

City of Camden

**Records Management and Document Imaging
General Users Training Manual**

January 2008



Office of the Municipal Clerk

Records Management Unit

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I. What are Public Documents?

As defined by N.J.S.A 47:3-16 of the "Destruction of Public Records Law of 1953" *Public Records* are defined as the following:

As used in this act, except where the context indicates otherwise, the words "public records" mean any paper, written or printed book, document or drawing, map or plan, photograph, microfilm, sound-recording or similar device, or any copy thereof which has been made or is required by law to be received for filing, indexing, or reproducing by any officer, commission, agency or authority of the State or of any political subdivision thereof, including subordinate boards thereof, or that has been received by any such officer, commission, agency or authority of the State or of any political subdivision thereof, including subordinate boards thereof, in connection with the transaction of public business and has been retained by such recipient or its successor as evidence of its activities or because of the information contained therein.

Whether it's in paper format, electronic copy, a newsletter / flyer or a formal document or report, or if it's produced during the day's work - then chances are its' public property and must be made readily available through Open Public Records Act (OPRA) request, litigation or just daily review.

Each department must therefore:

- scan;
- store;
- destroy;

.. their respective documents and records in accordance with the rules and procedures outlined.

II. Destroying / Storing Records

Records and documents generally fall into several categories:

- **Active** records – records we continue accessing (reference materials, files we use on a regular basis or things we'd like to keep on hand);
- **Inactive** records - records we are statutorily required to keep but don't use often (older contracts and grant files, prior year's purchase orders, old activity records, etc.);
- Records we simply can have destroyed because they're too old or no longer relevant.

Prior to doing anything with your files, you must first consult your **Retention Schedule** (see the section of this guide, **Records Retention Schedule**) and determine which schedule your department / unit uses. Once you've identified what category your documents fall into and reference your documents on this schedule, you then can act accordingly.

For ***Destruction of records:***

- 1) A formal request is made to the attention of the *Records Manager* to destroy documents. Prior to request submission, the following must first be determined:
 - i. The nature of the documents in question must first be determined and reviewed vis-à-vis the respective municipal department / entities "**Records Retention Schedule**" to determine the nature of the records / documents.
 - ii. The department / unit must then complete a "*Request and Authorization for Records Disposal*" (a sample copy is attached to this guide for reference). All requests are to be submitted by the individual(s) specifically assigned for each municipal department / entity to monitor such activity. In this form, the following information is required:
 1. The nature of the documents to be destroyed defined by the documents / records appropriate "*Record Series Title*" (as defined by the *Records Retention Schedule* for each respective municipal department / unit);
 2. *Series Number* referencing the records / documents to be destroyed;
 3. The *inclusive dates* – i.e., timeframe – that the documents / records consists of;
 4. *Retention Period* (as defined by the *Records Retention Schedule*);
 5. *Approximate volume* / amount of records / documents slated for destruction.
 - iii. When completed, the *Request* is then submitted to the Records Manager, who then reviews the logs to make sure that the information is correct, and then submits the request to the direct attention of the *New Jersey Division of Archive and Records Management* for formal submission.
 1. For ***financial records and/or records which involve any record of monetary or fiscal reference***, along with the above procedure, must include an additional signature from the *Municipal Auditor* will also be required prior to submission of the "***Request and Authorization for Records Disposal***" to the attention of the *Records Manager*.
 - iv. Upon approval from the *New Jersey Division of Archive and Records Management*, the *Records Manager* will then begin formal destruction of the records in question.

For **Retention / storage of records**:

- 1) Following review of the *Records Retention Schedule* specifically for each respective department / entity, a "**Records Retention Request**" needs to be submitted to the attention of the *Records Manager*. Any and all "**Records Retention Requests**" will take place after the documents / records in question are scanned (if so deemed appropriate) into the document imaging system.
- 2) Once the record(s) / document(s) has been scanned into the document imaging system, department / unit is to then complete the "**Records Retention Request**" and forward same to the direct attention of the *Records Manager*.
- 3) The department / entity personnel will then obtain the proper boxes for storage from the *Records Management Unit* and begin boxing of the records (and **only** those records that have been included as part of the "**Records Retention Request**").
- 4) Once boxed, the records / documents must then have a label affixed to the box(es) with the following information:
 - a. *Item Description (Title)*;
 - b. *Department*;
 - c. *Division / Bureau / Unit / Office*;
 - d. *Departmental Contact*;
 - e. *Telephone Number*;
 - f. *Have these Items Been Document Imaged? Y / N (circle one)*
- 5) The *Records Manager* will then undertake arrangements for storage of the records.

Important: No unauthorized storage, movement or relocation of municipal records / documents shall take place without the expressed knowledge and approval of the *Records Manager*, as such action may be considered an act in violation of N.J.S.A. 47:3-29 "High Misdemeanors".

III. Scanning Records

Scanning for each department generally consists of three important steps:

- 1) Setting up the Departmental *Index*;
- 2) Creating *templates*
- 3) *Scanning*.

General Indexing Guide

Indexing is what one does when organizing your files. Think of how your department has files placed in their various file cabinets: this is how you want your document imaging index to work.

