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Records Management Manual

0007-SWP-038543

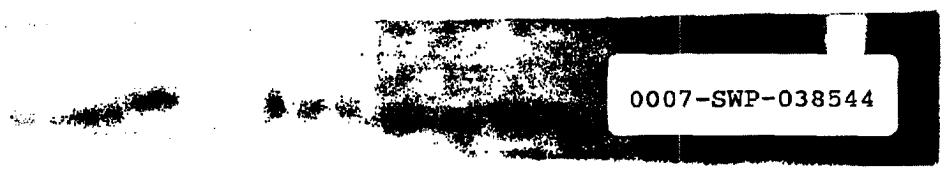
The Sherwin-Williams Company
P.O. Box 6027
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I - Preface

0007-SWP-0001209

SHERWIN WILLIAMS

INTRA-COMPANY CORRESPONDENCE

RECEIVERS LOCATION AND DEPARTMENT

TO (INDIVIDUALS NAME)
As Directed
REFER TO LETTER OF

DATE
January 16, 1991
SENDERS LOCATION, DEPARTMENT, AND TELEPHONE NUMBER
Records Management, 760 Midland Bldg, Cleveland
SUBJECT 216-566-2228

REVISED PAGES for Records Management Manual

Enclosed are Revisions of selected pages of your Records Management Manual (which should be in your possession). Please review these revisions for any changes that may apply to your location.

If you have any questions pertaining to the Manual, or records management in general, please contact the Records Management Department, Cleveland.

Thank you for your cooperation,
Harold A. Moldan
Records Management

Distributed to: All Plant Controllers and selected list

cc: W.R. Floyd
J.L. Haag
D.J. Krane

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SHERWIN WILLIAMS

CORPORATE RECORDS MANAGEMENT MANUAL

INDEX: I.1.1			
SUBJECT: PREFACE	DATE EFFECTIVE: 2/15/85	☐ NEW ISSUE ☒ REVISED	REPLACES: I.1.1 DATE: 11/16/84
SUB-SUBJECT: RECORDS MANAGEMENT MANUAL	DISTRIBUTION: ALL MANUALS		

PURPOSE

This Manual has been prepared for the purpose of providing guidance to all unit heads and their assigned records administrators in the management of company documents, it will create general uniformity, and assist in the control of record keeping costs.

It is intended that this Manual will be universally used throughout the Company.

DISTRIBUTION

Distribution will be to Headquarters and Division Offices, factories and field locations, except Stores who will refer to the Store Management Policy & Procedures Manual and Automotive Branches who will refer to the Automotive Operations Procedure Manual.

ADDITIONS & REVISIONS

Changing laws and conditions dictate that this Manual will be periodically updated, as needed, by the Records Management Department.

RESPONSIBILITY

Inasmuch as the Manual will be assigned to units and their respective unit heads, it will be their responsibility to maintain the Manual and see that additions and revisions are promptly inserted so that it is always current, and therefore, useful.

Closed or disbanded units must return this Manual to the Director - Records, Cleveland.

REFERENCE

It is recognized that few individuals will have the time or the inclination to read this book from cover-to-cover. We do hope, however, that it will be referred to whenever the subject of the management of records arises.

Initially, we urge all unit heads and their assigned record administrators to read SECTION III.1 - INTRODUCTION, and review and familiarize themselves with the list of topics covered in SECTION II - INDEX. This will provide a better understanding of the impact of records management, the roles, principles and procedures of records management in the conduct of the Company's business, acquaint these individuals with the topics covered, and instill a confidence and willingness to use and refer to the Manual in all record matters.

