

RC-2 **SCHEDULE OF RECORDS RETENTION AND DISPOSITION**

(1) TO: Trumbull County Records Commission Phone: 330-675-2518

160 High Street NW Warren 44481 Trumbull
 (address) (city) (zip code) (county)

(2) FROM: NorthEast Ohio Community Alternative Program (NEOCAP)
 (political subdivision name)

Robert Blower Associate Director of Information, Technology and Purchasing
 (name) (title)

Robert E. Blower 11/17/2007
 (signature of responsible official) (date)

(3) CERTIFICATION: I hereby certify that our records commission met in an 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. Further, any microfilm replacing a record listed on this schedule will conform to ANSI standards. This RC-2 was approved on 12-7-2007 as reflected by the minutes kept by this commission.

Chairman, Records Commission: Came Hilgen 12-6-2007
 Signature Date

(4) Subject to selection upon receipt of a Certificate of Records Disposal (RC-3): Kathy L.W. Kettinger 12/14/07
 For the Ohio Historical Society Date

Approved by the Ohio Auditor of State: Martin E. Mullen 12-28-07
 For the Ohio Auditor of State Date

SEPARATE ENTRIES SHOULD BE MADE FOR RECORDS WITH MORE THAN ONE MEDIA TYPE

(5) Schedule Number	(6) Record Title and Description	(7) Retention Period	(8) Media Type	(9) For use by Auditor of State or OHS-LGRP
	ADMINISTRATIVE RECORDS			
2007-ADM-01	Transient Correspondence: e-mail	Keep until no longer of administrative value.	Electronic	
2007-ADM-02	General Informal Correspondence: Meeting Notices, Memos, Drafts, Reminders, etc.	Keep until no longer of administrative value.	Paper	
2007-ADM-03	Faxes: Sent or Received	Retained according to document title or specification.	Paper	
	PROCEEDURAL RECORDS			
2007-POL-01	Policies and Procedures Manual, Personnel Policies Manual, Operations Handbook, Resident Regulations Handbook, Post Protocols	Keep until no longer of administrative value.	Paper	OHS Dec 14, 2008
2007-POL-02	ACA audit files (standards & documentation)	3 years or until superseded	Paper	

RECEIVED
 1-22-2008
 from OHS

COMPLETED
 original to Neocap
 2-15-2008

MAILED
 12-7-2007
 to OHS

FILE COPY

SCHEDULE OF RECORDS RETENTION AND DISPOSITION CONTINUATION SHEET

FROM: NorthEast Ohio Community Alternative Program (NEOCAP)

(5)	(6)	(7)	(8)	(9)
Schedule Number	Record Title and Description	Retention Period	Media Type	For use by Auditor of State or OHS-LGRP
	<u>PROCEEDURAL RECORDS CONT.</u>			
2007-POL-03	Visitation Rules	Continually updated or superseded.	Paper	
2007-POL-04	Personnel Training Files	3 years or until superseded	Paper	
2007-POL-05	Disaster Recovery Plan	Until updated or superseded.	Paper	
	<u>PERSONNEL RECORDS</u>			
2007-HR-01	Applications for employment: Unsuccessful	1 year	Paper	
2007-HR-02	Successful Job Descriptions	Merged w/ personnel file Continually updated or superseded.	Electronic	
2007-HR-03	Personnel Files	Permanent	Paper	
2007-HR-04	Redactions will be made in accordance to: 149.43(A)(1)(v) Employee Medical File	Permanent	Paper	
2007-HR-05	Exempted from public document status: 149.43(A)(3) Time Sheets	2 years	Electronic	
	<u>FISCAL RECORDS</u>			
2007-FIS-01	CBCF Grant Financial Records (See Records Inventory Sheet)	5 fiscal years	Electronic	
2007-FIS-02	Purchase Orders	5 fiscal years	Electronic	
2007-FIS-03	Records of Receipts/Expenditures	5 fiscal years	Paper	
2007-FIS-04	Resident Program Fund (See Records Inventory Sheet)	5 fiscal years	Electronic	
2007-FIS-05	Cash Books and Receipt Journals	5 fiscal years	Paper	
2007-FIS-06	RSAT Grant Financial Records (See Records Inventory Sheet)	5 fiscal years	Electronic	
2007-FIS-07	State Audit Reports	5 fiscal years	Paper	
2007-FIS-08	Exempted from public document status until filed w/ board: 117.26 Payroll	5 fiscal years	Electronic	
2007-FIS-09	Consumable Inventory	Continually updated or superseded.	Electronic	
2007-FIS-10	Equipment/Property Inventory	Continually updated or superseded.	Electronic	
2007-FIS-11	Sealed Bids or Proposals Exempted from public document status: 125.071	Successful bids & proposals to be retained for 3 fiscal years after completion of contract.	Paper	
2007-FIS-12	Contracts / Agreements / Letters of Understanding	5 fiscal years after end of time performance of agreements or contracts.	Paper	
	<u>OFFENDER RECORDS</u>			
2007-PROG-01	Active Resident Case Files, including medical data (See Records Inventory Sheet) Exempted from public document status: 149.43(A)(1)(b)	While in residency - (approximately 6 Months)	Paper	
2007-PROG-02	Terminated Resident Case Files, including medical data (See Records Inventory Sheet) Exempted from public document status: 149.43(A)(1)(b)	5 fiscal years	Electronic	

