

ARCHIVES AND RECORDS COMMISSION

STATE UNIVERSITIES AND COLLEGES
Consolidated General Records Disposition Schedule

*** January 22, 2015 ***

The authorized dispositions listed in this General Records Disposition Schedule for State Universities and Colleges stipulate the minimum retention periods for the records of state supported institutions of higher education in the State of Oklahoma. These authorized dispositions do not apply to the records of the Board of Regents of the Oklahoma Agricultural and Mechanical Colleges, Board of Regents of Oklahoma Colleges, or to any college or university board of regents. Records of the Oklahoma State Regents for Higher Education, Board of Regents of the Oklahoma Agricultural and Mechanical Colleges, Board of Regents of Oklahoma Colleges, and individual college or university board of regents shall be governed by records disposition schedules now in effect or subsequently approved for them.

The authorized dispositions listed in this General Records Disposition Schedule for State Universities and Colleges supersede all previously approved retention periods established for the records listed.

The records listed in this General Records Disposition Schedule for State Universities and Colleges are subject to the Oklahoma Open Records Act (51 O.S. §24A.1 *et seq.*) and the Family Educational Rights and Privacy Act of 1974 (FERPA), Pub. L. 93-380, 88 Stat. 571 (codified as Amended at 20 U.S.C. §1232g (1994)) [often referred to as the Buckley Amendment].

The words "university," "institution," and "institutional" in this General Records Disposition Schedule for State Universities and Colleges encompasses all state supported institutions of higher education.

Records Retention

All individual records series listed in this General Records Disposition Schedule For State Universities and Colleges are original records retained by administrative units within the institution which are responsible for preserving and making them accessible for their entire stipulated retention periods, regardless of format. Each individual state supported institution of higher education shall identify individual original records and the administrative units responsible for maintaining them for their entire stipulated retention periods.

If statutory provisions, court decisions, Code of Federal Regulations (CFR), Oklahoma Rules and Regulations adopted in accordance with the Administrative Procedures Act (75 O.S. §250 *et seq.*), or other state and federal regulations mandate retention periods longer than those listed in this General Records Disposition Schedule for State Universities and Colleges or require that records must be retained in hard copy or other format, the applicable statutes, court decisions, CFR, or other state and federal regulations shall govern the dispositions and formats of the records.

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Records Destruction

No original records listed in this General Records Disposition Schedule For State Universities and Colleges shall be destroyed until either a Notice of Intent to Destroy Records (ARC Form 4), Notice of Intent to Destroy Records That Have Been Microfilmed (ARC Form 5) accompanied by Microfilm Quality Evaluation Report (ARC Form 5A), a Notice Of Intent To Destroy Microforms (ARC Form 6), Notice of Intent To Destroy Records That Have Been Imaged (ARC Form 12), Notice Of Intent To Destroy Optical Disks (ARC Form 13), or a Notice Of Intent To Delete Information From Rewritable Disks (ARC Form 14) has been submitted to and has been approved by the State Records Administrator or his designee [OAC 60:10-3-2(b) of the Rules and Regulations of the Archives and Records Commission].

Unless statutory provisions, court decisions, Code of Federal Regulations (CFR), Oklahoma Rules and Regulations adopted in accordance with the Administrative Procedures Act (75 O.S. §250 *et seq.*), or other state and federal regulations mandate longer retention periods, all records except those identified as original records may be destroyed when they are no longer required for administrative purposes provided the institution has identified all individual original records and the administrative units responsible for maintaining them for their entire stipulated retention periods.

Convenience or Reference Copies

Copies of records created for the user's convenience can be destroyed when they are no longer required for administrative purposes. Access restrictions, if any, apply to copies and originals alike. It is not necessary to request approval for destruction of convenience copies of records.

Record Storage

All records, including temporary and permanent records, may be stored at the State Records Center, located at 426 E. Hill Street. For information regarding charges for these services, contact the Oklahoma Department of Libraries State Records Center.

Record Formats

Because state supported institutions of higher education vary in size and administrative organizational patterns and the annual accumulation of individual record series varies among institutions, this General Records Disposition Schedule for State Universities and Colleges does not specify which formats shall be used for records creation and retention. Individual institutions are charged with maintaining individual record series in the most efficient and cost effective format consistent with sound records management principles; state and federal laws, rules and regulations, and court decisions; and its individual recordskeeping needs.