For the sake of document imaging, your electronic files should reflect what you already have organized for your paper files; this does not mean you cannot do things any differently, but it's worth considering that you need to have a system set up so that you remember where you've stored files for future access.

In many instances, it's often best to organize your department along the lines of individual departmental units – in other words, your *index* should reflect the way your department is organized, with files referenced by units / offices within a department. Regardless, please contact the Records Management Unit and we'll help you plan a course of action.

Developing Forms and Templates

One important task that each department / agency must do is to create an interface between the paper and the computer, converting forms used on a regular basis and programming onto the document imaging system; this process is known as creating "templates".

A *template* is a name given to computer form that users / scanners complete on the scanner screen prior to actually scanning a document or a series of records. When scanning, (depending upon the form) scanners will be asked a series of questions that are unique to the specific document – such as date of document, who or what it references, order or invoice number, etc. – or, to put it simply, these questions are 'fields' which reference the specific document being scanned.

A template is simply a computer field or a series of fields people complete when scanning that relates back to your departmental / agency index.

The general rule of thumb for templates is to take a document or record that your offices uses on a constant, regular basis, and find out what key item uniquely identifies it. For example, if a template involves an inspection (electrical, plumbing or eating establishment, etc.) template, then we need create a means tracing this form later on by noting on the template what got inspected by whom, when and why. If the form were a vital statistics application form, then the template may include type of application (marriage, birth or death certificate), last and first name.

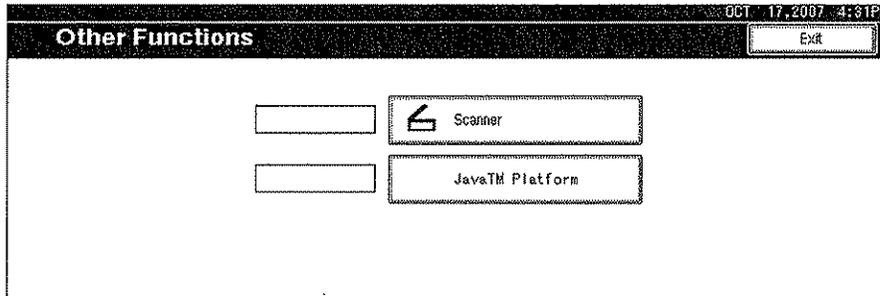
Just remember: **for a template to work, it has to enable staff to look up and reference in the future what it is they've scanned** – preferably by using a unique identifier.

And lastly, any template should be kept simple; too many fields on a template will make it too time consuming for a scanner to conduct their work.

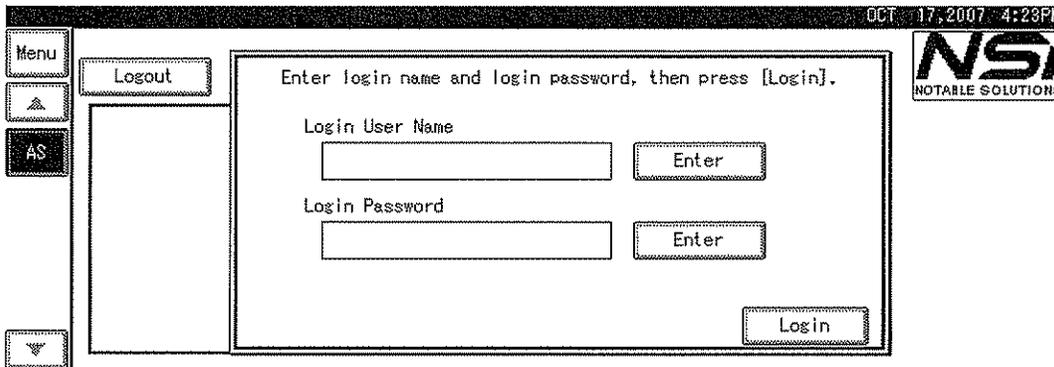
Scanning Procedure

- 1) To start scanning, *scanners* click on the “**Scanner button**” on their copier/scanning machines and then:

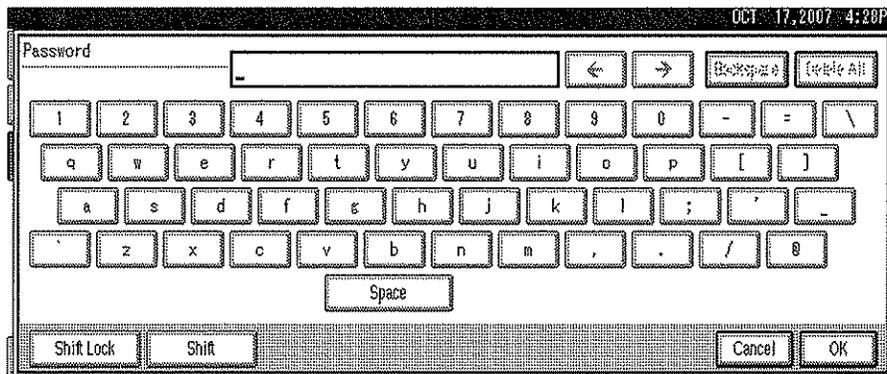
1. Press the “Java™ Platform” Key that appears on the screen:



