - Other logical sequence
- Plan beforehand
- Can include three to four elements
  - Row – Unit – Shelf - Space



---

---

---

---

---

---

---

---

## Space Numbering Systems

- Adopt simplest appropriate system
  - Space (001)
  - Row-Space (A-001)
  - Row-Unit-Space (A-01-001)
- Number spaces in each shelving unit . . .
  - Top-to-bottom
  - Left-to-right
- Assign same space numbers to boxes



---

---

---

---

---

---

---

---

### Tracking Methods

- Sign-out log
- Barcoding
- RFID: Radio Frequency Identification
- Database applications



---

---

---

---

---

---

---

---

### Databases for Managing Records

- Enhances access and retrieval
- Update after disposition and transfer
- Provides perpetual inventory of records
- Generates labels and reports
- Identifies records for destruction



---

---

---

---

---

---

---

---

### Inactive Records Management Software Demonstration



---

---

---

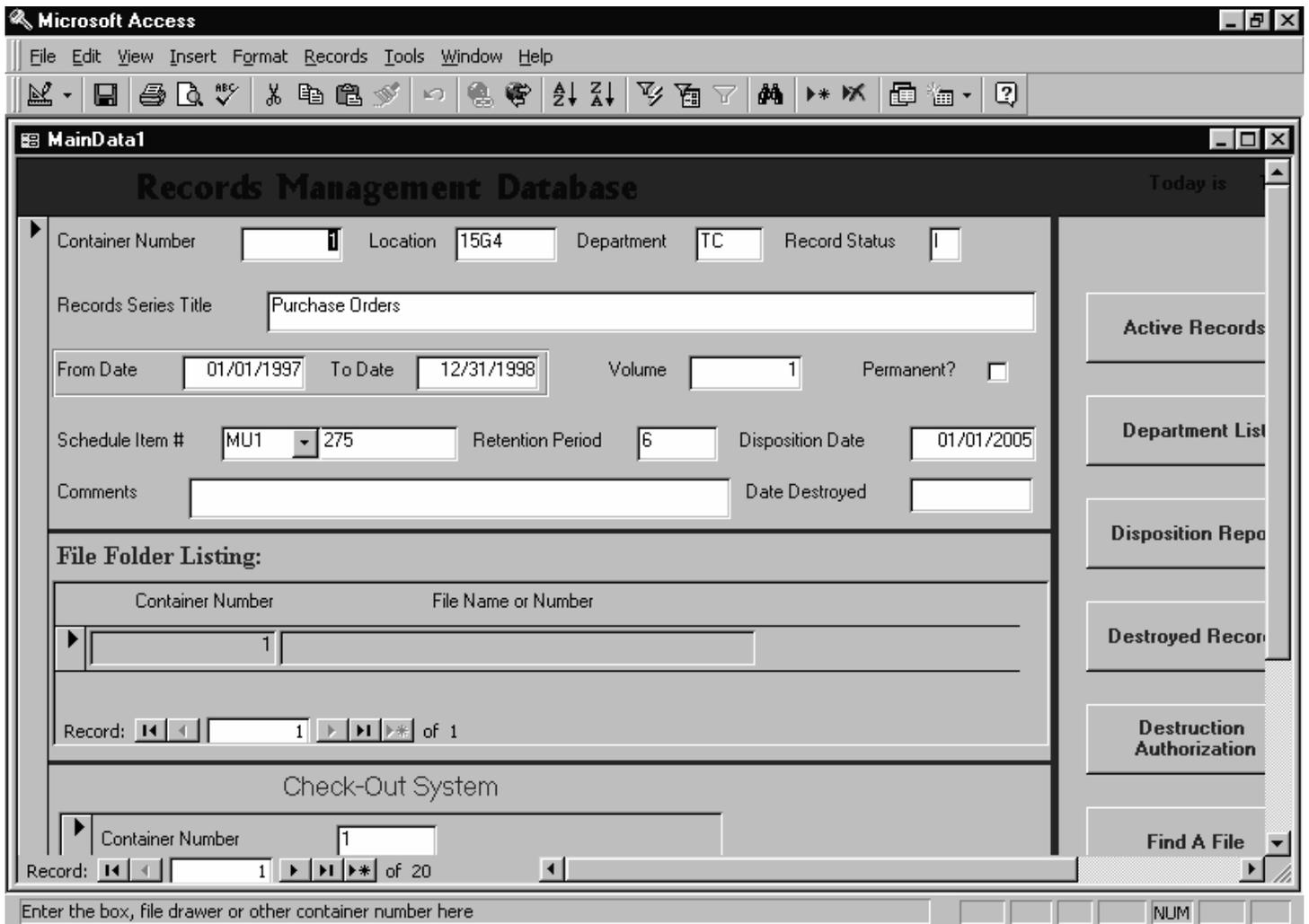
---

---

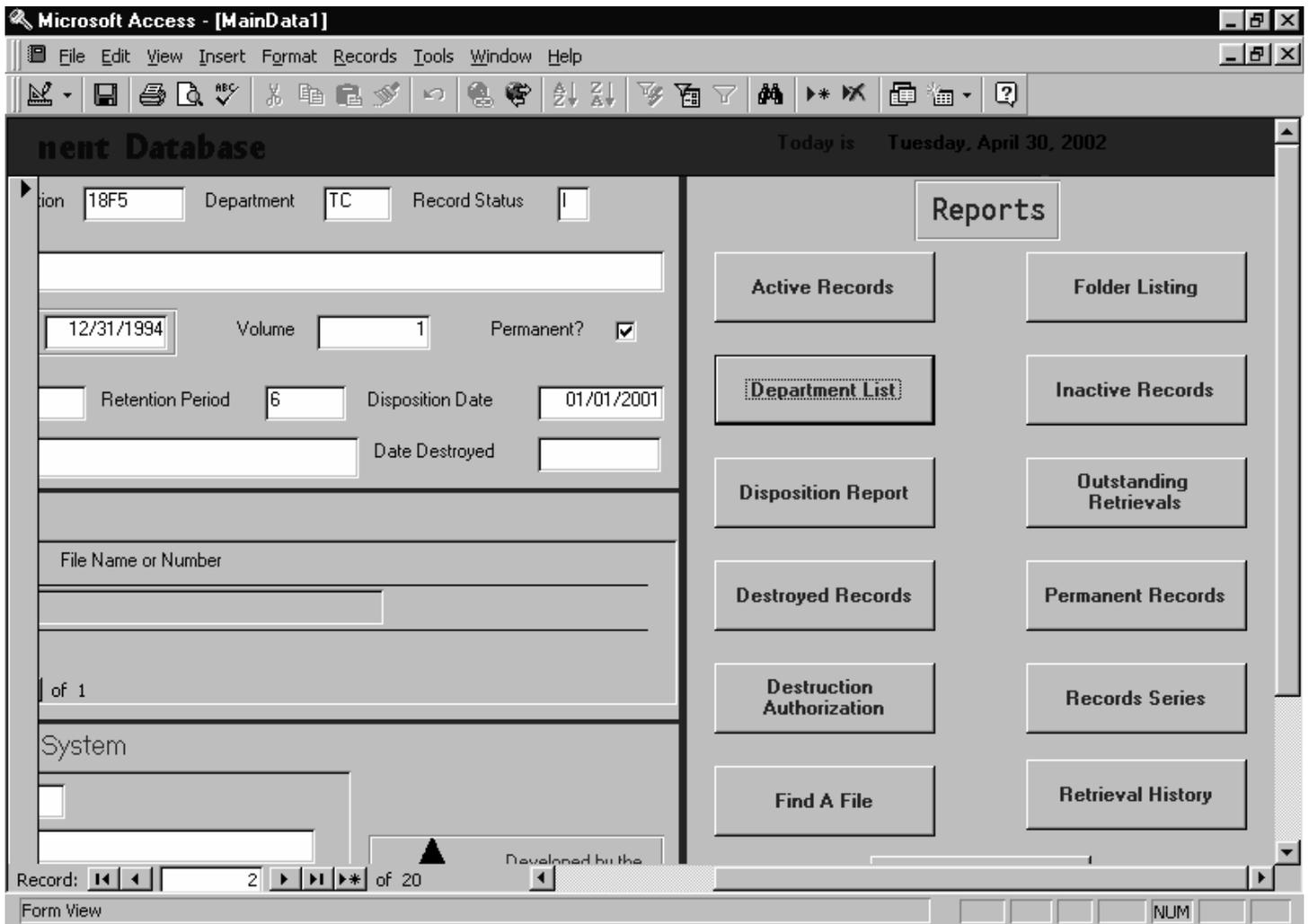
---

---

---



**Click on Forms tab. Double click on MainDataEntryForm tab. This screen appears.**



**The MainDataEntryForm shows all the reports available.**

Microsoft Access - [Inactive]

