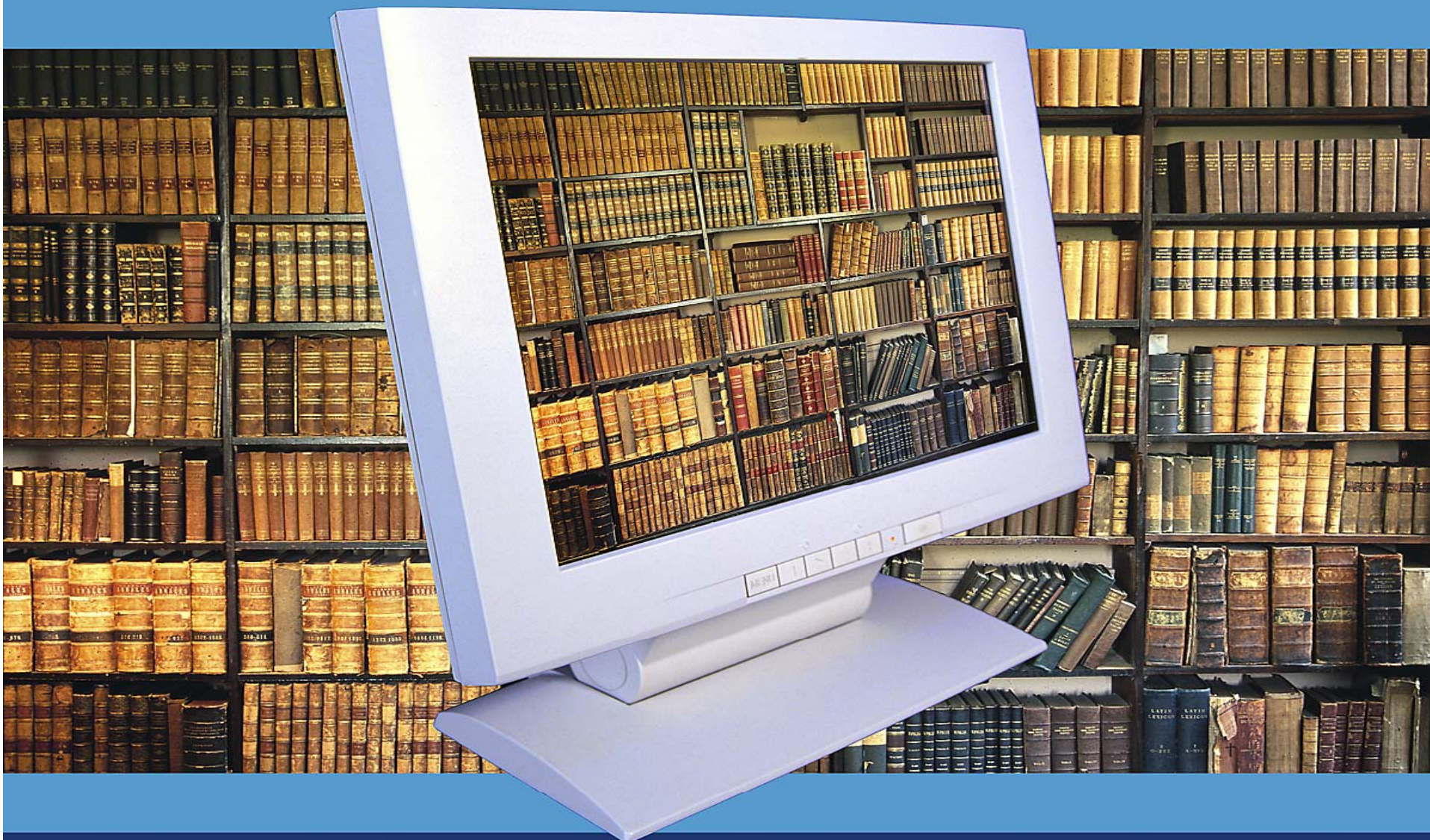


# Cuyahoga County Archives



2905 Franklin Boulevard Cleveland, Ohio 44113



# INTRODUCTION

The Cuyahoga County Archives was organized in the summer of 1975 and serves as a repository for the historical records of Cuyahoga County and for current records needing temporary maintenance.