2. *Scanners* log in by typing in their user name (just the name and not the city web address – i.e., JoJones and not JoJones@ci.camden.nj.us) as it appears within the city's e-mail followed by their password (as it is also used to access their city e-mail account):

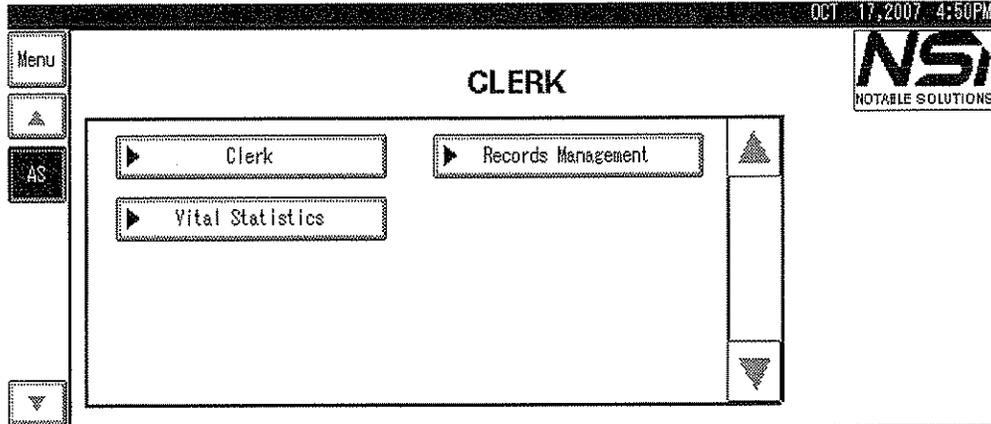


It should be noted that whenever any data entry is made, the system will automatically default to a touch-typewriter-screen:

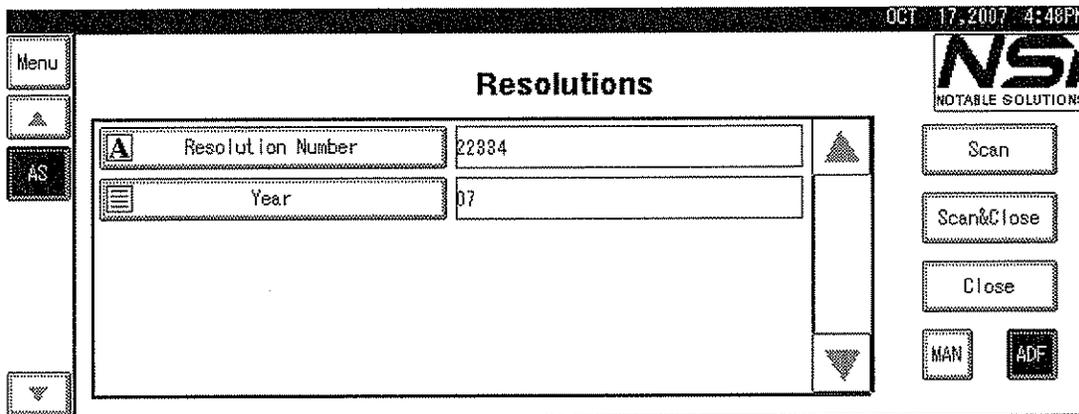


The scanner (or user) types in their information and then clicks on the “OK” button on the lower right hand screen.

- Once the scanner has logged on, the next screen that may appear (depending upon your Department / Agency) will be the specific Divisions / Offices / Units within your Department / Agency. As the below example illustrates, the Municipal Clerk's Office has *Clerk*, *Records Management* and *Vital Statistics* menu choices on their copier / scanning machine representing the three primary divisions within the Clerk's Office. Thus, depending upon the office unit for which the scanning is being done, the *scanner* clicks on the appropriate key for which office unit / subdivision / Divisions they are about to scan for:

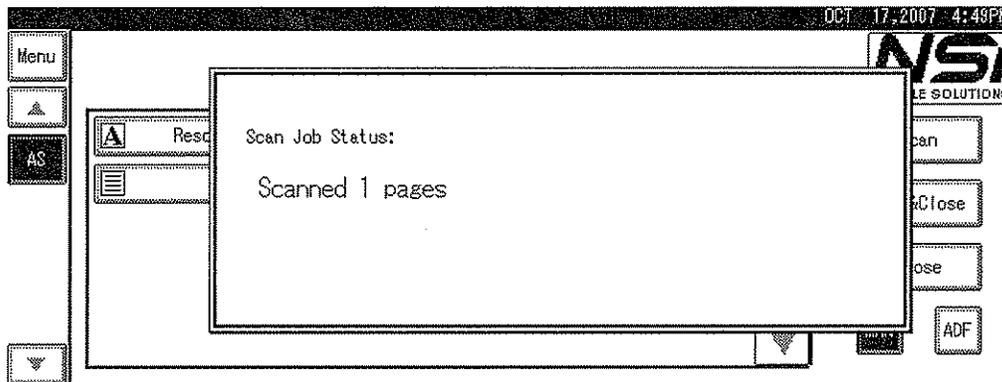


- After clicking on the appropriate office / unit (if applicable), the *scanner* will see keys for the appropriate forms to scan in; the *scanner* must then click on the appropriate forms button for the document which they are scanning (in this example, the "Resolutions" button appeared under the "Clerk" button):



- The *scanner* may be asked to fill in the blanks for the form; if so, they are to click on the form button (in this example, the "Resolution Number" button) and the typewriter screen will automatically appear with the *scanner* then typing in the information – in this example, the *Resolution Number* (22334) and the *Year* (07 for 2007).

