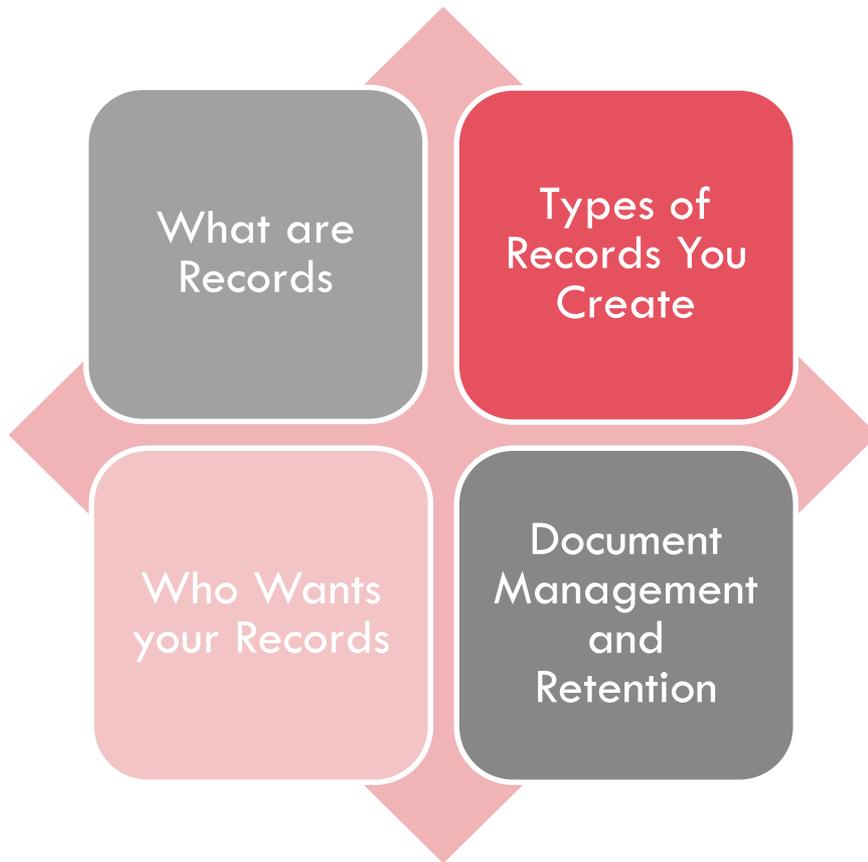




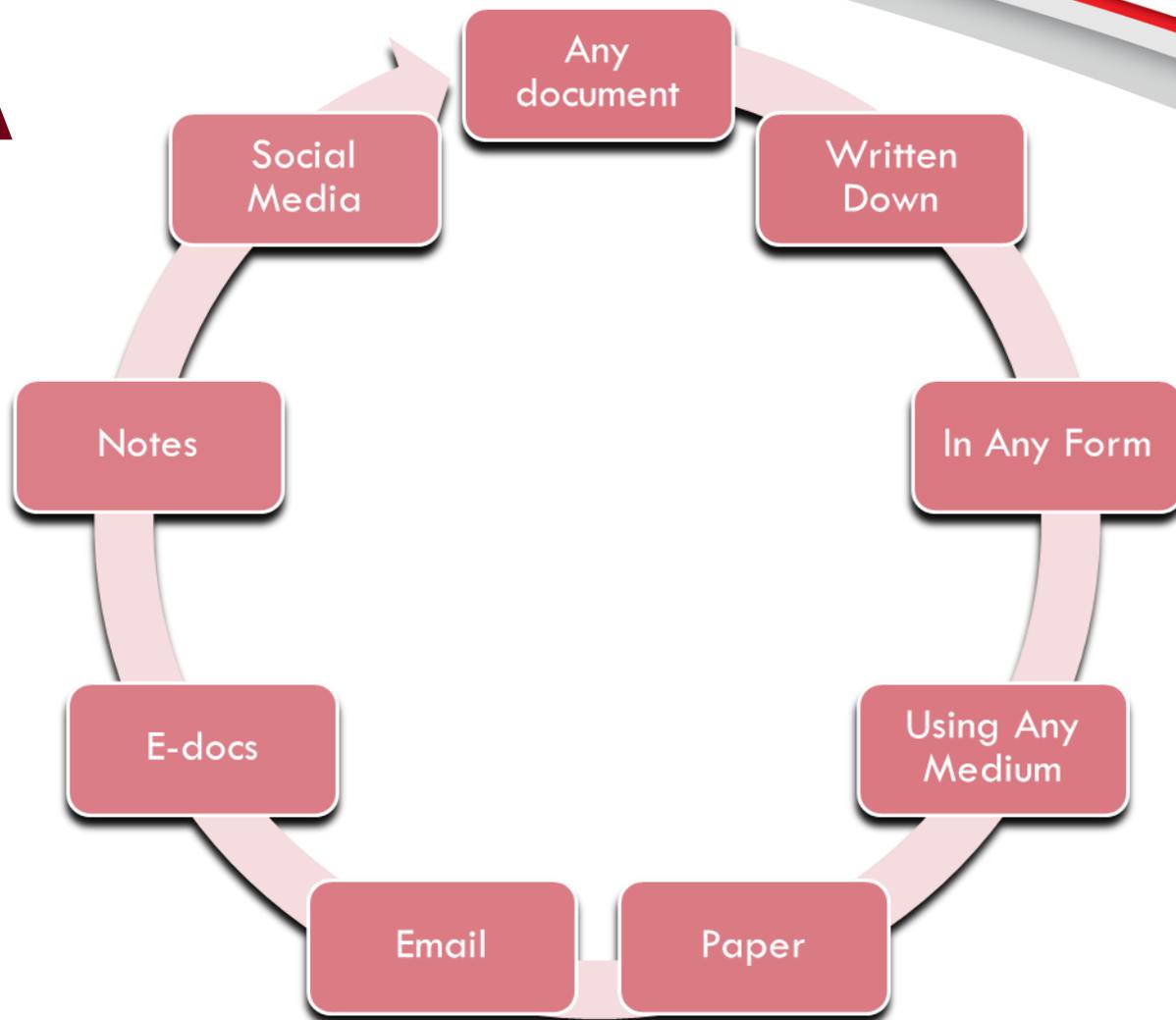
RECORDS MANAGEMENT

State Printing and Mail Services

AGENDA



WHAT IS A RECORD?



Types of Records You Create

Financial
Records

Contracts

Official
Letters and
Memorandums

Official and
Unofficial
Emails

Informal
Notes

Photographs

Payroll

Social Media

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](http://ohioattorneygeneral.gov/Sunshine%20Laws%20Manual)

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](http://ohioattorneygeneral.gov/Sunshine%20Laws%20Manual)

Document Management

RECORDS LIFE CYCLE



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](http://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



Conduct a Records Inventory



Categorize records by Record Series



Decide how long to keep each Record Series



