

ADAMHS BOARD FOR MONTGOMERY COUNTY	BP # 122	
TITLE: Records Management	SUBJECT: Records Retention and Disposal	
	EFFECTIVE DATE October 22, 2008	SUPERSEDES DATE N/A

Purpose:

To ensure that records of the ADAMHS Board for Montgomery County are adequately protected and maintained and that records which are no longer needed by the Board and have no other value, are discarded at the proper time and in the proper manner.

Scope:

The ADAMHS Board or Trustees and staff.

Policy Statement::

It is the policy of the ADAMHS Board for Montgomery County to retain documents in its possession meeting the definition of a "record" pursuant to Ohio Revised Code section 149.011(G) based on retention periods that are in accordance with any applicable legal requirements, the standard business practices of Ohio's public entities, and/or administrative, fiscal, historical or legal values, as appropriate for each record type. It is also the Board's policy to only dispose of such records in accordance with the processes prescribed by Ohio law.

Procedure:

1. Records Management
 - a. The Board shall designate a Records Officer to be responsible for coordinating all aspects of records retention and disposition, including reviewing the Board's approved retention schedule on an annual basis to ensure it contains all on-going record series and ensuring compliance with all applicable laws. The Records Officer also serves as liaison to the County Records Commission.
2. Scheduling of Records
 - a. All on-going record series that the Board receives or creates are to be included on the Board's approved retention schedule, including those not considered to be "public" records pursuant to Ohio Revised Code (ORC) section 149.43.
 - b. Retention periods will be assigned to each series based, at a minimum, on the longer of: applicable legal requirements, any recommendations of the

Ohio Historical Society's Local Government Records Program, and the records fiscal, historical, administrative or legal value.

- c. Emails and faxes that meet the definition of a "record" pursuant to ORC 149.011(G) are to be retained according to content.

3. Retention Schedule Approval

- a. Revisions to the Board's currently approved retention schedule must be made on *Form RC-2 Schedule of Records Retention and Disposition*. The record series' schedule number, title and description, retention period and media type must be determined and included on the form.
- b. The completed form will be submitted to the Montgomery County Records Commission for approval prior to being forwarded to the Ohio Historical Society's Local Government Records Program and the State Auditor for review and approval.
- c. The Board will permanently retain the copy of the approved, signed form once received. (*Note: In accordance with ORC 149.38(C), the Ohio Historical Society and the Auditor of State each have 60 days to review and approve or disapprove the schedule*)

4. Obsolete Records

- a. For obsolete records that are no longer created or received as part of an on-going record series, *Form RC-1 Application for One-Time Disposal of Obsolete Records*, must be completed. The record series' schedule number, title and description, retention period, and the specific beginning and end dates covered by the record series must be determined and included on the form.
- b. The completed form will be submitted to the Montgomery County Records Commission for approval prior to being forwarded to the Ohio Historical Society's Local Government Records Program and the State Auditor for review and approval.
- c. The Board will permanently retain the copy of the approved, signed form once received. (*Note: In accordance with ORC 149.38(C), the Ohio Historical Society and the Auditor of State each have 60 days to review and approve or disapprove the schedule*)

5. Records Disposal

- a. *Form RC-3 Certificate of Records Disposal* must be completed prior to disposing of records in accordance with the time periods stated on the Board's approved Schedule of Records Retention and Disposition (RC-2) or Application for One-Time Disposal of Obsolete Records (RC-1). The record series' schedule number and title, records commission approval date, media type, the specific beginning and end dates covered by the record series, and the proposed date of disposal must be determined and included on the form.
- b. The completed form must be sent to the Ohio Historical Society's Local Government Records Program a minimum of 15 business days prior to the proposed disposal date with a copy to the Montgomery County Records Commission. A self-addressed stamped postcard will be sent to the Historical Society along with the completed form.
(*Note: If the Historical Society selects records of continuing historical value*)

for preservation, or provides for transfer of the records to certain other entities pursuant to ORC 149.31, the Board will be contacted prior to the proposed date of disposal. If no records are selected for preservation or transfer, the Board will not be contacted or sent a copy of the completed form unless a self-addressed stamped envelope is received which will be date stamped and returned to the Board as verification of the form's receipt).

6. Prohibition on Disposal

- a. No record will be knowingly disposed of which pertains to any pending case, claim, action or request.

7. Microfilm as Storage Medium

- a. In instances where the Board chooses to use Microfilm, or other machine-readable processes, as the storage medium for a records series, the Board will comply with the requirements of Ohio Revised Code section 9.01 regarding records preserved and maintained utilizing such means.

Definitions:

Record: Any document, device, or item, regardless of physical form or characteristic, including an electronic record as defined in section 1306.01 of the Revised Code, 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. (ORC 149.011(G))

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, the same activity or have a particular form. *

Administrative Value: Record that is needed to conduct current business. Administrative value diminishes over time because it is no longer needed for current business. *

Historical Value: Record that documents an agency's organization, policies, decisions, procedures, operations or other activities. Contains significant information about people, places or events (e.g. property deeds). Usually retained for extended periods of time or permanently. *

Legal Value: Record that documents or protects rights or obligations of citizens or the entity that created it. Retain until legal rights and obligations expire. *

Fiscal Value: Record that is used in accounting for public funds. Must be retained at least until audited. Records funded with combinations of state and federal funds often must be retained longer than records pertaining solely to local funds.*

* Based on definitions used by the Ohio Historical Society's
Local Government Records Program