The Archives encourages the use and scholarly research of all County records and makes staff assistance available for that purpose. The department also provides records management services for all Cuyahoga County offices and agencies.





## REFERENCE SERVICES

A reference area is available for the convenience of persons using records in the County Archives. Knowledgeable staff is always available to provide advice on any specific research problem.

The Cuyahoga County Archives, 2905 Franklin Blvd., Cleveland, OH 44113, is open to the public, without charge, Monday through Friday from 8:30 a.m. until 4:30 p.m. The reference area is open for the use of records Monday, and Wednesday through Friday from 8:30 a.m. to 3:00 p.m. The Archives is closed to the public on Tuesday.





# RECORDS MANAGEMENT SERVICES

Any county office or agency may contact the Archives:

- ➔ **To ask for assistance** in preparing, amending, or implementing a schedule of records retention and disposition (See Appendix I).
- ➔ **To make arrangements** for the transfer of records, with administrative, legal, fiscal, or historical value to the Archives for preservation (See Appendix II).
- ➔ **To obtain information** from county records maintained by the Archives, or to request copies of individual documents (See Appendix III).



# RECORDS MANAGEMENT

## DEFINITIONS

### **RECORDS:**

All recorded information, regardless of media, that has been created or received and maintained by an organization or agency in the normal course of its business.

### **ARCHIVES:**

Archives can simply be referred to as records, but should be defined as the *non current* records of an organization or institution preserved because of their *continuing value*;

In addition it can be defined as the physical structure where archival documents are located.

The term may also be used to describe a specific agency that has responsibility for selecting, preserving, and making available archival materials.

All of the definitions can be illustrated through the work and responsibilities of the Cuyahoga County Archives, located in a restored Victorian home on Franklin Blvd. in Ohio City.



# RECORDS COMMISSIONS

A County's Records Commission is required, by the Ohio Revised Code, 149.38, to meet twice annually, and the responsibilities of the Commission are "to provide rules for retention and disposal of records of the county and to review applications for one-time records disposal and schedules of records retention and disposal submitted by county offices." In Cuyahoga County the Commission meets the first Wednesday in June, and the first Wednesday in December.

## **The Commission is composed of:**

- The Cuyahoga County Executive
- The President of County Council
- The Fiscal Officer
- The Prosecuting Attorney
- Clerk of the Court of Common Pleas.

The Archivist normally represents Cuyahoga County Council and the County Executive.

The other elected officials customarily send members from their respective offices to serve as their duly authorized representatives on the Commission.





# **RECORDS MANAGEMENT PROCEDURES IN CUYAHOGA COUNTY**

## **PREPARATION OF THE SCHEDULE OF RECORDS RETENTION AND DISPOSITION**

The schedule of records retention and disposition assists county offices, departments, and agencies in exercising responsible control over the records they create.

The schedule, prepared by the individual office of agency, in close consultation with the Archives, lists each individual records series created, on a continuing basis by that office, and the length of time the records should be preserved.



**Cuyahoga County Archives**

**SCHEDULE OF RECORDS RETENTION AND DISPOSITION**

Page 1 of 2

(1) TO: **CUYAHOGA COUNTY Records Commission,**  
 \_\_\_\_\_  
(Address) (City) (Zip) (County)

(2) FROM: \_\_\_\_\_  
 \_\_\_\_\_  
(Signature of Responsible Official) (Title) (Date)

(3) **CERTIFICATION:** I hereby certify that our records commission met in open meeting, as required by Section 121.22 ORC, and passed the retention schedules contained on this form and any continuation sheets. I further certify that our commission will make every effort to prevent these record series from being destroyed, transferred, or otherwise disposed of in violation of this schedule and that no record will be knowingly disposed of which pertains to any pending case, claim, action or request. This was approved on \_\_\_\_\_ as reflected by the minutes kept by this commission.

