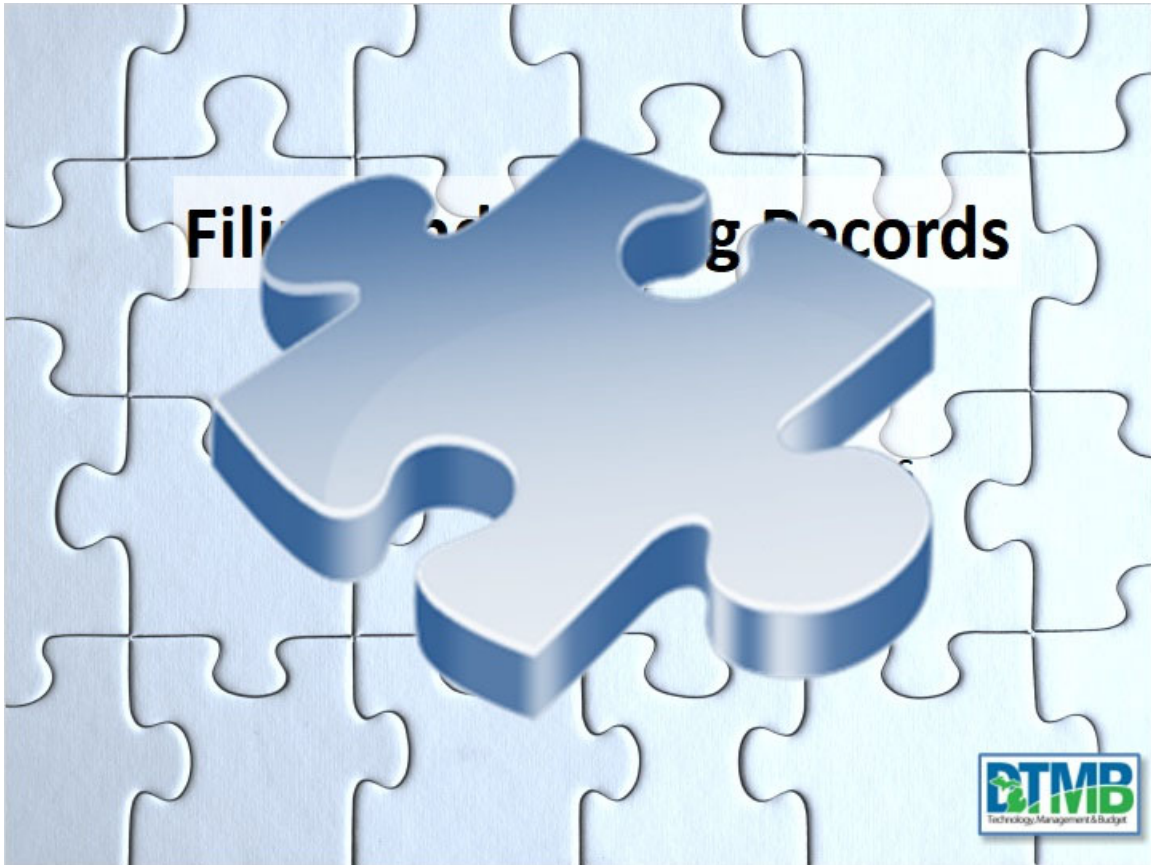
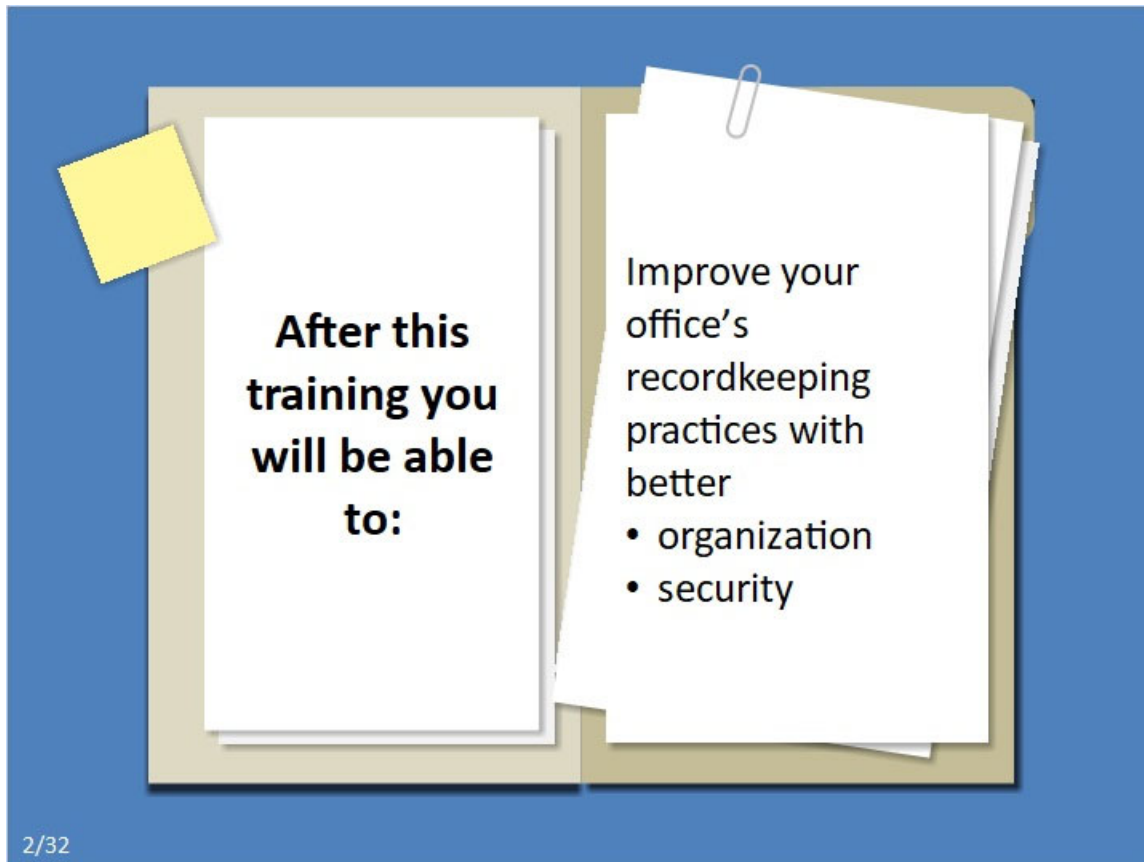


