RECORDS MANAGEMENT

State Printing and Mail Services
AGENDA

- What are Records
- Types of Records You Create
- Who Wants your Records
- Document Management and Retention
WHAT IS A RECORD?
## Types of Records You Create

<table>
<thead>
<tr>
<th>Financial Records</th>
<th>Contracts</th>
<th>Official Letters and Memorandums</th>
<th>Official and Unofficial Emails</th>
</tr>
</thead>
<tbody>
<tr>
<td>Informal Notes</td>
<td>Photographs</td>
<td>Payroll</td>
<td>Social Media</td>
</tr>
</tbody>
</table>
Stakeholders Who Want Records

Public Citizens
Media
Employees
Unions
Other Bureaucracies
Medical Professionals
THE STATE OF OHIO
The Ohio Public Records Act

All public offices:

- must organize and maintain its public records in a manner that meets its duty to respond to public records requests
- must keep a copy of its records retention schedules at a location readily available to the public.

R.C. § 149.43(B)(2)

http://codes.ohio.gov/orc/149.43
ohioattorneygeneral.gov/Sunshine Laws Manual
Managing Public Records

A PUBLIC RECORD is a record kept by any public office.

- “Kept by” indicates the record is actually in existence and in the possession of the public office or person responsible for public records.

- Examples of records not “kept by” a public office:
  - A record not yet in existence
  - A record that has been disposed of lawfully based on retention schedule

R.C. § 149.43(A)

http://codes.ohio.gov/orc/149.43

ohioattorneygeneral.gov/Sunshine Laws Manual
Document Management
Three Categories of Records

- Official Records
- Transitory Records
- Non-record Materials
What are Official Records?

1. Any document, device, or item, regardless of physical form, including an electronic record as defined in section 1306.01 of the Revised Code; and

2. Is created, received, or sent under the jurisdiction of any public office; and

3. Documents the organization, functions, policies, decisions, procedures, operations, or other activities of the public office.

R.C. § 149.011(G)

http://codes.ohio.gov/orc/149.011

ohioattorneygeneral.gov/Sunshine Laws Manual
Transitory Records

- Contains information of short-term usefulness
- Allows disposal when no longer of administrative value
  - Voicemail messages, message slips, post-it notes, superseded drafts
  - Routine task requests or reminders
  - Simple office inquiries
  - Information published elsewhere (web or procedure manual)
- Personal notes and drafts are transitory if they meet the three-part definition of a “record”.
- Notes are NOT records if they are:
  - Kept as personal papers
  - Kept for the employee / official’s own convenience
  - Not accessible to other members
Non-Record Materials

- Recorded information that is not needed to document the performance of an official function
- Drafts, duplicates and convenience copies
  - Copies of official records, kept for reference
  - Information received from outside sources
  - Drafts that do not document significant steps or decision making in preparation of final record
- Personal records that document non-work activities
Why is RIM Important?

- To control the creation and growth of records
- To reduce operating costs, improve efficiency and productivity
- To ensure regulatory compliance
- To minimize litigation risks
- To safeguard vital information
- To preserve the organizational memory
Record Management Challenges

- Capturing content – how to access and search
- Ownership and control of data – third party administration
- **Application of Records Retention Policy**
- Management of non-record content
- Management of posted information
- Public Records requests
- Employee use and access
Records Must Be Well Managed to Ensure

- Accountability
- Efficiency
- Economy
- Overall Good Government
Managing Records in 6 Easy Steps

1. Conduct a Records Inventory
2. Categorize records by Record Series
3. Decide how long to keep each Record Series
4. Assign or Create a Retention Schedule
5. Dispose of Records on Schedule
6. Review Retention Schedules regularly

Ohio Department of Administrative Services
Document Retention
 Conduct a Records Inventory

Form is located here: [Records Inventory & Analysis Worksheets](#)
Categorize Records by Record Series

- A record series is a group of similar records that are related because they are created, received or used for, or result from the same purpose or activity.
- Record Series descriptions should be broad enough to encompass all records of a particular type.
Determine retention of each record series

