

SMART



State of Missouri Agency Records Tracking *SYSTEM*



Outline

What

- What is SMART?

Who

- Who uses SMART?

How

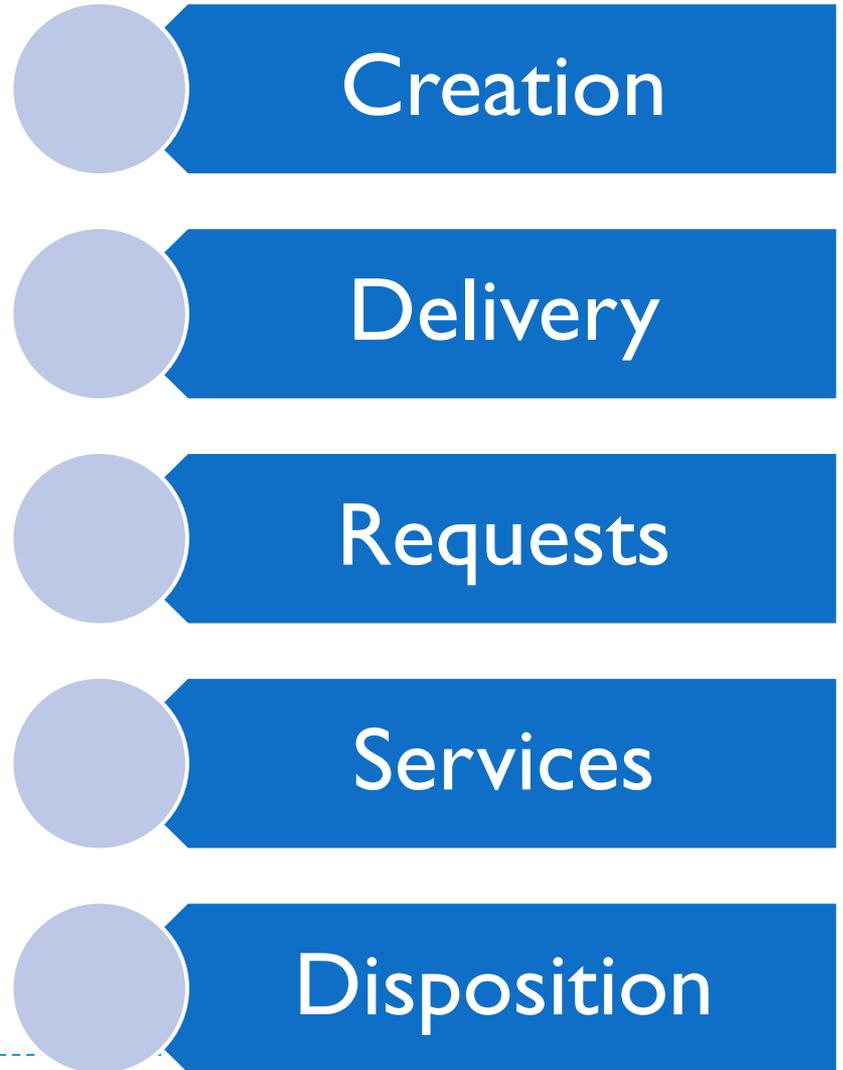
- How does SMART work?

Why

- Why is SMART better?
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What is SMART?

- ▶ The State of Missouri Agency Records Tracking or SMART System, is a web-based application that tracks the location and history of state agency records during their life cycle.



SMART Requirements



Must have access to a computer with Internet Explorer



Must use boxes provided by the Division of Records Management



Must use self adhesive labels on the boxes and files

- Only item that will need to be purchased



Barcodes

- ▶ Scannable and Eye-Readable barcodes
- ▶ Scanners and keyboards will work
- ▶ Barcodes assigned to everything
 - ▶ Boxes
 - ▶ Files
 - ▶ Users
 - ▶ Places



Scanners

Tethered Scanner

- ▶ Can show information in real time
- ▶ Multiple functions
- ▶ Limited by the cord

Portable Scanner

- ▶ Has to be downloaded, no live information
- ▶ Can only transfer items
- ▶ Unlimited range



Legacy Tabs

- ▶ Prior to SMART Records Management used Records Transmittal and Receipt forms
- ▶ All information stored in an Access Database
- ▶ The information was captured and is searchable
- ▶ Information is static and cannot be edited on legacy tabs
- ▶ Information was also entered into the live SMART system so it can be edited on the boxes tab



Who Uses SMART?

- ▶ **Agency Personnel**
 - ▶ Create Boxes and Files
 - ▶ Print Labels
 - ▶ Request Microfilm
 - ▶ Order Supplies
 - ▶ Arrange to have items picked up from their office
 - ▶ Request items from The State Record Center
 - ▶ Look up the history of items



Who Uses SMART?