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Microformat

Records included in this General Records Disposition Schedule for State Universities and Colleges may be maintained on microforms or in electronic format provided the following conditions are satisfied:

1. All microfilming and microfiching is done in accordance with Archives and Records Commission Rules OAC 60:10-7-1 [Authenticity and photographic quality], OAC 60-7-2 [Quality control standards], OAC 60:10-7-3 [Computer output microfilm (COM)], OAC 60:10-7-4 [Micrographics laboratory certification]; and OAC 60:10-3-2(b) [Notification of intent to destroy records];
2. All master negatives are deposited with the Records Management Division of the Office of Government Information of the Oklahoma Department of Libraries;
3. The institution retains at least one (1) user copy of all master negatives;
4. The use of microformats is not prohibited by state and federal law, rule and regulation, or court decisions;
5. Agencies whose programs are funded in all or in part by federal funds shall retain all records in accordance with all applicable records keeping requirements.

Electronic Recordskeeping Systems Except Electronic Mail Systems and Optical Imaging Systems

1. All records are being retained in accordance with all applicable Archives and Records Commission Rules;
2. All electronic records are backed up on a regular basis and all back up media is stored in separate locations under proper environmental conditions;
3. All data is secured against accidental or unauthorized addition, modification, or deletions of records;
4. The maintenance of records in electronic format is not prohibited by state and federal law, rule and regulation, or court decisions;
5. Where applicable, all records are included on Notices Of Intent To Destroy Records [OAC 60:10-3-2(b) [Notification of intent to destroy records]].

Electronic Mail including all Communication/Information/Data Delivery Systems:

An Electronic Data Delivery System is any system that facilitates the movement of data (uploads and downloads) electronically. Electronic Data Delivery Systems include but are not limited to Hyper Text Transfer Protocol (HTTP), Secure Socket Layer (SSL), File Transfer Protocol (FTP), Simple Mail Transfer Protocol (SMTP) (typically used E-mail protocol), Database Reports, File Copies, etc.

Records in Series 1-3 [President's File], 1-4 [Governing Board], 1-5 [Other Administrative Office Files], 1-11 [Organizations and Associations File], 1-19 [Calendar of Events], 6-12 [Correspondence With Book Publishers], and 6-13 [Correspondence] may be maintained in electronic mail systems provided the following conditions are satisfied:

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1. Records are retained and are accessible in a usable format for their entire stipulated retention period. If an electronic mail system does not have the capability of maintaining an individual record for its entire stipulated retention period, agencies shall download the record to another electronic recordskeeping system (magnetic tape, hard disks, floppy diskettes, mainframe computer systems, or optical imaging systems), or print the record out and maintain it in hard copy format;
2. All receipt and transmission data, directory information, distribution lists, and acknowledgements of receipt shall be considered to be part of the applicable record they pertain to and shall be retained and be accessible in a usable format for the same length of time as the applicable record. If an electronic mail system does not have the capability of maintaining receipt and transmission data, directory information, distribution lists, and acknowledgements of receipt for their entire stipulated retention period, agencies shall download the information to another electronic recordskeeping system (magnetic tape, hard disks, floppy diskettes, mainframe computer systems, or optical imaging systems), or print the record out and maintain it in hard copy format;
3. If senders and recipients are identified only by user identifications, nicknames, codes, titles, or the names of distribution lists, agencies shall ensure that records exist to identify senders and recipients;
4. Electronic mail systems and electronic recordskeeping systems on magnetic medium used to retain electronic mail records for their entire stipulated retention periods shall be backed up at regular intervals;
5. Back up copies of electronic mail records or records downloaded to electronic recordskeeping systems (magnetic tape, hard disks, floppy diskettes, mainframe computers, or optical disks) shall be stored in off site storage areas that meet manufacturer's recommendations for temperature and humidity controls; or if no recommendations are provided by the manufacturer, in off site storage areas whose temperature is between 65° and 75° Fahrenheit and whose relative humidity is between 30% and 50%;
6. Agencies whose programs are funded in all or in part by federal funds shall retain all records in accordance with all applicable records keeping requirements;
7. Electronic mail systems based records accessioned into Institutional Archives must be transferred in a format acceptable by the Institutional Archives.