File Edit View Tools Window Help

Fit Close

*Inactive Records Listing*      *The total cubic feet of inactive records is 29.5*



<u>Records Series Title</u>	<u>From Date</u>	<u>To Date</u>	<u>Department</u>	<u>Container Number</u>	<u>Location</u>
Purchase Orders	11/11/2007	12/31/1999	JP	1	150A
Civil Case Files	11/11/2007	12/31/1999	CC	22	14B
Seven Record Minutes	11/18/1998	12/18/1994	FC	22	200
Insurance Policies	11/11/2005	12/31/1995	FS	115	17B
Dep Licenses, Expired	11/11/2007	12/31/1997	FC	20	200
DNA Cases	11/11/2009	12/31/1999	CC	23	40B
Supervisor's Files	11/11/2008	12/31/1988	SP	24	201
Death Records	11/11/2004	12/31/1972	FC	28	201
Correspondence, Routine	11/11/2009	12/31/1992	FC	31	200
Purchase Orders	11/11/2009	12/31/2000	FC	12	200

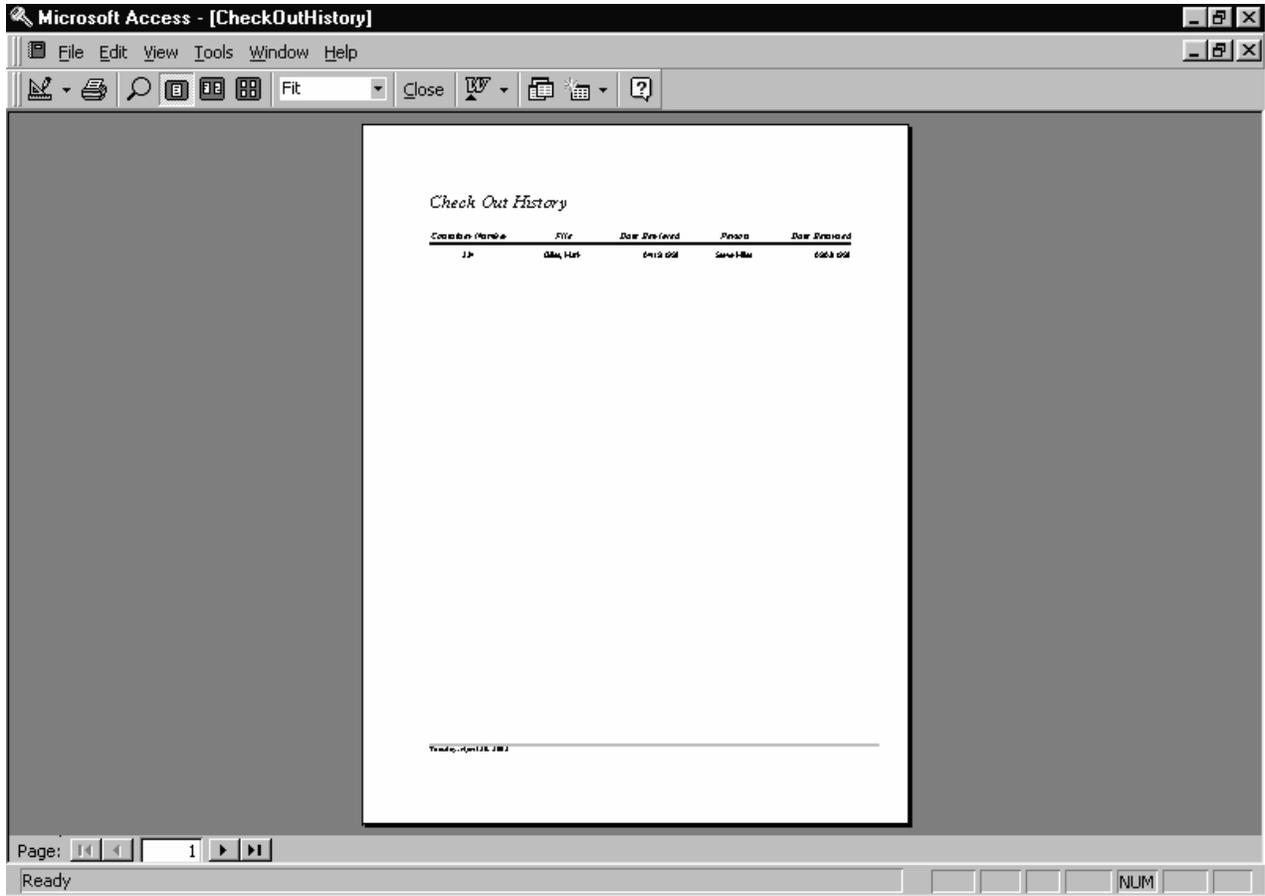
Monday, February 21, 2006      Page 1 of 1

