
RIMS User's Manual



**Department of
Administrative Services**

Ohio Department of Administrative Services
General Services Division

Records Management
Office of State Printing and Mail Services

4200 Surface Road, Columbus, Ohio 43228
Telephone (614) 502-7641

Revised 12/1/2021

Table of Contents

Introduction	2
What is RIMS?	2
Access Levels	2
Obtaining Access	3
Login Procedure	3
Conducting Searches of Schedule Information	4
State Users: Records Viewer, Records Coordinator, Records Officer	5
Finding a Specific Schedule Using an Authorization Number or Keyword	6
Search for Schedules with Different Status	6
Submitting a Retention Schedule	7
Definition of a Retention Schedule	7
Approval Process	7
Elements of a good retention schedule	8
General Schedules	8
What are General Schedules?	8
When to Use the General Schedules	8
Adopting General Schedules	8
Submitting or Revising an Agency-Created Retention Schedule	10
Tracking Approval Process	12
Approving Schedules (Records Officer, State Archivist, State Auditor)	12
If Schedule Is Rejected	13
Add or Edit Division or Section	13
Making a Schedule Obsolete (Records Officer Only)	14
Documenting Records Disposal	18
Why Documenting Disposals is Important	18
What Should Be Included in Disposal Documentation	18
Documenting Disposals Using RIMS	19
Searching for Disposals Stored in RIMS	19

Introduction

What is RIMS?

The Records Information Management System (RIMS) is a complete listing of all active retention schedules. The system contains the full text of General Schedules, agency-created schedules, agency-adopted general schedules, as well as approval information.

RIMS is also a system for submitting and approving retention schedules. This electronic process supersedes the filing of the Records Retention Schedule (ADM-3500). RIMS allows editing of rejected schedules and streamlines revisions to previous schedules by automatically importing the information from the outdated schedule. The system also allows the schedules to be approved electronically, thereby reducing the approval time required.

RIMS is also an excellent reference tool. All active retention schedules on file with the state are included in the database. Agencies can utilize this to search for retention periods of similar or related records and the general public can utilize the system to find the location of public record information that they may need.

Access Levels

General Public: This is the basic access level and does not require a State User ID. Access is limited to viewing a list of General Schedules, searching and viewing active agency retention schedules, and viewing an acronym listing of agencies, divisions, and sections.

Records Viewer: Access at this level requires a State User ID and password. The options available at this level are like the general public level except the search function is more comprehensive. Records Viewer can also search schedules in-process, obsolete, and rejected. This level allows state personnel to review schedules before they are approved but not modify them.

Records Coordinator: Retention schedules are created at this level as well as disposals. The search functions are the same as the previous level.

Records Officer: This is the highest access level for agencies. The functions are the same as the records coordinator except that any schedules created at this level go directly to the State Records Administration for approval. A records officer can also reject or delete schedules submitted by the agency records coordinators. Records Officer can also designate a schedule as being obsolete and modify the divisions/ sections assigned to the agency.

State Archivist/State Auditor: These levels are strictly for review and approval of pending retention schedules.

State Records Administration: This level is also for review and approval of pending retention schedules but also can obsolete schedules.

System Administrator: This level is for maintaining the system and correcting problems with the system.

Obtaining Access

To obtain access above the general public level requires a State User ID number. The request for access should come from the head of the agency or the designated records officer. The request should list the name of the person(s) needing access, level desired, email address, and phone number. The agency may also designate specific division or section for each user. Once a user is assigned to a specific division/section, that is the only area they can submit schedules and disposals for. If no division or section is specified, they will be able to submit schedules for the entire agency.

Login Procedure

The RIMS database can be accessed from the Ohio Department of Administrative Services, State Printing and Mail Services, Records Management web page <https://das.ohio.gov/Divisions/General-Services/State-Printing-and-Mail-Services/Records-Management>. Scroll down to the RIMS Database link. Upon opening, the following screen will appear with the General Schedule List:

Series ID	Record Title	Description	Retention Period
GAR-BUJ-01	Lease Records of Land or Buildings	Contractual agreements between the State and various parties conveying an estate in property for a limited period, subject to various conditions, in exchange for monetary or other types of consideration. Records include, but not limited to, related correspondence, actual signed contract, transactional documents, security reviews, facility specs, (blueprints and needs).	Paper & Electronic: Fulfill the requirements of OAC 117.48. Retain 2 years after expiration of lease, then destroy.
GAR-BUJ-02	Maintenance and Repair of Buildings	Records documenting the maintenance and repair of agency buildings including, but not limited to, the actual request, review, correspondence, electronic database information, and documentation of completion.	Paper & Electronic: Retain 2 years, then destroy.
GAR-BUJ-03	Purchase of Land Records	Agreements, encumbrances, fund transfers, plans, resolutions, attorney general opinions, contracts and any other original documents related to the acquisition of real property by the State of Ohio.	Paper & Electronic: Upon completing requirements of OAC 117.48, retain in agency until property is sold or conveyed.
GAR-BUJ-04	Real Estate Property and Deed Records	Records and inventory of real estate and land acquisitions. Records include deeds, property surveys, property maps, other records pertinent and related to Real Property.	Paper & Electronic: Retain for 1 year after recorded with County Auditor, then destroy.
GAR-BUJ-05	Capital Asset Records	All records for tangible property including, but not limited to, boilers, chilers, exhaust systems, manufacture warranties, instructions, and engineering drawings.	Paper & Electronic: Retain 2 years after asset is sold or salvaged, then destroy.

