

# GUIDELINES FOR TRANSFERRING RECORDS TO THE RECORDS CENTER

## Introduction to the Schedule GS1–SL

General Records Schedule GS1–SL for State and Local Government Agencies is the result of a cooperative effort between the State of Florida Bureau of Archives and Records Management and a state-appointed Task Force.

Representatives from cities, counties, courts, airports and water authorities worked together to produce a schedule developed specifically for State and local government agencies.

The most obvious changes are the *consolidation* of some similar records into a single item title and the *addition* of commonly used records titles that have evolved since the last revision in 2001.

Alphabetical and numerical indexes of the scheduled records series are provided, along with an extensive cross-reference.

As always, City of Lakeland Records Center staff is available to lend assistance with any records management issue.

## Packing Records Boxes for Storage

All records must be packed in standard records boxes available from Central Stores. Although discarded copier paper boxes look similar in size, they are unsuitable for lifting and long-term storage.

When packing boxes for storage, use these suggestions to make transfer and retrieval more efficient.

Stock Number for **Storage  
Boxes** at the  
Central Stores Warehouse

**60-99-900**

- Assemble boxes with all flaps tucked in to strengthen the sides. Only the separate lid covers the records.
- Remove ring binders and other bulky covers and band the pages or slip them into a folder.
- Eliminate hanging file folders.
- Avoid packing a box so tightly that the sides are bulging. This indicates that the box is too full *and* that it is too heavy for you to lift comfortably.
- Label clearly with Department/Division and Box Number.
- Face documents and folders toward the numbered end of the box.

### **TIPS**

#### **For Organizing Records Groups into Boxes**

- Strive for one record series per box.
- Think of your file drawer arrangement as a potential box unit.
- Move blocks of records from your file to storage boxes.
- Retain your familiar organization.
- Use your existing alpha, numerical or chronological order to document the records on the transmittal.

# Records Management

The Purpose of Records Management:

- ✓ to promote economics and efficiencies in record-keeping;
- ✓ to assure that records having no further value are systematically destroyed;
- ✓ to protect and maintain valuable information in a manner that facilitates its access and use.

## Preparing the Transmittal Forms

### I. Scheduling Records

The Records Center accepts any scheduled **City of Lakeland** work product or other scheduled documents and information received in the course of business.

The GS1-SL publication is used to name, define, and determine the legal requirements for each record series.

The **G** in GS1-SL is for **General**. These schedules are designed to define a generic record by its use and attributes. Commonly used names for the records will vary among agencies and even among departments of an agency.

The transmittal form first needs the Records Title. That's the GS1-SL item name. The Description line is used for your *work area name* for that record and any other information that will help you or others identify it when needed.

Dates are vital. **You** need them to retrieve specific records and **the Records Center** needs them to determine the life cycle of the record. Use complete dates: mm/dd/yyyy. If the day of the month in a date range is not readily apparent, use mm/01/yyyy and mm/31 (or whatever)/yyyy.

The Schedule name is GS1-SL or other specialty schedule. Item numbers must include an (a) or (b) designation. Designation of the record as the original or a duplicate determines the life of the documents. This is important.

Most of our **City** records will be found in the GS1-SL. The schedule for Law Enforcement, GS2, will continue to supplement GS1-SL for records specific to LPD. Note also, the former schedule for Building Departments, GS6, is now incorporated into GS1-SL.

## II. Producing the Transmittal Form

A transmittal form accompanies each box sent to the Records Center. The transmittal form has several functions.

- It identifies the records in the box.
- It serves as a receipt, documenting the transfer of the records.
- It provides information for database entry.

### PC Pointers

This is a template form. It is intended to produce a printed **records transmittal**. Send one copy with each box transferred to the Records Center. Use a ring binder to keep your own copy in numerical order for each box that you send.

### Accessing the Transmittal Form

1. Double-click **Internet Explorer**
2. In the left column, double-click **Records Management**
3. Double-click **the blue bar that says COL Transmittal**.
3. Fill out the form on-line. See Sections **II through IV** about the form.

The form will expand as you type - to a limit. **TAB** through the fields or use the **DOWN** and **UP ARROWS**. Do **not** use "Enter." Some records should be listed as individual files so that we will all know exactly what has been sent. Create a Word Doc and attach the list to the transmittal form. All data fields must be completed. See *I. Scheduling Records* for help.

Help is available from Records Center staff at any time. Our combined efforts in packing and organizing your storage boxes will make retrieval fast and easy for all of us.

Call 8751

### III. Calculating Destruction Dates

All records transferred to the Records Center require an ultimate destination. This is usually a destruction date. The destruction date is the earliest time at which the box may legally be destroyed. All destruction dates are based on fiscal years and will always begin with 10/01 of the indicated year.

#### To determine the destruction date:

1. Use the GS1-SL to find the retention period for the record series on your transmittal.
2. If you are including two or three different records in the box, the destruction date used must be the latest of the group.