Page: 1

Ready

NUM

**Click on tab for Inactive Records. This screen appears. Explain what they are looking at.**



**Click on tab for Retrieval History. Enter 334.  
This screen appears.**

# New York State Archives

## Records Management System (RMS)

### USER'S MANUAL

The file on the CD is "Read Only." To begin using the database, copy the file from the CD to your personal computer or local area network.

#### **Introduction**

The New York State Archives designed the Records Management System (RMS) to aid local governments and state agencies store, retrieve, and dispose of records. You can use the system effectively as designed or tailor it to your particular situation. State Archives personnel are not responsible for customizing the software; the government or agency accepts the application as designed.

The system was designed to manage all records, active and inactive, in all record formats. However, it is most effective in managing inactive records stored in records storage boxes.

The system is designed in Microsoft Access2000, a popular and easy-to-use database program, and will convert into later versions. It cannot operate with earlier versions. The New York State Archives does **NOT** offer general Access database training, only training for this particular application. If additional Access training is needed, the State Archives suggests that users arrange for training with local vendors.

Users who familiarize themselves with basic records management concepts will find the system easier to use. We therefore suggest users attend the Archives' basic workshops, especially *Inactive Records Management*, and read Archives publications, especially #49, *Administration of Inactive Records*, if needed. For more information and assistance, contact your State Archives' Regional Advisory Officer.

## I. Using the Database

To use the database, copy the file from the CD to your personal computer or local area network. Then, open Microsoft Access, click File and then Open. Click on the database file and then click open. The MainDataEntryForm loads automatically.

The RMS has four main sections: main records data, file folder listing, checkout system, and reports. The software displays all sections on one screen for easy use and access

Sample data is included to ease the learning process and demonstrate the application's capabilities. Users should delete the sample data before entering their own. To do this, exit the form, click on the Queries tab and then click on the query DeleteSampleData. This will clear all the sample data.

## II. Entering a Record in the Main Records Data Section

Directions for each field are provided below in the order in which the fields appear in the database. Use the tab to move from field to field.

**Container Number:** In this field, enter the assigned number of a records container (a storage box, microfilm carton, filing cabinet drawer, or any other type of container you use).

**Location:** Tab to this field next, and enter the location code of the record. The code may include any combination of six alphabetic or numeric characters to indicate the shelving row, shelving unit, and individual shelf where you've placed the storage container. (See publication #49, *Administration of Inactive Records* for information on locator systems.)

**Department:** Enter a two-character code for the department that created or holds legal custody of the record; for example, TC for Town Clerk, BD for Building Department, or PS for Pupil Services.

**Record Status:** Enter one of three letters: **A** for Active, **I** for Inactive, or **D** for Destroyed. This field capitalizes automatically when exited. Please note: If you do not use one of these 3 letters, the Active, Inactive, and Destroyed reports will not work.

**Record Series Title:** Enter the name of the records series: for example, Purchase Orders, Town Board Minutes, or Canceled Checks. This field is limited to 120 characters. Also, follow strict naming conventions. See “Helpful Hints.”

**From Date:** Enter the earliest date of any record within that container. The date may be entered using dashes or slashes between the month, day, and year. The software will automatically convert it to mm/dd/yyyy format. For example, 2-3-02 will appear as 02/03/2002.

**To Date:** Enter the latest date of any record within that container. Again, the date may be entered using dashes or slashes between the month, day, and year.

**Volume:** Enter the volume of records within that container expressed in cubic feet; for example, 1.5, 2, .25, etc.

**Check box for Permanent:** If the record has a permanent retention period in an applicable State Archives’ retention schedule or if you have determined it has historic value, click on the small box and a checkmark will appear in the field. To remove the checkmark simply click on the field again.