Optical Imaging Systems

1. All optical imaging systems and applications are in compliance with Archives and Records Commission Rules OAC 60:10-8-2 [Scope]; OAC 60:10-8-3 [Definitions]; OAC 60:10-8-4 [Documentation standards]; OAC 60:10-8-5 [Standards for the creation, use, and storage of records maintained on optical imaging systems]; OAC 60:10-8-6 [Annual Compliance Report] and OAC 60:10-3-2(b) [Notification of intent to destroy records];
2. Agencies whose programs are funded in all or in part by federal funds retain all records in accordance with all applicable records keeping requirements;
3. The storage of records in optical imaging format is not prohibited by state and federal law, rule and regulation, or court decisions.

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Permanent Records

Records that possess continuing value because they document the organization, functions, policies, decisions, procedures, and essential transactions of institutions of higher education or protect the legal and financial rights of the state and persons directly affected by institutions of higher education must be retained permanently.

Historical Notes

This General Records Disposition Schedule for Universities and Colleges replaced General Disposition Schedule 4 adopted by the Archives and Records Commission March 5, 1986, and subsequent amendments approved April 15, 1987, January 13, 1988, and April 13, 1988. General Disposition Schedule 4 became the General Records Disposition Schedule for Universities and Colleges on July 13, 1988. This General Records Disposition Schedule incorporates all records included in General Disposition Schedule 4 and amendments to the General Records Disposition Schedule for Universities and Colleges approved July 13, 1988, October 12, 1988, December 7, 1988, January 18, 1989, April 12, 1989, July 12, 1989, October 11, 1989, January 17, 1990, April 11, 1990, May 9, 1990, July 11, 1990, October 17, 1990, January 16, 1991, July 17, 1991, January 15, 1992, April 15, 1992, July 15, 1992, October 14, 1992, July 14, 1993, April 13, 1994, July 13, 1994, October 11, 1995, April 17, 1996, July 17, 1996, January 15, 1997, October 15, 1997, January 14, 1998, July 15, 1998, January 13, 1999, January 12, 2000, April 12, 2000, July 12, 2000, January 17, 2001, July 18, 2001 and January 22, 2003, April 24, 2003, October 23, 2003, January 22, 2004, April 22, 2004, July 22, 2004, October 21, 2004, January 27, 2005, July 28, 2005, April 27, 2006, October 26, 2006, January 25, 2007, April 26, 2007, April 24, 2008, July 31, 2008, October 30, 2008, January 22, 2009, April 16, 2009, July 16, 2009, October 14, 2010, October 13, 2011, April 19, 2012, April 18, 2013, January 23, 2014, October 16, 2014, and January 22, 2015.

The amendments approved by the Archives and Records Commission on January 12, 2000 incorporated records series applicable to state supported institutions of higher education that are included in the General Records Disposition Schedule. Most General Records Disposition Schedule records series that contain the words “employee” or “employees,” were changed to “staff” or “faculty and staff” when they were incorporated into the General Records Disposition Schedule for State Universities and Colleges. The word, “division” as used in the General Records Disposition Schedule for State Universities and Colleges refers to administrative units other than those required to maintain original records. As noted on page iv, “each individual state supported institution of higher education shall identify individual original records and the administrative units responsible for maintaining them for their entire stipulated retention periods.” This consolidation eliminates the need for to state supported institutions of higher education to consult two (2) separate records disposition schedules to ascertain approved dispositions.

Since the Introductory Section of the General Records Disposition Schedule for State Universities and Colleges permits records to be maintained in microformat as long as certain requirements are satisfied, the amendments approved by the Archives and Records Commission on April 12, 2000 deleted redundant portions of existing disposition language in nine (9) individual records series that had authorized microfilming. The nine (9) records series were 5-1 [Student Accounts File], 5-5 [Cash Receipts File], 6-1 [Acquisitions File], 6-6 [Shelf List File], 6-11 [Library Accession File], 9-2 [Inactive Institutional Personnel File], 12-21 [Campus Newspaper], 13-5 [Student Data File] and 13-35 [Instructor Grade Books].

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The amendments approved by the Archives and Records Commission on April 28, 2005 incorporated language regarding convenience and reference copies in the introductory information. Individual records series for convenience or reference copies were deleted. In addition, individual record series were amended to eliminate references to specific record formats, such as hard copy or electronic record.

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Administration

1-1 **Accession File**

Description: File used to accession materials into the Institutional Archives.

Disposition: Retain in office permanently.

