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?

- Social Media
- Any document
- Written Down
- In Any Form
- Notes
- Using Any Medium
- E-docs
- Email
- Paper
# 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>
Who Wants 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)

Document Management
What are “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 the public office; and

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

R.C. § 149.011(G)
Managing Public Records

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

▪ “Kept by” means that 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

R.C. § 149.43(A)
Transient Records

- Contains information of short term usefulness
- Allows disposal when no longer of administrative value
  - Voicemail messages, message slips, post-it notes, superseded drafts
- 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
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
Document Retention
Conduct a Records Inventory

**Records Inventory Worksheet**

<table>
<thead>
<tr>
<th>Location Number</th>
<th>Inclusive Dates of Records</th>
<th>Volume (Cubic Feet)</th>
<th>Medium Code</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
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**Cubic Foot Measurements (1 cu. ft. = 1728 cu. in.)**

- **Letter Size Drawer**: 1.5 cu. ft.
- **Legal Size Drawer**: 2.0 cu. ft.
- **Record Storage Carton**: 1.0 cu. ft.
- **Shelving, 4 ft. Letter Size**: 2.3 cu. ft.
- **Shelving, 4 ft. Legal Size**: 3.0 cu. ft.

**Medium Codes**

- **P**: Paper
- **M**: Microfilm
- **E**: Electronic
Assign or Create a Retention Schedule

A 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, RFO’s or Similar Documents (Purchasing, construction, personnel serv)</td>
<td>For sale of goods, retain five years then destroy. For services, retain 16 years, then destroy.</td>
<td>For sale of goods, retain five years then destroy. For services, retain 16 years, then destroy.</td>
</tr>
<tr>
<td>GAR-C-02</td>
<td>Vender Master Input Document</td>
<td>Used to establish descriptive information about a vendor or update previously entered vendor data.</td>
<td>Retain until audited by Auditor of State and audit report is released and all discrepancies are resolved, then destroy.</td>
</tr>
<tr>
<td>GAR-C-03</td>
<td>Contract Encumbrances, Procurements, Complaints to Vendors, and Related Contract Documents</td>
<td>For sale of goods, retain five years after contract expires, then destroy. For services, retain 16 years, then destroy.</td>
<td>For sale of goods, retain five years after contract expires, then destroy. For services, retain 16 years, then destroy.</td>
</tr>
</tbody>
</table>

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

- Form can be placed inside box on top of contents for inventory purposes.

<table>
<thead>
<tr>
<th>BOX NUMBER</th>
<th>RETENTION SCHEDULE</th>
<th>DESTRUCTION DATE</th>
</tr>
</thead>
<tbody>
<tr>
<td>19-001</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>
<tr>
<td>Box #</td>
<td>Bar Code</td>
<td>Retention Schedule</td>
</tr>
<tr>
<td>-------</td>
<td>--------------</td>
<td>---------------------</td>
</tr>
<tr>
<td>19-001</td>
<td>0000066373</td>
<td>GAR-C-03</td>
</tr>
</tbody>
</table>
RECORDS DISPOSAL
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 in-house.

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

CERTIFICATE OF RECORDS DISPOSAL

<table>
<thead>
<tr>
<th>Agency</th>
<th>Division-Institution</th>
<th>Section - Unit</th>
</tr>
</thead>
<tbody>
<tr>
<td>Authorization No.</td>
<td>Agency Series No or General Schedule No</td>
<td>Record Series Title</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Inclusive Dates of Records</th>
<th>Volume Disposed (Cubic Feet)</th>
<th>Date of Disposal</th>
</tr>
</thead>
<tbody>
<tr>
<td>From Month - Year</td>
<td>To Month - Year</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>MEDIUM CODES</th>
</tr>
</thead>
<tbody>
<tr>
<td>P-PAPER</td>
</tr>
<tr>
<td>M-MICROFILM</td>
</tr>
<tr>
<td>E-MACHINE READABLE RECORD</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>DISPOSAL CODES</th>
</tr>
</thead>
<tbody>
<tr>
<td>B-BURN</td>
</tr>
<tr>
<td>S-SHRED</td>
</tr>
<tr>
<td>W-DISPOSED OF AS WASTE PAPER</td>
</tr>
<tr>
<td>E-ERASURE</td>
</tr>
<tr>
<td>A-ARCHIVES</td>
</tr>
</tbody>
</table>

R.C. § 149.333
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
Record Management Fundamentals

- Create Records Retention Schedules and Follow Them
- Content – NOT Medium – Determines How Long to Keep a Record
Records Management Website

- DAS Records Management Policy
- General Schedules
- RIMS Database and Manual
- Managing Records Flowchart

FORMS:

- ADM3516: Records Inventory & Analysis Worksheet
- ADM3504: Certificate of Disposal
- Annual Certificate of Compliance

Questions / Comments

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