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(5) Schedule Number	(6) Record Title and Description	(7) Retention Period	(8) Media Type	(9) For use by Auditor of State or OHS- LGRP
2007-PROG-03	<u>OFFENDER RECORDS CONT.</u> Treatment Specialist's Daily Reports Redactions will be made in accordance to: 149.43(A)(1)(b)	Keep until no longer of administrative value.	Electronic	
2007-PROG-04	Resident Exit Surveys	1 fiscal year	Paper	
2007-OPS-01	<u>OPERATIONS RECORDS</u> Operation's Managers Daily Reports Redactions will be made in accordance to: 149.43(A)(1)(b)	Keep until no longer of administrative value.	Electronic	
2007-OPS-02	Daily Operations Log	1 fiscal year	Electronic	
2007-OPS-03	Daily Operational Forms (See Records Inventory Sheet)	1 fiscal year	Paper	
2007-FD-01	<u>FOOD SERVICE RECORDS</u> Menus & special diets	Continually updated or superseded.	Paper	
2007-FD-02	Food service license	Continually updated or superseded.	Paper	
2007-INK-01	<u>SCREENING & REFERRALS</u> Candidate Interview Guide Exempted from public document status: 149.43(A)(1)(b)	1 fiscal years	Paper	
2007-INK-02	Candidate Staffing Sheet Exempted from public document status: 149.43(A)(1)(b)	1 fiscal years	Paper	
2007-INK-03	Rejected candidate files Exempted from public document status: 149.43(A)(1)(b)	1 fiscal year	Paper	
2007-INK-04	Diverted candidate files Exempted from public document status: 149.43(A)(1)(b)	1 fiscal year	Paper	
2007-MISC-01	<u>MISCELLANEOUS</u> Facility maintenance records	5 fiscal years	Electronic	
2007-MISC-02	Vehicle mileage/maintenance records	Until unit is out of service.	Paper	
2007-MISC-03	Professional Assoc. Records & Awards	Keep until no longer of administrative value.	Paper	
2007-MISC-04	Bodily injury report for non-employee	5 fiscal years providing no action taken	Paper	
2007-MISC-05	Employee injury report	Place in personnel file	Paper	
2007-MISC-06	Damage to NEOCAP property	5 fiscal years providing no action taken	Paper	
2007-MISC-07	Annual Reports	Permanent	Paper	
2007-MISC-08	Special Situation Reports	1 year	Paper	
2007-MISC-09	Records Disposal Certificates	Permanent	Paper	
2007-MISC-10	Board Meeting Minutes	Permanent	Paper	
2007-MISC-11	Records Retention Schedules	5 years after superceded	Paper	
2007-MISC-12	Employee ID	Turn in upon end of employment.	Paper	
2007-MISC-13	Desk Calendars	Keep until no longer of administrative value.	Paper	

Note: Only where applicable, NEOCAP follows the general retention schedule of Trumbull County dated May 13, 2005 for all other records.