## Filing and Storing Records



### Notes:

Welcome to the training module titled, "Filing and Storing Records." This training is offered by the State of Michigan, Records Management Services.



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Notes:

After this training you will be able to improve your office's recordkeeping practices with better organization and security.

Individual records are like puzzle pieces. When the puzzle is assembled, people can easily see the complete picture. When records are properly organized, employees can find what they need quickly and easily.



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Notes:

Individual records are like puzzle pieces. When the puzzle is assembled, people can easily see the complete picture. When records are properly organized, employees can find what they need quickly and easily.

## Are you a good recordkeeper?

Bill and Will are employees with different approaches to recordkeeping. Are you more like Bill or Will? Watch the following slides to find out.



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### Notes:

Are you a good recordkeeper? Bill and Will are employees with different approaches to recordkeeping. Are you more like Bill or Will? Watch the following slides to find out.

## Bill vs Will

Bill files relevant records in the designated case folder, so his co-workers can access the information they need.



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### Notes:

Bill vs Will: Bill files relevant records in the designated case folder, so his co-workers can access the information they need.

## Bill vs Will

Bill files relevant records in the designated case folder, so his co-workers can access the information they need.

Will stores records in locations that only he can access, such as his Outlook archives, his individual network drive, and his cubicle.



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### Notes:

Bill vs Will: Will stores records in locations that only he can access, such as his Outlook archives, his individual network drive, and his cubicle.

## Bill vs Will

Bill deletes/destroys records that are not related to his job duties, or that are no longer needed to document his work.