1-2 **Finding Aids**

Description: Files constructed and used to locate materials in the Institutional Archives.

Disposition: Retain in office permanently.

1-3 **President's File**

Description: File consists of correspondence, memoranda, and announcements of pertaining to the President; university policies and procedures; litigation and legal opinions (excluding student); foundations, trusts and gifts; and conferences on and off campus.

Disposition: Retain in office and review on an annual basis. Destroy duplicate and ancillary materials. Transfer substantive materials five (5) years old to the Institutional Archives, with authority to weed, for permanent preservation.
Amended April 28, 2005

1-4 **Governing Board**

Description: File consists of correspondence, memoranda, and announcements of the governing board; policies and procedures; litigation and legal opinions (excluding student); foundations, trusts and gifts; and conferences on and off campus. Governing Board is the state office of record.

Disposition: Retain in office two (2) years, then transfer to the Institutional Archives, with authority to weed, for permanent preservation.
Amended April 28, 2005

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1-5 Other Administrative Office Files

Description: Correspondence, memoranda, and announcements of all administrative offices and task forces; policies and procedures; litigations and legal opinions (excluding students); foundations, trusts, and gifts; and conferences on and off campus.

Disposition: Retain in office and review on an annual basis. Destroy duplicate and ancillary materials. Transfer substantive materials five (5) years old to the Institutional Archives, with authority to weed, for permanent preservation.
Amended April 28, 2005

1-6 Governing Board--Minutes

Description: Minutes with attendant memos and agendas of the governing board. Governing Board is the state office of record.

Disposition: Retain in office two (2) years, then transfer to the Institutional Archives, with authority to weed, for permanent preservation.
Amended April 15, 1987

1-7 Governing Board--Reports

Description: All reports generated for and by the governing board. Governing Board is the state office of record.

Disposition: Retain in office two (2) years, then transfer to the Institutional Archives, with authority to weed, for permanent preservation.
Amended April 15, 1987

1-8 Committee and Council File

Description: All reports generated for and by councils, organizations, associations and committees.

Disposition: Retain in office five (5) years, then transfer to the Institutional Archives, with authority to weed, for permanent preservation.

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1-9 **Policies and Procedures File** (Essential Record)

Description: Record copies of University Policies and Procedures Manual which governs the operation of the University.

Disposition: Transfer one (1) copy to the Institutional Archives for permanent preservation and retain one (1) copy in office permanently. Transfer any updates to the Policies and Procedures Manual to the Institutional Archives for permanent preservation and retain one (1) copy of any updates in office permanently. If the Institutional Archives is a part of Administration, transfer copy and any updates to the University Library for permanent preservation.
Amended April 13, 1988

1-10 **Administrative Reports**

Description: All reports generated for and by any administrative unit.

Disposition: Retain in office five (5) years, then transfer to the Institutional Archives, with authority to weed, for permanent preservation.

1-11 **Organizations and Associations File**

Description: Correspondence, memoranda, and announcements of the organizations and associations; policies and procedures; litigation and legal opinions (excluding student); and conferences on and off campus.

Disposition: Retain in office five (5) years, then transfer to the Institutional Archives, with authority to weed, for permanent preservation.
Amended April 28, 2005

1-12 **Associations, Organizations, Staff Meetings File**

Description: Minutes with attendant memos and agenda of all associations and organizations and all staff meetings.

Disposition: Retain in office five (5) years, then transfer to the Institutional Archives, with authority to weed, for permanent preservation.

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1-13 **Councils/Committees--Minutes**

Description: Minutes with attendant memos and agendas of all councils and committees.

Disposition: Retain in office five (5) years, then transfer to the Institutional Archives, with authority to weed, for permanent preservation.

1-14 **Litigation File**

Description: Records concerning litigations involving the university. File may include copies of petitions, cross petitions and briefs. Office of record is the court in which the case has been filed.

Disposition: Retain in office until two (2) years after exhaustion of all legal remedies, then transfer to the Institutional Archives, with authority to weed, for permanent preservation.

1-15 **Legal Opinions File**

Description: Legal opinions affecting the university.

Disposition: Retain in office five (5) years, then transfer to the Institutional Archives for permanent preservation.

1-16 **Grant Proposals File**

Description: Proposals submitted to various granting institutions.

Disposition: Transfer successful proposals to Grant File (Series 1-17). Retain unsuccessful proposals until no longer required for administrative purposes, then destroy.