**Chairman, Records Commission:** \_\_\_\_\_  
Name Date

(4) **Subject to selection upon receipt of a Certificate of Records Disposal (RC - 3):** \_\_\_\_\_  
Ohio Historical Society Date

**Approved by the Ohio Auditor of State:** \_\_\_\_\_  
Name Date

(5) Schedule Number	(6) Record Title and Description	(7) Retention Period	(8) Media Type	(9) For Use by Auditor of State
<div style="text-align: right; padding-right: 50px;">Paper/CD</div>				

**SCHEDULE OF RECORDS RETENTION AND DISPOSITION**

FROM: \_\_\_\_\_  
(political subdivision name) (unit)

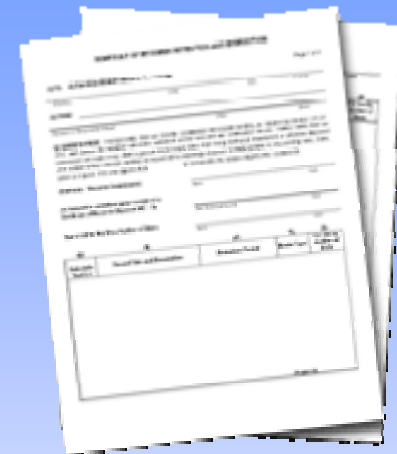
(5) Schedule Number	(6) Record Title and Description	(7) Retention Period	(8) Media Type	(9) For Use by Auditor of State





## Cuyahoga County Archives

When a schedule has been drafted to the satisfaction of both county archivist and agency representative, arrangements are made to present the schedule at a meeting of the Records Commission. A member of the staff submitting the schedule for the Commission's approval is also encouraged to be present at the meeting to answer any questions regarding the records or the recommended retention periods. If the schedule is approved by vote of the Commission it is then signed by the acting chair and forwarded to Columbus, Ohio for review by the Ohio Historical Society and the Auditor of State's office.



When the schedule is approved and signed by representatives of the Ohio Historical Society and the Auditor's of State's office, it can be fully implemented.

Thereafter, records, eligible for disposition, can be eliminated and those that require temporary maintenance or permanent preservation can then be considered for storage at the Cuyahoga County Archives.

Although most records are created on a continuing basis, there are certain records series that may have become obsolete and are no longer maintained by an office or agency. In those cases the office may wish to complete an application for a one-time records disposal, requesting permission to destroy, or transfer, particular records covering specific dates.



**APPLICATION FOR ONE-TIME DISPOSAL OF OBSOLETE RECORDS**

(1) TO: \_\_\_\_\_ Telephone Number \_\_\_\_\_

\_\_\_\_\_  
 (address) (city) (zip code) (county)

(2) FROM: \_\_\_\_\_  
 (political subdivision name) (unit)

\_\_\_\_\_  
 (signature of responsible official) (name) (title) (date)

(3) CERTIFICATION: I hereby certify that our records commission met in an open meeting, as required by Section 121.2 and passed the schedules listed on this form and any continuation sheets. I further certify that our commission will make effort to prevent these records series from being destroyed, transferred, or otherwise disposed of in violation of these and that no record will be knowingly disposed of which pertains to any pending case, claim, action or request. This approved on \_\_\_\_\_ as reflected by the minutes kept by this commission.

Chairman, Records Commission: \_\_\_\_\_  
 Signature Date

(4) Subject to selection upon receipt of a Certificate of Records Disposal (RC-3): \_\_\_\_\_  
 For the Ohio Historical Society Date

Approved by the Ohio Auditor of State: \_\_\_\_\_  
 For the Ohio Auditor of State Date

Schedule Number	Record Series title, description, and beginning and end dates	For Use by Auditor of State or OHS-LGRP



# RECORDS MANAGEMENT PROCEDURES IN CUYAHOGA COUNTY

## PREPARATION OF THE SCHEDULE OF RECORDS RETENTION AND DISPOSITION (CONT)

The applications for one-time records disposal must be submitted to the Records Commission for the approval of its members, and the records that are destroyed must also be accounted for on a Certificate of Records Disposal.