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### Notes:

Bill vs Will: Bill deletes/destroys records that are not related to his job duties, or that are no longer needed to document his work.

## Bill vs Will

Bill deletes/destroys records that are not related to his job duties, or that are no longer needed to document his work.

Will keeps every email he sends and receives, "just in case." He also has stacks of papers on his desk that keep growing.



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### Notes:

Bill vs Will: Will keeps every email he sends and receives, "just in case." He also has stacks of papers on his desk that keep growing.



## Bill vs Will

Bill tells his family and friends to use his personal email account, not his work account, to contact him.



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### Notes:

Bill vs Will: Bill tells his family and friends to use his personal email account, not his work account, to contact him.

## Bill vs Will

Bill tells his family and friends to use his personal email account, not his work account, to contact him.

Will uses his work email account for personal shopping and communicating with family and friends.



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### Notes:

Bill vs Will: Will uses his work email account for personal shopping and communicating with family and friends.

## Bill vs Will

When Bill leaves his current job, the rest of the office will still have access to the records he used, because they are in the office's designated filing system.



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### Notes:

Bill vs Will: When Bill leaves his current job, the rest of the office will still have access to the records he used, because they are in the official files.

## Bill vs Will

When Bill leaves his current job, the rest of the office will still have access to the records he used, because they are in the office's designated filing system.

When Will leaves his current job, no one else will be able to access the records he used, because his email and network accounts will be closed and his computer hard drive will be re-imaged.



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### Notes:

Bill vs Will: When Will leaves his current job, no one else will be able to access the records he used, because his email and network accounts will be closed and his computer hard drive will be re-imaged.

## Be Like Bill

Bill is a good recordkeeper!



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Notes:

Be Like Bill. Bill is a good recordkeeper!

Records document the functions and services of a government agency, and they support an employee's performance of their assigned job duties.



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Notes:

Records document the functions and services of a government agency, and they support an employee's performance of assigned job duties.

Work records should be stored using government resources (such as filing cabinets, computers and devices, network storage space, etc.).



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Notes:

Work records should be stored using government resources (such as filing cabinets, computers and devices, network storage space, etc.).

Each business activity should have one or more people who are responsible for ensuring that records are maintained according to office procedures.



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Notes:

Each business activity should have one or more people who are responsible for ensuring that records are maintained according to office procedures.



Managers of a business activity need to designate a filing system for maintaining records, and need to determine how the system will be used.



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Notes:

Managers of a business activity need to designate a filing system for maintaining records, and need to determine how the system will be used.

The records for each business activity should be maintained separately from the records for other business activities, especially if they have unique security and access requirements.



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Notes:

The records for each business activity should be maintained separately from the records for other business activities, especially if they have unique security and access requirements.

All employees who participate in a business activity should have access to the designated filing system, and should rely on that filing system when they need to find and retrieve documents or information.



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Notes:

All employees who participate in a business activity should have access to the designated filing system, and should rely on that filing system when they need to find and retrieve documents or information.

## Filing Systems Should Be Maintained and Used Consistently

Recordkeeping rules and naming conventions make it easier and faster to find records, such as:

- Consistent naming
- Indexing
- Chronological filing

More tips are [available online](#).



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### Notes:

Filing systems should be maintained and used consistently. Recordkeeping rules and naming conventions make it easier and faster to find records, such as: consistent naming, indexing, and chronological filing. More tips are [available on the RMS website, inside.michigan.gov/recordsmanagement](https://inside.michigan.gov/recordsmanagement).

Most new records are created with computers. As a result, many offices want to convert their older filing systems into paperless systems.



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Notes:

Most new records are created with computers. As a result, many offices want to convert their older filing systems into paperless systems.

Michigan law allows government agencies to convert their paper records into digital images.



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Notes:

Michigan law allows government agencies to convert their paper records into digital images. A link to these laws is available from the RMS website.