Assign or Create a Retention Schedule

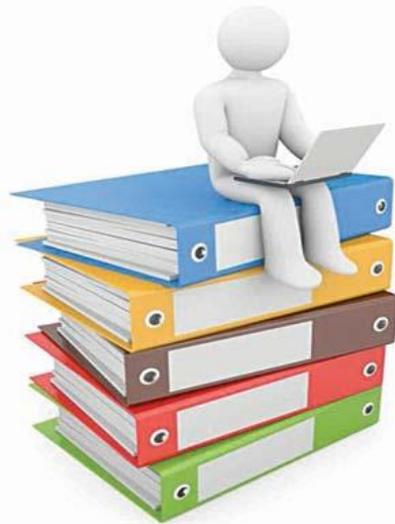


Dispose of Records on Schedule



Review Retention Schedules regularly

Document Retention



Conduct a Records Inventory

OHIO DEPARTMENT OF ADMINISTRATIVE SERVICES Page ____ of ____
 INFORMATION MANAGEMENT
RECORDS INVENTORY WORKSHEET Agency Series #

Agency	Division/Institution	Section/Unit
Address		
Record Series Title		
Record Series Description		

Cubic Foot Measurements (1 cu. ft.=1728 cu. in.) **Medium Codes**

Letter Size Drawer	1.5 cu. ft.	Microfilm 90 16mm Reels	1.0 cu. ft.	P - Paper
Legal Size Drawer	2.0 cu. ft.	4x6" Card File, Single Row 12"	0.2 cu. ft.	M - Microfilm
Record Storage Carton	1.0 cu. ft.	5x8" Card File, Single Row 12"	0.3 cu. ft.	E - Electronic
Shelving, 4 ft. Letter Size	2.3 cu. ft.	Tab Card Drawer, Single Row 25"	0.3 cu. ft.	
Shelving, 4 ft. Legal Size	3.0 cu. ft.			