1-17 **Grants File**

Description: Records concerning grants to the University. File may contain administrative documents, reports, regulations and guidelines, correspondence, audits, and related records, except financial records. (For Financial records see Series 5-11.)

Disposition: Retain in office until five (5) years after submission of the final expenditure report, or for grants that are renewed annually from the date of the submission of the annual financial status report, then transfer to the Institutional Archives, with authority to weed, for permanent preservation.

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1-18 **Publications/Speeches File**

Description: Transcripts of all publications and speeches of Governing Board, President, Vice Presidents, other administrators, and staff.

Disposition: Retain in office two (2) years, then transfer to Institutional Archives, with authority to weed, for permanent preservation.

1-19 **Calendar of Events File**

Description: All official calendars of events.

Disposition: For hard copy records, retain in office until no longer required for administrative purposes, then destroy. For records maintained in electronic mail systems or other machine-readable format, retain in office and update and delete information as needed.
Amended July 17, 1996

1-20 **Mailing Lists**

Description: File consists of mailing lists for publication announcements and other mailings.

Disposition: Retain in office until superseded or obsolete, then destroy.

1-21 **Articles of Incorporation** (Essential Record)

Description: Files consist of copies of articles of incorporation and correspondence pertaining to state universities and colleges. The Office of the Secretary of State is the state office of record (Schedule 92-15, Series 1-1A).

Disposition: Retain in office permanently.
Amended January 13, 1999

1-22 **Deeds and Abstracts to Real Property** (Essential Record)

Description: Files consist of deeds and abstracts to real property owned by the various universities and colleges.

Disposition: Retain in office permanently.
Added April 13, 1988

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1-23 **Easement Files** (Essential Record)

Description: Files consist of copies of easement documents, correspondence, and authorization sheets relating to easements granted by various universities and colleges.

Disposition: Retain in office permanently.
Added April 13, 1988

1-24 **Patent Files**

Description: Files consist of copies of patents and correspondence pertaining to inventions created by individuals at various universities and colleges.

Disposition: Retain in office two (2) years, then transfer to the Institutional Archives for permanent preservation.
Added April 13, 1988

1-25 **Contracts**

Description: File includes record copies of contracts, other than those relating to space, equipment rental or professional services, to which the agency is party, and related information, such as reports, evaluations, and records of payments to which the university or college is party.

Disposition: Retain in office until three (3) years after expiration of contract, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Amended April 16, 2009

1-26 **Deeds of Gift** Confidential Record 51 O.S., §24A.11

Description: Record of items donated to the Institution. File may contain donation forms, legal transfer forms, deeds of gift, etc.

Disposition: Retain in office permanently.
Added January 18, 1989

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1-27 **Activity Reports**

Description: All reports generated by the institution dealing with the activities of various divisions on the campus.

Disposition: Retain in office until no longer required for administrative purposes, then transfer to the Institutional Archives, with authority to weed, for permanent preservation.
Added April 12, 1989

1-28 **Enrollment Reports**

Description: Statistical reports detailing student enrollment at the institution.

Disposition: Retain in office until no longer required for administrative purposes, then transfer to the Institutional Archives, with authority to weed, for permanent preservation.
Added April 12, 1989

1-29 **Capital Improvement Projects**

Description: Agency copies of capital improvement projects containing information to bidders, bid form proposals, bid affidavits, pertinent Senate and House bills, public construction contracts, and Construction Contract Forms for Use by Public Agencies. The file may also contain copies of letters signed by the agency head to be enclosed with contracts and copies of applicable statutes.

Disposition: Retain in office five (5) years, then transfer to the Institutional Archives for permanent preservation.
Added October 11, 1989

1-30 **Organizational Charts**

Description: Organizational charts indicating the institution's overall administrative structure.

Disposition: Transfer one (1) copy to the University Archives for permanent preservation and retain one (1) copy in office permanently.
Amended April 28, 2005

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1-31 **Facilities Request Form**

Description: Form submitted by an outside entity requesting use of a college facility room for a certain amount of time.

Disposition: Retain in office one (1) year, then destroy.
Added January 14, 1998

1-32 **Telephone Messages**

A. Description: **Hard Copy Records.** Telephone message slips or equivalent used as a written memorandum of telephone calls received by faculty and staff who are absent or otherwise unavailable at the time calls were received.