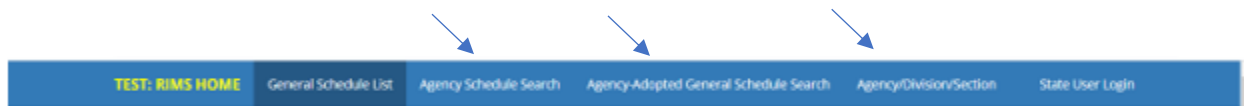
The home page is where all users can view the list of General Schedules as well as Agency Created Schedules and Agency Adopted General Schedules by clicking on the tabs at the top.

Conducting Searches of Schedule Information

Public User Search:

The General Schedule List are recommended record retention schedules developed by the Ohio Department of Administrative Services (DAS) for general business functions of a government agency. While State Agencies may create their own records retention schedules, they can also adopt any of these general schedules as a retention schedule for their agency records management program. Use the “[Agency Schedule Search](#)” and “[Agency-Adopted General Schedule Search](#)” tabs to view the active retention schedules a state agency may have created or adopted for their records management needs.

To see a list of Agency acronyms (three-character code that corresponds to the agency), click on the Agency/Division/Section tab. Select an agency from the drop-down box to view a specific agency and its related divisions and sections.



Click on Agency Schedule Search. On the next screen, click on drop down arrow to choose a specific agency and click on Search button. Schedules can be sorted chronologically by clicking on ‘Approval Date’, alphabetically by clicking on ‘Record Series Title’, or by any of the blue column titles. To view a specific retention schedule, click on the ‘Action’ icon at the end of the schedule row. After the schedule opens, scroll down to the bottom of the page and click the ‘Back to List’ button to return to previous screen.

Agency Schedule Search

Authorization Number Keyword

Agency Division Section

Agency Schedule Search Results

Authorization Number	Agency/ Division/ Section	Agency Series Number	Record Series Title	Confidential	Vital	Approval Date	Action
700-0078	AGR/ AGRADMIN/ AGRADMINAD02	GEN-0078	GAF-84 Revenue Receipts and Holding Acco	<input type="checkbox"/>	<input type="checkbox"/>	07/01/1988	
700-0081	AGR/ AGRADMIN/ AGRADMINAD02	GEN-0081	GAF-71 Purchase Order	<input type="checkbox"/>	<input type="checkbox"/>	07/01/1988	
700-0088	AGR/ AGRADMIN/ AGRADMINAD02	GEN-0088	GAF-88 Vendor Master Invent Inventory	<input type="checkbox"/>	<input type="checkbox"/>	07/01/1988	

To view Agency-Adopted General Retention Schedules, click on Agency drop down arrow to choose specific agency and click on Search button. Schedules can be sorted chronologically by clicking on ‘Approval Date’, alphabetically by clicking on ‘Record Series Title’, or by any of the blue column titles. To view a specific retention schedule, click on the ‘Action’ icon at the end of the row. After the schedule opens, scroll down and click the ‘Back to List’ button to return to the previous screen.

General Schedule Search

Authorization Number

Keyword

Agency

Division

Section

Search

Clear

Search Results

Authorization Number	Agency/ Division/ Section	Agency Series Number	Record Series Title	Approval Date	Action
11100514	TAX/ TAX1015/ TAX1015	GAR-BLM-01	Lease Records of Lands or Buildings	06/12/2006	
11100783	TAX/ /	GAR-BLM-01	Lease Records of Lands or Buildings	07/28/2015	

Results can be further narrowed by entering the Authorization number of the schedule and/or selecting a division and section. If the request results in more than 500 records, then an error message will appear asking that the search be refined.

