

STATE OF OHIO



DEPARTMENT OF REHABILITATION  
AND CORRECTION

SUBJECT: <b>Records Management Program</b>	PAGE <u> 1 </u> OF <u> 5 </u>  NUMBER: 07-ORD-01
RULE/CODE REFERENCE: O.R.C. 149.333 – 149.341; 149.44	SUPERSEDES: 07-ORD-01 dated 12/01/14
RELATED ACA STANDARDS: 4-4095, 4-4415; 2-CO-1E-01	EFFECTIVE DATE: May 24, 2016
	APPROVED: 

**I. AUTHORITY**

This policy is issued in compliance with Ohio Revised Code 5120.01 which delegates to the Director of the Department of Rehabilitation and Correction the authority to manage and direct the total operations of the Department and to establish such rules and regulations as the Director prescribes.

**II. PURPOSE**

The purpose of this policy is to establish an effective records management program in compliance with Ohio Revised Code sections 149.333 – 149.341, 149.44, and DAS Directive 06-16 for all records of the Ohio Department of Rehabilitation and Correction.

**III. APPLICABILITY**

This policy applies to all divisions, institutions, bureaus, and offices within the Ohio Department of Rehabilitation and Correction (DRC).

**IV. DEFINITIONS**

**DAS General Schedules** - A document listing record series and retention periods for records that are common to all state agencies, which have been established by the State Records Administrator, State Archivist, and State Auditor.

**DRC Record Retention Schedule** - A document listing all records series for the DRC and indicating for that series the length of time the records are to be retained. This schedule covers documents that are specific to DRC and are either not covered by the DAS General Schedules or due to operational needs DRC has a longer minimum retention period than what is required by the DAS General Schedule. This schedule becomes effective when approved by the State Records Administrator, State Archivist, and State Auditor.

**Inmate Master Record** – An accurate and complete record documenting the incarceration of each inmate consisting of the master File and all satellite files. Portions of this record may be stored electronically.

**Master File** – Active records maintained in the reception center record office or stored electronically. Contents include confidential materials such as pre-sentence and post-sentence investigations, FBI/BCI rap sheets, journal entries, notifications to judges and prosecutors, commitments papers, court orders, etc. These records are maintained in areas strictly restricted from inmates. Inactive records are files of inmates who have reached the Expiration of Definite Sentence, Expiration of Stated Term, Final Release, Administrative Release, Vacated Sentence, Maximum Expiration of Sentence or are deceased.

**Record** - Includes any document, device, or item, regardless of physical form or characteristic, including an electronic record, 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.

**Record Number** - A number assigned to a series of related or identical records used to identify those records in the Record Retention Schedule and general schedules

**Record Retention Center** - A space or building designated by the DRC for the storage of departmental records.

**Record Retention Center Identification Number** - A number assigned by the document management staff identifying the record location at the Record Retention Center.

**Record Series** – A group of like records that are treated as a unit for records management purposes. A records series may contain many separate files, but is treated as a single unit for all purposes relating to records retention.

**Records Management Coordinator** – The Chief of the Bureau of Records Management who is responsible for implementing and maintaining the DRC records management program.

**Records Retention Coordinator** - An individual so designated within a division, institution, bureau or office that is responsible for maintaining the records retention program for their division, institution, bureau or office.

**State Records Administration** - An administrator appointed by the Director of the Department of Administrative Services (DAS) whose function is to assist in the establishment and the administration of a state records program for all state agencies.

## V. POLICY

It is the policy of the Ohio Department of Rehabilitation and Correction (DRC) to ensure all departmental records created and maintained are scheduled for retention and disposal in the manner prescribed by applicable law and procedure.

## **VI. PROCEDURES**

### **A. Record Retention Schedule**

1. All areas within the DRC shall be provided access to a copy of the DAS General Schedules and the DRC Record Retention Schedule. These schedules may be accessed through the Bureau of Records Management web page on the DRC intranet.
2. All records created, received and/or maintained by DRC must be maintained in accordance with the DRC Record Retention Schedule or the DAS General Schedules. All DRC records must be included in a record series and must be assigned a record number. It is the responsibility of the department, bureau, or office creating a new record to contact the records management coordinator with a request that a record number be assigned.