- The Records Analysis Worksheet will assist in determining the value of each Record Series:

**RECORDS ANALYSIS WORKSHEET**

<table>
<thead>
<tr>
<th>ADMINISTRATIVE</th>
<th>Daily</th>
<th>Weekly</th>
<th>Monthly</th>
<th>Seldom</th>
<th>Never</th>
</tr>
</thead>
<tbody>
<tr>
<td>How often is series referenced when records are this age?</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1-3 years</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>4-5 years</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Over 5 years</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>LEGAL</th>
</tr>
</thead>
<tbody>
<tr>
<td>Has legal counsel been sought concerning any statutory or regulatory requirements affecting the retention of this record series?</td>
</tr>
<tr>
<td>☐ Yes</td>
</tr>
</tbody>
</table>

| Are there statutes that specify a certain retention period? |
| ☐ Revised Code | ☐ Yes | ☐ No |
| ☐ Administrative Code | ☐ Yes | ☐ No |
| ☐ Other | ☐ Yes | ☐ No |

Form is located here: [Records Inventory & Analysis Worksheets](#)
Assessing Series Value

Retention periods are determined by assessing four values for each category of records:

- **Administrative Value**: a record maintains administrative value as long as it is useful and relevant to the execution of the activities that caused the record to be created.

- **Legal Value**: if it documents or protects the rights or obligations of citizens or the agency that created it, provides for defense in litigation, or demonstrates compliance with laws, statutes, and regulations (contracts, real estate records, retention schedules, and licenses).
Assessing Series Value

- **Fiscal Value**: if it pertains to the receipt, transfer, payment, adjustment, or encumbrance of funds, or if it is required for an audit (payroll records and vouchers).

- **Historical Value**: if it contains significant information about people, places, or events. The State Archives suggests that historical documents be retained permanently (board or commission meeting minutes, annual reports).
Assign or Create a Retention Schedule

Retention Schedule consists of the following:

1. Record title and description
2. Length of time record must be retained
3. Media type of Records Series (paper, digital, etc.)
Records Information Management System

RIMS Database includes:

- General Schedules (currently being updated)
- Agency Created Schedules

### General Schedules

<table>
<thead>
<tr>
<th>Series Number</th>
<th>Title</th>
<th>Description</th>
<th>Retention Period</th>
</tr>
</thead>
<tbody>
<tr>
<td>GAR-C-01</td>
<td>All Bidding Documents, RFP's, RFQ's or Similar Documents (Purchasing,</td>
<td>For sale of goods, retain five years then destroy. For services, retain 16</td>
<td>For sale of goods, retain five years then destroy. For services, retain 16</td>
</tr>
<tr>
<td></td>
<td>construction, personnel serv.</td>
<td>years then destroy.</td>
<td>years then destroy.</td>
</tr>
<tr>
<td>GAR-C-02</td>
<td>Vendor Master Input Document</td>
<td>Retain until audited by Auditor of State and audit report is released and</td>
<td>For sale of goods, retain five years after contract expires, then destroy. For</td>
</tr>
<tr>
<td></td>
<td></td>
<td>all discrepancies are resolved, then destroy.</td>
<td>services, retain 16 years, then destroy.</td>
</tr>
<tr>
<td>GAR-C-03</td>
<td>Contract Encumbrances, Procurements, Complaints to Vendors, and Related</td>
<td>For sale of goods, retain five years after contract expires, then destroy.</td>
<td>For sale of goods, retain five years after contract expires, then destroy. For</td>
</tr>
<tr>
<td></td>
<td>Contract Documents</td>
<td></td>
<td>services, retain 16 years, then destroy.</td>
</tr>
</tbody>
</table>

- RIMS Database and Instruction Manual found here: 
Agency/Departmental Records Log

Based on Agency’s need, create one spreadsheet with separate worksheets where you can copy & paste lines as records progress through the retention process:

- Retention Schedules
- Records Inventory
- Box Inventory
- Destruction Records
Compile Records for Storage

- Box numbers should begin with the last two digits of the current year separated by a hyphen (e.g., 19-001).
- When boxing records for storage, group records by the same retention schedule and same destruction date.
- For inventory purposes, a form can be placed inside the box on top of the contents for quick view.