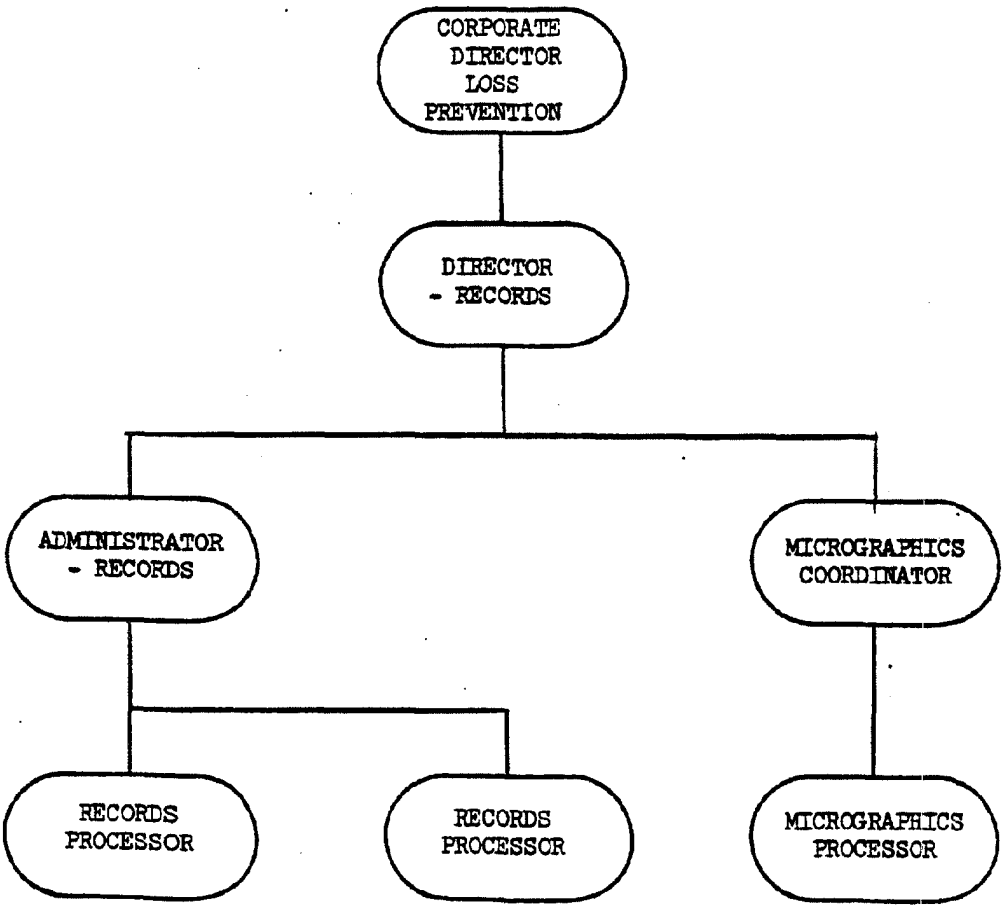
Questions regarding the Manual, or problems not covered by it, should be directed to the Records Management Department, 760 Midland Building, Cleveland.

0007-SWP-038547

SHERWIN WILLIAMS

CORPORATE RECORDS MANAGEMENT MANUAL

INDEX: I.2.1			
SUBJECT: PREFACE	DATE EFFECTIVE: 2/21/84	☐ NEW ISSUE ☒ REVISED	REPLACES: I.2.1 DATE: 2/4/81
SUB-SUBJECT: RECORDS MANAGEMENT - ORGANIZATION CHART	DISTRIBUTION: ALL MANUALS		



0007-SWP-038548

			INDEX: I.3.1
SUBJECT: PREFACE	DATE EFFECTIVE: 01/07/91	[ ] NEW ISSUE [X] REVISED	REPLACES: I.3.1 DATE: 4/30/84
SUB-SUBJECT: RECORDS MANAGEMENT - PHONE & LOCATION LISTING	DISTRIBUTION: ALL MANUALS		

Facility	Location	Phone No.
RECORDS MANAGEMENT	760 MIDLAND BLDG.	(216) 566-2228
RECORDS CENTER	760 MIDLAND BLDG.	(216) 566-2227
	NATIONAL UNDERGROUND STORAGE	NONE
MICROGRAPHICS CENTER	760 MIDLAND BLDG.	(216) 566-2225
ARCHIVES	753 MIDLAND BLDG.	(216) 566-3082

