ACCESS PUBLIC RECORDS POLICY
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The orderly acquisition, storage and retention of records and reports are essential for the overall efficient and effective operation of the Area Cooperative Computerized Educational Service System (ACCESS). The ACCESS Governing Board establishes a Records Commission to govern matters pertaining to records, their retention and disposal.

Local Records Commission
The Records Commission shall consist of the Board Chairman, ACCESS Fiscal Agent Treasurer, and Executive Director. The Executive Director shall serve as chairman/secretary of the Records Commission. The members of this commission shall appoint necessary records officers to carry out the necessary work associated with organizational records.

WRITTEN RECORDS AND DOCUMENT MANAGEMENT GUIDELINES

ACCESS will maintain a current inventory of records maintained, a schedule of Records Retention and Disposition, and written record and document management guidelines.

Please note that these guidelines pertain to records maintained by and for the operation of ACCESS as the Information Technology Center (ITC). As a part of the services provided by ACCESS, the agency retains records for member school districts. Each district has its own local records commission that oversees the records retention policy; and each district is responsible for ensuring that the district complies with local records policies and retention schedules. **All data acquired on behalf of school districts is held in trust for those districts. Any transfer or release of school district data requires prior authorization from that district.**[1]

WHAT IS A PUBLIC RECORD?
A public record is a record kept by a public office.[2] A "record" is 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 organization, functions, policies, decisions, procedures, operations, or other activities of the office.[3]

WHAT RECORDS MUST ACCESS KEEP?
Under Ohio Law, a public office is required to keep records that are "necessary for the adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the agency and for the protection of the legal and financial rights of the state and persons affected by the agency's activities."[4] A written disaster recovery plan will be maintained by ACCESS for the protection of all records it maintains.[5]

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[1] Ohio Admin. Code 3301-3-06 (A)(5).
[2] Ohio Rev. Code 149.43 (A)(1).
[3] Ohio Rev. Code 149.011(G).

[4] Ohio Rev. Code 149.40. Records will be stored in a manner such that they will be protected from excessive heat and humidity or by vermin infestation, safe from floods, fire, and theft. See Ohio State Archives, "Local Government Records Handbook – Records Storage," http://www.ohiohistory.org/resource/lgr/storagel.html (2008).

[5] This plan is currently under revision.

CONFIDENTIAL RECORDS NOT SUBJECT TO PUBLIC REVIEW

Some records are not subject to release under the Public Records Law. The following are examples of records which must not be released:

*Attorney-client privileged information
*Child abuse reports
*Criminal background information
*Sealed records
*Trade secrets
*Social security numbers
*Mediation communications
*Medical records
*Student education records and other personally identifiable student information, except for "directory information" (FERPA, 20 U.S.C.1232g; ORC 3319.321)
*Information pertaining to the recreational activities of a person under the age of 18
*Infrastructure records: records that disclose the configuration of "critical systems', such as computer, network, electrical, mechanical, ventilation, water, plumbing, or security systems. This does not include simple floor plans.
*Security records: any records containing information directly used for protecting or maintaining the security of a public office against attack, interference, or sabotage or to prevent, mitigate, or respond to acts of terrorism.

(The above list is not exhaustive.) For a more complete listing of records not subject to disclosure, see Ohio Attorney General and Ohio Auditor of State, "Ohio Sunshine Laws 2008, An Open Government Resource Manual" (2008), www.ag.state.oh.us/legal/sunshine.asp.

HOW AND WHY CERTAIN INFORMATION MAY BE REMOVED FROM RECORDS BEFORE PUBLIC INSPECTION - REDACTING

When faced with a record that, in part, contains information that is not subject to public disclosure, ACCESS will redact the exempt portion of the record (rather than withhold the entire record); the remainder of the record must be disclosed. The person seeking to inspect or copy the record will either be notified regarding any redaction, or, when possible, the redaction will be made plainly visible. An explanation for the redaction must be provided to the requesting party, including a citation of legal authority.[6]

HOURS WHEN RECORDS ARE AVAILABLE FOR INSPECTION

Records will be available for inspection during ACCESS's normal business hours (8:00 a.m. to 4:00 p.m.). Records will be made available promptly, and copies will be made, upon request, within a reasonable period.

COST FOR OBTAINING RECORDS

There is no charge for inspection of public records. Copies will be charged at the actual rate of providing the copies. Charges will also be made for the actual cost of mailing supplies and postage. All copies will be made by a designated employee of ACCESS. Prepayment for the cost of copies and mailing will be required. The person requesting the record(s) may choose the medium upon which they would like a record to be duplicated from these choices: (1) on paper, (2) in the same form as ACCESS keeps it, or (3) on any medium upon which ACCESS determines the record can "reasonably be duplicated as an integral part of the normal operations of the public office."[7]

[6] See Ohio Rev. Code 149.43(B)(1).
[7] Ohio Rev. Code 149.43 (B)(2).

