



## OAC RECORDS RETENTION POLICY

POLICY NUMBER:	EFFECTIVE DATE: 07/10/2013	APPOINTING AUTHORITY APPROVAL: Julie S. Henahan
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### I. Statement of Purpose

ORC 149.34 (C and E) states that every state agency within the executive branch must complete records retention schedules for all public records under jurisdiction of the agency, within one year after the date of creation or receipt of each specific record series. (This includes all paper, electronic, micrographic, and audiovisual records.)

In order to document agency compliance with this mandate, DAS, under authority granted in ORC 149.33 (G), issued Directive No. 01-16 that requires all Executive Agencies to annually file this certificate with the Department of Administrative Services (DAS) State Records Administrator by December 31 every year beginning calendar year 2003.

In order to comply with ORC 149.34 (C and E), the Ohio Arts Council's records retention officer will periodically update existing records retention schedules in conjunction with the OAC staff and their departments in order to remove obsolete schedules, amend and/or add schedules through time, and submit these changes to the state for final approval in 2013 and in subsequent years. Adjustments to the agency's retention schedules will be executed via the State of Ohio *Records Information Management System* (RIMS), subject to approval by the DAS State Records Administrator, State Auditor and State Archivist.

### II. Departmental Authority for Documentation and Disposition<sup>1</sup> of a File Series

All records at the end of their retention period must be disposed of and documented in accordance with the OAC's Records Retention Policy, by the managerial authority of the department within which those records series reside. Disposal of the aforementioned records must be in accordance with the OAC's *Policy on Protecting Privacy*, and in accordance with applicable state and federal laws addressing privacy and security protocol.

<sup>1</sup> Disposition = destruction, recycling, shredding, termination of wastepaper records or an archived records series that is not slated for accession to the OHS.

Disposition of files designated as “wastepaper” within the OAC’s general retention schedule, and maintained by the various departments within the agency, must be appropriately documented by the personnel of that department and documented via *Form ADM 3504*.<sup>2</sup> A hardcopy of form *ADM 3504* may be made available by the records retention officer upon request, or obtained from the website of the State of Ohio DAS.

The records retention officer shall maintain a hardcopy of Form ADM 3504 to document the destruction of all file series within the agency’s general schedule for future reference. The records retention may also submit notification of the appropriately executed and documented *deconstructs* to the State of Ohio DAS Records Information Management System (RIMS).

All records series that are designated “archive” at the end of their retention period will be submitted to the Ohio Historical Society (OHS) for consideration of *accession*<sup>3</sup> by the department under which that records series’ jurisdiction resides. Those records designated as archive, but not accepted by OHS for accession shall be destroyed in accordance to OAC Records Retention Policy.

### **III. Disposition of a File Series at the end of its Retention Period**

#### *Disposition of Wastepaper Records*

At the discretion of departmental authority, all retained files designated as “wastepaper” that contain personally identifiable, confidential personal information, or sensitive personally identifiable information (such as an address, a social security or tax ID, etc) shall, in accordance with the OAC’s *Policy on Protecting Privacy*, be disposed of and documented in accordance with its relevant retention schedule’s guidance. The physical destruction of a file or records series shall be executed via the process of shredding, whether in office or through an outside contractor. Retained files that do not have personally identifiable, confidential personal information or sensitive personally identifiable information, will be destroyed through state office facility recycling resources and documented via *Form ADM 3504*, and in accordance with all applicable agency, state and federal laws.

#### *Disposition of Archive Records*

Files designated as “archive” will be submitted to the Ohio Historical Society for archival consideration upon the expiration of their retention period. The appropriate departmental authority will notify the OHS to schedule a time to review the historical value of the file series’ for *accession* to the OHS. If the aforementioned file series is not identified for accession by the OHS, said file series will be destroyed, consistent with the OAC’s aforementioned policy on documentation of disposal, *OAC Policies on Protecting Privacy*, and in accordance with applicable Federal and State law. Disposition of the aforementioned files will be by shredding (if containing personally identifiable, confidential personal information, or sensitive personally identifiable information) or via an appropriate state recycling receptacle.

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<sup>2</sup> *Ohio DAS Information Management Certificate of Records Disposal Form ADM 3504 rev. 02/2002.*

<sup>3</sup> *Accession* refers to the transfer of a file series to the OHS from the originating state agency.

The aforementioned file series reaching the end of its retention period must be properly documented via *Form ADM 3504*, whether accepted for accession to the OHS or destroyed.

\*To contact the OHS in order to set up a meeting of determination for records slated for archive, call 614/297-2536.

#### **IV. Current General Records Retention Schedules for the OAC**

The following are the records retention schedules that are currently part of the OAC's Record Retention Policy:

##### **OAC-01B Disapproved Grant Files:**

*Includes paper and online grants system*

- Include hardcopy applications, signature sheets, support materials (paper and audio visual), financial documents, application-related correspondences (paper and electronic media)
  - Retain paper files two years and then destroy; maintain in grants system archive until no longer of administrative value (electronic)
  - Wastepaper

##### **920-0008 Advisory Panel Files**

- Biographical information and related materials
  - Retain paper files in agency for two years after term or until no longer of administrative value; retain electronic files for two years after term or until no longer of administrative value
  - Wastepaper/delete

##### **OAC-0016 General Correspondence**

- General Correspondence
  - For paper files, retain no longer than five years after the close of the calendar year in which it was created, then destroy; for electronic files, retain until no longer of administrative value
  - Wastepaper/delete

##### **OAC-06 Director's and Deputy Director's Correspondence**

- Includes documents pertaining to legal matters, interpretations, policy decisions, directives
  - Retain five years, then transfer to Archives
  - Archives/delete