State Users: Records Viewer, Records Coordinator, Records Officer

Log in using State User ID number:

State User Login

Click on 'Search' drop down arrow to select:

RIMS HOME

General Schedule List

Search ▾

General Schedule List found below are

S) for general business functions of a

Agency Schedule

General Schedule

Agency/Division/Section

Disposal

Pending

Agency-Created Schedule Search

Click on Agency Schedule Search. Then click on drop down arrow to select specific agency and click on 'Search' button. Schedules can be sorted chronologically by clicking on 'Approval Date' or alphabetically by clicking on 'Record Series Title'. To view a specific retention schedule, click on the 'Action' icon at the end of the row. Scroll down and click the 'Back to List' button to return to previous screen.

Agency-Adopted General Schedule Search

To view Agency-Adopted General Retention Schedules, select Status, Authorization Number or Keyword. Schedules can be sorted alphabetically by General Schedule by clicking on 'Record Series Number' or 'Record Series Title'. To view a specific retention schedule, click on the 'Action' icon. To return to previous screen, scroll down and click the 'Back to List' button.

Finding a Specific Schedule Using an Authorization Number or Keyword

Each schedule is assigned a unique authorization number upon approval. This number can be used in the search by entering the authorization number and click the 'Search' button. Schedules can also be found using keywords in the Record Series Title or within the retention schedule. These searches can help find record series in other agencies that are related or find a schedule for a record series when the authorization number is unavailable. Select 'Status', type the keyword in the appropriate box and click 'Search'. If the search results in more than 500 schedules the user will be prompted to narrow the search.

Search for Schedules with Different Status

State users have 3 status options for researching retention schedules. The default on this box is active. Pressing the down arrow in the box displays the other three types that can be searched: Obsolete, Rejected, and Pending. Pending schedules are those schedules that are currently in the approval process but have not received final approval. Obsolete schedules are schedules that were made obsolete, either by action of the records officer or when revised by an updated schedule. Rejected schedules are schedules that have been submitted for approval but have been returned by one of the signatories to the originator for corrections. Once the status of the schedule has been indicated, the search operates identical to an active records search.

Exporting Lists to Excel

State users can export listings of General Schedules, Agency-Created Schedules and Agency-Adopted Schedules by status (active, obsolete, rejected, pending).

The screenshot shows the 'Agency Schedule Search' interface. At the top is a blue navigation bar with 'RIMS HOME', 'General Schedule List', and a 'Search' dropdown. Below the bar, the title 'Agency Schedule Search' is centered. The search form includes three rows of input fields: 'Status' (a dropdown menu with 'Active' selected), 'Authorization Number' (a text box with 'Authorization Number' as placeholder), and 'Keyword' (a text box with 'Keyword' as placeholder). The second row contains 'Agency' (a dropdown menu with 'TAX - Taxation' selected), 'Division' (a dropdown menu with '-- Select --' selected), and 'Section' (a dropdown menu with '-- Select --' selected). At the bottom of the form are three buttons: 'Search' with a magnifying glass icon, 'Clear' with a trash can icon, and 'Export to Excel' with a download icon. The 'Status' and 'Agency' dropdowns, the 'Search' button, and the 'Export to Excel' button are highlighted with yellow boxes.

The screenshot shows the 'General Schedule Search' interface. It has a similar layout to the Agency Schedule Search page, with a blue navigation bar at the top containing 'RIMS HOME', 'General Schedule List', and a 'Search' dropdown. The title 'General Schedule Search' is centered below the bar. The search form includes three rows of input fields: 'Status' (a dropdown menu with 'Active' selected), 'Authorization Number' (a text box with 'Authorization Number' as placeholder), and 'Keyword' (a text box with 'Keyword' as placeholder). At the bottom of the form are three buttons: 'Search' with a magnifying glass icon, 'Clear' with a trash can icon, and 'Export to Excel' with a download icon. The 'Export to Excel' button is highlighted with a black box.

Submitting a Retention Schedule

Definition of a Retention Schedule

A retention schedule states how long a record series needs to be retained. Retention schedules are required to be filed for all record series maintained by any state office. Section 149.34 of the Ohio Revised Code states:

The head of each state agency, office, institution, board, or commission shall do the following: ... (B) Submit to the state records program, in accordance with applicable standards and procedures, schedules proposing the length of time each record series warrants retention for administrative, legal, or fiscal purposes after it has been received or created by the agency. The head also shall submit to the state records program applications for disposal of records in the head's custody that are not needed in the transaction of current business and are not otherwise scheduled for retention or destruction. (C) Within one year after their date of creation or receipt, schedule all records for disposition or retention in the manner prescribed by applicable law and procedures.

The Ohio Revised Code also states in Section 149.333 that no record can be destroyed in the absence of an approved retention schedule.

Approval Process

For a schedule to be active, it must be approved by four areas. The first level of approval is the agency Records Officer. Then the schedule must be reviewed and approved by the State Records Administrator. Finally, the schedule must be approved by both the State Auditor and the State Archivist.