6. When finished, the *scanner* will then feed the document(s) into the copier/scanning machine feeder tray and hit the "Scan" button. The system will indicate 'Scan Is Complete' when finished:



7. At this point, the *scanner* will take the document(s) and either:
 - i. File and return them to their appropriate location or;
 - ii. Place the document into the appropriate storage box for either records retention or records destruction or;
 - iii. If the records scanned are non-permanent and fall under the ten (10) Year retention schedule as defined by New Jersey Division of Archives and Records Management, then these records can be set aside for destruction (***note: please contact the Records Management Unit prior to undertaking any document destruction as the proper destruction sequence must be followed.***).
8. When finished scanning, the scanner must press the "Exit" button and then "Logout".

The Role of Filers

Working with *scanners*, *Filers* are those who review what's been scanned onto the system.

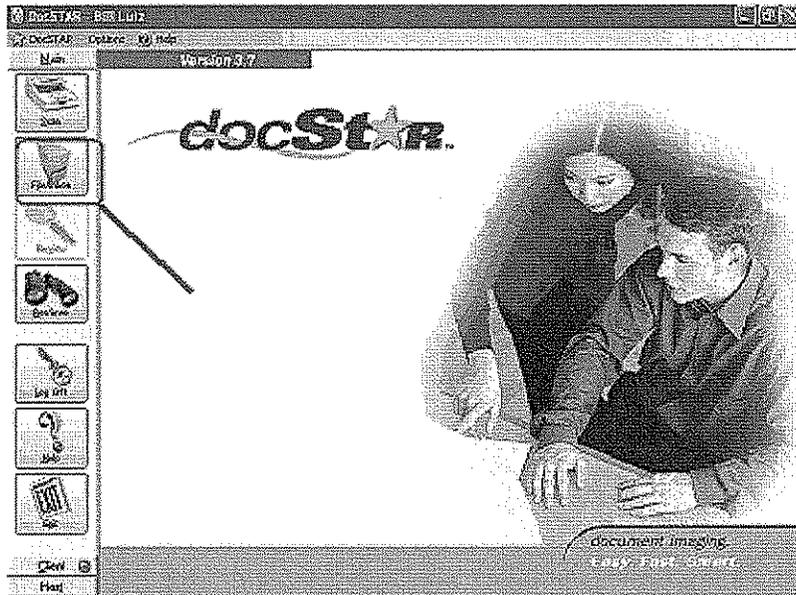
Filers must insure that:

- i. The files or documents reside in the appropriate predetermined file location and;
- ii. That all files / documents (or document) are/is scanned at the highest quality to insure clear review and future retrieval.

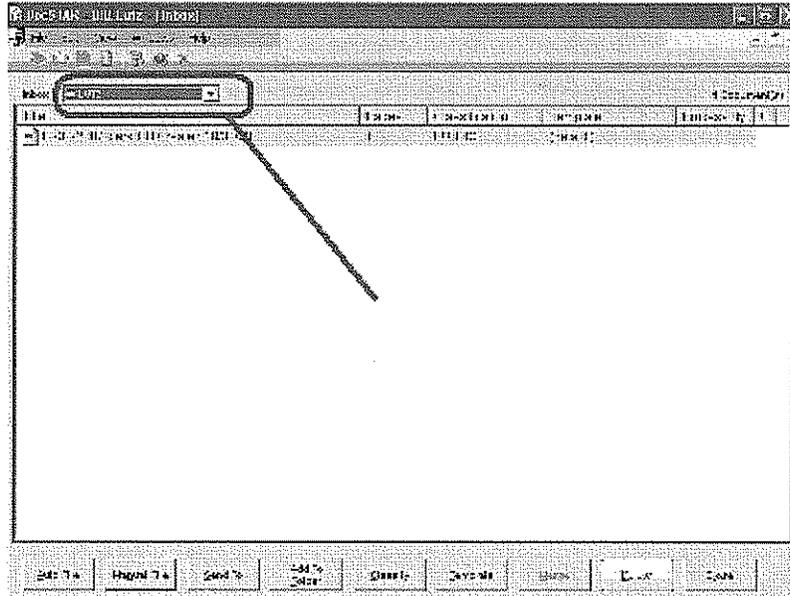
Filing Procedure

The procedure for filers begins when the filer for a specific unit / office / bureau / division of a specific department receives an in-house e-mail (via the City of Camden E-mail system) requesting that they review the document(s) or a series of documents that was just scanned.