##### **OAC-02B Vouchers, Encumbrances, Payroll Records, Contracts, Inventories, receipt and petty cash records, etc.**

- Includes inventories, receipt and petty cash records, etc.
  - Retain paper files for five years after audited and after audit report has been released by the State Auditor; electronic files maintained in OAKS
  - Wastepaper

##### **OAC-04A Minutes of Board Meetings**

- Minutes of board meetings, include paper files and electronic recordings.
  - Retain paper files in agency for ten years and then transfer to Archives; maintain electronic files until no longer of administrative value

- Archives/Delete

**OAC-07 Files of Organizations and Individuals**

- Includes onsite and evaluation files, and other office records including correspondence, publications, support materials and related materials
  - Retain paper files until superseded, obsolete or replaced; but no longer than five years, then destroy; maintain electronic files until no longer of administrative value
  - Wastepaper/Delete

**OAC-13 Staff Correspondence Files**

- Includes staff correspondences with constituents, the general public, other agencies and agency staff, and part of grant files if relevant to agency policy and programming
  - Retain paper files for three years; electronic files until no longer of administrative value
  - Wastepaper/delete

**OAC-3 Personnel Record File**

- Employee files, including personnel actions, evaluations and communications
  - Retain paper files five years after employee leaves employment, then transfer to DAS to keep permanently. PLEASE DELAY ANY TRANSFERS UNTIL YOU RECEIVE DAS NOTIFICATION; retain electronic files five years after employee leaves employment, or until no longer of administrative value
  - Wastepaper/delete

**OAC-05 Legislation File**

- Copies of federal and state legislation of interest to the OAC
  - Retain one year after superseded, obsolete, or obsolete, and then destroy
  - Wastepaper/delete

**OAC-09 Clippings and Photo File**

- Includes clippings and photo files
  - Agency shall review every year for transfer to archives. All materials that are in the file seven years after the close of the calendar year in which they were created should be transferred to archives
  - Archives/delete

**OAC-10 Publications File**

- Including biennial reports, newsletters, news releases, reports, brochures, pamphlets, etc.
  - Retain paper copies until obsolete, superseded, or replaced, and then transfer one copy of each to Archives; maintain electronic files until no longer of administrative value

- Archives/delete

**OAC-11 Audio-Visual Materials**

- Materials created by or for the OAC and/or its council members
  - Retain five years or until obsolete, superseded, or replaced, whichever shorter. Review with Archives
  - Archives/delete

**OAC-01A Approved Grant Files; paper and online grants system**

*Includes paper and online grants system*

- Includes hardcopy applications, signature sheets, final reports, grant agreements, support materials (paper and audio visual), financial documents, application and final report-related correspondences (paper and electronic media).
  - Retain paper files for two years after audited and after audit report is released by State Auditor; maintain electronic files in grants system archive until no longer of administrative value
  - Wastepaper/delete

**OAC-14 Reference and Informational Files**

- Various topics which do not directly affect functions and policies of the OAC and/or its council members
  - Retain until obsolete, or replaced, then destroy
  - Wastepaper/delete

**OAC-08 Department File**

- Directives, correspondence and other materials from the OAC and various agencies, including agency policies and planning documents
  - Retain paper files until superseded, obsolete, or replaced; retain electronic files until no longer of administrative value
  - Wastepaper/delete

**OAC-04B Council Member Files**

- Biographical information and related materials
  - Retain paper files in agency for five years after end of term, or until obsolete, superseded and preplaced; maintain electronic files until obsolete, superseded and preplaced, or until no longer of administrative value
  - Wastepaper/delete

**OAC-0017 Automated Email Correspondence for Online Grant System**

- Automated email correspondence from the online grant system to potential and actual grant applicants, copied to the agency's online grant system's email inbox, making notification of various online grants system activities, status notifications and misc. related correspondences that have transient or intermediate retention value.

- Retain in the grant system inbox no longer than two years, then transfer to the C drive, or to disc until no longer of administrative value
- Delete

**OAC-16** \*Federal Grant Files and Reports [*pending review by DAS*]

- Includes all electronic and paper files associated with Federal grants, such as grant application and support materials, Final Descriptive Reports, and related historical files pertaining to grants applied for and received by the agency.
  - Retain on paper until state and federal audits have been conducted, then destroy; retain electronically until no longer of administrative value.
  - Wastepaper/delete

## V. OAC Records Retention Authority by Department

Departmental authority of the records categories described in the OAC Records Retention Policy is allocated as follows:

### *Executive Office:*

- General Correspondence
- Director's and Deputy Director's Correspondence
- Minutes of Meetings
- Files of organizations and individuals
- Staff correspondence book
- Personnel record files
- Legislation files
- Department files
- Council member files

### *Public Information, Programs and Services Office:*

- General correspondence files
- Files of Organizations and Individuals
- Clippings of Photo files
- Audio-visual files
- Reference information files
- Department files
- Publications files

### *Grant Programs and Services:*

- Advisory panel files
- General correspondence files
- Minutes of meetings files
- Files of organizations and individuals
- Staff correspondence books
- Publications files
- Audio-visual materials files
- Reference and informational files
- Department files

### *Grants Administration and Operations* (includes grants office, fiscal and related information technology files):

- General correspondence files
- Approved grant files
- Disapproved grants files
- Voucher journal and \*general ledgers
- Vouchers, encumbrances, payroll records, contracts
- Files of organizations and individuals

- Staff correspondence books
- Clippings and Photo Files
- Audio-visual materials
- Department files

*The Riffe Gallery:*

- General correspondence files
- Files of organizations and individuals
- Clippings of Photo files
- Audio-visual files
- Reference information files
- Department files
- Publications files

Date	Description
10/12/2012	Records Retention Policy and Process