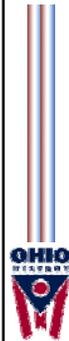




Ohio Historical Society

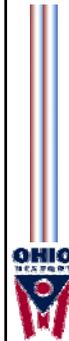
Records Management for Local Governments

Jillian Carney
Electronic Records Archivist



Workshop Goals

- Ensure that Ohio Laws are followed
- Save your office time
- Save your office storage space
- Save your office money
- Ensure the survival of local governments' historical record



"Just the Basics" Key Concepts

- Overview of State Archives Functions
- Pertinent Definitions and Ohio Revised Code
- Local Records Commissions
- Determining Retention Periods
- Retention Schedules(RC-2)
- One-Time Disposals (RC-1)
- Certificates of Records Disposals (RC-3)
- Storage/Environmental Considerations
- Media Decisions (paper, microfilm, electronic)

Ohio Historical Society State Archives

ORC 149.31

“The Ohio Historical Society, in addition to its other functions, shall function as the state archives administration for the state and its political subdivisions”

- Acts as archival repository for state and local records of enduring historical value



Ohio Historical Society

Concepts in Records
Management 2010

4

State Archives

The State Archives provides advice and assistance to state government and over 5000 local government entities including:

- Counties
- Cities/Villages
- Townships
- School Districts
- Special Taxing Districts
- Libraries



Ohio Historical Society

Concepts in Records
Management 2010

5

Ohio Public Records Laws

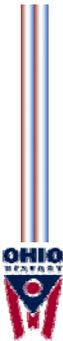
- Provide the basis for your records program
 - defines what a **record** is (ORC 149.011)
 - defines how records must be made available to the public (ORC 149.43)
 - defines closed records (ORC 149.43)
 - defines local records commissions
 - requires retention schedules (ORC 149.43(B)(2))



Ohio Historical Society

Concepts in Records
Management 2010

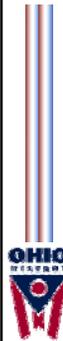
6



What is a “record?” 149.011 ORC

“Records includes any document, device, or item, regardless of physical form or characteristic...created or received by or coming under the jurisdiction of any public office of the state or its political subdivisions, which serves to document the organization, functions, policies, decisions, procedures, operations, or other activities of the office.”

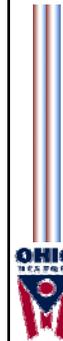
Ohio Historical Society Concepts in Records Management 2010 7



The ORC Definition of a Record – The Three Prong Test

- Stored on a fixed medium
 - paper, computer, film, audio/video, etc.
- Created, received or sent under jurisdiction of a public office
- Serve to document the organization, functions, policies, decisions, procedures, operations, and other activities of the office.

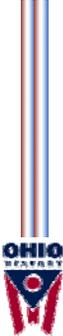
Ohio Historical Society Concepts in Records Management 2010 8



149.351 ORC

“All records are the property of the public office concerned and shall not be removed, destroyed, mutilated, transferred, or otherwise damaged or disposed of, in whole or in part, except as provided by law or under the rules adopted by the records commission”

Ohio Historical Society Concepts in Records Management 2010 9



**For More Information on
Ohio Public Records Laws**

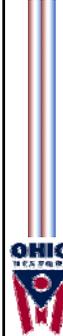
“Ohio Sunshine Laws 2009: An Open
Government Resource Manual”

Ohio Attorney General’s Office
30 East Broad
Columbus, OH 43215
614-466-2872
www.ag.state.oh.us

Ohio Historical Society Concepts in Records Management 2010 10

Local Records Commissions

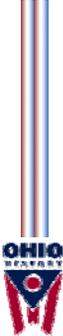
Concepts in Records Management 2010 11



Functions of Records Commissions

- Provide rules for retention and disposal of records
- Review retention schedules and disposal requests submitted by the office
- Provide that proper procedures are followed for scheduling and disposing of records
- Revise retention schedules