Agencies can only destroy original paper records, if they are scanned in compliance with the [State of Michigan's standards](#).  
*Following the standards will create authentic and usable digital images.*



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Notes:

Agencies can only destroy original paper records, if they are scanned in compliance with the [State of Michigan's standards \(these standards are available from the RMS website\)](#). Following the standards will create authentic and usable digital images.

Each agency can select the format (paper or electronic) it will use for storing its records, and only needs to keep one copy of the record.




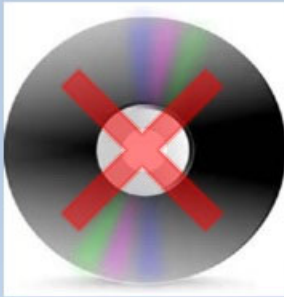
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Notes:

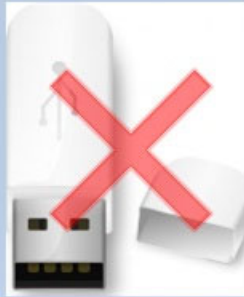
Each agency can select the format (paper or electronic) it will use for storing its records, and only needs to keep one copy of the record.



Records need to be stored on secure systems with backup. External storage devices are good for temporary transport of records, but may lack necessary protections for storage. 



Disks



USB Drives



External Hard Drives

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Notes:

Records need to be stored on secure systems with backup. External storage devices are good for temporary transport of records, but may lack necessary protections for storage.

State employees should be aware of the State of Michigan's policies about the use of external storage devices. The policy is available to state employees online at <http://inside.michigan.gov/dtmb/wr/psp/Documents/1340.00.110.03%20Storage%20of%20Sensitive%20Information%20on%20Mobile%20Devices%20and%20Portable%20Media%20Standard.pdf>.

Everyone in an office should use a central filing system (paper and/or electronic).

Benefits include:

- Improved compliance with FOIA (Freedom of Information Act) and litigation 
- Reduced confusion caused by duplicates
- Reduced risk of lost and misfiled records
- Saved storage space and money
- Security for confidential and sensitive records
- Improved access to records



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Notes:

Everyone in an office should use a central filing system, rather than individual filing systems. The filing system could be either paper or electronic, as long as all of the records for that particular business are stored together.

Benefits include:

- Improved compliance with FOIA (Freedom of Information Act) and litigation (note: duplicates are subject to release, even if the original is destroyed)
- Reduced confusion caused by duplicates
- Reduced risk of lost and misfiled records
- Saved storage space and money
- Security for confidential and sensitive records
- Improved access to records

The conversations on the following slides contain examples of the issues that are created by duplicate records.



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Notes:

The following conversations contain examples of the issues that are created by duplicate records.

Hi. I am looking for an inspection report that is supposed to be in the enforcement file. Do you know where it is?

Oh yeah. I have that report in my file that I keep in my cubicle. I like to keep the stuff I'm working on easily accessible to me.

What should happen next?  
*Click on the option you think is best.*

She should give him a copy of the inspection report.

They should destroy the duplicates, and ensure the central office file contains accurate documentation.



Notes:

Man: Hi. I am looking for an inspection report that is supposed to be in the enforcement file. Do you know where it is?

Woman: Oh yeah. I have that report in my file that I keep in my cubicle. I like to keep the stuff I'm working on easily accessible to me.

Question: What should happen next?

Option #1: She should give him a copy of the inspection report.

Option #2: They should destroy the duplicates, and ensure the central office file contains all of the accurate information.

Answer: Giving him a copy of the report may be a short-term solution, but it does not solve their long-term recordkeeping issue. They need to ensure that anyone who uses the central office file is confident that it contains complete and accurate records. Duplicate records should only be kept temporarily, and should be deleted/destroyed as soon as possible, so they do not cause problems.

The department's FOIA Coordinator contacted me. We need to collect all of the records about the grant we received from the 5 people who work on it. This is the third request we have received like this in the past year. Last time I had to make 5 copies of the same documents, because everyone kept their own stuff.

What should happen next?  
*Click on the option you think is best.*

Designate a central office filing system, instead of allowing employees to keep their own files. Then adopt business rules for the filing system.

