

OPERATING MANUAL

CHAPTER 1: AGENCY ADMINISTRATION

SUB-CHAPTER 5: PUBLIC RECORDS MANAGEMENT

TOPIC 1: Public Records Policy

Control #	1.5.1
Revision #:	0
Effective Date:	03/15/2012
Replaces:	N/A

Overview: Openness leads to a better informed citizenry, which leads to better government and better public policy. Consistent with the premise that government at all levels exists first and foremost to serve the interests of the people, it is the intent of the Ohio Commission on Service and Volunteerism to at all times fully comply with and abide by both the spirit and the letter of Ohio's Public Records Act (ORC 149.43).

(A) Definition of Public Record

- (1) All records kept by OCSV are considered public unless they are exempt from disclosure under Ohio law. If there is ambiguity regarding whether a record is or is not exempt, the decision should be in the favor of public access.
- (2) A record is defined to include the following: A document in any format - paper, electronic (including, but not limited to, business e-mail) - that is created, received by, or comes under the jurisdiction of OCSV that documents the organization, functions, policies, decisions, procedures, operations, or other activities of the office.

(B) Records Management

- (1) The Director of Finance & Operations shall be responsible for the management of Commission records in accordance with the Public Records Act, and in compliance with federal grant requirements for retention of records.
- (2) Records will be maintained for various periods depending on the type of record, as defined in an approved records retention schedule. All dispositions of records will be authorized by the Director of Finance & Operations, who will maintain a log of such dispositions. See Section 1.5.2 of this Operating Manual for record retention and disposition procedures.
- (3) Records will be filed and maintained in a manner that is logical, consistent and which provides for easy access by staff in completion of their job duties or in response to records requests from the public. Procedures for public records requests are covered in Section 1.5.3 of this Operating Manual.

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CHAPTER 1: AGENCY ADMINISTRATION

SUB-CHAPTER 5: PUBLIC RECORDS MANAGEMENT

TOPIC 2: Record Retention and Disposition

Control #	1.5.2
Revision #:	0
Effective Date:	03/15/2012
Replaces:	N/A

Overview: Public records dispositions are controlled through the use of retention schedules which define the minimum retention period for each group of related records (record series). The Department of Administrative Services publishes a General Schedule for use across state government; agencies may define additional schedules as needed, with DAS review and approval. Federal grants impose requirements for retention of public records which may supersede state retention schedules. All records disposed must be logged and the logs retained for a period as defined in the retention schedules.

(A) OCSV Record Retention Schedules

- (1) Using the DAS-provided Records Information Management System (RIMS) the Director of Finance & Operations will ensure that all records series maintained by the Commission are covered under an approved retention schedule as required under ORC 149.34, and will so certify to the DAS State Records Administrator on an annual basis.
- (2) Current OCSV retention schedules (General and Specific) are attached for reference and may be viewed by the public via RIMS through the DAS website.
- (3) Approved record retention schedules specify the minimum retention period; records may be retained beyond the approved retention period if deemed useful or in compliance with federal grants retention requirements.

(B) Federal Grants Records Retention

- (1) Federal grant terms and conditions dictate retention periods for all records relating to the federal funding. For OCSV nearly all records relate to federal grant funding, so compliance with the federal requirements is generally the determining factor in a decision to retain or dispose of records.
- (2) Current federal regulations (45 CFR 2541.420) require a retention period of three years following the submission of the final expenditure report for each grant year, for records relating to that year of funding.

(C) Records Disposal and Documentation

- (1) Transient records (Record Series GAR-CM-05) include phone messages, post-its, drafts, notes, etc. that "serve to convey information of temporary importance in lieu of oral communication". This may include e-mails of a personal or casual nature. Transient records need be retained only so long as they have "administrative value" to the agency, then may be destroyed. Staff are authorized to dispose of transient records at their discretion, and such disposals will not be logged under this procedure.