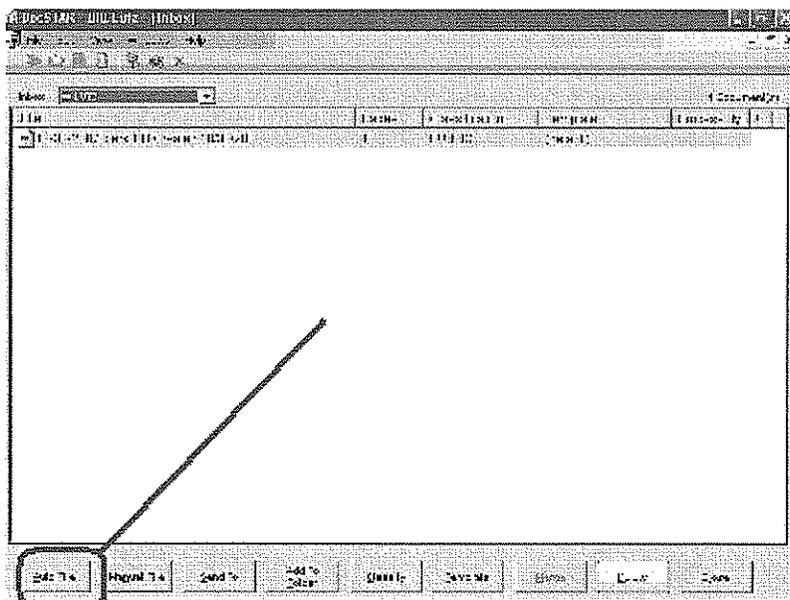
- 1) Upon being notified, filers will then click on the **DocStar** icon located on their assigned office PC's and log into the document imaging system using their name as it appears within the city e-mail and their password to access same.
- 2) The DocStar welcome screen appears. Filers will then click on their **File Inbox** located on the upper left hand side of their screen:



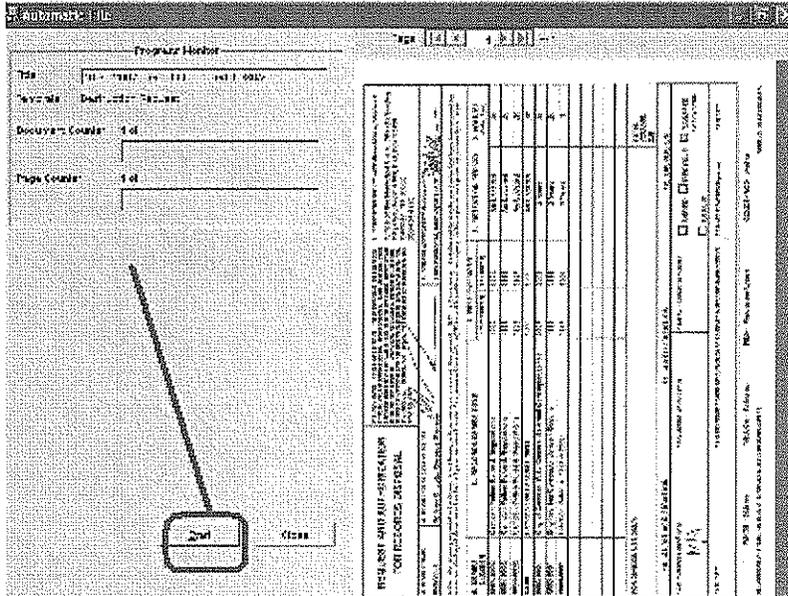
- 3) The Filer will then click on their assigned **Inbox** to begin the review process through a pre-defined drop-down menu (*note: the Filer can only review those files within their respective Inbox – the DocStar system will not allow otherwise*):



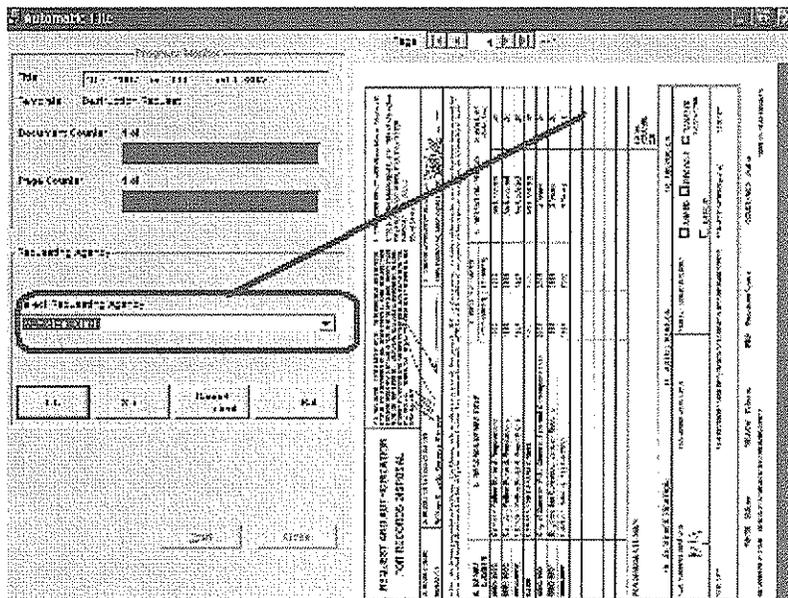
- 4) The Filer then **highlights all documents** to be reviewed / indexed, and then clicks on the **Auto File** key located on the lower left hand side (*for multiple documents, filers can click on their CONTROL Key while moving their computer mouse to highlight all of the files that are to be reviewed*):