II - Index

0007-SWP-038550

0007-SWP-000120931

SHERWIN WILLIAMS	CORPORATE RECORDS MANAGEMENT MANUAL		INDEX: III.1.1
SUBJECT: INTRODUCTION	DATE EFFECTIVE: 7/29/80	[X] NEW ISSUE [ ] REVISED	REPLACES: DATE:
SUB-SUBJECT: RECORDS MANAGEMENT	DISTRIBUTION: ALL MANUALS		

I. WHAT IS RECORDS MANAGEMENT

A. Records Management is the science of managing records and information from its creation to its final disposition. It consists of the basic systematic principles and the art by which an organization directs and controls the classification, retention, retrieval, preservation and protection of all useful or vital records, most efficiently at the lowest possible cost -- and includes the timely disposal of records after they have served their required purpose.

B. RECORDS

are all papers, books, maps, photographs, or other documentary materials, regardless of physical form or characteristics, made or received by any organization in pursuance of its legal obligations or in connection with the transactions of its proper business and which are preserved for long or short periods or which are appropriate for evidence of its function, policies, decisions, procedures, operations or other activities, or because of the informational value of the data contained therein.

II. STATE OF THE ART

A. The present "State of the Art" has seen Records Management grow from its earliest stages of archives organization and operation, to a dynamic, active, and profit-oriented role.

At present, Records Management represents management control over the birth-to-death cycle of corporate records.

B. The future of this profession lies in reducing costs of the organization it serves. The task that lies ahead, while herculean, will be even more dynamic, active and technologically oriented.

C. The growth of professionalism is allied to the advancing technology in this field. Records Management will continue to grow as a cost-effective discipline. Professional records personnel provide the skills and control to direct this discipline into an integrated system that best meets the record needs of the organization.

0007-SWP-000120932

SHERWIN WILLIAMS	CORPORATE RECORDS MANAGEMENT MANUAL		INDEX: III.1.2.
SUBJECT: INTRODUCTION	DATE EFFECTIVE: 7/29/80	☒ NEW ISSUE ☐ REVISED	REPLACES: DATE:
SUB-SUBJECT: RECORDS MANAGEMENT	DISTRIBUTION: ALL MANUALS		

III. WHO NEEDS RECORDS MANAGEMENT?

Why is Records Management needed?

Ever try to find a document hopelessly lost in file?

Ever wonder if you could use microfilm?

Or -- what COM is all about?

Do you wonder if our company's vital records are really safe?

Could we restart our business after a disaster?

Do you need to improve the management of your correspondence?

These and innumerable other questions of a similar nature can be answered positively if proper Records Management techniques are applied to our business activities.

Countless dollars are spent needlessly in the maintenance of useless records. Conversely, scores of decisions are lost because needed records have been carelessly destroyed. The science of records maintenance cannot be accomplished haphazardly, or over-night.

All units that record their activities need Records Management. As surely as a record is born, provision must be made for the keeping and final disposition. It has been proven that all activities need sound Records Management to optimize effectiveness.

Consciously, we all are concerned with the creation, storage, and retention of our corporate records. Equally, we are aware of the expense associated with record keeping.

Unconsciously, however, many managers and their staffs have felt that their most important task was to complete the tasks assigned to them regardless of the manner in which information was created or maintained. These records which receive so little attention may be an excellant way to measure the health of the organization.

Records, and the information contained therein, are a critical resource requiring the same treatment as is provided to other resources such as in financial management, personnel management, and so forth. It follows, as stated above, that records management is an integral part of the management process.

Who needs Records Management?

OUR COMPANY -- AND EACH AND EVERY ONE OF US!

IV. WHY RECORDS, RECORDS SYSTEMS AND PLANNING ARE ESSENTIAL

To many people records management means storing paper documents in file cabinets. This limited understanding results, all too often, in the relegation of the filing tasks and the management of records to a place of minor importance in the organization and operating units.

This should not be so! Records are as important as capital to modern business, yet often do not enjoy the same careful attention.