- (2) All other records dispositions must be coordinated and approved by the Director of Finance and Operations. Staff desiring to dispose of records should make a list of such items and submit it to the DFO for review. Depending on the record series and retention schedule, disposition may mean destruction of the records or sending them to State Archives.
- (3) Except as noted in (C)(1) above, disposals will be documented using the *OCSV Records Disposal Certification*. Completed forms constitute a record series in the General Schedule and will be retained for a minimum of 2 years in keeping with the stated disposition schedule.
- (4) Transfers to State Archives will be processed according to DAS procedures using Form ADM-3502 Records Transfer List, a copy of which will be retained for a minimum of 2 years following the transfer.



for Contractors/Vendors

for Government Entities

for State Employees

for the Public

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View	Status	Authorization No.	Agency/Division/Section	Agency Series No.	Record Series Title	Approval Date
<input type="checkbox"/>	Active	50710000	CS#1/NONE/NONE	GAR-PP-02	Departmental Policies and Procedures	5/9/2012
<input type="checkbox"/>	Active	50710001	CS#1/	GAR-PP-04	Management and Operations Reports	5/9/2012
<input type="checkbox"/>	Active	50710002	CS#1/	GAR-PP-09	Minutes of Official Public Meetings	5/9/2012
<input type="checkbox"/>	Active	50710003	CS#1/	GAR-RPH-01	Annual Reports	5/9/2012
<input type="checkbox"/>	Active	50710004	CS#1/	GAR-CM-01	Correspondence, Executive	5/9/2012
<input type="checkbox"/>	Active	50710005	CS#1/	GAR-CM-02	Correspondence, General	5/9/2012
<input type="checkbox"/>	Active	50710006	CS#1/	GAR-CM-04	Lists/Directories	5/9/2012
<input type="checkbox"/>	Active	50710007	CS#1/	GAR-CM-05	Transient Documents	5/9/2012
<input type="checkbox"/>	Active	50710008	CS#1/	GAR-RR-01	Records Retention Schedule	5/9/2012
<input type="checkbox"/>	Active	50710009	CS#1/	GAR-RR-03	Records Storage Service Request	5/9/2012
<input type="checkbox"/>	Active	50710010	CS#1/	GAR-RR-04	Certificate of Records Disposal	5/9/2012
<input type="checkbox"/>	Active	50710011	CS#1/	GAR-RR-04	Certificate of Records Disposal	5/9/2012
<input type="checkbox"/>	Active	50710012	CS#1/	GAR-OES-02	Equipment Inventory and Assignment Sheets	5/9/2012
<input type="checkbox"/>	Active	50710013	CS#1/	GAR-OES-11	Release for Abandoned Property	5/9/2012
<input type="checkbox"/>	Active	50710014	CS#1/	GAR-BLM-01	Lease Records of Lands or Buildings	5/9/2012
<input type="checkbox"/>	Active	50710015	CS#1/	SP-O-01	Organizational Charts	5/9/2012
<input type="checkbox"/>	Active	50710016	CS#1/	SP-O-03	Employee Personnel File	5/9/2012
<input type="checkbox"/>	Active	50710017	CS#1/	SP-O-04	Hiring Materials	5/9/2012
<input type="checkbox"/>	Active	50710018	CS#1/	GP-PAY-03	Temporary/Personal Contracts	5/9/2012
<input type="checkbox"/>	Active	50710019	CS#1/	GF-BA-02	Executive Budget Proposal	5/9/2012
<input type="checkbox"/>	Active	50710020	CS#1/	GF-BA-06	Refund of Expenditure Within the Biennium for Prior Year	5/9/2012
<input type="checkbox"/>	Active	50710021	CS#1/	GF-BA-07	Controlling Board General Request	5/9/2012
<input type="checkbox"/>	Active	50710022	CS#1/	GF-BA-02	Federal or State Audit Reports	5/9/2012
<input type="checkbox"/>	Active	50710023	CS#1/	GF-M-14	Revenue Receipts and Holding Account Redistribution	5/9/2012
<input type="checkbox"/>	Active	50710024	CS#1/	GAR-OES-04	Direct Purchase Orders, Requisitions and Other Documents Related to Purchase of Goods or Services	5/9/2012
<input type="checkbox"/>	Active	50710025	CS#1/	GP-PAY-01	Attendance Records	5/9/2012
<input type="checkbox"/>	Active	50710026	CS#1/	GP-PAY-02	Payroll Warrant Records and Payroll Disbursement Records	5/9/2012
<input type="checkbox"/>	Active	50710027	CS#1/	GF-PP-04	Vouchers and Voucher Journals	5/9/2012
<input type="checkbox"/>	Active	50710028	CS#1/	GAR-RPH-02	Publications, State	5/9/2012
<input type="checkbox"/>	Active	50710029	CS#1/	GAR-OES-04	Direct Purchase Orders, Requisitions and Other Documents Related to Purchase of Goods or Services	5/9/2012
<input type="checkbox"/>	Active	50710030	CS#1/	GAR-OES-05	Intra-State Transfer Voucher	5/9/2012
<input type="checkbox"/>	Active	50710031	CS#1/	GAR-OES-06	Increases (Accounts Payable Invoices)	5/9/2012
<input type="checkbox"/>	Active	50710032	CS#1/	GAR-OES-07	Release and Permit to Make Direct Purchases	5/9/2012
<input type="checkbox"/>	Active	50710033	CS#1/	GAR-OES-12	Printing Orders	5/9/2012
<input type="checkbox"/>	Active	50710034	CS#1/	GAR-IT-01	Inter-State Travel Request	5/9/2012
<input type="checkbox"/>	Active	50710035	CS#1/	GAR-IT-02	Travel Expense Report	5/9/2012
<input type="checkbox"/>	Active	50710036	CS#1/	GAR-CM-03	Correspondence, Routine	5/9/2012
<input type="checkbox"/>	Active	50710037	CS#1/	GF-BA-01	Allegation and Plan Adjustment	5/9/2012
<input type="checkbox"/>	Active	50710038	CS#1/	GF-BA-12	OAS Reports and Inquiries by Date Classification	5/9/2012