They should collect the records from the 5 employees and send the copies to the FOIA Coordinator promptly to comply with FOIA timelines.



Notes:

Woman: The department's FOIA Coordinator contacted me. We need to collect all of the records about the grant we received from the 5 people who work on it. This is the third request we have received like this in the past year. Last time I had to make 5 copies of the same documents, because everyone kept their own stuff.

Question: What should happen next?

Option #1: They should designate a central office filing system (paper or electronic), instead of allowing employees to keep their own files. They should work as a team to adopt business rules for how the files will be managed.

Option #2: They should collect the records from the 5 employees and send the copies to the FOIA Coordinator promptly to comply with FOIA timelines.

Answer: Sending copies to the FOIA Coordinator is the short term solution, to comply with FOIA timelines. However, to solve the long term recordkeeping issues, they need to designate a central filing system (paper or electronic), and work as a team to adopt business rules to promote consistent use of the files.

I made a copy of an investigation file to use for my site visit, and I put it on a USB drive. I have not seen the drive since lunch that day. I think I lost it, and it was not encrypted. The files contain a lot of private information.

What should happen next?  
*Click on the option you think is best.*

Report this incident to upper management. They may need to take steps to address the situation.

Hold a special staff meeting to discuss security for confidential records, and how to prevent this type of incident from happening again.



Notes:

Man: I made a copy of an investigation file to use for my site visit, and I put it on a USB drive. I have not seen the drive since lunch that day. I think I lost it, and it was not encrypted. The files contain a lot of private information.

Question: What should happen next?

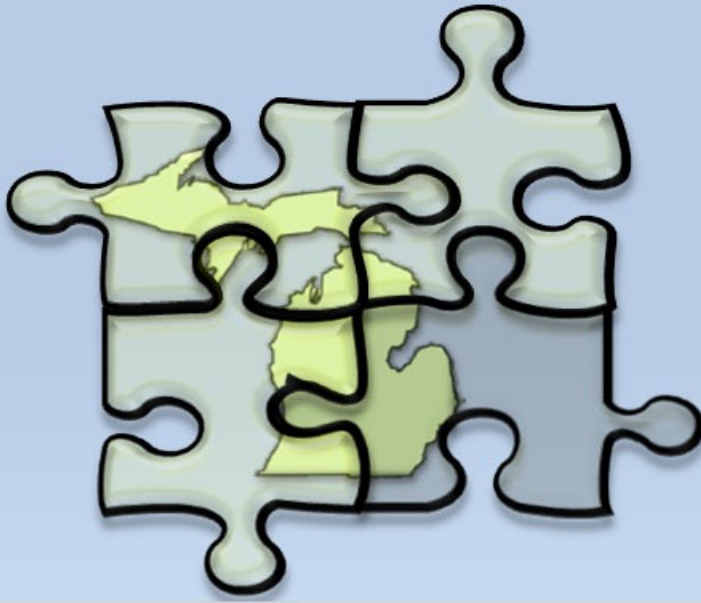
Option #1: Report this incident to upper management. They may need to take steps to address the situation.

Option #2: Hold a special staff meeting to discuss security for confidential records, and how to prevent this type of incident from happening again.



Answer: Always contact management first. However, to address the long term recordkeeping issues, the office staff need training about security for confidential information, both when the records are in the office, and when they are taken outside of the office.

Organized records, like a completed puzzle, help employees find what they need quickly and easily.



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Notes:

Organized records, like a completed puzzle, help employees find what they need quickly and easily.

Please visit the Records Management Services' website for more information.  
Thank you.

Find Records Management online at  
[inside.michigan.gov/recordsmanagement](https://inside.michigan.gov/recordsmanagement)

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Notes:

Find Records Management online at [inside.michigan.gov/recordsmanagement](https://inside.michigan.gov/recordsmanagement) for state government, and [www.michigan.gov/recordsmanagement](https://www.michigan.gov/recordsmanagement) for local government. Thank you.