



# Abraham Baldwin Agricultural College

## Fiscal Affairs Policies and Procedures Manual

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### 700 RECORDS MANAGEMENT

#### 701 FUNCTIONS AND RESPONSIBILITIES

Records management at Abraham Baldwin Agricultural College Fiscal Affairs was established to fulfill the requirements of Georgia Code Section 50-18-94. The Comptroller will answer questions concerning records selection, materials and filing equipment, filing methods and procedures, and, when requested, will assist in implementing the procedures contained in the State Records Management Manual.

The Business Office coordinates the physical transfer of records from various functions. These transfers involve the semi-active and inactive files according to the Records Retention Schedule prepared and distributed by the Comptroller and approved by the Vice President for Fiscal Affairs.

The files are indexed and stored for ready reference, in a secure area in the records storage facility located in Plant Operations. Departments/Units may request a file by completing a Records Storage/Retrieval Request form.

A Department/Unit can order record storage boxes from any local vendor. Whenever there is a full file cabinet drawer of files to be stored, these boxes are the best method for temporarily holding the items

NOTE: It is the Department's/Unit's responsibility to box all files and label the boxes.

#### 702 DEFINITION OF TERMS

Following is a list of terminology related to Records Management:

- 702.01 Active records - Records consulted frequently in the conduct of current departmental business;
- 702.02 Archival records - Permanent records that are non current and are not required to be retained in the office in which it originates;
- 702.03 Archives – An area utilized for the permanent storage of valuable records and documents for the benefit of scholars and posterity;
- 702.04 Common Schedules
- 702.0401 State-wide Common Schedules – Schedules that cover files which accumulate as a result of functions which are commonly performed by all agencies such as Budget, Personnel, Fiscal, Housekeeping and Reference Paper Files Series, and have been approved for use throughout agencies of state and local government;
- 702.05 Current Files Area - The designated area, usually the working Office, where records in frequent use are maintained;
- 702.06 Cut off - The discontinuance at specified intervals of placing files in existing folders. All new material is placed in a new set of folders. The purpose of cutting off files is to remove them from the Current Files Area as soon as possible and transfer them to a low cost storage area. (The cut off date is usually July 1 of each year.);
- 702.07 Disposition – The decision concerning the final status of records which determine whether they will be retained, transferred, or otherwise disposed of;



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- 702.08 File series - Documents, volumes, or groups of records arranged under a single filing system or kept together as a unit because they relate to a particular subject, result from the same activity, or have a particular form. Volume is not a factor; a file series may consist of one file or hundreds of feet of files;
- 702.09 Inactive record - A record no longer needed in the conduct of current business;
- 702.10 Local Holding Area – A low-cost centralized area, usually warehouse-type space, maintained by the College for records that are referenced too often to be transferred to a facility off campus;
- 702.11 Permanent Record – A record which has a permanent or enduring administrative, legal, fiscal, research or historical value or in consequence thereof must be retained and preserved indefinitely;
- 702.12 Records - All documents, papers, books (except books in formally organized libraries), maps, drawings, cards, charts, letters, photographs, microfilm, magnetic tape, or other documents that have been made or received in connection with the transaction of business and preserved for informational value or as evidence of a transaction;
- 702.13 Records Storage Facility - An intermediate area maintained at the College with facilities for the storage, processing, servicing, and security of records until disposal, in accordance with a retention/disposal schedule. The facilities use less desirable and less expensive space and equipment than used in office records storage;
- 702.14 Records Management - The systematic control of paperwork and records, whether on paper (as forms, written instructions and correspondence), microfilm or computer tape; from their creation through maintenance and use in active and inactive files, including rapid retrieval when needed, to final disposition or archival retention;
- 702.15 Records Retention Schedule - A timetable based upon administrative reference needs and legal requirements for the handling and location of records during their creation through their periods of peak and diminishing reference use to their timely destruction or retirement. This schedule becomes a control of the automatic flow of records from their creation to final disposition;
- 702.16 Retention Period - The time during which records must be kept before they are either destroyed or stored in an archival area (i.e., records as of June 30);
- 702.17 Retirement – The removal of records from an active location to a records storage facility or from a records center to an archival area;
- 702.18 Semi-Active Records - Records that are consulted infrequently and which need not be retained in the Administrative Unit where accumulated.
- 702.19 Transmittal Sheet – Used by agencies in transferring records to the Archives in Atlanta, which lists box contents along with other statistical data.
- 703 RECORDS MANAGEMENT CENTER PROCEDURES
- Records Management at Abraham Baldwin Agricultural College will be carried out in strict compliance with BOARD OF REGENTS, UNIVERSITY SYSTEM OF GEORGIA, RECORDS MANAGEMENT – POLICIES AND PROCEDURES, Revised 1990.
- 703.01 TRANSFERRAL OF RECORDS TO A RECORDS STORAGE FACILITY
- 703.0101 Preparation of Records Center Control Card



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A Department/Unit transferring semi-active and inactive records must prepare a three-part Records Control Card. To complete this form, the Department/Unit must:

Enter date for transfer of file (No. 1);

Enter name and telephone number of the originating Department or Unit (No. 2);

Enter dates covered by the records, with records of different dates and total retention periods on separate Record Control Cards (No. 3);

Enter name of the file series, including sufficient data and filing arrangements to enable others to identify this file later, with the name of the file series the same as that listed on the Records Retention Schedule (No. 4);

Enter total retention period in years, this information being obtained from the Records Retention Schedule and including the total number of the active years plus the semi-active years computed from the day after the cutoff day for the file series (No. 5);

Enter the destruction date, which is computed by adding the total retention period in years, item 5, to the day after the cutoff date of the records, item 3 (No. 6);

Give range of numbers and letters, if filed in numerical order or alphabetical sequence, a continuation of the Name of File Series, item 4 (No. 7);

Enter the total number of each size file container and number each box for the file series as "1 of 5", "2 of 5", "3 of 5," etc.; if other type container is used, specify number, type and cubic feet capacity (No. 8);

Enter an "X" to indicate if for archives or microfilm; if for both, place an "X" in both spaces; if neither applies, leave blank. (This information is obtained from the Record Retention Schedule. When the file box has been placed on a shelf in the Records Storage Facility, part 1 of the Records Center Control Card will be returned to the originating Department/Unit with the box number and location.) (No. 9); and

Leave "Box No." blank. (The Records Storage Facility will number the box and record the number on this line. The number will be used by Departments/Unit to request retrieval of this box.) (No. 10).

### 703.0102 Disposal Action

The Records Storage Facility will retain records during a time specified in the Records Retention Schedule. At the expiration of the retention period, the originating office and Records Manager will review the records. The Records Storage Facility will transfer to the State Archives for retention all records with archival value and properly dispose of remaining records.

### 703.0103 Request for Files to be Stored or Retrieved

The individual Department/Unit requesting files to be stored in the Records Storage Facility or retrieved must complete the Records Reference Request. The Department/Unit must:

Each form can be used for only one Department/Unit;



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Enter the name of the Department/Unit;

Secure the signature of the Department/Unit Head on the proper line;

Enter the building name where the records can be picked up for storage;

Enter the room number for pick up;

Enter the date the records will be ready for storage. (If possible this should be at least a three-day lead time.);

Enter the name of a contact person who has the records;

State, if requesting storage, "Pick up records for storage for the attached \_\_\_\_\_ (Enter a quantity) Records Control card(s)"; and

Enter the total number of boxes to be stored, if requesting storage.