Disposition: Retain in office until no longer required for administration purposes, then destroy.
Added January 12, 2000

B. Description: **Voice Mail.** Electronically recorded telephone messages taken for faculty and staff who are absent or otherwise unavailable at the time calls were received.

Disposition: Retain in office until no longer required for administrative purposes, then delete from the voice mail system.
Added January 12, 2000

1-33 **Telephone Logs**

Description: Record of incoming calls.

Disposition: Retain in office until no longer required for administrative purposes, then destroy.
Added January 12, 2000

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1-34 **Travel Requests**

Description: Travel requests and related information, such as applications, registration forms and travel liability release forms, submitted by faculty, staff, and students requesting permission to travel at state expense and agency copies of travel requisitions detailing departure and return times, purposes of travel, travel ticket information, confirmation, and cost of trip.

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.
Amended July 16, 2009

1-35 **State and Federal Guidelines**

- A. Description: Guidelines issued by state and federal governments pertaining to program activities that are not published in the Code Of Federal Regulations (CFR) or in the *Oklahoma Register*.
- Disposition: Retain in office permanently.
Added January 12, 2000
- B. Description: Guidelines issued by state and federal governments that are published in the Code of Federal Regulations (CFR) or the *Oklahoma Register*.
- Disposition: Retain in office and destroy individual guidelines when superseded.
Added January 12, 2000

1-36 **Risk Management-Motor Vehicle Operator Verification File**

Description: File contains drivers license numbers for faculty and staff who drive their own vehicles on state business. The Institution's copy is state office of record copy.

Disposition: Retain in office until two (2) years after expiration of license, then destroy provided no legal actions are pending. If legal action is pending destroy two (2) years after the exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Added January 12, 2000

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1-37 Fleet Management Vehicle Maintenance Records

Description: File contains detailed vehicle maintenance records for college and university owned vehicles.

Disposition: Retain in office until vehicle is sold or otherwise disposed of, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.
Added January 12, 2000

1-38 Fleet Management Policies

Description: File contains Fleet Management Policies on preventive maintenance and how fleet management programs will be conducted.

Disposition: Retain in office two (2) years after superseded, then destroy provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.
Added January 12, 2000

1-39 Requisitions of Motor Vehicles

Description: Copies of official written requests for motor vehicles from Institution's Motor Pool.

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.
Added January 12, 2000

1-40 Fleet Management Inventory and Sales Reports

Description: File contains inventory and sales reports for institution owned vehicles. Information includes vehicle number, make, model and year, purchase date, cost, license tag number, and location.

Disposition: Retain in office until no longer required for administrative purposes, then destroy.
Added January 12, 2000

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1-41 **Fleet Management Monthly Report**

Description: Monthly summaries reporting fuel cost and usage, maintenance done and related costs.

Disposition: Retain in office until no longer required for administrative purposes, then destroy.

Added January 12, 2000

1-42 **Fleet Management Correspondence**

Description: File contains correspondence and reports detailing Fleet Management policies, rules and regulations.

Disposition: Retain in office until no longer required for administrative purposes, then destroy.

Added January 12, 2000

1-43 **Loyalty Oaths**

Description: Copies of oaths to the state and country, signed by faculty and staff in accordance with 51 O.S., §36.1, *et seq.* For records prior to November 1, 1998, the Office of Secretary of State is the state office of record (Schedule 92-15, Series 2-7). For records created after October 31, 1998, Institution copy is state office of record copy.

Disposition: File in applicable Institutional Personnel Files, Series 9-1.
Added January 12, 2000

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1-44 **Architect Selection Files**

Description: Copies of documents prepared in compliance with the Department of Central Services Construction and Properties Division's requirements for selection of architects for public construction projects. The proposal submitted by the successful architect is filed with the project file. The Construction and Properties Division of the Department of Central Services is the state office of record (Schedule 90-05, Series 14-49).

Disposition: Retain proposals from unsuccessful architects in office two (2) years, then destroy provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements. Retain proposals from successful architects in office until two (2) years after completion of project, then destroy provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Added January 12, 2000

1-45 **Open Meetings Filings**

Description: Copies of meeting notices filed with the Oklahoma Secretary of State in accordance with the Open Meeting Law (25 O.S., §301 *et seq.*). The Office of the Secretary of State is the state office of record (Schedule 92-15, Series 2-15).