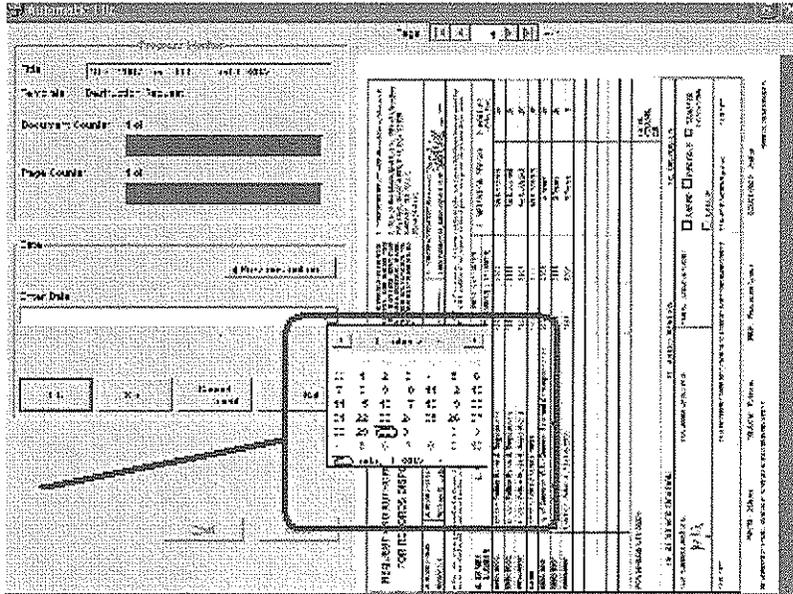
- The Filer then clicks on the **Start** key to begin the indexing process:



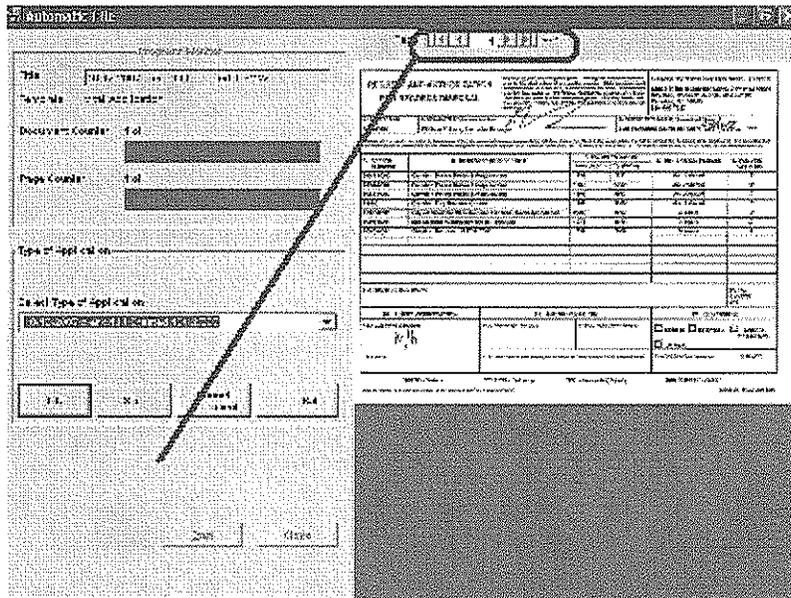
- At this time, filers will be prompted to select - from a series of automatic drop down menus - various fields relevant to the document being imaged; these menus may reference address, requesting agency, vendor, etc. depending upon your document's definitions as requested by your department / agency:



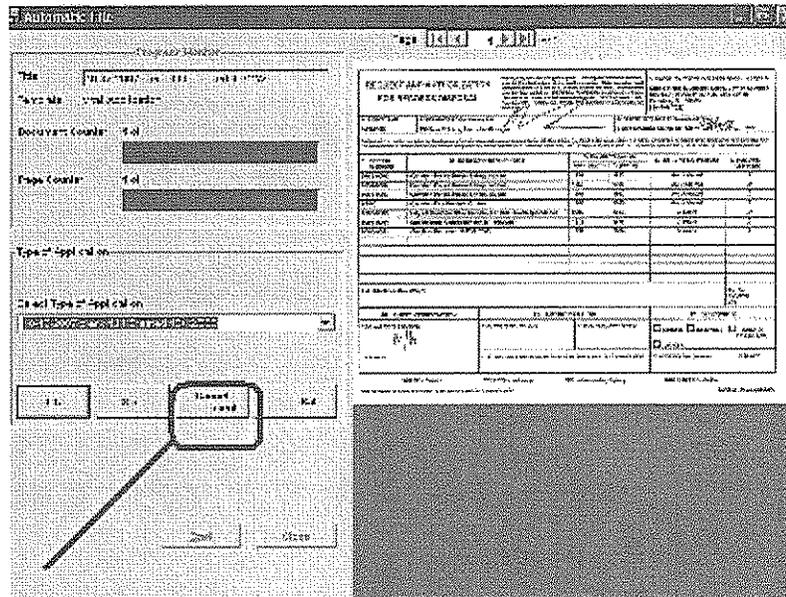
Filers may also be asked to confirm date of the document begin scanned – in which case, an automatic calendar will appear allowing filers to simply click for the appropriate date. Otherwise, the default will be set to the date and time in which the document was scanned – **something which you must closely consider if you are conducting any back scanning – that is, those files being scanned are not of the present time but are older files as otherwise the system will default to the present date and not the date in which these older files should be scanned under:**



