

CARROLL COUNTY BOARD OF DEVELOPMENTAL DISABILITIES

RECORDS RETENTION PROCEDURES

I. APPLICATION OF RECORDS RETENTION POLICY.

All information including 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 organizations, functions, policies, decisions, procedures operations, or other activities of the office as defined in ORC Section 149.011 and 149.43. This includes public information received and sent using electronic mail shall be filed, stored, allowed public access to, and destroyed based on applicable law.

II. DEVELOPMENT OF PROCEDURES FOR RECORDS RETENTION

The Board shall develop procedures specific to records retention that apply to all employees, volunteers/interns and contracted services and support providers.

Policies and procedures concerning records retention will be made known to all Board employees, individuals of services and supports and/or the parent of a minor, or guardian of an adult, and, as applicable, contract service and support providers.

II. DEFINITIONS

- A. "Board" means the Carroll County Board of Mental Retardation and Developmental Disabilities.
- B. "Public office" includes any state agency, public institution, political subdivision, or other organized body, office, agency, institution, or entity established by the laws of this state for the exercise of any function of government.
- C. "Archive" includes any public record that is transferred to the state archives or other designated archival institutions because of the historical information contained on it.
- D. "Records" includes any document, device, or item, regardless of physical form or characteristic, including, and 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.
- E. "Disclosure" means permitting access or the release, transfer, or other communication of records of the individual or the personally identifiable information contained therein, orally or in writing, or by electronic means, or by any other means to a party.
- F. "Individual" means an eligible person receiving services and supports from the Board or a contracted entity or person under the Board's authority.
- G. "Parent" means either parent. If the parents are separated or divorced, "parent" means the parents as legally determined. At age eighteen the individual must act on his or her behalf, unless he/she has a court-appointed guardian. The term does not include the State, if a child is a word of the state.
- H. "Record destruction" means the physical destruction of a record or removal of personal identifiers from the information so that the information is no longer personally identifiable.

- I. "E-mail systems" are store-and-deliver software systems that transport messages from one computer user to another. E-mail systems range in scope and size from a local area network e-mail system that shuffles messages to users within an agency or office; to a wide area network e-mail system which carries messages to various users in various physical locations; to Internet e-mail that allows users to send and receive messages from other Internet users around the world.
- J. "E-mail messages" are electronic documents created and sent or received by a computer system. This definition applies to the contents of the communication, the transactional information, and any attachments associated with such communication. Thus, e-mail messages are similar to other forms of communicated messages, such as correspondence, memoranda, and circular letters.

III. RECORDS RETENTION SCHEDULE

(Permanent files will be scanned into electronic format and the original paper will be destroyed. Therefore, permanent files will be stored in electronic format only. All other files will remain in original paper format until records retention schedule allows for destruction)

ACCIDENT REPORTS EMPLOYEE	10 years following death
ANNUAL BUDGETS	Permanently
ANNUAL COST REPORTS	7 years after adjudication
APPLICATIONS FOR EMPLOYMENT	12 months
AUDIT REPORTS	10 years after audit
BIDS	3 years
BOARD COMMITTEE MINUTES/PACKET	Permanently
BOARD MEETING MINUTES/AGENDAS/PACKETS	Permanently
BOARD PUBLICATIONS	Permanently
BUILDING BLUE PRINTS	Until obsolete
BUILDING INSPECTION RECORDS	5 years
BUILDING OCCUPANCY PERMITS	Until obsolete
BUS DRIVERS' RECORDS	2 years after termination of driver
CASH BOOKS	10 years after audit
CERTIFICATION FILES	2 years after termination
COMMITTEE MINUTES (Safety, Human Rights)	5 years
CONSTRUCTION FILES	Permanently
CONTRACTS FOR SERVICE (independent contracts)	15 years following end of contract
DAILY ATTENDANCE RECORDS	2 years
DAILY CLASS ATTENDANCE RECORDS OF TEACHERS	3 years
DAILY PUPIL ABSENTEE REPORTS BY LOCATION	2 years
DISASTER PLANS	Until superceded
EMERGENCY DRILL RECORDS	5 years
EQUIPMENT RECORDS	Permanently
FIELD TRIP REQUESTS (trip tickets)	Current year
FINANCIAL REPORTS	10 years after audit
FUNDING RECORDS GRANT DOCUMENTATIONS	7 years or 6 years following audit
GENERAL APPLICATIONS FOR PROGRAM APPROVAL	Permanent
HEALTH DEPARTMENT INSPECTION REPORTS	3 years following current year
HOME TRAINING REPORTS	3 years