REQUESTING RECORDS

Any person, corporation, individual, or governmental agency may request public records. The person does not have to be an Ohio resident. ACCESS will not limit or condition the availability of records based upon the requestor's identity or the intended use of the requested record, unless permitted by law to do so. The request does not have to be in writing, nor does the requestor need to identify him or herself, though in situations where the identity of the individual or the intended use of requested information would enhance the ability of ACCESS to comply with the request, ACCESS may ask for this information, but would notify the requestor that s/he is not required to disclose it. The person seeking the records may designate someone else to inspect or retrieve copies. A request must be specific and describe what is being sought, and must be made directly to the ACCESS Executive Director. If the request is ambiguous or overly broad, or ACCESS staff cannot reasonably identify the public records being requested, the requestor will be notified and given an opportunity to revise the request. If a request for public records is ultimately denied, ACCESS will provide the requester an explanation of the reasons for the denial, including legal authority. A limit of ten records per month will be sent to any one **commercial** requester. ACCESS will mail copies via U.S. postal service upon request.

STEPS FOR DISPOSITION OF RECORDS:

1. The Local Records Commission will meet at least once annually.
2. A records inventory will be maintained by ACCESS to identify and describe the records types or series possessed by ACCESS. The inventory should include the schedule number, Record title, location, information content, dates included, and media type.
3. The commission will decide which records are of ADMINISTRATIVE, LEGAL, FISCAL, or HISTORICAL value when determining which records to retain or dispose of.
4. The ACCESS records officer will prepare a Schedule of Records Retention and Disposition (RC-2), and complete the appropriate records disposal form(s). For any records that are not on the RC-2 form, the records officer will complete an application for One-Time Records Disposal (RC-1). Forms are available from the Local Government Records Program of the Ohio Historical Society at http://www.ohiohistory.org/resource/lgr/forms.html.[8]
5. Upon the Commission's approval, the records retention schedule (RC-2) or list of disposable records (RC-1 and RC-3) will be forwarded as follows:
    a. Original – Forward original to Ohio Historical Society Network Specialist for Mahoning County.
    b. Copies – Keep one (1) copy with Records Commission Files.
    c. Ohio Historical Society Records Specialist will make and send a copy to State auditors office.
    d. A third copy should be retained at ACCESS until an approved copy is returned.
6. Once the retention periods listed on the schedule have been approved by all authorities, records beyond the approved retention periods may be disposed of without having a records commission meeting.
7. Each time there are records to dispose of, the ACCESS records officer will prepare the necessary Certificate of Records Disposal (RC-3) and submit it to the OHS State Archives 15 business days before the disposal date, and obtain approval before disposing of or transferring any record. The Ohio Historical Society State Archives LGRP will forward the RC-3 to the Auditor of State's records officer, Columbus. The certificate of records disposal serves as the official record of the disposition of the records.
8. ACCESS will dispose of records in accordance with approved Schedule or Application.

[8] The application for a one-time records disposal (RC-1) is used to request permission to destroy or transfer particular records covering only specified dates. It should be used primarily to dispose of obsolete records that are no longer created or maintained. Unlike the continuing authority provided by a RC-2 records schedule, as RC-1 one-time disposal application allows records to be disposed of one time.

RECORD RETENTION AND DESTRUCTION:

ITC SERIES:

1000 – Board and Administrative Records

2000 – Employee Records

5000 – Administrative Offices

6000 – Financial Records

8000 – Reports

9000 – Other

9600 – Legal

9700 – Computer Operations and Technical Support

Definitions:

- "After end of fiscal year" means the number of years specified plus the current year.
- "Provided Audited" means the record series has been audited by the Auditor of State and the audit report released.