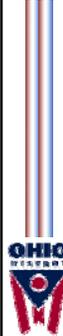
Ohio Historical Society Concepts in Records Management 2010 12



County Records Commission 149.38 ORC

- *Member* of the Board of County Commissioners as chairperson
- Prosecuting Attorney
- Auditor
- Recorder
- Clerk of Court of Common Pleas
- Meet at least once every 6 months
- Can hire an archivist or *records manager*
- Shall appoint a secretary who may or may not be a member of the commission
- Notify local historical societies

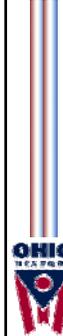
Ohio Historical Society Concepts in Records Management 2010 13



Municipal Records Commission 149.39 ORC

- Chief Executive (or appointed representative) as chairman
- Chief Fiscal Officer
- Chief Legal Officer
- Citizen (appointed by the chairman)
- Meet at least once every 6 months
- Can hire an archivist or *records manager*
- Shall appoint a secretary who may or may not be a member of the commission

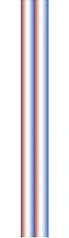
Ohio Historical Society Concepts in Records Management 2010 14



Township Records Commission 149.42 ORC

- Chairman of the Board of Township Trustees
- Fiscal Officer of the Township
- Meet at least once every 12 months (although we recommend more frequent meetings)

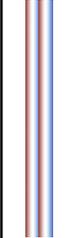
Ohio Historical Society Concepts in Records Management 2010 15



Special Taxing District Records Commission ORC 149.412

- Chair of governing board
- Fiscal representative from board
- Legal representative from board
- Meet once every 12 months
(although we recommend more frequent meetings)

Ohio Historical Society Concepts in Records Management 2010 16



Records Commission Meetings

- Meetings must be open to the public
- Public must be given notice that the meeting is going to occur
- Keep detailed minutes

Ohio Historical Society Concepts in Records Management 2010 17

Questions?

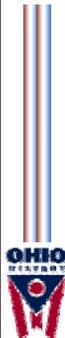
Concepts in Records Management 2010 18

Determining Retention Periods

How long should we keep this record?

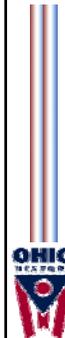
Inventorying the Records your Office Creates

- First step to determining
 - The records you make
 - Where you are storing records
- Guidance available on inventorying records available on LGRP website



Retention Schedules

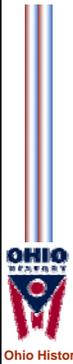
- A retention schedule lists every records series that your office creates on an *ongoing* basis.
- A retention schedule is a list of the records an office creates with a corresponding retention period that states how long the record should be retained



Record Series

File units or documents arranged in accordance with a filing system or maintained as a unit because they result from the same accumulation or filing process, the same function, or the same activity; have a particular form

- GOOD - Annual reports, minutes, purchase orders, subject files, etc.
- NOT "payroll records"
 - divide into payroll journal, payroll warrant, cancelled checks, employee earning record, withholding information, garnishment orders, leave balance reports, W-2, W-4, etc.



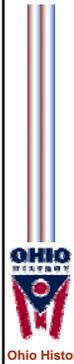
Ohio Historical Society

Concepts in Records Management 2010

22

Determining Retention Periods

- 4 Values to Assess
 - Administrative
 - Fiscal
 - Legal
 - Historical



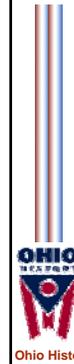
Ohio Historical Society

Concepts in Records Management 2010

23

Determining Retention Periods

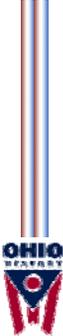
- Administrative Value
 - used by office or agency to carry out its duties
 - based on how often or for how long a record is used
 - would the program be in jeopardy upon the disposal of the record?
- Consult Office of Origin



Ohio Historical Society

Concepts in Records Management 2010

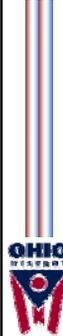
24



Determining Retention Periods

- Fiscal Value
 - pertains to the receipt, transfer, payment, adjustment, or encumbrances of funds
 - required for an audit
- Contact: Auditor, Treasurer, Fiscal Officer