INDIVIDUAL ATTENDANCE RECORDS	Consolidate with student file after audit
INDIVIDUAL PLANS (IEP, ISP, IFSP, IHP)	7 years following last day of IP
INDIVIDUAL FILES	5 years following death or 10 years after adult disenrollment
INSURANCE POLICIES	2 years after expiration
INVENTORIES OF COUNTY PROPERTY	3 years
INVOICES PAID (Vouchers)	4 years after audit
LEAVE REQUESTS	4 years after audit
LEVY RECORDS	Permanently
MEAL PROGRAM RECORDS	7 years following end of school year
MEDICAID/CAFS DOCUMENTATION	7 years or 6 years following audit
MONTHLY ATTENDANCE SHEETS	3 years
MUI RECORDS/UI's	7 years
OPERATING PLANS/ACTION PLANS	Permanently
PAY INS TO TREASURY RECORDS	4 years after audit
PAYROLL RECORDS	7 years
PERSONNEL FILES	Permanent
POLICIES/PROCEDURES	5 years
PSYCHOLOGIST REPORTS	3 years
PUBLICATIONS	One copy Permanent
PURCHASE ORDERS REQUISITIONS	4 years after audit
REFERENCE MATERIALS	Until superseded or obsolete
ROSTER (Personnel, Consumer, Student, Board members)	Permanently
ROSTER AND TRANSPORT CHANGES	2 years
SCHOOL CALENDARS	3 years
SCHOOL DISTRICT MONTHLY REPORTS	5 years
SCHOOL HEALTH RECORDS	7 years after last contact
SOCIAL WORKERS' RECORDS	10 years after last contact
STAFF BACKGROUND CHECKS, ABUSE REGISTRY	Permanently
STUDENT FILES	Permanent
TIME SHEETS	3 years after audit
TITLE XX RECORDS – SOCIAL SERVICES	5 years
TRAVEL EXPENSE REPORTS	4 years after audit
VAN LOGS/MAINTENANCE LOGS	2 years following current year
BUS/VEHICLE ACCIDENT REPORTS	5 years
VEHICLE PRE-TRIP INSPECTION FORMS	5 years
VEHICLE TITLES	Until vehicle is traded or disposed of
VENDOR FILES	Until obsolete or superseded
VOUCHER REGISTERS	4 years after audit

IV. COUNTY RECORDS COMMISSION

- A. There is a Carroll County records commission, composed of the president of the board of county commissioners as chairperson, the prosecuting attorney, attorney, the auditor, the recorder, and the clerk of the court of common pleas. The commission shall appoint a secretary, who may or may not be a member of the commission and who shall serve at the pleasure of the commission.

The commission may employ an archivist to serve under its direction. The commission shall meet at least once every six months and upon call of the chairperson.