**Schedule Item #:** This field has two sections. The first is a drop-down menu where you choose the assigned retention schedule for your local government or state agency. (GEN stands for the general retention schedule for state agencies; OCA stands for Office of Court Administration schedules.) In the second section, enter the retention schedule item number. In an Archives’ schedule for local governments, use the number enclosed in brackets to the left of the records series title.

**Retention Period:** Enter the retention period for the records series in years only. If the record has a permanent retention period, enter 9999. Also, check the Permanent? box. If the retention period is less than a year, enter it as 1. In some cases a record series may have a conditional or event-based retention period, such as “six years after youngest child attains the age of 18.” In such cases, leave the retention period field empty and make a note of the retention in the Comments field.

**Disposition Date:** Enter the date when the records’ retention period expires. Calculate this date by adding the retention period to the “to date” of the record plus one day, e.g., a box of cancelled checks with a date span of 1999-2000 would have a

disposition date of January 1, 2007. The “to date” in this example is 2000. The retention period for cancelled checks is 6 years. It is assumed the latest exact date in the series is December 31, 2000. Add one day to this and you arrive at January 1, 2007. If the record series is active and still open, leave both the “to date” and the disposition date empty. If the records are permanent leave the disposition date field empty.

**Comments:** Enter additional information about the records (if needed). This field is limited to 200 characters.

**Date Destroyed:** Enter the date destroyed **only after** a record is physically destroyed. After entering the date destroyed, change the Record Status to “D” for destroyed.

### III. File Folder Listing

Use the File Folder Listing in those cases where the records are frequently requested and accessed at the file folder level, e.g. personnel files, social services case files, or student files. The file folder listing section is linked to the main records section. The **Container Number** field will automatically fill in each time the tab key is hit. Enter the name or number of each file within the container in the **File Name or Number** field. Also, use this section if the container holds more than one records series.

### IV. Check-out System

Use this section to document the retrieval of a record from its storage location, such as a box of inactive records from the records storage room.

**Container Number:** This field is linked to the Container Number Field in the main records data section and automatically fills in by hitting the tab key.

**File:** Enter the file name or number. If a whole box is retrieved from inactive storage, simply enter “whole box.”

**Date Retrieved:** Enter the date that the file was retrieved.

**Person:** Enter the name of the person who retrieved or received the file.

**Date Returned:** Enter the date that the file was returned to its container.

## V. Reports

The RMS was built with 13 pre-designed reports. The reports section appears on the right side of the screen and contains 13 labeled command buttons. To run a report, simply click the command button. Some reports will prompt you for more information before running. This criterion is referred to as a "parameter value." To obtain a short description of each report, hold the mouse pointer over the command button.

**Active Records:** This report returns all records with an active status (any record with an "A" in the status field). The report lists the records series title, date span, department, container number, location, and record status. The total volume of all active records appears in the header.

**Department List:** This report lists all records held by a particular department regardless of record status. When you click on the report's command button, a "parameter value" dialog box appears prompting you to enter the Department Code. Enter the two-digit Department Code and click OK. The report lists records series title, date span, container number, location, record status, and disposition date.

**Destroyed Records:** This report lists all destroyed records (records with a Record Status of "D").

**Destruction Authorization:** This report creates a form listing all records authorized for destruction by a specified department. To create the form click on the destruction authorization command button. A parameter box appears prompting you to enter the earliest date. Enter that date and click OK. A parameter box then prompts you for the latest date. Enter that date and click OK. Another parameter box appears prompting you to enter the department code. Enter the desired code and click OK. A printable form appears, listing the container number, records series title, date span, schedule number, retention period, and disposition date. The form also has an authorization section for required signatures.

**Disposition Report:** This report lists all records eligible for destruction. Click on the Disposition Report command button. A parameter box prompts you to enter the earliest date in the range. Enter the earliest date in the following format:

mm/dd/yyyy. You **must** enter it in this format or the system cannot identify the requested records. Another parameter box will then prompt you to enter the latest date in the range in the same format as above. The disposition report lists the following information: container number, location, records series title, department code, date span, retention schedule item number, retention period, and disposition date.

**Find a File:** This report locates the container number and location of a particular file. Click on the Find a File command button and a parameter value box prompts you to enter the file name or number file you are searching for.