Each of these signatories has a different responsibility in the approval process. The Records Officer is responsible for ensuring that the schedule meets the needs of the agency. The State Records Administrator ensures that the schedule includes all the elements of a good retention schedule and is consistent with the standards set for retention schedules. The State Archivist reviews the schedule to ascertain if it has historical value. The State Auditor is responsible for reviewing the fiscal value of the series. For a schedule to be active, it must have all four approvals.

If a schedule is initiated by a records coordinator, the schedule is sent to the records officer of the agency for review. The records officer can either approve or reject the schedule. If the schedule is rejected, it is sent back to the originator as 'Pending' to make the necessary corrections.

When the records officer approves (or originates) the schedule, it is sent to the State Records Administrator. The schedule is reviewed and approved or rejected. If rejected, it is sent back to the agency for revisions. If approved, it is sent simultaneously to the State Auditor and State Archivist. If either of them rejects the schedule it is sent back

through the process so that the agency can make the corrections. Once they both approve the retention schedule, it is moved into active status.

Elements of a good retention schedule

The main element of good retention schedule is that it is easy to understand. The database of approved retention schedules is available to the general public so they must be able to understand what the record series is and what it is used for. A vague retention schedule could lead to unnecessary public records requests.

The retention schedule should also include a complete and concise retention period. All media that the series exists on should be covered and the reader should be able to quickly determine the criteria that must be met prior to the records being destroyed. An improperly worded retention period can lead to records being destroyed prematurely or retained longer than necessary.

General Schedules

What are General Schedules?

The General Schedules are schedules for record series that are common to most or all state agencies. They provide common retention periods and eliminate the need for agencies to develop schedules for the included series. The General Schedules are broken down into four different categories: General Administration records, Personnel records, Fiscal records, and Information Technology records. Each category is further broken down into various subcategories. Each General Schedule gives a description of the record series and the retention period.

When to Use the General Schedules

To apply the General Schedules to a record it must exactly match the description and the agency must follow the indicated retention period. If one of these conditions does not apply, then the agency must submit an agency-specific schedule as outlined in Chapter III.

Adopting General Schedules

When a Records Coordinator adopts a General Schedule, it is automatically submitted to the Record Officer for approval. However, there is no further approval required for adoption of a General Schedules by the other signatories.

To adopt a General Schedule to the list of agency's schedules, click the Search drop down and select General Schedule.

TEST: RIMS HOME General Schedule List Search

Agency Schedule
General Schedule
Agency/Division/Section
Disposal
Pending

General Schedule List

The General Schedule List found below are retention schedules developed by the Ohio Department of Archives. While State Agencies and local government agencies record retention schedules, they can also adopt any of these

General Schedule Search

Status: -- Select -- Authorization Number: Authorization Number Keyword: Keyword

Search Clear Export to Excel **New General Schedule**

Click on 'New General Schedule' button
New entry screen opens – click on drop down arrow to select the General Schedule you are adopting to your agency schedules.

General Schedule Request

General Schedule: -- Select --

Media: Unknown

Agency Web Link:

Division: -- Select --

Section: -- Select --

Record Series Title:

Retention Justification:

Method Of Disposal:

Agency Series No.:

Record Series Description:

Retention Period:

Select the General Schedule that is to be added and the details of the General Schedule will populate. You will enter the Media, Agency Web Link (optional), Division and Section if applicable. All details of the General Schedule remain constant.

General Schedule Request

General Schedule: GAR-BLM-02

Media: Unknown

Agency Web Link:

Agency: TAX

Division: -- Select --

Section: -- Select --

Agency Series No.: GAR-BLM-02

Record Series Title: Maintenance and Repair of Buildings

Record Series Description: Records documenting the maintenance and repair of agency buildings including, but not limited to, the actual request, reviews, correspondence, electronic database information, and documentation of completion.

Retention Period: Paper & Electronic: Retain 2 years, then destroy.

Retention Justification:

Method Of Disposal: Unknown

Back to List Submit

The description or retention period information cannot be modified. If the requirements of the agency require a different retention period, then an agency specific schedule must be created through the normal approval process.

Once all the information is correct, press the “Submit”. The schedule is then forwarded to the agency Records Officer for approval. The authorization number will be assigned after approval.

Submitting or Revising an Agency-Created Retention Schedule

Records Coordinator or Records Officer can create new retention schedules by clicking the ‘Search’ drop down button. Based on whether you choose ‘Agency’ or ‘General Schedule’, you will see ‘New/Edit Agency Schedule’ or ‘New General Schedule’ button. Click on ‘New/Edit Schedule’ and the next screen will open. If you are revising an ‘Active’ schedule or submitting a new schedule for a series that is not covered by the General Schedules, you should choose agency specific. (Submitting items covered by the General Schedules will be covered in a later.)