CASEFILE RECORDS INVENTORY

1. **OFFICE OF:** NorthEast Ohio Community Alternative Program
2. **TITLE OF RECORD SERIES:** Resident Case Files
3. **LOCATION OF RECORDS:** Office of Program Administrator
411 Pine Ave. SE
Warren, OH 44483
4. **DESCRIPTION OF RECORDS:**
 - a. File Close Out
 - b. Termination Report
 - c. Release Plan
 - d. QuickBooks Account Summary
 - e. Release Check-off Form
 - f. Emergency Contact Card
 - g. Client Status Report
 - h. Incidents Report Log
 - i. Resident Intake Sign-off
 - j. CSP Waiver
 - k. Progress/Treatment Sign-off
 - l. Treatment Evaluations
 - m. Progress Reports
 - n. Program Plan
 - o. Weekly Schedules
 - p. Individual Incident Reports
 - q. Disposition of Property
 - r. CSP sign-off
 - s. Assessment Needs Report
 - t. Other Materials "EXTERNAL" (court documents, receipts, i.d.'s, etc.)
 - u. NEOCAP Materials "INTERNAL" (TS progress notes, summary's)
 - i. Special Observation Consent Form for Recording of Treatment Groups
 - ii. Group Contracts
 - iii. Intake Procedures
 - iv. Orientation Sign-off
 - v. Release of Information Authorizations
 - v. IOP Group Progress Reports (Where Applicable)
 - w. IOP Discharge Summary (Where Applicable)
 - x. Assessment Materials
 - i. BEC Depression Inventory

- ii. CCIS Intake/Exit Reports
- iii. Problem Identification Worksheet
- iv. Anger Disorder Scale
- v. How I Think Questionnaire
- vi. Adult Substance Use Summary
- vii. Adult Self Assessment Questionnaire
- viii. SASSI Report
- ix. LSI-R Intake/Exit Interviews
- y. Phone List
- z. Visitor List
- aa. Visitor Sign-off
- bb. Medical
 - i. Medical Requests
 - ii. Medical Appointments
 - iii. Doctor's Orders
 - iv. Prescription Medication Logs
 - v. Nurse's Follow-up
 - vi. Positive BAC Results
 - vii. Urine Test Logs
- cc. Linen Sign-off
- dd. Dietary Consent Form
- ee. Paychecks
- ff. Employment Referrals
- gg. Work Release Agreement
- hh. Employment Release Form
- ii. Employment Verification

5. **DATE OF OPERATIONS:** October 10, 1997 to Present
6. **ARE RECORDS STILL CREATED?** Yes
7. **ARRANGEMENT:** Stored alphabetically per fiscal year's intake date.
8. **RECORD FORMAT:** Paper while in residency and converted to PDF after release.
9. **REFERENCE TO RECORD:** Weekly until resident is released, then only on special circumstance.
10. **RECOMMENDED RETENTION PERIOD:** State Grant requires NEOCAP to retain records for 5 fiscal years after release of resident.
11. **INVENTORY TAKEN BY:** Program Administrator, Jen Morgenstern
12. **SCHEDULE NO. ASSIGNED:** 2007-PROG-01 & 2007-PROG-02

CBCF GRANT FINANCIAL RECORDS

1. **OFFICE OF:** NorthEast Ohio Community Alternative Program
2. **TITLE OF RECORD SERIES:** CBCF Grant Records
3. **LOCATION OF RECORDS:** Administration
411 Pine Ave. SE
Warren, OH 44483
4. **DESCRIPTION OF RECORDS:**
 - a. Ohio Department of Rehabilitation & Corrections Approved Budget
(Paper / Annually)
 - b. Fiscal Reports (Electronic / Monthly)
 - i. Transaction Detail Report – Unpaid Only
 - ii. Transaction Detail Report
 - iii. Financial Disclosure Statement
 - iv. Budget vs. Actual Report
 - v. MBE Transaction Detail Report
 - vi. Transaction Detail by Account
 - vii. Transaction List by Vendor
 - viii. Vendor Balance by Detail
 - c. CBCF Quarterly Reports (Paper / Electronic)
 - d. Auditor of State Reports (Paper & Electronic / Quarterly & Annual)
 - e. Utility Bills (Paper & Electronic / Monthly)
5. **DATE OF OPERATIONS:** October 10, 1997 to Present
6. **ARE RECORDS STILL CREATED?** Yes, on annual basis.
7. **ARRANGEMENT:** Chronological & Alphabetic
8. **RECORD FORMAT:** Paper and Electronic
9. **REFERENCE TO RECORDS:** As administratively needed.
10. **RECOMMENDED RETENTION PERIOD:** ODR&C Grant requires NEOCAP to retain records for 5
fiscal years.
11. **INVENTORY TAKEN BY:** Business Director, Tony Noday
12. **SCHEDULE NO. ASSIGNED:** 2007-FIS-01