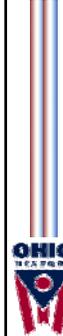
Ohio Historical Society Concepts in Records Management 2010 25



Determining Retention Periods

- Legal Value
 - documents or protects rights or obligations of citizens or of the agency that created it
 - retain until legal rights and obligations expire
- Contact: Legal Counsel

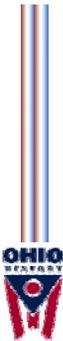
Ohio Historical Society Concepts in Records Management 2010 26



Determining Retention Periods

- Historical Value
 - documents an agency's organization, policies, decisions, procedures, operations, and other activities
 - contains significant information about people, places, or events
 - secondary value: source of information for persons other than the creator
- Contact: OHS LGRP

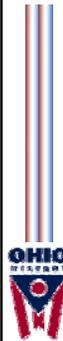
Ohio Historical Society Concepts in Records Management 2010 27



Determining Retention Periods

- Retention Periods are determined and expressed in 3 ways.
 - Time (“retain 3 years” “retain permanently”)
 - Event or Action (“retain until audit report is released”)
 - Time and Event or Action (“retain 3 years after case closed”)
- Retention periods may be subdivided
 - “retain in office 3 years, then retain storage 6 more years, then destroy”

Ohio Historical Society Concepts in Records Management 2010 28



Determining Retention Periods

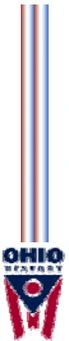
Determine these values and retain for the appropriate time period

- These values are not static.
 - Ex. Legal value in particular can change as laws change
- Set retention period to the *longest* value
- Manuals are available online and from OHS to assist you
 - These are recommended retention periods, *not* mandated ones

Ohio Historical Society Concepts in Records Management 2010 29

Completing and Filing RC-1, RC-2 and RC-3 Forms

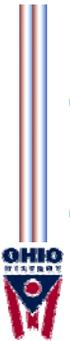
Concepts in Records Management 2010 30



Retention Schedules (Form RC-2)

- Provide the foundation of any records management program
- Lists the records that an office maintains and the length of time the records should be kept
- When the retention period has expired, the records can be disposed of *on an ongoing basis*

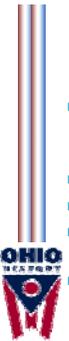
Ohio Historical Society Concepts in Records Management 2010 31



Retention Schedules (RC-2)

- Part I – Signatures and Certification
 - Section A – Local Government Unit
 - Section B – Records Commission (approving)
 - Section C – Ohio Historical Society (informational review)
 - Section D – Auditor of State's Office (review/approval)
- Part 2 (Section E) – Complete the Columns
 - schedule number
 - record title and description (NO DATES!)
 - retention period
 - media type

Ohio Historical Society Concepts in Records Management 2010 32



RC-2 Helpful Hints

- Sign Forms
 - Responsible Official
 - Record's Commission Chairman
- **Do Not** include Dates
- Separate media types
- Include address and contact information on top of form
- Email should be scheduled according to content

Ohio Historical Society Concepts in Records Management 2010 33

Retention Schedule (RC-2)

- Form is forwarded to OHS, from OHS to Auditor of State's Office (60 days each)
 - Can now be submitted via email provided OHS and AOS can add electronic signatures and comments
- Copy of form returned to you (original on file at OHS)
 - Can now be returned via email if records commission email address provided in Section B
- Retention schedules can be revised at any time
 - must go through same process and resubmit form



Using a Retention Schedule

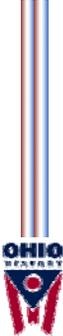
- Provides for ongoing disposal
- Prevents build up of unnecessary records
 - Saving space
 - Improve efficiency
- Can be a legal asset
- Negotiate public records requests
 - ORC 149.43(B)(2)