Agency Schedule Search

Status

Authorization Number

Keyword

Agency

Division

Section

Items Per Page

When **New/Edit Agency Schedule** is selected, this page will be displayed:

New Agency Schedule

Authorization No.

Agency Series No.

Agency Web Link

Agency

Division

Section

Record Series Title

Record Series Description

Confidential ☐

Vital ☐

Confidential Justification

Vital Justification

Media Code	Retention Period	Retention Justification	Method of Disposal
<input type="text" value="No Media"/>	<input type="text"/>	<input type="text"/>	<input type="text" value="No Method"/>
<input type="text" value="No Media"/>	<input type="text"/>	<input type="text"/>	<input type="text" value="No Method"/>
<input type="text" value="No Media"/>	<input type="text"/>	<input type="text"/>	<input type="text" value="No Method"/>

If you are creating a new retention schedule, do not enter anything in the Authorization No. field. **If revising an ‘Active’ retention schedule, clicking the down arrow on the Authorization No. field produces a drop-down list of authorization numbers of Active retention schedules for the user’s agency. Selecting one of these numbers**

automatically pulls up all the information from the current schedule so that updates can be made.

Select the division and section the records are assigned to (if any) and assign it an agency series number. Then type in (or edit if it is a revision) the title and description of the records being scheduled. Remember, the combination of the title and description should convey what the record series is, why it is created, and the type of information it contains to members of the general public.

The Agency Web Link box is an option for users to provide a link to your agency's webpage.

Agency Web Link:

Once the information has been completed on this page, press the "Submit" button to proceed.

The 'Confidential' or 'Vital' box is for indicating if the record series contains confidential or vital information. If either of these are checked, RIMS will not proceed without a justification stating why the record series has that value. (If both are checked, then a justification must be entered for each.)

The next step in the scheduling process is to indicate what type of media the record series exists on and how long it is to be retained. There are three different lines in case the record series exists on multiple media. (If the series only exists on one media, then only one line needs to be completed.) The first column is a drop-down menu of the type of media. There are three options: paper, electronic, and microform. Record series can have up to three media but only one of each. If the same media is entered for a second line, RIMS will respond with an error message.

The next section is for the retention period. The retention period does not have to be a specific time period but can be based on an event. The retention period should clearly state the length of time the series is to be retained. Retention periods like "retain until determined of no value" do not clearly state what criteria must be met prior to disposal.

If the retention period is more than 5 years or more than 5 years after an event, a retention justification is required. A retention period of retaining "until employee terminates employment" would not require a justification even though many of the records will be retained for 20 years or more. The system does not prompt you if you do not include one when required but the schedule will be rejected by the State Records Administration.

Lastly, the method of disposal is required. The options are shown on the drop-down menu by clicking the down arrow in the required box. Be sure that the method of disposal matches the retention period. Do not indicate a method of wastepaper for a series that has been designated as confidential or indicate that the method of disposal is permanent when the series is retained two years. Once the method of disposal has been

chosen, click the 'Submit' button to send the schedule to the next step in the approval process.

Tracking Approval Process

Once a schedule has been submitted, the progress can be checked using the search screen. Only users that have a State User ID can view schedule information for schedules that have not yet been approved. The search function works the same as a search for an active schedule. To find the schedules that are pending, simply do a search and change the status box from 'Active' to 'Pending'. This will produce a list of schedules that have been submitted but not fully approved. A look at the approvals on the bottom will indicate who has reviewed the schedule and whether they approved or rejected it. If a signature is missing, it means that person has yet to review the schedule.

Approving Schedules (Records Officer, State Archivist, State Auditor)

When schedules are created by a records coordinator, they go into the pending queue of the records officer for the agency. The records officer must click on 'Search' and select 'Pending' to see schedules that are pending review and approval.



The list of schedules pending review and approval will appear with an 'Action' icon at the end of the row. The approver clicks on the 'Action' icon and the pending schedule will populate the screen. The approver has the option to Reject, Delete, or Approve the schedule. An explanation must be entered in the Reject Reason field before the schedule can be rejected. When this action is taken, the schedule is returned to the Record Coordinator's pending list with the reason that the schedule was rejected. The coordinator can then make the necessary changes and resubmit the schedule for approval.

Reject Reason

[Back to List](#) [Export to PDF](#) [Reject](#) [Delete](#) [Approve](#)

Selecting 'Delete' erases the schedule completely from the system and should only be used for a pending schedule that was never approved nor has an Authorization number. Selecting 'Approve' sends the schedule to DAS State Records Administration for the next step in the approval process.