View

Corporation for National and Community Service § 2541.420

§ 2541.420 Retention and access requirements for records.

(a) *Applicability.* (1) This section applies to all financial and programmatic records, supporting documents, statistical records, and other records of grantees or subgrantees which are:

- (i) Required to be maintained by the terms of this part, program regulations or the grant agreement; or
- (ii) Otherwise reasonably considered as pertinent to program regulations or the grant agreement.

(2) This section does not apply to records maintained by contractors or subcontractors. For a requirement to place a provision concerning records in certain kinds of contracts, see § 2541.360(i)(10).

(b) *Length of retention period.* (1) Except as otherwise provided, records must be retained for three years from the starting date specified in paragraph (c) of this section.

(2) If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the 3-year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.

(3) To avoid duplicate recordkeeping, awarding agencies may make special arrangements with grantees and subgrantees to retain any records which are continuously needed for joint use. The awarding agency will request transfer of records to its custody when it determines that the records possess long-term retention value. When the records are transferred to or maintained by the Federal agency, the 3-year retention requirement is not applicable to the grantee or subgrantee.

(c) *Starting date of retention period—(1) General.* When grant support is continued or renewed at annual or other intervals, the retention period for the records of each funding period starts on the day the grantee or subgrantee submits to the awarding agency its single or last expenditure report for that period. However, if grant support is continued or renewed quarterly, the retention period for each year's records starts on the day the grantee submits its expenditure report for the last quarter of the Federal fiscal year. In all other cases, the retention period starts on the day the grantee submits its final expenditure report. If an expenditure report has been waived, the retention period starts on the day the report would have been due.

OPERATING MANUAL

CHAPTER I: AGENCY ADMINISTRATION

SUB-CHAPTER 5: PUBLIC RECORDS MANAGEMENT

TOPIC 3: Public Records Requests

Control #	1.5.3
Revision #:	1
Effective Date:	05/15/2012
Revision Date:	11/01/2012
Replaces:	N/A

Overview: This procedure documents the manner in which OCSV will comply with public requests for Commission records, consistent with the requirements of the Ohio Public Records Act (ORC 149.43) and specifies the fees that may be charged for the provision of records copies.

(A) Request Procedure

- (1) A requestor may use the OCSV Public Record Request Form (copy attached), or any other method of his/her choice to request access to Commission records; requests need not be in writing. OCSV may ask the requestor to put the request in writing to avoid confusion and assist in fulfilling the request, *but must inform the requestor that s/he is not required to do so*. In the event that a requestor does not wish to put their request in writing, the OCSV staff member receiving the verbal or phone request will complete an OCSV Public Record Request form to document the scope and date of the request and assist in consistent handling and fulfillment of requests.
- (2) A requestor does not have to provide his/her identity or the intended use of the requested public record. *Staff receiving phone or verbal requests must so inform the requestor prior to requesting contact information.*
- (3) No specific language is required to make a request for public records. However, the request must be for specific, existing records, which the requestor must identify with sufficient clarity to allow the office to identify, retrieve, and review the records. If it is not clear what records are being sought, the staff member receiving the request will assist the requestor in revising the request by explaining the relevant filing system and/or providing a copy of the current Record Retention Schedules.
- (4) All completed Public Records Request forms will be referred to the Director of Finance & Operations (DFO) to allow for review of the request by counsel if necessary and to provide opportunity for redaction of non-disclosable information.
- (5) The following are not considered to be public records requests in the context of this procedure, and will be fulfilled by the appropriate staff member without the need for completion of a Public Record Request form or referral to the DFO: (a) Requests by federal funding agencies for copies of documents or records under the terms and conditions of the grant awards; and (b) requests from grantees/applicants for information regarding their own grants/applications or for examples of previously-funded applications as technical assistance during the application process.