### **B. Original Placement of Boxed Records in the Records Retention Center**

1. Only records approved by the records management coordinator may be stored at the Record Retention Center. Additionally, only records that have been assigned a record number and are included in the DRC Record Retention Schedule or the DAS General Schedules shall be processed for storage at the record retention center.
2. Record retention coordinators shall contact the document management section to schedule the transfer of their boxed records to the Operation Support Center.
3. The document management section will only accept records transferred in a standard records storage box. Letter size documents are to be filed facing the front of the box and legal size filed facing the right side.
4. All boxed records transferred to the document management section shall be accompanied by the following:
  - a. Operation Support Center records - a Record Warehouse Transfer List (DRC1428). It is the responsibility of the sending division, bureau or office to verify that the records listed on the Record Warehouse Transfer List (DRC1428) are accurate and complete. Two (2) copies of the Record Warehouse Transfer List (DRC1428) shall be sent with the records. A copy of the Record Warehouse Transfer List (DRC1428) shall be returned to the sending division, bureau or office with the Record Retention Center identification number assigned and shall be maintained for future retrieval purposes.
  - b. Institution Inmate Records – an Inmate Record Transfer Sheet (DRC2719). It is the responsibility of the sending institution department to verify that the records listed on the Inmate Record Transfer Sheet (DRC2719) are accurate and complete. Two (2) copies of the Inmate Record Transfer Sheet (DRC2719) shall be sent with the records.

### **C. Retrieval and Return of Records From/To the Record Retention Center**

1. No employee of the DRC shall request any record from the Record Retention Center except when it is in their official capacity to do so.

2. Requests for records from the Record Retention Center may be made on a Record Retention Center Service Request (DRC1427) or by e-mail to DRC Records Center. If requesting a record other than an inmate's master record, the Record Retention Center Identification Number must be listed.
3. All records being returned to the Records Retention Center must be accompanied with a completed Record Retention Center Service Request (DRC1427).

#### **D. Record Retention and Disposal**

1. All records are to be disposed of in accordance with the DRC Record Retention Schedule or the DAS General Schedule, unless a record scheduled for destruction is involved in an active suit, arbitration, investigation, or audit.
2. There may be records that are covered by the DAS General Schedule; however, due to operational requirements, our agency has a longer minimum retention period than required by the DAS General Schedules. Therefore, the DRC Record Retention Schedule must be reviewed before utilizing a retention period stated in the DAS General Schedule.
3. Any area requesting destruction of records maintained within their division, institution, bureau, or office must complete a Certificate of Records Disposal (DRC1931) and forward it to the records management coordinator. The records management coordinator/designee shall confirm the Records Retention Schedule for that record series and return a signed and approved copy of the Certificate of Records Disposal (DRC1931) to the requestor so that destruction can occur. No records may be disposed of without a signed Certificate of Records Disposal (DRC1931).
4. All DRC active and inactive building and or facility blueprints or construction plans are to be stored in cardboard mailing tubes or appropriate blueprint cabinets and labeled accordingly. These may be stored at the retention center, division, institution, bureau or office.

#### **E. Staff Responsibility for Record Retention**

1. Each division, institution, bureau, or office shall designate a records retention coordinator to coordinate the inventorying, scheduling, disposal and/or transfer of all records. This individual shall also serve as a liaison to the records management coordinator.
2. If any DRC employee does not agree with the retention period of a record series or discovers a record that does not have a retention period, he/she should contact their records retention coordinator who shall, in turn, contact the records management coordinator with justification requesting an addition of or modification to the retention period.
3. The records management coordinator may audit any division, institution, bureau and/or office to ensure all records are scheduled for retention and destruction according to DRC policy and procedures.

4. The records management coordinator shall submit an annual Certificate of Compliance to the State Records Administration by December 31<sup>st</sup> of each year in accordance with DAS Directive 08-16.

**Related Department Forms:**

Record Retention Center	DRC1427
Record Warehouse Transfer List	DRC1428
Certificate of Records Disposal	DRC1931
Inmate Record Transfer Sheet	DRC2719