- ▶ **Internal Personnel**

- ▶ Location of boxes and files in State Record Center
- ▶ Tracks delivery and pick-up requests
- ▶ Allows for Schedule creation
- ▶ Disposition function



How Does SMART Work?



- ▶ Before accessing SMART all users are trained by Records Management Staff on how to use the system to track their agency's records.



Creating Boxes and Files

- ▶ Unlike previous system SMART can drill down to the File level allowing for more precise tracking
- ▶ Agency personnel enter the information for boxes and files once and it is saved and tracked throughout the records' lifecycle



Printing Labels

- ▶ When a box or file is created in SMART the system automatically creates a label for the item
- ▶ User can access labels through a link on the homepage and print them at their discretion



Microfilm

- ▶ Microfilm information is not entered by agency
- ▶ One to two boxes of records can be stored on one roll of microfilm
- ▶ The only paper part of the SMART system is the Microfilm Request Form
 - ▶ The Form is used to keep boxes of records in order so the files inside are filmed in the correct order for the roll of microfilm.



Order Supplies

- ▶ Records Management provides boxes for agencies to use for the storage of records
- ▶ Boxes can be ordered through the Supply Request tab of the SMART system



Requests and Deliveries

- ▶ Through a process of requests and transfers agency personnel located in Jefferson City can have their boxes and files picked up or delivered by State Record Center staff
- ▶ Agency personnel located outside of Jefferson City can still request boxes and files, but will have to make arrangements to either come pick up their items or arrange to have it shipped by an outside organization



Audit Trail

- ▶ Every item created in the SMART system has a history, or audit trail.
- ▶ Every user that has the permissions to see an item can also look up the history of that item
- ▶ The history provides a list of actions, along with the time, date and name of the person who performed the actions
- ▶ The person assigned to all actions is tied to the username and password used to login to the system.



Record Center Services

- ▶ Pulling Boxes and Files
- ▶ Delivering Boxes
- ▶ Mailing files through Interagency Mail and the USPS



Retention Schedule Function

- ▶ 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



Retention Schedule Function cont.

- ▶ There is a proposed changes field for agency personnel to enter edits
- ▶ Administrators can create new series and edit existing record series



Disposition Function

Twice a year
Disposition is
run for all
state agencies

Forms are
automatically
generated in
SMART based
on Record
Series and
Cutoff Dates

Forms mailed
to Agency's
Custodian of
Records for
final approval

Signed
Disposition
Approval
Forms will be
entered into
SMART by
agency analyst

Boxes will be
pulled for
destruction



Types of Disposition

Destroy

- Free
- 1,200 boxes pulled at one time and sent to state contracted shredder

HIPAA Shred

- Agency responsible for costs of destruction
- Agency must witness the shredding process
- DoD standards

Transfer to Missouri State Archives

- Records preserved for historical purposes

Permanent

- Records are kept in perpetuity
- Must have a Federal or State Statue stating the records must be kept forever



Why is SMART better?

- ▶ Replaces cumbersome paper-based system
- ▶ Allows more agency involvement
- ▶ Has built in restrictions for tighter security
- ▶ Allows for a more efficient use of space in the State Record Center



Random Placement



This system allows for the best use of space. Boxes can be placed on the first available spaces. The barcodes in the SMART system are assigned to the boxes and the shelves and every box is scanned to a shelf once it enters the record center.



Security

- ▶ **Permissions**
 - ▶ determine whether a user can view items, such as boxes, files, or microfilm.
- ▶ **Roles**
 - ▶ identify how users may interact within SMART
- ▶ **Rights**
 - ▶ determine what functions a user may perform on items.



Permissions

- ▶ 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



Roles

- ▶ Records Center User – Agency personnel who create, transfer and request boxes and files from the Records Center will be assigned this role
- ▶ Records Management Liaison – This is the agency contact with Records Management for the purpose of creating and revising retention schedules and overseeing the disposition of agency records
- ▶ 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
- ▶ Assignee – This role does not allow users to have any access to the system, and is useful for those who do not need to request boxes or files from the system, but do have boxes and files delivered to them
- ▶ 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 SMART



Rights

- ▶ A user must first be granted permission to an item before they may get rights to an item
- ▶ 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
- ▶ Example:
 - ▶ The Record Center User role allows a user to transfer a box to a user or a place(roles),
 - ▶ A box must be in the users possession before they can transfer it to another location(rights)
 - ▶ Staff placed at the bureau level will not be able to transfer a box to (permissions)



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- ▶ **Disclaimer: I am not an attorney. Any discussions about laws and regulations are friendly advice developed through research and practices concerning records management issues.**



Questions?



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