- B. The functions of the county records commission shall be to provide rules for retention and disposal of records of the county and to review applications for one-time records disposal and schedules of records retention and disposal submitted by county offices. Records may be disposed of by the commission pursuant to the procedure outlined in this section. The commission, at any time, may review any schedule it has previously approved and, for good cause shown, may revise that schedule, subject to division (D) of this section.
- C. When the county records commission has approved county records for disposal, a copy of a list of those records shall be sent to the auditor of state. If the auditor of state disapproves the action by the commission in whole or part, the auditor of state shall so inform the commission within a period of sixty days, and those records shall not be destroyed. Before public records are to be disposed of, the commission shall inform the Ohio historical society and give the society the opportunity for a period of sixty days to select for its custody such records as it considers to be of continuing historical value. When the Ohio historical society is so informed that public records are to be disposed of, the county records commission also shall notify the county historical society, and any public or quasi-public institutions, agencies, or corporations in the county that have provided the commission with their name and address for these notification purposes, that the Ohio historical society has been so informed and may select records of continuing historical value, including records that may be distributed to any of the notified entities under section 149.31 of the Revised Code.
- D. The rules of the county records commission shall include a rule that requires any receipts, checks, vouchers, or other similar records pertaining to expenditures from the delinquent tax and assessment collection fund created in section 321.261 of the Revised Code, from the real estate assessment fund created in section 325.31 of the Revised Code, or from amounts allocated for the furtherance of justice to the county sheriff under section 325.071 of the Revised Code or to the prosecuting attorney under section 325.12 of the Revised Code to be retained for at least four years.
- E. No person shall knowingly violate the rule adopted under division (D) of this section. Whoever violates that rule is guilty of a misdemeanor of the first degree.

V. OFFICIAL RECORDS – PRESERVING AND MAINTAINING

- A. When any officer, office, commission, board, department, agent or employee of the county is charged with the duty or authorized or required by law to record, preserve, keep, maintain, or file any record, document, plat, court file, paper, or instrument in writing, or to make or furnish copies of any of them, deems it necessary or advisable, when recording or making a copy or reproduction of any of them or of any such record, for the purpose of recording or copying, preserving, and protecting them, reducing space required for storage, or any similar purpose, to do so by means of any photostatic, photographic, miniature photographic, film, microfilm, or microphotographic process, or perforated tape, magnetic tape, other magnetic means, electronic data processing, machine readable means, or graphic or video display, or any combination of

those processes, means, or displays, which correctly and accurately copies, records, of reproduces, or provides a medium of copying, recording, or reproducing, the original record, document, plat, court file, paper, or instrument in writing, such use of any of those processes, means, or displays for any such purpose is hereby authorized. Any such records, copies, or reproductions may be made in duplicate, and the duplicates shall be stored in different buildings. The film or paper used for a process shall comply with the minimum standards of quality approved for permanent photographic records by the national bureau of standards. All such records, copies, or reproductions shall carry a certificate of authenticity and completeness, on a form specified by the director of administrative services through the state records program. **The Board will use electronic data processing to keep all original documents that are required to be kept permanently by this records retention schedule. This electronic data storage will be in place of the original paper document for ease of storage, retrieval, and reproduction.**

- B. Any such officer, office, commission, board, department, agent, or employee of the county may purchase or rent equipment for any such photographic process and may enter into contracts with private concerns or other governmental agencies for the development of film and the making of reproductions of film as a part of any such photographic process. When so recorded, or copied or reproduced to reduce space required for storage or filing of such records, such photographs, microphotographs, microfilms, perforated tape, magnetic tape, other magnetic means, electronic data processing, machine readable means, graphic or video display, or combination of these processes, means, or displays, or films, or prints made there from, when properly identified by the officer by whom or under whose supervision they were made, or who has their custody the original record, or record made by other legally authorized means, could have been so introduced and received. Certified or authenticated copies of prints of such photographs, microphotographs, films, microfilms, perforated tape, magnetic tape, other magnetic means, electronic data processing, machine readable means, graphic or video display, or combination of these processes, means, or displays, shall be admitted in evidence equally with the original.
- C. Such photographs, microphotographs, microfilms, or films shall be placed and kept in conveniently accessible, fireproof, and insulated files, cabinets, or containers, and provisions shall be made for preserving, safekeeping, using, examining, exhibiting, projecting, and enlarging them whenever requested, during office hours.
- D. All persons utilizing the methods described in this section for keeping records and information shall keep and make readily available to the public the machines and equipment necessary to reproduce the records and information in a readable form.
- E. **All electronic archived data files on portable hard drive, DVD, or any other electronic storage medium will be transferred to new portable hard drive, DVD, or any other electronic storage medium every 8 years to ensure quality of original documents.**