ACCESS Record Retention Schedule

ACCESS – 1000 Board and Administrative Records			
Schedule Number	**Record Title**	**Description**	**Retention Period**
1101	Board Minutes	ACCESS Governing Board meeting minutes	Permanent
1102	Blue Prints, Plans, Maps	Blue Prints, Plans, Maps of Property owned	Permanent
1103	Deeds, Easements, Leases	Deeds, Easements, Leases of property	Permanent
1104	Board Policy Books and other Adopted Policies	Publications produced by an agency detailing operations, regulations and/or procedures of an agency, E.g. ACCESS policies and procedures manual; ACCESS Constitution and bylaws. Records of data processing policies including those covering access, security, systems development, disaster recovery, records retention and disposition, and data ownership. i.e. All ACCESS policies.	1 Year after superseded
1104.1	Organizational Charts		1 Year after superseded ** Provided Audited
1104.2	Customer Contracts/Agreements	Annual Service contract with customers (School Districts) and annual service fee schedules	7 Years ** Provided Audited
1104.3	Service Provider Contracts/Agreements	Annual Service provider contracts with Customers and/or outside agencies (SSEM, E-Rate)	7 Years (Required by federal E-Rate program)
1106	Court Decisions		Permanent
1107	Claims and Litigation		Permanent
1202	Record Disposal Forms	All filed RC-1 and RC-3 Forms	10 Years
1303.1	Information Resources Management and Data Processing Services Plans	Agency IT Plans, Data processing service plans, Continuous Improvement plans and related records used to plan for information systems development, technology acquisitions, data processing services provision or related areas.	5 Years ** Provided Audited
1303.2	Organization Publications	Reports or publications generated for external audiences: ACCESS newsletters, periodic reports on agency activities or operations of ACCESS	2 Years
1304	Board Meeting Notes		5 Years
1305	Board Meeting Agendas		5 Years ** Provided Audited

ACCESS – 2000 Employee Records			
Schedule Number	**Record Title**	**Description**	**Retention Period**
2102	Classified Active Employees	Employee files include: employment applications, resumes, evaluations, personnel actions, absence certification, transcripts, professional development plans and any other documents which become part of the file. (Note: Permanent employee files are responsibility of Fiscal Agent.)	Retain 7 years after employee leaves employment
2302	Professional Conference Applications	Employee training, tuition reimbursement, CEU's, and records of participation in professional development activities	2 Years ** Provided Audited
2306	Applications (not hired)	Vacancy Postings and applications, resumes and interview questions from applicants not hired	2 Years
2307	Schedules of Employees	Salary Schedules of employees	7 Years
2401	Job Descriptions		Retain 2 years after superseded or Termination of employment

ACCESS – 5000 Administrative Offices			
Schedule Number	**Record Title**	**Description**	**Retention Period**
5301	Repair, Installation and Maintenance Records		5 Years
5306	Vandalism Reports		5 Years
5309	Bids and Specifications (unsuccessful)	All bidding documents, RFP's or similar documents (purchasing, construction, personnel services…)	1 Year
5310	Bids and Specifications (successful)	All bidding documents, RFP's or similar documents (purchasing, construction, personnel services…)	6 Years after completion of Bidding
5311	Contractor Files (Resolutions, additions, drawings, etc)		Until project complete, if no action pending
5402	Warranty/Guarantee		Life/Warranty of Equipment
5403	Equipment Inventory	Documents or programs used to complete equipment inventory reports for anything considered of value	Until superseded. No RC-3 filing required.
5403.1	Records Inventory	Used for conducting an inventory of an agency's record series. Requests vital information to be used in determining the retention period and disposition of a record (To Be stored with RC-1 and RC-3 Forms)	10 Years. No RC-3 filing required.
5405	Supplies Inventory		Until superseded. No RC-3 filing required.

ACCESS – 6000 Financial Records			
Schedule Number	**Record Title**	**Description**	**Retention Period**
6101	Annual Financial Reports	Budget, revenue, financial summary and detail financial reports	7 Years ** Provided Audited
6204	Budgets (Annual)		7 Years ** Provided Audited
6209	Accounts Receivable Ledgers	Bills to districts for services rendered, E-Rate	7 Years (Required by federal E-Rate program) ** Provided Audited
6210	Budget Work Papers	Worksheets used for proposed budgets and related documents	Retain until budget is in effect. No RC-3 filing required.
6211	Vouchers, Invoices and Purchase Orders		7 years ** Provided Audited
6212	State Program Files	Grant Applications and related documentation	7 years ** Provided Audited
6213	Federal Program Files	Grant Applications and related documentation	7 years ** Provided Audited
6315	Monthly Financial Reports		5 Years ** Provided Audited
6317	Service Contracts / License Agreements	Contract encumbrances, procurements, complaint to vendors, related contract documents: maintenance contracts for data processing equipment, software licensing, membership agreements and related records including copies of contracts, service histories and work orders	7 Years after expiration ** Provided Audited
6318	State Subsidy Reports		7 Years ** Provided Audited
6319	Delivery/Packing Slips	Delivery slips and packing slips, UPS logs. (Documents related to purchase of Goods or services.)	7 Years ** Provided Audited
6401	Requisitions		1 Year ** Provided Audited