- 7) If Filers are reviewing multiple pages, filers click on the arrow keys on the upper right hand side and view the scanned images prior to them being filed:

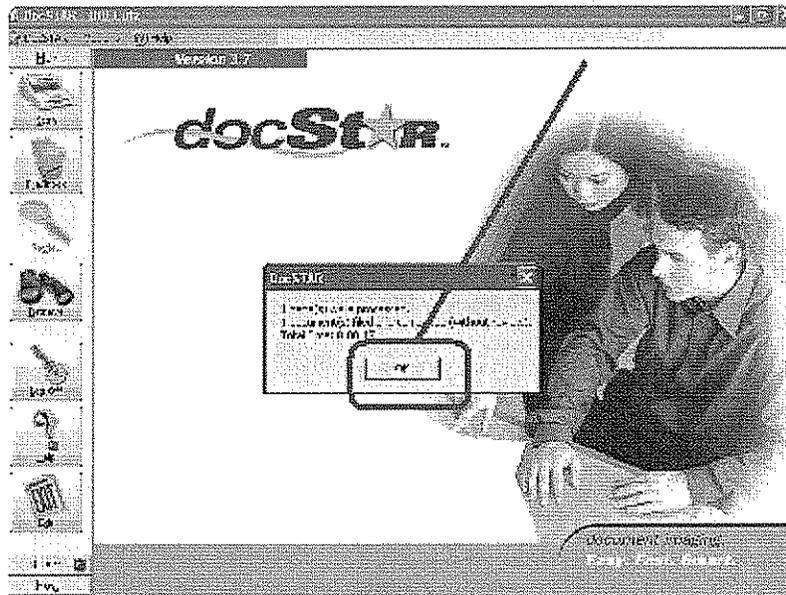


- 8) At this stage, filers then review the pages scanned to determine accuracy and quality of scanned images. Are they clear? Are they named appropriately? Are they correctly indexed? If not, then click on the "Cancel Document" key:



...and the process begins again until it is completed correctly.

- 9) Upon the end of the review and all the data fields have be completed, the system will then automatically go to the final screen:



- 10) The Filer will then click on the **OK** button with the system informing the filer if the scanned and indexed files were accepted. If the files are not accepted or if they were not completely indexed, the Filers are returned back into the "Inbox" and the Filer has to complete the process in order to close out.

- 2) **Post Scanning / Filing Services.** Following scanning, all records shall then be subject to the appropriate *Records Destruction or Retention* procedure.
 1. **If the records are to be destroyed,** then they must be destroyed with a ***Request and Authorization for Records Disposal*** submitted to the attention of the *Records Manager*.
 2. **If the records are to be retained** for long-term storage, then they must be retained with a completed ***Request for Records Retention*** submitted to the attention of the *Records Manager*, it should be noted that only records that are of a **permanent** nature fall into this category.

IV. Frequently Asked Questions

Who says that you can work with my records?

*Actually, that's not a realistic way to look at things. **All** records are subject to Open Public Records Act (OPRA), general litigation and/or review by the appropriate authority – and we must accordingly follow state statutory law as it relates to the proper handling and management of records, both hard copy and electronic media.*

How can I tell which document is which?

*When in doubt – ask. Reading your respective *Records Retention Schedule*, however, you should determine just what specific document / records you're dealing with. If you're not certain, speak with your Liaisons to determine the nature of the document(s) you're dealing with and reference the schedule accordingly.*

What's the big deal about document imaging?

It's a lot easier to obtain and manage documents electronically as opposed to having to physically handling them. For instance, with a document imaging service you can simply type in a keyword or a series of keywords and obtain any and all documents which relate to whatever subject you're looking up. And with a document imaging system, you need not go to the file cabinet to obtain your records: you can simply look them up from your computer screen.

Many will also find it easier when division / agencies / bureaus / units can more readily communicate with one another through review of commonly held records and/or enable rapid look-ups, rather than using inter-office mail.

Document imaging also eliminates office clutter and offers an excellent opportunity to clear out unnecessary records.

Does any of this change my job title / classification?

No. City personnel are still required to do filing: whether it's done manually or electronically, filing is still filing.

What if I chose not to use the system?

It's not your choice: this is ultimately the choice of your respective Director, who, in turn, must report to the Chief Operating Officer and justify why they are not implementing this system within their department.

It should also be noted that if records are lost due to accidents, floods or fires or are simply misplaced, such losses could have been avoided if but for using a system that offers disaster recovery – and in light of this service being offered, any document loss will raise questions and lead to the possibility of formal administrative review.

Who's ultimately responsible for our records?

You and your agency: any document or record that has your agency's seal, logo, name or if this is something that directly involves your agency, such records and/or documents are items that your agency has to deal with. Our role in Records Management is to insure that you follow proper records retention procedure and to assist you in regards to storage and removal; how or what you use your records for does not concern us.

Do I keep copies of records that are held in other Departments?