VI. FILING SCHEME FOR ELECTRONIC MAIL

- A. E-mails should be treated not differently than any other type of records you may possess or create. Thus, one must follow the records retention schedule of the record series before destroying (i.e. deleting) the e-mail. That is, the e-mail is simply the medium upon which the

record happens to be fixed. (It is recommended that the e-mail be printed in hard copy and retained with the appropriate record series).

- B. E-mail systems used to create, receive, and maintain e-mail messages have full, complete, and up-to-date systems documentation. E-mail systems follow all recommendations for system security. Complete systems backups are regularly and consistently performed. E-mail system retains all data and audit trails necessary to prove its reliability as part of the normal course of agency business. The record copy of a message is identified and maintained appropriately. Backup procedures should be coordinated with disposition actions so that no copies of records are maintained after the retention period for the records has expired.
- C. **Non-Record Messages** – delete at will (i.e. personal messages of family, friends, miscellaneous)

Transitory Messages – delete when no longer of administrative value per General Schedule GAR-CM-05 (i.e. drafts of publications, reports, memos, and meeting notices)

Intermediate Retention Messages – Delete per Retention Schedule

Accounting correspondence and memos – delete after 1 year GAR-CM-02.

Budget preparation materials – delete after budget is in effect GF-BA-01.

Capital improvement projects correspondence and memos - delete after 1 year GAR-CM-02.

Payroll correspondence and memos - delete after 1 year GAR-CM-02.

Vendor correspondence and memos - delete after 1 year GAR-CM-02.

General correspondence and memos - delete after 1 year GAR-CM-02.

Monthly reports – Delete after one year GAR-RPM-07.

Staff meeting minutes – Retain for 2 years, then transfer to State Archives for possible retention or destruction GAR-RPM-08)

Permanent Retention Messages

Executive correspondence – retains for 2 years, then transfer to State Archives GAR-CM-01)

VII. RECORDS RETENTION

- A. Staff must identify what category the public record falls under for the records retention schedule. The documents then must be kept in a format to maintain its original content. E-mail documents may be kept in inbox, a computer folder, sent to an archive storage site, or printed for storage in a file. All documents should be monitored for expiration of records retention schedule. Upon expiration of the legally required retention period a form must be completed and sent to the Carroll County records commission for approval to dispose of said documents. Upon approval by the records commission the form will be sent to the auditor of state for approval or disapproval within 60 days. Upon approval to dispose the Ohio Historical Society has 60 days to lay claim to the public records. After the Ohio Historical Society's review then the records commission must allow the county historical society and any other interested entities the right to claim the public records. Only after all these agencies have denied claim the public records can the records be destroyed.

- B. All individual records must follow the confidentiality guidelines that describe the process of document destruction. The individual must be notified in writing and have 30 days to claim the records. Individual records must follow the records retention schedule. Only part of the individual file may be destroyed such as case notes. See the confidentiality of individual's records procedure for further details.
- C. All records after proper approval will be destroyed by a certified shredding process. The certification pertains to a company representative signing a form stating the information was shredded on a certain date. The person, company, business, or organization responsible for document destruction must comply with all HIPAA and confidentiality laws, rules, and guidelines.

VIII. POLICY AND PROCEDURE REVIEW AND UPDATE

The Board shall review, not less than once a year, the system and safeguards employed by the Board and staff to preserve public records and make them accessible. This review shall be used to ensure that certain information is kept confidential based on applicable laws.

Effective date: 5-24-2007, Approved by: Mathual J. Campbell, Superintendent

Revised date: 9-19-2012, Approved by: Mathual J. Campbell, Superintendent