If Schedule Is Rejected

Schedules can be rejected for various reasons. Record Coordinators and Officers must click on 'Search' and select 'Pending' to see if schedules have been rejected from the next access level. When a schedule is rejected, it appears in the pending menu with a status of "R" for rejected.

Users must search for pending schedules by clicking 'Search', 'Pending'. There is no notification that a schedule has been rejected so it is advisable to periodically check the pending list for schedules in process.

TEST: RIMS HOME

General Schedule List

Search

Hello Records Coordinator

Pending Special / General / Obsolete Schedule Req

Agency Schedule

General Schedule

Agency/Division/Section

Disposal

Pending

Pending

Pending Results

Status Code	Agency/Division/Section	Pending Series No.	Record Series Title	Confidential	Vital	Approval Date	Action
R	TAX / TAX1023 / TAX1023	ENF-0002	Complaint Forms	<input type="checkbox"/>	<input type="checkbox"/>	10/23/2018	
R	TAX / TAX1023 / TAX1023	ENF-0003	Inspection Forms	<input type="checkbox"/>	<input type="checkbox"/>	10/23/2018	

To correct a rejected schedule, click on the 'Action' icon to edit the schedule. The rejected schedule will open. Select the 'Edit' button at the bottom of the screen. Make revisions and 'Submit'.

Approvals

Status	Name	Title	Date
Approved	Alexis McKenna	Records Coordinator	8/28/2018 8:32:00 AM
Rejected	Kerrie Ryan	Records Officer	10/23/2018 9:45:00 AM

Notes

Date	Reason	User
10/23/2018 9:44:59 AM	Pls. update for electronic media	Kerrie Ryan

Reject Reason

Back to List ←

Export to PDF 📄

Reject ✕

Edit ✎

Add or Edit Division or Section

Record Officers can add or edit Divisions or Sections by selecting '**Agency/Division/Section**' from the 'Search' dropdown. Choose your agency and click the Search button. The Division and Section descriptions can be edited by selecting the pencil.

RIMS HOME General Schedule List **Search** Hello Terrill

Agency: DOT - Transportation **Search** Clear

Division/Section Search

Agency Schedule
General Schedule
Agency/Division/Section
Disposal
Pending

Add New Division Add New Section

Search Results

Agency	Division	Section
DOT - Transportation		
DOT - Transportation	DOT - Schedule Insert	DOT - Schedule Insert
DOT - Transportation	DOT-1* - Schedule Insert	DOT-1* 0221 - Schedule Insert
DOT - Transportation	DOT0015 - Chief Legal Counsel	
DOT - Transportation	DOT0015 - Chief Legal Counsel	DOT0015 - Schedule Insert
DOT - Transportation	DOT0015 - Chief Legal Counsel	DOT00150152 - Safety and Workers Comp.
DOT - Transportation	DOT0016 - Director, Asst. Dir	DOT0016 - Schedule Insert
DOT - Transportation	DOT0017 - Human Resources	
DOT - Transportation	DOT0017 - Human Resources	DOT0017-1* - Schedule Insert
DOT - Transportation	DOT0017 - Human Resources	DOT00170220 - Quality Assurance Reviews
DOT - Transportation	DOT0017 - Human Resources	DOT00170221 - Personnel

Making a Schedule Obsolete (Records Officer Only)

If a record series is no longer created or retained, the schedule needs to be made obsolete. The ability to remove a schedule from active status is available only to the Records Officer of the agency.

TEST: RIMS HOME General Schedule List **Search** Hello Records Officer

Agency Schedule Search

Status: Active Authorization Number: Keyword:

Agency: DOT - Transportation Division: -- Select -- Section: -- Select --

Search Clear Export to Excel **New Agency Schedule**

Agency Schedule Search Results

Status	Authorization Number	Agency/ Division/ Section	Agency Series Number	Record Series Title	Confidential	Vital	Approval Date	Action
Active	17701637	DOT/ DOT0016/ DOT0016	DIR-02	Federal Highway Administration	<input type="checkbox"/>	<input type="checkbox"/>	01/13/2003	
Active	17701638	DOT/ DOT0022/	HMMA-1	M & R 502	<input type="checkbox"/>	<input type="checkbox"/>	06/12/2003	

Records Officer will search Active Agency schedules and/or enter Authorization Number of schedule to be obsoleted and click on Action icon to open schedule. When schedule opens, scroll to bottom on screen to enter Obsolete Justification and select the Obsolete button.

Obsolete Justification

Back to List **Obsolete**

The justification should be as detailed as possible. For example, if the records are now covered by another schedule, please list the schedule they are now covered under. Selecting the “Submit” button will then mark the schedule as obsolete. Schedules should not be marked as obsolete until all records have been destroyed pursuant to the schedule or the schedule that they are now covered by has been approved.