As a rule, if you created a document, you are responsible for that document. If your agency is only being copied, however, then these records are not something you are required to keep – although you will be asked to contact the other agency to make sure that they have the necessary originals at hand before you destroy your copies.

What do I scan and not scan?

Depends on your needs. Ideally, you scan documents that you use and/or refer to on a regular basis. Ask yourself this: what do I use regularly that I need to have on hand quickly?

You also need to ask yourself: *how can all this make my job easier for me?*

Sometimes, scanning older rarely used documents is not always the best answer for you and your agency. Just because you're required to keep some records for a long time doesn't mean you'll necessarily use them. On the flip side, you also have to ask yourself: what would happen if you were to lose those old documents? Items like prior Annual Reports may be something you'd want to keep on hand for reference just in case somebody asks for a copy or if you need to reference it.

And this is not to say that you cannot use the document imaging to save documents that you feel you need. The system is there for your use; why not use it to your best advantage?

Also, document imaging is not just for paper: all of your electronic work – such as Microsoft Word files, spreadsheets and databases along with pictures and plans – are also considered public documents and are subject to review by the records retention schedule. What this also means is that you can directly save your documents from your computer onto the document imaging system without having to print out a hard copy and then scanning them. To do this, your staff must first consult with their Liaisons and Filers prior to submission for relevance.

The smart thing to do is to practice 'day-forward' scanning – that is, designate a date in which all documents and records are to be scanned and, as these documents are scanned on a regular basis, staff is also assigned to scan older documents. In the meantime, we will be working with your agencies to help you scan and store documents in an effort to make things work more smoothly.

What if I want to add or change templates?

Any department that wishes to change templates or change the way forms are scanned onto the system are to contact their respective liaisons and copy the Records Manager their request. Upon doing so, the Liaisons will then work with the Records Manager, who will then (in turn) insure that the templates meet the requested needs and are programmed onto the document imaging system. The Records Manager must log the requested template into the Template Log to insure full compliance with the New Jersey Division of Archives and Records Management.

V. Records Retention Schedules

Below is a breakdown of the **Records Retention Schedule; users need only** reference their appropriate schedules listed below and utilize the procedures as so previously described in

Relevant records retention schedule information can be readily accessed via the World Wide Web / Internet at the *New Jersey Division of Archives and Records Management* website:

<http://www.state.nj.us/state/darm/links/retention.html>

Once arriving at the *New Jersey Division of Archive and Records Management* website, users can then either reference the website for the appropriate schedule number or, if viewing this document electronically, can simply left click on the appropriate schedule number and go directly to their proper records retention schedule:

Department / Office / Bureau	Schedule #	Schedule #	Schedule #
ABC Board	M200000-904		
Affirmative Action Office	M100000-905		
Assessor's Office	M120000-901	M100000-905	
Business Administrators Office	M100000-905		
City Council	M100000-905		
Code Enforcement	M190000-902	C400000-999	M100000-905
Development and Planning	M500000-999	M140000-001	M100000-905
Finance	M160000-903		
Fire	M180000-999		
Fleet Management	M100000-905		
GIS	C910000-903	M100000-905	
Grants Management	M100000-905		
Health and Human Services	C420000-999	M100000-905	
Law Department	M150000-999		
Mayor's Office	M100000-905		
MIS	M100000-905		
Municipal Clerk	M200000-904		
Municipal Prosecutor's Office	M170000-001		
Office of Emergency Management	C500000-002	M100000-905	
Payroll	M100000-905		
Personnel Office	M100000-905		
Police	M900000-904		
Planning & Zoning Board	M140000-001	M100000-905	
Public Library	C600000-903	M100000-905	
Public Works	C960000-901	C910000-903	M100000-905
Purchasing	M100000-905		
Risk Management	M210000-001	M100000-905	
Tax Collector's Office	M160000-903	M100000-905	
Telecommunications	M100000-905		

VI. Terminology

Active Records - records we continue accessing (reference materials, files we use on a regular basis or things we'd like to keep on hand).

“Back” Scanning – scanning older documents which may or may not be useful for day to day access, but which hold reference value.

“Day Forward” Scanning – a process by which a department chooses a specific date to begin scanning on a regular, routine basis as part of everyday work / service.

Document Imaging – a service by which hard copy is converted into electronic format.

Filers – individuals tasked to review and approve documents scanned.

Inactive Records - records we are statutorily required to keep but don't use often (older contracts and grant files, prior year's purchase orders, old activity records, etc.)

Indexing – the process of organizing electronic files into a manner reflective of how hard copies are organized.

Liaisons – individuals who are chosen to represent individual departments / agencies as it relates to document imaging.

Public Records – any hard copy or electronic record which is generated and/or maintained by a public entity.

Records Retention Request – a request submitted by a department to retain public records for storage.

Records Retention Schedule – a predefined series of records schedules defined by the New Jersey Division of Archives and Records Management which details how long any document should be maintained and when it can be destroyed.

Request and Authorization for Records Disposal – a request submitted by a department to destroy public records.

Scanner – an individual who, through the usage of an electronic scanner, converts hard copy into electronic copy.

Scanning – the act of converting hard copy into electronic copy.

Templates - a computer field or a series of computer fields relevant to a specific document that scanners complete while scanning that reference to a department's index.