(B) Response Process and Timeframe

- (1) Public records are available for inspection during regular business hours. Requests for inspection must be accommodated "promptly"; OCSV will try to accommodate inspection requests immediately. In processing a request for inspection of a public record, an office employee must accompany the requester during inspection to make certain original records are not taken or altered.
- (2) Copies of public records must be made available within a "reasonable period of time". This will vary depending on the volume of records requested; the proximity of the location where the records are stored; and the necessity for any legal review and redaction of the records requested. Within three (3) business days following receipt, OCSV will fulfill the request or will provide the requestor a written acknowledgement of the request and an estimated response timeline.
- (3) In processing the request, the office does not have an obligation to create new records or perform new analysis of existing information. However, an electronic record is deemed to exist and thus must be provided, so long as a computer is already programmed to produce the record through simple sorting, filtering, or querying. Although not required by law, the office may accommodate the requestor by generating new records when it makes sense and is practical under the circumstances.
- (4) Any denial of public records requested will be made in writing and will provide legal justification for the denial. If portions of a record are public and portions are exempt, the exempt portions will be redacted and the rest released. When making public records available for public inspection or copying, the office will notify the requestor of any redaction or make the redaction plainly visible. If there are redactions, a written explanation will be provided describing the redacted information and providing the legal justification for exclusion. OCSV may consult with legal counsel in the Attorney General's office prior to denying or redacting records in response to a request, which may impact the response timeline. Refer to Policy 1.6.1 for additional information about redaction of "personal information" contained in office records.
- (5) Following disposition, the date(s) of response will be noted on the Public Record Request form, and any written denial/redaction communication to the requestor will be attached. Also in the event of redaction, a copy of the records as actually provided to the requestor will be attached, unless the volume of records is unwieldy. The completed request forms and attachments will be maintained by the Director of Finance & Operations in a central location, and as such will constitute a log of public records requests as recommended by the State Auditor's Office.
- (6) To the extent practical OCSV will provide copies on any medium requested. OCSV may charge for the actual cost of making copies, excluding staff time. The charge for paper copies will be three cents (\$0.03) per page. The charge for electronic files downloaded to a compact disk will be 50 cents (\$0.50) per disk. Copy fees less than fifteen dollars (\$15.00) generally will be waived, at the discretion of the DFO, except in cases of multiple frequent requests by the same requestor. OCSV will not charge for file delivery by standard mail or email; if the requestor desires that the files be sent by overnight delivery or if USPS parcel post rates apply, the requestor will be required to provide a prepaid shipping label.

Revision History:

(1) 11/01/2012. Added reference to new Policy 1.6.1 in Section (B)(4).

PUBLIC RECORDS REQUEST

This form may be used by members of the general public to request access to Commission public records; requests may be made via other means as well, including verbally. In the event of verbal or other requests OCSV staff will complete this form to aid in providing consistent handling of public records requests and documenting their disposition. Completed Public Records Request forms must be forwarded to the Director of Finance and Operations for review prior to fulfillment, and may be referred to counsel for advice. Requests will be fulfilled within three (3) days or an "In Process" response will be provided with an estimate of the final response timeline. Fees of less than \$15 will be waived except in cases of multiple/frequent requests.

Request for: Inspection Photocopy (\$0.03/page) Electronic Copy (\$0.50/disk)

Request date: _____ Received by (staff name): _____

Notice to Requestor: Under state law you are not required to provide your name or contact information or the reason for your request. We request contact information solely to allow us to contact you with any questions that arise and to assist with delivery of record copies. (If phone request, staff must advise requestor of optional nature before requesting this information.)

Requestor Name: _____ Email: _____

Requestor Address: _____ Phone: _____

Delivery method requested: _____
e.g.: Mail, UPS (must provide prepaid label), email, call for pick up, will call, etc.

Description of records requested: Request must be for specific, existing records, not "Information about . . ."
Requestor may ask to see a copy of our Record Retention Schedule which provides a listing of records that we maintain.

Retrieval Assigned to: _____	Retrieval Completed on _____
DFO Review Initials/Date: _____	Redact/Deny Memo Attached? Y N
"In Process" Response Date: _____	Copy pages: _____ Disks: _____ Fee Due: _____
Final Response Date: _____	