**Folder Listing:** This report creates a contents list for a records container. Click on the folder listing command button, and a parameter box prompts you to enter the desired container number. Enter the number and click OK. The report lists all folders or files within the container.

**Inactive Records:** This report returns a list of all inactive records (records with a Record Status of "I"). The report will list records series title, the date span, department, container number, and the location. The total cubic footage of inactive records appears in the report header.

**List All Records:** This report lists all records with an active or inactive record status. Note: records with a destroyed status (code D) no longer exist and will not appear on this report. The report header contains the total volume of records. This report may satisfy the FOIL requirement that local governments and state agencies maintain a subject listing of records in their custody.

**Outstanding Retrievals:** This report lists all records retrieved but not returned. It lists the container number, file name or number, the date retrieved, and the person who retrieved it.

**Permanent Records:** This report lists all records with a permanent retention (all records that have a checkmark in the Permanent? field). The report lists the records series title, date span, department, schedule item number, and location.

**Records Series:** This report will give you a listing of all containers that hold a particular records series. Click on the command button, and a parameter box prompts you to enter the name of the records series. Type the name of the desired

series and click OK. The system creates a report listing the records series title, date span, department, location, container number, and record status. In the header of the report the retention schedule item number and retention period for the record series are listed.

**Retrieval History:** This report lists all records retrievals made from a particular container number. When you click on the report button, a parameter box prompts you to enter the container number. The report lists the file name or number taken, the date it was taken, the person who retrieved or received the file, and the date it was returned.

## VI. Queries

There are a number of queries in this database, although most are used by the system to design reports. Two will prove valuable, however:

**DeleteDestroyedRecords** erases all trace of destroyed records from the database, after you have destroyed them.

**DeleteSampleData** clears all sample data from database.

## VII. Helpful Hints

1. Remember to establish naming conventions that enforce consistent data entry rules. This ensures that all reports work as designed, so you can locate the data you need. For example, always use the same records series name. Don't enter Purchase Orders, P.O.'s, and Vouchers for the same records series.
2. You can search for one particular record without running one of the reports by placing the cursor in the appropriate field (e.g. Records Series Title), then clicking on the binocular icon at the top of the screen. This opens a dialog box where you can enter the name of the record and then click "find first." This will bring you to the desired record.
3. If your local government or agency uses only one retention schedule or opts to use this database to track only inactive records, you can simplify the data entry by using "default values." To enter a default value for Record Status click on the table's tab and open the table MainData, then click on the View menu, and then click Design View. Next, click on the field name Record Status. At the bottom of

the screen place the cursor in the default value field and type an "I" in the field. Now the Record Status field will auto-fill with the letter I. This same process can be used for all other fields where the value entered will be identical for each record.

4. If your organization chooses not to use one of form's sections, you can hide that section to ensure no one inadvertently enters data there. For example, if you want to hide the Check Out section of the form, open the form and then click on View and then Design View. Right mouse click on the Check Out section and choose Properties. In the Visible Field change the selection "Yes" to "No."

### Exercise 3

#### Setting Up an Inactive Records Storage Area



---

---

---

---

---

---

---

---

### Administration of an Inactive Records Program

- Make part of overall RM plan
- Policies and procedures
- Staff



---

---

---

---

---

---

---

---

### Developing Policies and Procedure

- Promote program permanence
- Reinforce uniform practices
- Aid staff training
- Document procedures
- Establish responsibilities



---

---

---

---

---

---

---

---

## **Exercise 3**

### **Setting Up an Inactive Records Center**

You are responsible for setting up a new inactive storage area for your local government. You have a floor plan which shows where the shelving will be. The shelving and new records management software will arrive in two weeks. The preprinted box labels have already arrived.

You estimate that there will be approximately 600 cubic feet of records stored in the new storage area. The shelving will hold nine hundred (900) cubic feet of records.

An inventory has been done and you have information on each record series (including retention requirements), however, you do not have control at the box level.

- Three hundred fifty (350) cubic feet of records are in an adjacent room;
- Two hundred cubic feet (200) are stacked in the storage area where the shelving will be placed;
- Approximately fifty (50) cubic feet of inactive records now in various offices can be transferred to storage.
- From the inventory you know that approximately 100 cubic feet of records have met their retention requirements and can be discarded.

How should you proceed?