Most Cuyahoga County offices, departments, and agencies, have already placed their records on schedules of retention and disposition that have been approved by the Records Commission of Cuyahoga County, the Ohio Historical Society and the Auditor of State's office.

Some offices, however, find it necessary to revise the schedules, by the addition of supplemental records series, or to amend the schedules by changing existing retention periods. And in rare instances an office or agency may discover it does not have a retention schedule in place. County personnel should feel free to contact the County Archives for assistance in preparing or amending a schedule of records retention and disposition.





# DESTRUCTION OF RECORDS

## RECORDS TO BE DESTROYED: MAINTAINED BY THE CUYAHOGA COUNTY ARCHIVES

The Archives will arrange for the orderly disposition of all records in its holdings that are eligible, according to the schedules of records retention and disposition, for destruction.

Prior to eliminating the records series the Archives will provide each office or agency with a list of the records to be destroyed and allow that department reasonable time to respond to the communication from the Archives. A supervisor, or person with the responsibility for overseeing the records must, in writing, either concur with the planned disposition of the records, or state any reasonable objection to the destruction of the documents.

Please understand, however, that these notifications of records disposition are sent to the various offices and agencies as a courtesy, and as an attempt to keep the originating office informed regarding the records that will be destroyed each year. The Archives, however, already has “permission”, as authorized by the approved schedule of records retention and disposition, to eliminate the records series eligible for destruction. If the Archives does not receive a response from the appropriate employee, with oversight over the records, within the time agreed upon, the staff will proceed with the disposition.



Cuyahoga County Archives

## RECORDS TO BE DESTROYED: NOT MAINTAINED BY THE CUYAHOGA COUNTY ARCHIVES

Whenever any office or agency is ready to destroy records eligible for disposition that are not maintained by the County Archives, the respective staff must make their own arrangements, with the advice of the Archives staff and with the assistance of the Department of Central Services for the disposition of the records. The Archives will make available to the office or agency the required Certificate of Records Disposition that should be completed and forwarded to the Archives at least twenty-one days prior to the planned destruction date. Or you can visit the website for the Ohio Historical Society, [www.ohiohistory.org](http://www.ohiohistory.org), and access the page for the Local Government Records Program, where you can download a copy of the form.



### CERTIFICATE OF RECORDS DISPOSAL

Name of Political Subdivision	Unit	Contact Person	Telephone	Location of Records
Address		City	Zip Code	County

I hereby certify that the records listed on this RC-3 and attachments are being disposed of according to the time periods stated on the approved Schedules of Retention and Disposition (RC-2) or Application for One-Time Records Disposal (RC-1) listed below. No record will be knowingly disposed of which pertains to any pending case, claim, action or request. In addition, microfilm created in place of any original record listed on this RC-3 will be stored according to ANSI Standards and all microfilm master negatives will only be used to create use copies.

Signature of Responsible Official	Title	Telephone Number
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PLEASE READ THE INSTRUCTIONS ON THE BACK OF THIS FORM								
Record Series Title	Authorization for Disposal		Media Type	Other Media Type <small>List other media on which this record series is being retained</small>	Inclusive Date of Record		Proposed Date of Disposal	For OHS-LGRP Use
	Schedule Number	Records Commission Approval Date			From	To		







# APPENDIX I

## GUIDE TO PREPARING THE SCHEDULE OF RECORDS RETENTION AND DISPOSITION

Each records series to be included on the schedule of records retention and disposition, Form RC-2, for example, contracts, correspondence, vouchers, warrants, and so on, is assigned a number for purposes of identification. For example: the first item on a schedule approved in 2005 would be describes as 2005-1, the second item 2005-2, and the third item 2005-3, and so forth. The names of the records series should be arranged alphabetically on the schedule. Thus, as an example, contracts, correspondence, personnel files, vouchers, and warrants, would be listed on the schedule in that order. Each records series should be described as fully, and completely, as possible so that the nature of the records and their general purpose are adequately explained. It is to be remembered that specific dates are not listed as the schedule provides the “continuing authority” for the disposition of records are their retention period draws to a close.