For the reasons pointed out in the PREFACE - MANAGEMENT POLICY STATEMENT and VITAL RECORDS RETENTION - V.4.2, a business cannot survive in today's society without records.

However, the mere retention of records is not enough. Planning and systems must be initiated and carried out continuously to provide, as much as possible, a simple, economical, efficient, fool-proof method, by which records can be recovered and delivered to the right person, at the right time.

Failure to plan properly and provide effective records control and management systems, will cause unnecessary expense and time loss:

1. Create a chaotic confusing condition, wherein there will be an inability to find key information;
2. Wasted clerical effort;
3. Loss of important operating data;
4. Unprofitable use of expensive equipment and space;
5. Expensive duplication of effort and records;
6. Place the Company in a vulnerable position to:

   Jeopardy assessments and fines

   Losses through litigation

   Duplication of payments or charges

On the other hand, a well organized and managed records program can provide significant benefits as outlined in the following -- BASIC MISSION - V.

SUBJECT: INTRODUCTION	DATE EFFECTIVE: 7/29/80	☒ NEW ISSUE ☐ REVISED	REPLACES: DATE:
SUB-SUBJECT: RECORDS MANAGEMENT	DISTRIBUTION: ALL MANUALS		

V. BASIC MISSION

A. The mission of Records Management is to establish and administer a companywide records management program to assure appropriate control over the identity, maintenance, protection, retention, retrieval and disposition of all company documents in accordance with governmental and legal requirements and the Company's historical and operational reference needs.

Supportive to the program is the providing of counsel, advice and assistance to operational units in all matters deemed appropriate and related to records management. This includes, but not limited to, reports management, proper application and procurement of filing techniques and equipment, effective use of such record protection methods as microfilm and other related equipment and processes.

With the proliferation of records brought about by more governmental and corporate demands, it is imperative that an effective records management program be maintained.

Efficient records management cuts expenses, and produces significant savings and benefits by:

1) Reducing space and equipment costs;

2) Improving efficiency and flexibility;

3) Providing better control of records; and

4) Maintaining fewer documents in a better condition, acceptable to all legal agencies.

B. The major functions performed by Records Management to accomplish its mission are:

1) Inventories and surveys of all divisions of the corporate structure to determine the identity and scope of records.

2) Conducting research of laws and requirements affecting each document to determine its function, need and degree of importance.

3) Issue record retention schedules and coordinate procedures implementing retention policies.

4) Intelligent planning for the rapid and systematic transfer of semi-active and inactive records out of expensive floor space and equipment into low-cost Record Storage Centers.

0007-SWP-000120935

V. BASIC MISSION - continued

5) Providing swift and efficient reference to records kept in the Record Storage Centers.

6) Destroying, according to State and Federal regulations and in cooperation with company organizational units, records having no administrative, legal, historical or business research value.

7) Issuance and maintenance of a Records Management Manual, clarifying records management policy and responsibility, as well as providing a central, uniform place of reference.

8) Protecting certain vital and valuable records by microfilm and dispersion.

9) Communicate policy and furnish guidance in the implementation of procedures and programs in order to provide effective records control throughout the Company -- be aware of inter-department needs -- coordinate the Company's total needs.

10) Develop, determine and establish cost justified and cost profitable courses of action that will create:

a) efficiencies;

b) reduce costs; and

c) more adequate protection to the Company's essential records;

while maintaining:

a) a quality, coordinated and responsive system;

b) security;

c) confidentiality (particularly important under Privacy laws); and

d) retrievability of documents.

VI. RESPONSIBILITY

A. RECORDS MANAGEMENT

Records Management is a specialized, technical and professional field. The present staff is skilled and constantly training to perform in the most cost-efficient manner.

Currently, few individuals outside of the Records Management staff have acquired the expertise, or for that matter, the time to devote to this legally required and necessary function.

Therefore, rather than have everyone go off in a different direction and operate without consideration to the needs of others, it just makes sense that the Records Management Department assume the responsibility for carrying out its basic mission -- with one compact staff coordinating services and controlling the Company's vital records with reasonably acceptable costs.