ACCESS – 8000 Reports			
Schedule Number	**Record Title**	**Description**	**Retention Period**
8201	State Audit Reports	Copies of Audit reports issued by the Auditor of State or federal government	5 Years

ACCESS –9000 Other			
Schedule Number	**Record Title**	**Description**	**Retention Period**
9101.1	Lists/Directories	Includes mailing lists, directories, rosters and registers complied by an agency. E.g. UMP and Exchange E-mail lists.	Until superseded or no longer of administrative value to agency. No RC-3 filing required.
9402	Employee Guides	Manuals produced by an agency for internal personnel training	Until superseded or no longer of administrative value to agency. No RC-3 filing required.
9403	Advisory Meeting Minutes	ACCESS Advisory meeting minutes	5 years
9404	Staff/Team Meeting Agendas and Notes	ACCESS Staff meeting, ACCESS Staff Team meeting agendas and notes	3 years
9405	Transitory records***	All other (*transient*) documents not listed in any other Record Title of this document	Retain until no longer of administrative or legal value. No RC-3 filing required.

***Transitory records do not set policy, establish guidelines or procedures, certify a transaction, or become a receipt. Transitory records include telephone messages, drafts, and other limited documents that serve to convey information of temporary importance in lieu of oral communication.

ACCESS – 9600 Legal			
Schedule Number	**Record Title**	**Description**	**Retention Period**
9601	Attorney Correspondence	Legal opinions, attorney correspondence, formal and informal opinions issued to state agencies with all pertinent material attached thereto.	Retain until no longer of administrative or legal value. No RC-3 filing required.
9602	Permits, Certifications	All documents relating to application and grant or denial of an administrative permit, etc. (ACCESS Permit)	Retain 1 year after final expiration, including all renewals, or 1 year after denial
9603	Public Records Requests	All documents relating to a public records request	Retain until no longer of administrative or legal value. No RC-3 filing required.

ACCESS – 9700 Computer Operations and Technical Support			
Schedule Number	**Record Title**	**Description**	**Retention Period**
9701	Data Processing Operation Procedures	Records of procedures for data entry, the operation of computer equipment, production control, tape library, system backup, and other aspects of a data processing operation.	Retain until superseded, obsolete or replaced. No RC-3 filing required.
9702	Data System Specifications	Records necessary for using the system; user guides, system or sub-system definitions, system specifications, system flowcharts, program descriptions and documentation	Retain until superseded, obsolete or replaced. No RC-3 filing required.
9703	Technical Program Documentation	Copy of program code, program maintenance log, system change notices, original design documents and other records that document computer programs and modifications	Retain until superseded, obsolete or replaced. No RC-3 filing required.
9704	Data Processing Hardware Documentation	Records documenting the use, operation, and maintenance of an agency's data processing equipment including operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems	Retain until superseded, obsolete or replaced. No RC-3 filing required.
9705	System Backup Files – E-Mail	Copies or Tapes of E-Mail databases and transaction logs needed to restore a system in case of a disaster or inadvertent destruction	Retain backup tapes for 7 days. No RC-3 filing required.
9705.1	System Backup Files - SQL	Copies or Tapes of SQL databases and transaction logs needed to restore a system in case of a disaster or inadvertent destruction	Retain backup tapes for 14 days. Retain online copies until superseded, obsolete or replaced. No RC-3 filing required.
9705.2	System Backup Files/Computer Usage Files	Copies or Tapes of all other (excluding E-Mail or SQL) master files or databases, application software, logs, directories and other records needed to restore a system in case of a disaster or inadvertent destruction	Retain backup tapes for 30 days. Retain online copies until superseded, obsolete or replaced. No RC-3 filing required.
9706	System Security Access Records	Electronic or textual records created to control or monitor access to a system and its data created for security purposes, including but not limited to security logs.	Retain for 30 days. No RC-3 filing required.
9706.1	System User Authorization Records	Electronic or textual records created to control and record user account authorization requests.	Retain until 30 days after account is deleted. No RC-3 filing required.
9708	Training Materials/Presentations	Records relating to training documentation, presentations.	Retain until no longer of administrative value to agency. No RC-3 filing required.
9709	Test Database/Files	Routine or benchmark data sets, related documentation and test results constructed or used to test or develop a system.	Retain until no longer of administrative value to agency. No RC-3 filing required.
9710	Service/Project/Committee Files	Routine files to track work within service area, project or committee. Includes notes from meetings, correspondence, documentation, procedures, guidelines and work assignments.	Retain until no longer of administrative value to agency. No RC-3 filing required.

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