### Box Content Sheet

<table>
<thead>
<tr>
<th>BOX NUMBER</th>
<th>DATE CREATED</th>
<th>RETENTION SCHEDULE</th>
<th>DESTRUCTION DATE</th>
</tr>
</thead>
<tbody>
<tr>
<td>19-001</td>
<td>1/29/2019</td>
<td>GAR-C-03</td>
<td>1/29/2024</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>INDEX NO.</th>
<th>CONTRACT NO.</th>
<th>DESCRIPTION / NOTES</th>
</tr>
</thead>
<tbody>
<tr>
<td>STS511</td>
<td>800599</td>
<td>Snap On Industrial: Hardware- Plumbing, Electrical &amp; Related Items - EXPIRED 1/31/2019</td>
</tr>
<tr>
<td>STS515</td>
<td>800542</td>
<td>Schulte USA, Inc: Agriculture Machinery Movers - EXPIRED 1/31/2019</td>
</tr>
<tr>
<td>STS618</td>
<td>800409</td>
<td>HME, Inc.: Fire Truck and Related Equipment - EXPIRED 1/31/2019</td>
</tr>
</tbody>
</table>
## Create Departmental Records Log

<table>
<thead>
<tr>
<th>Box #</th>
<th>Bar Code</th>
<th>Retention Schedule</th>
<th>Description</th>
<th>Received Date</th>
<th>5 years or 16 years</th>
<th>Expire Date (Recv’d + 5 years for Goods or 16 years for Services)</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>19-001</td>
<td>0000066373</td>
<td>GAR-C-03</td>
<td>STS511 800599, STS515 800542</td>
<td>1/29/2019</td>
<td>5</td>
<td>1/31/24</td>
<td>Expired contracts: Snap On Industrial, Schulte USA</td>
</tr>
</tbody>
</table>
Dispose of Records on Schedule

It is important to document the disposition of records after they have satisfied their approved retention periods.

State agencies can document their records disposals in the RIMS system or with an in-house tracking spreadsheet.

Government entities must internally track disposals, particularly under which retention schedule the records were disposed, the series title, inclusive dates of records, and the date of disposal.
Prepare Certificate of Records Disposal

<table>
<thead>
<tr>
<th>Certificate of Records Disposal</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Agency</strong></td>
</tr>
<tr>
<td>Authorization No.</td>
</tr>
<tr>
<td>Inclusive Dates of Records</td>
</tr>
<tr>
<td>From Month-Year</td>
</tr>
</tbody>
</table>

**R.C. § 149.333**

Must be approved by Agency Records Officer

Form is located here: [Certificate of Records Disposal](#)
DOCUMENT MANAGEMENT CONTRACTS

OFF-SITE STORAGE:
STS364 – 800534: Fireproof Records Center
STS364 – 800412: Access Records Management Services
STS364 – 800448: Prime AE Group, Inc.

SECURE DOCUMENT DESTRUCTION:
GSD987 – CRP15214: Multiple Suppliers
Records Management Website

- DAS Records Management Policy
- Off-Site Storage Preparation
- Agency Records Officers
- Electronic Records Resources
- Managing Records Flowchart
- General Schedules
- RIMS Database and Manual

Forms:
- Annual Certificate of Compliance
- ADM 3502 Records Transfer List
- ADM 3504 Certificate of Disposal
- ADM 3516 Records Inventory & Analysis Worksheet

Website: https://www.das.ohio.gov/Divisions/General-Services/State-Printing-and-Mail-Services/Records-Management
Questions / Comments

Contact Us:
State Printing & Mail Services
Terri Dittmar
Records Management Analyst
theresa.dittmar@das.ohio.gov
614-502-7641

Jim Hoover, Procurement Manager
james.hoover@das.ohio.gov
614-752-5170

Trisha Stephens, Administrator
trisha.stephens@das.ohio.gov
614-644-6355