When a schedule is marked for obsolescence, it can only be viewable to users with a State of Ohio User ID. The schedule with the justification will be retained in the system under obsolete schedules.

Common Reasons Schedules Are Rejected

Schedules can be rejected for several reasons, but we have found that the majority are because of recurring problems. Outlined in this section are a number of those recurring problems.

Vague record series title – The combination of the title and description should adequately describe a series to someone who is not familiar with the operations of the department. Keywords in titles can be searched in the RIMS system. The title is also displayed in the search results screen. The title should be specific enough that it will be easy to determine the correct series from the search results.

<u>Vague Title</u>

2001 Bank One Reports

First the title refers to records of a specific year. Unless the schedule is a one-time disposal, inclusive dates should not be used anywhere in the schedule. Submitting schedules in this manner would require schedules to be filed for each record series once a year. Next the title refers to a specific institution. The agency that this example was taken from submitted numerous schedules for the same record series because they had accounts in numerous banks even though the series was the same for each. This creates too much work. Finally, the title is very vague. The title is basically reports. It doesn’t indicate what kind of reports, what the reports concern or any other information that would help the reader understand what the series is.

<u>Corrected Title</u>

Interest and Dividends Reports

The above title is much easier to understand.

Vague record series description – The description should answer two things about the record series. It should indicate what information the record series contains and why that information is retained. A description that is vague or incomplete can lead to unnecessary public records request and confusion within the department.

Vague Description

Cash dividend on \$ ____ shares of ____, No. ____ @ ____, Payable ____; States History File-Multiple Inq. by Tran/IP, Key ____, Short Title, Tran. Code, Batch #, Asset #, Org/Seq #, Inc. cash, shares, tax cost.

This description is taken verbatim from one that was submitted to DAS for approval. There is no way to determine what this series is unless you deal with the records on a daily basis. The writer of this schedule listed every blank on the form rather than give a description of the series itself. In addition, many abbreviations are used that are not explained. There is no way for the reader to understand what these abbreviations stand for. As stated earlier, the combination of the title and description should adequately explain the series to someone who has no idea of the functions of the department, let alone all the abbreviations used within that department.

Corrected Description

Reports received from banks with which the department has accounts. These reports detail the amount of interest and dividends paid to each account. These reports are received annually and are used to update account totals and to calculate which investments pay the greatest returns.

The above description states what the records are and why they are retained. It explains the record series succinctly, even to individuals not familiar with the functions of the department.

More than one series per schedule – A record series is a group of related records that are filed together, have a unified purpose and have the same retention period. Schedules that group more than one series together will not be approved.

More Than One Series

Administrative Office Records – This record series contains records retained by the Administrative Office. These can include but are not limited to personnel records, fiscal records, correspondence, phone logs, and other miscellaneous records.

In this example there are numerous items that would be retained by an administrative office but should not have the same value. Phone logs would not have the same purpose or value as personnel records. In addition, it is impossible to tell what “miscellaneous records” are.

Retention Periods are vague – A retention period should clearly state the time period that the series must be retained. This time period can be based on an event rather than a time period as long as that event is clearly defined (i.e. retain until audited by Auditor of State and audit report is released). If a period is based on more than one event, then the retention period should clearly indicate which event takes precedent or if they all must be completed before destruction can occur.

Vague Retention Period

Retain until no longer needed then destroy,

In many cases the exact retention period cannot be easily determined because it is affected by more than one event. Instead of using a retention period like the one above, all the items that must occur prior to destruction should be included. This type of retention period could lead to problems if a public record request was made. There is not an indication of the criteria used to determine when the record series can be destroyed so it would be hard to prove that they were “no longer needed”. The requester could claim that he had a use for the records in question, so they were destroyed illegally because they were still needed. Indefinitely is also not a retention period. The Ohio Revised Code states that a retention schedule should state the length of time that a record series warrants retention. Indefinitely is defined as lacking precise limits so it does not state the length of time.

Corrected Retention Period

Retain until asset sold and all audits are complete then destroy.

In this example, the events that must occur before the record series can be destroyed are clearly stated. If a destroyed record were requested, it would be easy to show that the criteria were met before the records were destroyed.

Retention Periods are too long or too short – A series should be retained only for the length of time that it has value to an agency. In some case records are scheduled for either too long or too short of a time period. Some people feel that the longer a record is retained, the better it is for the agency. Excess files clog many office filing cabinets because of this theory. In the past some records officers felt that the easiest way to schedule their records was to schedule everything for permanent retention. The word permanent is not an abstract term for a long retention, it is taken literally and should be reserved only for those records with historical value.

On the other hand, some records officers feel that they can schedule records for a very short time period in order to require less filing equipment. Utilizing this approach results in records being destroyed prematurely.