B. CORPORATE, DIVISION & DISTRICT OFFICES

While the Records Management staff can direct, guide and counsel, it is essential that each office, department, etc. recognize that they are responsible for the effective management of their files and the records with which they deal and are in their care.

Failure to assume this responsibility, to follow prescribed guidelines and policies, or seek assistance can produce disasterous effects -- legally or administratively.

It is important, therefore, that each unit head be aware of the proper retention and control of that unit's records. And -- if a subordinate is assigned the day-to-day responsibility of recording and monitoring -- that the individual be properly supervised and aware of the need to devote time, attention and skill to the function.

It is suggested that every unit assign a responsible individual to the task of "Records Librarian." The "Librarian" can be the initial or main contact, as well as the unit expert, thus, freeing up the unit head.

C. FACTORIES/MANUFACTURING & DISTRIBUTION FACILITIES

Plant Controllers and Distribution Center Managers must also assume the responsibility of managing their location's records for the same reasons outlined in B. above.

However, due to the somewhat autonomous nature of these locations, plus the large volume and importance of their records, it is even more imperative that close attention be payed to retention, protection, and timely disposal of records.

Tax, legal and administrative needs play a heavy role and it is incumbent upon these locations to protect the Company's interests.

Again, we recommend the assignment of a responsible individual to act as a "Records Librarian", to assist the Controller or Manager in the day-to-day recording and monitoring of the location's records.

As previously stated, due to the large volume of records it is important that an appropriate area be assigned for older records -- a "records center" -- which will free-up costly and valuable office space for current needs.

All too often records have been consigned to left-over, hazardous, dirty and otherwise unsatisfactory locations such as boiler rooms, closets, open areas near machinery, equipment or volatile substances. Records are an asset and must be protected from fire, sabotage, theft, loss, and breach of privacy and security.

A "records center" environment can, and should be established for the retention of valuable documents. In this regard, the Records Management Department will make every effort to guide, assist and counsel in setting up a satisfactory repository.

VII. COST OF RECORD MAKING

Business constantly faces the impact of mountains of paperwork. You undoubtedly have heard the statement, "It's a paper world." No statement could be more correct in describing daily business activity. With the advent of high speed computers, fast copy machines and other high speed duplicating equipment plus governmental regulations, we, as businessmen are literally engulfed in paper.

Soaring office costs have put the spotlight on one of the most expensive problems in the office today: What to do with the mountains of records our business creates.

The average company:

* Wastes 65¢ out of every dollar spent for record making and filing operations.

* Dictates, types and files hundreds of letters that should never have been written.

* Allows office files to crowd people and equipment out of space.

* Supports separate staff in sales, accounting, credit and order-billing who are often processing the same records.

* Retains 5% to 70% more records than are needed. Is using 45% of of equipment space to store duplicate copies and papers of non-reference value.

* Buys "labor saving" systems and "dollar saving" equipment but do not "save" because they do not know how to use it correctly.

* Stores inactive records in high rental office floor space.

* Haphazardly organizes its records.

Analysis of these conditions as they may exist, indicate that the most expedient and the most profitable office areas for cost reduction is in record keeping.

VII. COST OF RECORD MAKING - continued

Corporate investment in record making, cost of filing, cost of maintaining and misfiling, as reported by the Association of Records Managers and Administrators and the Administrative Management Society are comparable to those found in the average company. Let's consider some of them:

A standard file drawer 25" long holds an average of 4,000 sheets of correspondence, plus guides and folders. An estimated one-third will be originating copies - 1,500 carbon copies per drawer.

1,500 carbon copies x $4.77 (cost of creating a letter) = $7,155 (cost of creating paper filed in one drawer a year)

Cost per 4 - drawer file (100") = $28,620

Cost per 5 - drawer file (125") = $35,775

These are minimum cost figures based on average correspondence. Other records having policy making and legal value would involve greater costs of making.

VIII. COST OF MAINTAINING RECORDS

You now know that it costs large sums of money just to make records, but also there is a substantial amount of money involved in providing file service and housing the records each year.