DAILY OPERATIONAL RECORDS INVENTORY

1. **OFFICE OF:** NorthEast Ohio Community Alternative Program
2. **TITLE OF RECORD SERIES:** Daily Operational Records Inventory
3. **LOCATION OF RECORDS:** Office of Operations Director and Central Control
411 Pine Ave. SE
Warren, OH 44483
4. **DESCRIPTION OF RECORDS:**
 - a. Resident Movement Chart
 - b. Resident Time Cards
 - c. Physical Count
 - d. Business Related Sign In/Out Book
 - e. Resident Visitation Sign-In Sheets
 - f. Vehicle/Phone Sign in/out Log
 - g. "Key Control" Staff Key Sign-out Sheet
5. **DATE OF OPERATIONS:** October 10, 1997 to Present
6. **ARE RECORDS STILL CREATED?** Yes
7. **ARRANGEMENT:** Stored alphabetically per fiscal year's intake date.
8. **RECORD FORMAT:** Paper
9. **REFERENCE TO RECORD:** Daily
10. **RECOMMENDED RETENTION PERIOD:** 1 fiscal year.
11. **INVENTORY TAKEN BY:** Operations Manager, Allen Seifert
12. **SCHEDULE NO. ASSIGNED:** 2007-OPS-05

RESIDENT PROGRAM FUND RECORDS

1. **OFFICE OF:** NorthEast Ohio Community Alternative Program
2. **TITLE OF RECORD SERIES:** Resident Program Fund Records
3. **LOCATION OF RECORDS:** Administration
411 Pine Ave. SE
Warren, OH 44483
4. **DESCRIPTION OF RECORDS:**
 - a. Fiscal Reports (Electronic / Monthly)
 - i. Checkbook Balance
 - ii. Gross Resident Funds
 - iii. Income vs. Expense
 - iv. Resident Balance Report for Case Manager
 - v. Transaction by Account
 - vi. Transactions by Customer
 - vii. Voided Check Report
 - b. Bank Deposit Slips (Paper / Daily)
 - c. Bank Statements (Paper / Monthly)
 - d. Petty Cash Requests
5. **DATE OF OPERATIONS:** October 10, 1997 to Present
6. **ARE RECORDS STILL CREATED?** Yes
7. **QUANTITY:** Annual
8. **ARRANGEMENT:** Chronological & Alphabetic
9. **RECORD FORMAT:** Paper and Electronic
10. **REFERENCE TO RECORDS:** As administratively needed.
11. **RECOMMENDED RETENTION PERIOD:** ODR&C GRANT requires NEOCAP to retain records for 5 fiscal years.
12. **INVENTORY TAKEN BY:** Business Director, Tony Noday
13. **SCHEDULE NO. ASSIGNED:** 2007-FIS-04

OCJS RSAT GRANT FINANCIAL RECORDS

1. **OFFICE OF:** NorthEast Ohio Community Alternative Program
2. **TITLE OF RECORD SERIES:** RSAT Grant Records
3. **LOCATION OF RECORDS:** Administration
411 Pine Ave. SE
Warren, OH 44483
4. **DESCRIPTION OF RECORDS:**
 - a. Ohio Criminal Justice Services RSAT Budget (Paper / Annually)
 - b. Fiscal Reports (Electronic / Monthly)
 - i. Transaction Detail Report
 - ii. Budget vs. Actual Report
 - iii. Transaction Detail by Account
 - iv. Transaction List by Vendor
 - v. Vendor Balance by Detail
 - c. OCJS Report (Paper & Electronic / Quarterly)
 - d. Auditor of State Reports (Paper & Electronic / Quarterly & Annual)
5. **DATE OF OPERATIONS:** October 10, 1997 to Present
6. **ARE RECORDS STILL CREATED?** Yes
7. **QUANTITY:** Annual
8. **ARRANGEMENT:** Chronological & Alphabetic
9. **RECORD FORMAT:** Paper and Electronic
10. **REFERENCE TO RECORDS:** As administratively needed.
11. **RECOMMENDED RETENTION PERIOD:** OCJS Grant requires NEOCAP to retain records for 5 fiscal years.
12. **INVENTORY TAKEN BY:** Business Director, Tony Noday
13. **SCHEDULE NO. ASSIGNED:** 2007-FIS-06