Retention periods not given for each media – According to the Ohio Revised Code Section 149.011 a record can be ‘any device, or item, regardless of physical form or characteristic’. Each media must have a separate retention period to qualify as a complete schedule.

Inadequate or missing justification for retention periods over 5 years – Any schedule with a retention period over 5 years or 5 years after an event must have a justification. A justification should clearly describe why the series needs to be retained for that time

period. Justification like “for reference” will not be accepted because they do not give adequate reasons for retaining the series.

Inadequate justification for confidential and/or vital designation – RIMS will not allow a schedule to be designated a record series as confidential or vital without a justification. The justification should clearly state why the series warrants this designation. If the series is checked as confidential, it should state why the record series is excluded from being a public record as outlined in ORC 149.43. In the case of vital designation, it should state why the series is essential to the operations of the agency.

By avoiding these common errors, a schedule is more likely to be approved quickly.

Documenting Records Disposal

Why Documenting Disposals is Important

When a retention schedule is approved, it is authorization for records to be destroyed once their retention requirements have been met. When disposals occur, they should be documented by the records officer. This documentation could be used as evidence that the records were destroyed should they become the subject of a public records request. Without this documentation, it could be difficult to prove that the records were destroyed in accordance with the retention schedule especially if the schedule has been revised after the disposals have occurred.

What Should Be Included in Disposal Documentation

The documentation of records disposals is the responsibility of the records officer for the agency. The documentation can be in any form but should include some basic information. First it must indicate the retention schedule or General Schedule that the series was covered by. The schedule or General Schedule must be active at the time of disposal and all the records destroyed must have met the retention requirements.

The documentation must also include the inclusive dates of the records disposed. This will verify that the records disposed of met the retention requirements.

Finally, it should include the date of disposal and the approximate volume of the records destroyed.

Documenting Disposals Using RIMS

Record Coordinators and Officers have the option of creating disposals in the RIMS program.

Use the Search drop down for Active schedules for your agency. The Active schedules will be listed. You can sort alphabetically by Record Series Title or chronologically by Approval Date. A list of active schedules will appear – at the end of the row of each schedule will be a Disposal icon that looks like fire. Click on that icon to open the Disposal screen in RIMS.

TEST: RIMS HOME General Schedule List Search Hello Records Officer

Agency Schedule Search

Status: Active

Agency: TAX - Taxation

Search Clear Export to Excel New Agency Schedule

Agency Schedule Search Results

Status	Authorization Number	Agency/ Division/ Section	Agency Series Number	Record Series Title	Confidential	Vital	Approval Date	Action
Active	110-0011	TAX /	021	Journal of the Department of Tax Equalization	<input type="checkbox"/>	<input type="checkbox"/>	01/13/1977	
Active	110-0004	TAX /	005	ABSTRACTS OF THE DUPLICATE OF GENERAL PERSONAL AND CLASSIFIED PROPERTY	<input type="checkbox"/>	<input type="checkbox"/>	01/13/1977	

When that option is selected, the following New Disposal screen is displayed:

New Disposal

Authorization No. 110-0011 Agency Series No. 021 Record Series Title Journal of the Department of Tax Equalization

Agency TAX Division -- Select -- Section -- Select --

Inclusive Date From Inclusive Date To Volume 0

Media Code No Media Method of Disposal No Method Date of Disposal

Comments

Submit

Complete the indicated information and press 'Submit'. The information is now stored in RIMS. It is the responsibility of the records officer to monitor destructs for their agency to ensure compliance with approved retention schedules.

Searching for Disposals Stored in RIMS

Disposal information that has been stored in RIMS can be searched by any user with a State User ID. The search screen contains a Disposal section.

TEST: RIMS HOME
General Schedule List

Search

Agency Schedule
General Schedule
Agency/Division/Section
Disposal
Pending

Hello Records Officer

Begin Date

Begin Date

Keyword

Agency Code

TAX

Division Code

-- Select --

Section Code

-- Select --

Search

Clear

*Date range searches on creation date

Disposal Search

Search Results

Authorization #	Agency/Division/Section	Record Series Title	Volume Disposed	Date of Disposal	Media	Create Date	Action
000-000	TAX / TAX1015 / TAX1015	Telephone Logs, Bills, Call Records	1.00	02/18/2005	Paper	02/18/2005	
000-000	TAX / TAX1015 / TAX1015	DAS Lease Reports	1.00	02/18/2005	Paper	02/18/2005	
100-0321	TAX	Unknown-Data Load non-exist in prev. db	3.12	12/98	Unknown	12/17/1998	

Click on the disposal button and input the inclusive dates of the destructs you are searching for and the appropriate agency information. Clicking on the “Search” button will provide a list of all disposals that meet the criteria. Select the appropriate selection and view the disposal information.