The costs presented below are based on annual operating costs of a five - drawer file, using one operator per each eleven five - drawer cabinets:

Salary of file clerk at $125 per week	$541.67
Supervision and overhead	123.50
Cabinet amortized over ten years	30.00
Floor space: 6.7 sq. ft. @ $11 per sq. ft.	73.70
Supplies at $21.60 per drawer	108.00
TOTAL ANNUAL COST TO MAINTAIN FIVE-DRAWER FILE	$877.47
-- or --	
COST PER FILING INCH	$ 7.01
-- or --	
COST PER DRAWER	$175.25

Count the number of cabinets or records you are keeping -- multiply that by the number of units in the Company. This average cost applied to the total number of inches of records represents a startling expenditure. More important, as stated previously, records of a company often represent corporate and irreplaceable assets.

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IX. COST OF MISFILES

The average cost of a misfiled record is $80 - $100. Looking for a missing document involves the time of executive offices -- the secretary and all people who use records. Although a misfile rate of 1% is considered normal for most companies, there is no rule that states that that rate has to be accepted.

X. SAVINGS/BENEFITS

The profit making and savings achieved by planned records management continue month after month and year after year.

It is because of such savings and benefits (as listed in the BASIC MISSION section of this chapter) that emphasis is being placed upon the development of functional systems, effective office planning, and attention, concern and effective records management by all responsible parties.

SHERWIN WILLIAMS

CORPORATE RECORDS MANAGEMENT MANUAL

INDEX: II.1.1			
SUBJECT: INDEX	DATE EFFECTIVE: 2/21/84	☒ NEW ISSUE ☐ REVISED	REPLACES: DATE:
SUB-SUBJECT: TABLE OF CONTENTS	DISTRIBUTION: ALL MANUALS		

SECTION NO.	CHAPTER NO.	PAGE NO.	TITLE
I			PREFACE
	1.	1	Records Management Manual
	2.	1	Organization Chart
	3.	1	Records Management - Phone & Location Listing
II			INDEX
	1.		Table of Contents
III			INTRODUCTION
	1.	1-9	Records Management
IV			RECORDS ANALYSIS
	1.	1-8	Purpose - Process - Responsibility
	2.	1-2	Record Classification
V			RECORDS RETENTION POLICIES & SCHEDULES
	1.	1-3	Purpose - Process - Responsibility
	2.	1-13	Privacy Laws - Authorizations & Responsibility
		14-16	Privacy Laws and Freedom of Information Act
		17-19	Privacy Laws - Types of Personal Information
	3.	1-3	Record Retention Schedules
		4	Record Control Number
		5	Responsibility for Record Copy
		6	Legend for Format & Record Class
		7-8	Legend for Retention Periods
		9-11	Legend of Governmental Authorities
		12-14	Legend of Governmental Authorities (Records Management only)

0007-SWP-000120942

SHERWIN WILLIAMS

CORPORATE RECORDS MANAGEMENT MANUAL

INDEX: II.1.2		
SUBJECT: INDEX	DATE EFFECTIVE: 2/21/84	☒ NEW ISSUE ☐ REVISED
REPLACES: DATE:		
SUB-SUBJECT: TABLE OF CONTENTS	DISTRIBUTION: ALL MANUALS	

SECTION NO.	CHAPTER NO.	PAGE NO.	TITLE
V			RECORDS RETENTION POLICIES & SCHEDULES - CONTINUED
	4.	1-7	Vital Records Retention
	5.	1-6	Correspondence and Internal Memoranda
	6.	1-2	Federal, State and Local Retention Periods
		3	Internal Revenue Service Audit Trail
	7.	1	Functional Listings
		2-4	Functional Listings and Records Control Number
	8.	1-11	Archival/Historical Records
	9.	1-4	Facility Closings - Nonstore
		5-19	Facility Closings - Store
	10.		Record Retention Schedules
VI			DESTRUCTION
	1.	1	Policy
		2	Responsibility
		3-4	Record Class
		5	Destruction Methods and Clearance
		6-8	Procedure
		9	Agreement
		10	Record Disposal Authorization
		11	Record Disposal Authorization Follow-Up