Obsolete Records

- During the inventory, you may have identified records that your government no longer creates or only created once
 - ex. Records regarding an employee childcare program your office participated in from 1980-1990
- These records should be listed on an RC-1, One-Time Records Disposal of Obsolete Records

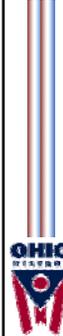




One-Time Disposal (Form RC-1)

- Same format and information as RC-2
 - *except:* include dates for these records
- Must be submitted to Records Commission, OHS and Auditor of State
 - same approval process as RC-2

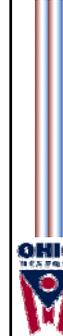
Ohio Historical Society Concepts in Records Management 2010 37



RC-1 Helpful Hints

- Sign Forms
 - Responsible Official
 - Records Commission Chairman
- Include address and contact information
- Include records commission email address if you want them returned electronically
- Use inclusive dates after record series title

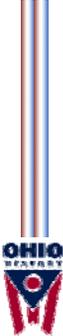
Ohio Historical Society Concepts in Records Management 2010 38



Disposing of Records

- After you have submitted and received back approved copies of the RC-1 and/or RC-2, you should determine exactly what records you can now dispose of
- To dispose of records, list them on an RC-3, Certificate of Records Disposal
 - OHS final opportunity to choose records of enduring historical value
 - Provides an administrative/legal record of exactly which records were disposed, when they were disposed, and that they were disposed according to retention schedules

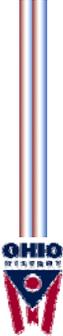
Ohio Historical Society Concepts in Records Management 2010 39



Certificate of Records Disposal (Form RC-3)

- Part I – Contact information and certification
 - Have form signed by the responsible official
- Part II – List records to be disposed
 - title (from retention schedule)
 - schedule number (from retention schedule)
 - RC approval date (from retention schedule)
 - media type to be destroyed
 - media type to be retained
 - Inclusive dates of records
 - Proposed date of disposal (15 business days in advance)

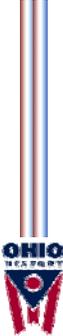
Ohio Historical Society Concepts in Records Management 2010 40



RC-3 Helpful Hints

- Signed by Responsible Official
- Contact phone number
- Records Committee Approval date is that listed on RC-1 or RC-2 containing those records. *Not* the date the RC-3 was approved
- If the records are being transferred to another media, list that in appropriate column
- Mail **AT LEAST 15** working days prior to scheduled destruction

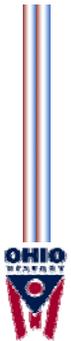
Ohio Historical Society Concepts in Records Management 2010 41



Certificate of Records Disposal (RC-3)

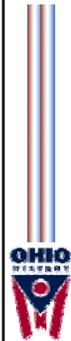
- Submit original form to OHS, keep copy in your files, send copy to records commission
 - Counties *may* have to send to local entities
 - Can now be submitted via email
- If there are records OHS wants to select for archival storage, we will contact you prior to the proposed date of disposal
- If there are not records OHS wants to select, you will not be contacted or receive a copy of the form back
 - You may send a self-addressed stamped postcard which we will date stamp and send back for verification that we received your forms

Ohio Historical Society Concepts in Records Management 2010 42



Questions?

Concepts in Records Management 2010 43



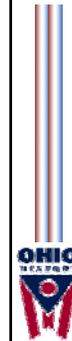
Transferring Historical Records

Records can be transferred to

- OHS or other network repositories
- Non-network repositories such as your local historical or genealogical society

149.31(A) ORC
 "Public records shall be transferred by written agreement only, and only to public or quasi-public institutions agencies, or corporations capable of meeting accepted archival standards for housing and use."

Concepts in Records Management 2010 44



Archives/Library Division
 One James A. Rhodes
 Columbus, Ohio 43211-2447
 614 297 2527
 Fax 614 297 2545



**LOCAL
 GOVERNMENT RECORDS
 DEPOSIT AGREEMENT**

This Agreement is made between the Ohio Historical Society, and _____
 (hereinafter known as the REPOSITORY), relative to the placement, storage, and maintenance of local government records.