Location Number	Inclusive Dates of Records		Volume (Cubic Feet)	Medium Code	Comments
	From Month/Year	To Month/Year			

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		Agency Series Number				
ADMINISTRATIVE		Daily	Weekly	Monthly	Seldom	Never
How often is series referenced when records are this age?	1-3 years	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	4-5 years	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Over 5 years	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
LEGAL						
Has legal counsel been sought concerning any statutory or regulatory requirements affecting the retention of this record series?		<input type="checkbox"/> Yes	<input type="checkbox"/> No			
Are there statutes that specify a certain retention period?		<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Don't Know		
<input type="checkbox"/> Revised Code	Section No. _____	Retain _____	Years			
<input type="checkbox"/> Administrative Code	Section No. _____	Retain _____	Years			
<input type="checkbox"/> Other	_____	Retain _____	Years			

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

Series Number	Title	Description	Retention Period
GAR-C-01	All Bidding Documents, RFP's, RFQ's or Similar Documents (Purchasing, construction, personnel servic		For sale of goods, retain five years then destroy. For services, retain 16 years, then destroy.
GAR-C-02	Vender Master Input Document	Used to establish descriptive information about a vendor or update previously entered vendor data.	Retain until audited by Auditor of State and audit report is released and all discrepancies are resolved, then destroy.
GAR-C-03	Contract Encumbrances, Procurements, Complaints to Vendors, and Related Contract Documents		For sale of goods, retain five years after contract expires, then destroy. For services, retain 16 years, then destroy.

- RIMS Database and Instruction Manual found here:

<https://www.das.ohio.gov/Divisions/General-Services/State-Printing-and-Mail-Services/Records-Management>

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

Retention Schedules	Current Records Inventory	Off Site Box Inventory	Destroyed Records	Calculatio ..
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Compile Records for Storage

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

Box Content Sheet

BOX NUMBER	19-001	
DATE CREATED	1/29/2019	
RETENTION SCHEDULE	GAR-C-03	
DESTRUCTION DATE	1/29/2024	
INDEX NO.	CONTRACT NO.	DESCRIPTION / NOTES
STS511	800599	Snap On Industrial: Hardware-Plumbing, Electrical & Related Items - EXPIRED 1/31/2019
STS515	800542	Schulte USA, Inc: Agriculture Machinery Movers - EXPIRED 1/31/2019
STS618	800409	HME, Inc.: Fire Truck and Related Equipment - EXPIRED 1/31/2019

Create Departmental Records Log

Box #	Bar Code	Retention Schedule	Description	Received Date	5 years or 16 years	Expire Date (Recv'd + 5 years for Goods or 16 years for Services)	Notes
19-001	0000066373	GAR-C-03	STS511 800599, STS515 800542	1/29/2019	5	1/31/24	Expired contracts: Snap On Industrial, Schulte USA
19-002	0000066374	GAR-C-03	STS618 800409	1/29/2019	5	1/31/24	Expired contract: HME, Inc.

RECORDS DISPOSAL



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

OHIO DEPARTMENT OF ADMINISTRATIVE SERVICES
INFORMATION MANAGEMENT
 4200 SURFACE ROAD
 COLUMBUS OH 43228-1395
 614.466-1105 VOICE

MEDIUM CODES
 P- PAPER
 M-MICROFILM
 E-MACHINE READABLE RECORD

DISPOSAL CODES
 B-BURN
 S-SHRED
 W-DISPOSED OF AS WASTE PAPER
 E-ERASURE
 A-ARCHIVES

CERTIFICATE OF RECORDS DISPOSAL

Agency		Division-Institution	Section - Unit					
Authorization No.	Agency Series No or General Schedule No	Record Series Title	Inclusive Dates of Records		Volume Disposed (Cubic Feet)	Date of Disposal	See Codes Above	
			From	To			Medium Code	Method Of Disposal
			Month - Year	Month - Year		Month - Year		

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

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State Printing & Mail Services

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