#### **SAMPLE PROBLEMS**

##### Disbursement Records: Detail Item 340a {Retention: 5 fiscal years}

The records on your transmittal start with 10/01/1998 and end with 09/30/2000. Start counting with the next fiscal year date – 10/01/2000 – and add 5 years. The destruction date is 10/01/2005. That was an easy one. How about this?

You have added Payroll Records: Supporting Documents {Retention: 3 FY} to the box and to the transmittal. The Payroll Records begin with 01/01/1999 and end with 12/31/1999. Start counting the Payroll Records at the next FY date – 10/01/2000 – and add three years. The destruction date for the Payroll Records is 10/01/2003.

We now have two destruction dates for the records but only one can be entered for the box. Use the latest date of 10/01/2005 to meet the requirements of both items. Pack your boxes so that destruction dates are within a year or two.

3. Fill in the destruction date on the transmittal form. This date will be used to generate a report of your eligible records in that year. A notice will be sent for your approval at that time.
4. Are the records in a microfilming or imaging program? If so, check the appropriate box.
5. Have the records met their retention requirements? If so, check *Ready for Destruction* and add the next 10/01 date. You will receive a disposal notice asking for your approval.

6. Do any of these records contain any confidential information? This indicates that these records have someone's Social Security number, Driver's License number or complete credit card number included on them. Be sure to check that box if they do. At the time of destruction these records are shredded securely before the paper is recycled.

#### IV. Printing Your Transmittals

1. Your transmittal is ready to print when all fields have been filled.
2. Proofread.
3. ⇒ DO NOT SAVE ⇐
4. Print two copies.
5. When satisfactory, close the form, choosing not to save your work. Open a new form for your next storage box.

#### **TIP**

When working with multiple boxes of the same record series, print the first transmittal. Then just change the box number and other necessary fields, and print again.

6. Produce hard copies organized in a binder for your records management tasks. This also allows everyone in the office access to the stored records when the records coordinator is not available.

### Delivering Boxed Records to the Records Center

The Records Center is located at 1140 E. Parker Street in the Purchasing and T & D Building. The delivery dock is on the right just past the security guard outpost.

Normal operating hours for the Records Center are 8 am to 5 pm. However, the Central Stores Warehouse closes at 3:30 pm. If after 3:30 pm, just call 8750 or email "Records Center". We will make arrangements to meet you.

Notify the Records Center of your intent to deliver boxes so that we can be ready with carts and personnel. When your staff member arrives with the

delivery, advise him or her to call the Records Center at 8750. The telephone is on the dock beside the time clock. Someone from Records will be there to help in a few minutes.

## Referencing and Retrieving Your Stored Records

- Find the box number for the record you want in your Transmittal Book.
- Call the Records Center at 8750 or e-mail your request.
- Have retrieval information ready such as names, numbers, addresses and filing information.
- Records Center staff will check out the original to you, make copies, or provide verbal information over the phone. If your request was by e-mail, the reply or confirmation will be returned by that method if appropriate.
- Records will be sent by inter-city mail. For immediate needs, the records can be picked up at the Records Center.

And finally, your future in managing records for the **City of Lakeland**...

While the “paperless office” is still a long way down the road, we already *have* most of our newer records in electronic form. Our challenge right now is to devise ways and means to manage those records that reside in applications, in databases and on individual PC’s throughout our offices.

All public records, regardless of physical form or means of transmission, fall under Chapter 119, Florida State Statutes. Under law, we are required to maintain, manage and produce on demand public e-records and information. We are also required to follow the *same* storage and retention rules that apply to more traditional forms of record-keeping.

How will we do this? More technology, of course! Over the next few years you will see imaging capabilities at workstations throughout the City as we capture and manage documents and information at the point of origin. Employees who work with information (that’s all of us) will be taking a greater part in the management of that valuable resource. Software will provide the ability to track the records that you create and share the information with others via internet and intranet.

Exciting, isn’t it!

# RECORDS TRANSMITTAL

Box No

Date: June 16, 2008

Dept/Div:

Records Coordinator:

Phone:

*Limit box to no more than three titles. Each box can have only ONE destruction date. A records series to be filmed or imaged cannot be boxed with other records. Use **GS1-SL**, or other current specialized schedules, for the Records Title, Schedule and Item information. Use the description line for the commonly used office record name and detail including numerical sequences. Produce a simple WORD document to attach to the transmittal when it is necessary to list each file or folder. Use MM/DD/YYYY as date format.*  
**BE SURE TO INDICATE IF THESE ARE CONFIDENTIAL RECORDS.**

**Record Title:**

**Description:**

**Inclusive Dates:**

**Sch #:**

**Item #:**

**Record Title:**

**Description:**

**Inclusive Dates:**

**Sch #:**

**Item #:**

**Record Title:**

**Description:**

**Inclusive Dates:**

**Sch #:**

**Item #:**

☐ Microfilm

☐ Image

☐ Ready for Disposal

☐ CONFIDENTIAL INFORMATION

Destruction Date:

## Records Center Use Only

Received By: \_\_\_\_\_ Date: \_\_\_\_\_ LOC: \_\_\_\_\_

Data Entry: \_\_\_\_\_ Date: \_\_\_\_\_