1. The Ohio Historical Society, acting in its statutory capacity as the state archives administration (Section 149.31, Ohio Revised Code), agrees to the deposit in the REPOSITORY of those records enumerated on the attachment(s)
 2. The REPOSITORY agrees to accept those records enumerated on the attachment(s) to this Agreement and to use the same in accordance with the following terms:
 - 2.1 to provide steel shelving for the records, the bottom shelf to be at least six (6) inches above the floor;
 - 2.2 to provide archival storage boxes for unbound records;
 - 2.3 to keep the storage area free from rodents and other vermin;
 - 2.4 to keep the storage area free from falling water pipes and other sources of fire (leaking water);
 - 2.5 to keep the records enumerated on the attachment(s) available to authorized employees of the Ohio Historical Society and members of the Ohio Network of American History Research Centers acting for the Society;
 - 2.6 to provide a storage area that is kept locked and from which the general public is barred;
 - 2.7 to make records available for inspection to any person at any reasonable time, in accordance with provisions of section 149.43, Ohio Revised Code;
 - 2.8 to notify the Ohio Historical Society (Attention: State Archivist) in writing of any change in the location, condition and/or completeness of the records enumerated on the attachment(s) to this Agreement;
 - 2.9 to provide the Ohio Historical Society (Attention: State Archivist) periodic reports on use by members of records deposited by this Agreement;
 - 2.10 to provide adequate safeguards for the records against fire and other causes;
 - 2.11 to retransfer the records to the Ohio Historical Society upon termination of this Agreement.
 3. This Agreement may be terminated by either of the signatories upon sixty (60) days written notice to the other signatory. All signatories agree that records shall be removed from the REPOSITORY within ninety (90) days of the date of final notification.



Ohio Network of American History Research Centers

1. University of Akron
2. Bowling Green State University
3. University of Cincinnati
4. Ohio Historical Society
5. Youngstown Historical Center of Industry and Labor
6. Western Reserve Historical Society
7. Wright State University
8. Youngstown Historical Center of Industry and Labor

OHIO HISTORICAL SOCIETY

Concepts in Records Management 2010 46

Disaster Preparedness and Prevention

Proper Storage

- Temperature 60-70 F (cool)
- Relative Humidity 40-50% (dry)
- Metal shelving-6 inches off floor
- Standard size storage boxes
- Fire alarms and extinguishers

Improper Storage

- Hot, leaky, vermin infested attic
- Cold, humid, insect infested basement
- Fluctuating temperatures
- Any place susceptible to water or mold
- Dirt, fumes, exhaust

OHIO HISTORICAL SOCIETY

Concepts in Records Management 2010 47

Media Decisions

Concepts in Records Management 2010 48

Media Decisions

- Three media types you can use to store records
 - Paper
 - Microfilm/fiche
 - Electronic
- Each media type has characteristics that make it more or less appropriate for certain kinds of records



Format Characteristics

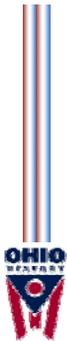
Paper	Microfilm	Electronic
Eye Readable	Eye Readable	Not eye readable- requires hardware and software
Access can be difficult	Multiple access possible, through duplicates	Multiple access
Fairly stable in proper storage environment	Stable in proper storage environment (500 years)	Unstable



Format Characteristics

Paper	Microfilm	Electronic
Large storage space required	Minimizes storage space	Electronic storage is inexpensive with minimal physical space required

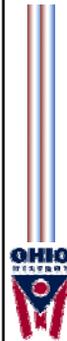




Contact Information

Local Government Records Program
(614) 297-2553
(614) 297-2546 (fax)
localrecs@ohiohistory.org
www.ohiohistory.org/resource/lgr

Ohio Historical Society Concepts in Records Management 2010 52



Thank you!

Questions?

Ohio Historical Society Concepts in Records Management 2010 53