The retention period assigned a records series will vary, depending on the final assessment of its administrative, legal, fiscal or historical value, reached during the appraisal process (see Appendix II). If a records series is captured in more than one medium, e.g. paper and microfilm, digital images and microfilm, etc., these formats will be listed separately on the schedule; and a specific retention period will be assigned for each media type. To illustrate:

- ➔ Case files, paper format, retain until scanned for permanent preservation on an optical disk, with a second copy on microfilm, then destroy.
- ➔ Case files, optical disk/microfilm , retain permanently.
- ➔ It must be stressed that both Archives staff and designated representatives from an office or agency should work cooperatively during the appraisal process to derive an appropriate length of retention for each series of records.



## APPENDIX II

### FOUR VALUES ESSENTIAL TO APPRAISAL\*

**A RECORD HAS ADMINISTRATIVE VALUE** IF IT IS USED BY THE OFFICE OF AGENCY TO CARRY OUT ITS DUTIES. ADMINISTRATIVE VALUE IS BASED ON HOW OFTEN AND FOR HOW LONG THE RECORD IS USED BY OFFICE PERSONNEL AND WHETHER A PROGRAM WOULD BE JEOPARDIZED UPON DISPOSAL OF THE RECORD.

**A RECORD HAS LEGAL VALUE** IF IT DOCUMENTS OR PROECTS THE RIGHTS OR OBLIGATIONS OF CITIZENS OR OF THE AGENCY THAT CREATED IT.

**A RECORD HAS FISCAL VALUE** IF IT PERTAINS TO THE RECEIPT, TRANSFER, PAYMENT, ADJUSTMENT OR ENCUMBRANCE OF FUNDS, OR IF IT IS REQUIRED FOR AN AUDIT.

**A RECORD HAS HISTORICAL VALUE** IF IT DOCUMENTS AN AGENCY'S ORGANIZATION, POLICIES, DECISIONS, PROCEDURES, OPERATIONS, OR OTHER ACTIVITIES; OR IF IT CONTAINS SIGNIFICANT INFORMATION ABOUT PEOPLE, PLACES, OR EVENTS.

•Taken from the Local Government Records Handbook, published by the Ohio Historical Society, 1990, the Revised Edition.





## APPENDIX IV

### CALLING THE ARCHIVES TO REQUEST INFORMATION

1. Any county employee may phone the Archives, or visit in person, to obtain information from, or request copies of, records maintained in the Archives records storage center.
2. If making the request by phone please describe the document, or volume, you require as fully as possible. You should state whether you will need to obtain the original record; whether a photocopy of the document in question will suffice; or if the information can be provided by a telephone communication. In the case of the latter, the Archives staff cannot search for the information while the caller remains on the line; but Archives personnel will make a return call to offer the information required.
3. The caller should provide his, or her, first and last names, and identify the office or agency represented with the corresponding building/room number as well as the telephone number. The caller must also suggest a time frame for the completion of the request. Requests from County employees are received on a priority basis, but same day service cannot be guaranteed. Any County employee can, however, come directly to the Archives where they will be assisted in the research library, and can receive the required documentation or information the same day.
4. Photocopies will be sent by inter-office mail or fax transmission. If necessary original records can be delivered to the requesting office or agency through the inter-office mail system. In that instance a loan form will accompany the original record, and it must be signed by the County employee who receives the material and then returned to the Archives by inter-office mail. Large volumes and oversized files will be delivered directly to the person making the request by a Central Services driver.