SECTION NO.	CHAPTER NO.	PAGE NO.	TITLE
VII			RECORD CENTERS - CLEVELAND
	1.	1-6	Record Center Procedure
		7	Record Transfer & Box Label
		8	Record Disposal Authorization
		9	Correction Notice
		10	Record Center Request
		11-16	Record Storage Containers
		17	Record Center Charge-Out
		18	National Underground Storage, Inc. (NUS)
	2.	1	Record Transfer & Box Label Form - Building Designation
	3.	1	Record Transfer & Box Label Form - Transaction Code No.
	4.	1-2	Record Transfer & Box Label Form - Data Dictionary
VIII			FILING SYSTEMS
IX			MICROGRAPHICS
	1.	1	Definitions
		2	History/State of the Art
		3	Why Use Micrographics?
		4	Capability/Systems Design
		5-7	Advantages of Microfilm
		8-9	Disadvantages of Microfilm
		10-12	Uses/Applications
		13	Equipment - Cameras
		14	Equipment - Processors/Viewing

SECTION NO.	CHAPTER NO.	PAGE NO.	TITLE
IX			MICROGRAPHICS - CONTINUED
	1.	15	Equipment - Duplicators
		16	Microforms
		17-18	Film Formats
		19-20	Image Formats
		21-23	Duplicating Microforms
		24-27	Indexing
		28	Retrieval and Storage
		29-30	Storage of Microfilm
		31	Destruction of Microfilm
		32	Link With Computers - COM
		33	COM Systems/Service Bureaus
		34	COM Formats/Overlays
		35-37	Benefits of COM
		38	COM Applications
		39	Implementing COM
		40	COM Summary
		41-42	Source Document Microfilming
		43	Source Document Micrographics Flow Chart
		44-47	Feasibility
		48-51	Legal Aspects
		52-53	The Future of Micrographics
		54	Summary

SECTION NO.	CHAPTER NO.	PAGE NO.	TITLE
IX			MICROGRAPHICS - CONTINUED
	2.	1-8	Readers, Reader/Printers & Supplies
	3.	1-4	Corporate Policy - Microfilm Systems
	4.	1-6	Microfilm Document Procedure
	5.	1	Selecting Equipment
	6.	1-2	Equipment Maintenance
X			REFERENCE TO RECORDS
	1.	1-2	Reason - Objective - Use
		3	Processing Requests and Charge-Out Procedure
		4	Charge-Out and Follow-Up Procedures
XI			SECURITY AND PROTECTION
	1.	1	Policy and Definitions
		2	Protected Information
		3	Check List and Files
		4	Insulated Files, Safes and Vaults
		5	Record Centers
XII			GENERAL OFFICE TIPS

0007-SWP-00012094

IV - Records Analysis

0007-SWP-038567

0007-SWP-000120948

SHERWIN WILLIAMS	CORPORATE RECORDS MANAGEMENT MANUAL		INDEX: IV.1.1
SUBJECT: RECORDS ANALYSIS	DATE EFFECTIVE: 2/5/81	☒ NEW ISSUE ☐ REVISED	REPLACES: DATE:
SUB-SUBJECT: PURPOSE - PROCESS - RESPONSIBILITY	DISTRIBUTION: ALL MANUALS		

Records Analysis is a necessary and key function in the management of records.

Analysis/appraisal is the information-gathering and decision-making process which allows a records management program to proceed.

OBJECTIVE

The end products of this process are retention schedules which prescribe timetables for the orderly transfer of records from the creating office to a records center, an archives, or destruction. Retention schedules are the key program element for the control of the record-keeping process.

FUNCTION

The function of an analytical system is the gathering of data.

The system must:

1. Meet needs of the user.
2. Be financially practical for the company.
3. Meet the legal and statutory requirements imposed upon the company.

DATA GATHERING

Data gathering is accomplished by four methods:

1. Examining records
2. Research
3. Observation
4. Interviewing