Disposition: Retain in office until no longer required for administrative purposes, then destroy.
Amended April 28, 2005

1-46 **Open Meeting Filings (Records Maintained in Electronic Mail Systems)**

Transferred to Series 1-45, April 28, 2005

1-47 **Unpublished Annual or Biennial Reports**

Description: Record copy of unpublished annual or biennial reports.

Disposition: Transfer one (1) copy to the Institutional Archives for permanent preservation and retain one (1) copy in office permanently.
Amended April 28, 2005

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1-48 **Desk Calendars and Appointment Books**

Description: Desk calendars and appointment books used to list meeting dates, reporting deadlines, and other information.

Disposition: For hard copy records, retain in office until no longer required for administrative purposes, then destroy. For records maintained in electronic mail systems or other electronic format, retain in office and update and delete information as needed.
Added January 12, 2000

1-49 **Insurance Policies**

Description: File contains copies of auto, fire, and other insurance policies.

Disposition: Retain in office until one (1) year after expiration, then destroy provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Added January 12, 2000

1-50 **Institutional Animal Care and Use Committee File**

Description: Files containing applications submitted by faculty, students and staff to use animals in a laboratory setting for teaching and/or research purposes, correspondence relating to review of applications, and federal guidelines regarding the care and use of laboratory animals.

Disposition: Retain permanently in office.
Added January 12, 2000

1-51 **Institutional Review Board for the Use of Human Subjects in Research**

Description: Files containing applications submitted by faculty, students and staff to conduct research projects involving human subjects, correspondence relating to review of applications, and federal guidelines regarding the uses of human subjects in research projects.

Disposition: Retain permanently in office.
Added January 12, 2000

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Administration

1-52 **Institutional Biosafety Committee Files**

Description: Files containing committee review of projects involving recombinant DNA research and biological safety.

Disposition: Retain permanently in office.
Added January 12, 2000

1-53A **Integrated Postsecondary Education Data System (IPEDS) (September 1, 2000-) [Machine Readable Record]**

Description: Data collected by state institutions of higher learning and submitted electronically to the National Center for Education Statistics, of the U.S. Department of Education. Information includes statistical data on student enrollments, including sex and race/ethnicity of students; institutional revenues and expenditures; salaries and academic ranks of faculty; graduation rates; tuition rates; room and board costs; and postsecondary vocational education programs. IPEDS fulfills a U.S. Congressional mandate to collect, collate, analyze and report statistics on the condition of American education. [Due to an odd-even year system of data collection the profile of the collection data may vary from one reporting period to another.]

Disposition: Retain in office until submitted to the National Center for Education Statistics, then delete.
Added July 12, 2000

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Administration

1-53B **Integrated Postsecondary Education Data System (IPEDS)** (Prior to September 1,2000)
[Hard Copy]

Description: Data collected by state institutions of higher learning and submitted electronically to the National Center for Education Statistics, of the U.S. Department of Education. Information includes statistical data on student enrollments, including sex and race/ethnicity of students; institutional revenues and expenditures; salaries and academic ranks of faculty; graduation rates; tuition rates; room and board costs; and postsecondary vocational education programs. IPEDS fulfills a U.S. Congressional mandate to collect, collate, analyze and report statistics on the condition of American education. . [Due to an odd-even year system of data collection the profile of the collection data may vary from one reporting period to another.]

Disposition: Retain in office until submitted to the National Center for Education Statistics, then destroy.
Added July 12, 2000

1-54 **Boiler Inspection Report File**

Description: File consists of semiannual boiler inspection reports and allied documents. The Department of Labor is the state office of record (Schedule 82-24, Series 4-1).

Disposition: Retain in office one (1) year, then destroy provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Added July 12, 2000

1-55 **Faculty Senate Records**

Description: Records pertain to meetings of the full Faculty Senate/association and contain agendas, minutes, reports, and other records.

Disposition: Retain in office permanently, or transfer to Institutional Archives for permanent preservation.
Added January 17, 2001

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1-56 **Ballots**

Description: Ballots resulting from inquiries and questions discussed and/or debated by members of the Faculty Senate or equivalent faculty organizations. Inquiries and questions may include confidence/no confidence votes for senior administrative personnel.

