

Records Management Policy and Procedure

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I. PURPOSE

The purpose of the Record Management Policy is to (1) establish an efficient District-wide record management system for maintaining, identifying, retrieving, preserving, and destroying records, (2) ensure that records are adequately protected, (4) ensure that records that are no longer needed or of no administrative value have a destruction procedures, and (5) comply with all applicable local, state, and federal laws and regulations.

II. SCOPE

This policy applies to all records regardless of format.

III. APPLICABILITY

All employees and/or non-employee representatives who conduct business for or on behalf of the District.

IV. DEFINITIONS

Controller	The designated department, as identified in the record retention schedule, responsible for retaining and timely destroying records in compliance with this Policy.
Department	Any and all functional areas within Metroparks.
Record Retention Period	The length of time for which Metroparks is responsible for retaining a specified record in accordance with the record retention schedule.
Record Retention Schedule	The table listing the required record retention period and the designated controller for each identified record.
RC2	Record retention schedule approved by the Auditor of State
Record	According to Ohio Revised Code 149.011, records are defined as follows, "Records include any document, device, or item regardless of physical form or characteristic, created or received by a or coming under the jurisdiction of any public office of the state or its political subdivisions, which serves to document

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the organization, functions, policies, decisions, procedures, operations, or other activities of the office.”

In order for an item to be a record, it must meet all of the following criteria:

Stored on a fixed medium.

Created, received or sent under the jurisdiction of a public office.

Document the organization, functions, policies, decisions, procedures, operations, or other activities of the office.

V. POLICY

A. Records and Record Retention Schedule

1. Records must be maintained in accordance with the record retention schedule and this policy. Expired Records must be destroyed in accordance with this policy.
2. The record retention schedule designates the controller of record for each identified record.
3. If a record is not found under the record retention schedule, it must be added to Metroparks Records Addition Log.

D. Litigation Holds

All records are subject to the litigation discovery. If there is any reason to believe that a claim may be asserted against the District for which any record may be relevant, such records must not be destroyed without the prior approval of the legal counsel.

E. Security - Confidential Information

Many records contain confidential information which is protected by District policies and procedures, as well as, state and federal laws and regulations including but not limited to the Health Insurance Portability and Accountability Act (“HIPAA”). This policy shall be implemented in a manner consistent with all such policies, procedures, laws, and regulations, as those may be amended from time to time.

F. Records Management Responsibilities

Records management is the responsibility of all staff. The information services department is not responsible for determining whether or not an electronic record must be retained or destroyed in accordance with this policy.

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G. Department Head.

Where a department serves as controller of record, the department head is responsible for maintaining its designated record in compliance with the record retention schedule.

VI. RECORD MANAGEMENT PRACTICES AND PROCEDURES

A. Indexing System

All records are assigned a schedule number with a departmental prefix. Duplication of schedule numbers is not permitted.

Department/Division	Code	Series
Board	DB	34
Natural Resources	LA	40
Planning	PL	23
Rangers	RO	22
Maintenance	MO	33
Cultural & Historical	HI	28
Environmental Programs	VC	14
Marketing	MC	20
Retail	RE	21
Photo Center	PC	27
HR	HR	35
Treasurer	FI	24
Customer Service	CS	36
All Park Departments	AL	11
Information Technology	TE	26

B. Protection and Security of Confidential Information

Departments must implement practices that protect confidential information contained within records in accordance with relevant laws and policies. Such protections must be applied in maintenance and destruction of records.

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C. Responding to Records Requests

Departments must implement practices that allow for efficient compliance and response to requests for records in a timely fashion and in compliance with public record request policies.

D. Physical Storage Facilities Practices

A Department's storage practices must ensure the preservation of all records in their original condition while also ensuring efficient retrieval of such records. Departments should secure any physical storage facility to avoid unauthorized access. In addition, such facility and set up should protect such records from possible physical damage such as:

- Pest infestation
- Fire, smoke, or sprinkler damage
- Water damage (e.g., humidity, leaky pipes)
- Damage from magnets (e.g., digital data on magnetic storage media)

E. Retention Practices

Records must be retained by the controller of record in their original format, unless or until appropriately digitized. Records of historic value must be maintained in the format on the approved record retention schedule.

F. Destruction of Expired Records

In Ohio, record retention and disposal are under the jurisdiction of the Records Commissions and the [Ohio History Connection](#). As such, an up to date Record Retention Schedule (RC2) must be maintained with changes approved by local and state commissions and the OHS.

The Ohio Historical Society has final decision on disposal of records as its purpose is to interpret, collect, and preserve Ohio's heritage. Records listed on a record retention scheduled approved by the State Auditor's Office may be disposed of without submitting an RC3, **unless** marked as requiring approval on the RC2. These records require an approval on the RC3 prior to disposal. Other records can be disposed of after they are logged on the Metroparks Record Disposal Log and the log is saved on The Parkway. Logs should be saved under The Parkway>Organization>Shared Documents>Record Retention>Record Disposal Log. The file name should include department and date of proposed disposal.

Here are the steps to take when reviewing documents for possible disposal:

1. Using the Records Database form, inventory your division/department's records. Information on how to define a record is located on The Parkway.
2. Using the RC2 decide which records are to be disposed.
3. Create a new disposal log or add to one that already exists for the division.
4. Fill in the appropriate fields on the disposal log.
5. Dispose records appropriately.

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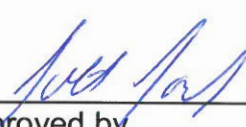
6. If you locate a record that is not included on the RC2, write NEW in the Schedule Number field for that record.
 - a. You will also need to attempt to identify the appropriate retention period and include it on the form as well.
 - b. These records will need to be added to the RC2 and the updated RC2 will need to go through an approval process. They cannot be disposed of until approval is received.

Note: Documents above reside on The Parkway. The RC2 approve November 2015 and a sample records addition log is included in the Appendix.

7. Contact the Information Services Supervisor for a copy of the required RC3.
8. The Information Services Supervisor will send a disposal request to the OHS after the Metroparks Records Commission meets and approves RC3 disposal requests, as necessary.
9. Notification of "OK to dispose" will be made by the Information Services Supervisor once the wait period established by the OHS is met.

All records that have met their retention period (expired records) must be destroyed by the controller of record in the following manner:

1. **Hardcopy Destruction.**
Expired records in hardcopy form that do not contain confidential information should be recycled. Expired records in hardcopy form that do contain confidential information should be shredded in a manner that renders them unreadable and that would prevent them from being reconstructed. Security of the expired records should be maintained until proper destruction is actually performed.
2. **Electronic Records.**
Electronic documents (e.g., Word, Excel, eMail, PDFs, etc.) should be deleted.



Approved by

11/18/2016

Approved date