### Policy and Procedures Topics

- Transfer of records
- Access and retrieval
- Reference services
- Disposition
- Reporting



---

---

---

---

---

---

---

---

### Transfer Process

- Periodic or perpetual schedule
- Select records to transfer
- Prepare and document records
- Contact RMO
- Move to inactive storage



---

---

---

---

---

---

---

---

### Accessioning Records

- Receive transferred records
- Review boxes and lists
- Determine space requirements
- Update records locator
- Add records to storage area



---

---

---

---

---

---

---

---

## Access and Retrieval

- Outline policies and procedures
- Create and distribute necessary forms
- Establish list of authorized personnel
- Educate storage facility staff



---

---

---

---

---

---

---

---

## Requesting Records

- Complete request form
- Obtain authorized signature
- Send request in advance



---

---

---

---

---

---

---

---

## Reference Services

- Rules for use and visitor's Log
- Photocopy services
- Microfilm reader/printers
- Public-use computer
- Tables for reference
- Regular hours of operation
- Security



---

---

---

---

---

---

---

---

## Destruction of Records

- Destroy appropriately
- Destroy completely
- Complete Authorization for Destruction form
- Get appropriate signatures



---

---

---

---

---

---

---

---

## Reporting

- Justify current needs
- Improve operations
- Make informed decisions
- Validate existence of dedicated storage



---

---

---

---

---

---

---

---

## For More Information

- Contact RAO
- Attend workshops
- Read State Archives publications
- Network with others
- Join associations and listservs



---

---

---

---

---

---

---

---

## Summary

- Identify your inactive records
- Determine the best storage facility
- Establish policies and procedures
- Treat records responsibly



---

---

---

---

---

---

---

---

Thank You for  
Attending Today!

[www.archives.nysed.gov](http://www.archives.nysed.gov)



---

---

---

---

---

---

---

---

# Answer Sheet Exercise 1

## Site Selection

### Site A:

#### **ADVANTAGES**

1. Ample square footage
2. High ceiling --- accommodates several shelves
3. New HVAC system
4. No windows
5. No exposed pipes
6. No leaks
7. Tenants on other floors --- therefore HVAC, security kept up
8. Rental fees very low
9. Security guard at night
10. Alarm system and sprinkler system on other floors --- easier to join up
11. Structure sound
12. Floor concrete, no cracks
13. Loading dock
14. Temperature and humidity readings good

#### **DISADVANTAGES**

1. Food storage --- good chance of insect/vermin infestation
2. Empty for 5 years; dust and dirt accumulation probably significant
3. No security during day; computer hardware good pickings for thieves
4. Furniture has to be moved, sold, or stored
5. Uneven floor will need correcting before shelving placed
6. Electrical wiring will have to be completely redone
7. Installation of phone and computer lines required
8. Loading dock far away from room's entranceway
9. Parking lot small
10. Flooding potential high and no sump pump

## **Site B**

### **ADVANTAGES**

1. Ground floor --- easy to receive and dispose of records
2. New building --- meets codes and regulations, big cost avoidance
3. Shelving already in place can be used for processing and overflow
4. No furniture to move or sell
5. Easier to clean empty area
6. Cables in place for phones, computers, printers
7. Loading dock convenient
8. Freight elevator in proximity
9. Doorway accommodates pallets, ladders; modification not necessary
10. Previous tenants dealt with publications so less chance of infestation
11. Sprinkler/detector system and security alarm system already in place

### **DISADVANTAGES**

1. Large, bare windows --- light detrimental to records
2. Fluctuation of temperature and humidity because of windows, HVAC
3. HVAC system needs repair
4. Pipes exposed near room
5. Flooding potential high
6. No disaster planning in place, especially water alarms
7. Room will have to be cleaned more thoroughly and checked for mold from water
8. No locks/deadbolts on door

Answers to Exercise 2: Shelving Plans  
Pros and Cons of Plans A and B

Plan A

**Pros**

- One entranceway
- No windows
- Large capacity

**Cons**

- No table or receiving area
- Sharp turns to open space
- One unit with 3 shelves - hard to get to records in middle

Plan B

**Pros**

- One entranceway
- Table, desk and receiving shelves
- Disposition shelves

**Cons**

- Windows
- Small capacity

Answers to Exercise 3  
Setting Up a Records Center

**Possible suggestions**

Destroy the 100 cu ft of records that have reached their destruction date.

Clear out space in storage area where shelving is to go.

Find out what is in the boxes you have and label them.

Start database to track records.