Disposition: Retain in office four (4) months, then destroy, provided the results of all balloting have been recorded in the minutes of the Faculty Senate Records, (Series 1-55).
Added January 17, 2001

1-57 **Fax Logs**

Description: Reports generated by facsimile machines listing the names of recipients and senders and the dates and times of transmissions.

Disposition: Retain in office until no longer required for administrative purposes, then destroy.
Added January 17, 2001

1-58 **Fax Transmittal Cover Sheets**

Description: Cover sheets which accompany facsimile transmissions of documents to recipients. Records typically include names of recipients and senders, dates and times of transmissions, and number of pages transmitted.

Disposition: Retain in office until no longer required for administrative purposes, then destroy.
Added January 17, 2001

1-59 **Americans With Disabilities Act File (28 C.F.R. § 35.105)**

Description: Records concerning Americans With Disabilities Act programs and evaluations. File may include regulations and guidelines, policies, reports, correspondence, studies, and related records.

Disposition: Retain in office three (3) years, then destroy provided no legal actions are pending. If legal actions are pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements.
Added July 22, 2004

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Administration

1-60 **Log of Work-Related Injuries and Illness (Confidential Record CFR 29 §1904.33)**

Description: Log used to record information about work-related injuries and deaths. (Oklahoma Department of Labor Form 300).

Disposition: Retain in office five (5) years, then destroy, provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements.
Added October 21, 2004

1-61 **Injury and Illness Report (Confidential Record CFR 29 §1904.33)**

Description: Completed forms reporting recordable work-related injury or illness. (Oklahoma Department of Labor Form 301).

Disposition: Retain in office five (5) years, then destroy, provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements.
Added October 21, 2004

1-62 **Summary of Work-Related Injuries and Illness**

Description: Annual summary of work-related injuries and illnesses reported to Oklahoma Department of Labor. (Oklahoma Department of Labor Form 300A). Each reporting agency retains the record copy.

Disposition: Retain in office five (5) years, then destroy, provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements.
Added October 21, 2004

1-63 **Reception Area Sign-in Sheets**

Description: File includes reception area sign-in sheets used by visitors to an agency. Information may include visitor's name, agency staff member's name, and purpose of meeting.

Disposition: Retain in office until no longer required for administrative purposes.
Added January 22, 2009

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Administration

1-64 **Waivers and Releases of Liability**

Description: File includes waivers and releases of liability for institutional activities or events. File includes forms with participant names, addresses, contact information and information related to the activity or event.

Disposition: Retain in office one (1) year after activity or event, then destroy, provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements.

Added to schedule October 13, 2011

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Athletics Department

2-1 Player Recruiting File

Description: Records concerning recruitment for university sports programs. File includes scouting reports, lists of prospects, recruitment proposals, correspondence, and related material.

Disposition: Retain in office two (2) years after termination of eligibility, then destroy providing no legal actions are pending. If legal action is pending, destroy two (2) years after the exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Language Correction April 15, 1987

2-2 Sports Programs File

Description: Records concerning the administration of university sports programs. File includes programs, descriptions proposals, reports, correspondence, game tickets and related records.

Disposition: Retain in office two (2) years, then destroy.
Amended July 17, 2002

2-3 Scouting Reports File

Description: Scouting Reports on opposing teams.

Disposition: Retain in office until no longer required for administrative purposes, then destroy.

2-4 Sports Schedules Files

Description: Schedules of university athletic events.

Disposition: Retain in office until no longer required for administrative purposes, then destroy.
Amended April 13, 1988

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Athletics Department

2-5 Athletics Scholarships File

Description: Records concerning athletic scholarships awarded to university students. File may include applications, recommendations, authorizations of awards, financial statements, accounting information, correspondence and related material.

Disposition: Retain in office until two (2) years after termination of enrollment, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending, destroy two (2) years after the exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Language Correction April 15, 1987

2-6 Rules and Regulations File

Description: Rules and Regulations for the various sports played at the university.

Disposition: Retain in office until superseded, then destroy.

2-7 Recruiting Rules and Regulations File

Description: Reference copies of NCAA, NAIA, NJCAA and other's rules, regulations, and guidelines governing university athletics. File concerns recruiting, play eligibility, and related data.

Disposition: Retain in office two (2) years after superseded, then destroy.
Amended April 13, 1988

2-8 Coach's File

Description: Records of the coaches for various university sports. File may include play descriptions, scouting reports, recruiting prospects, and related material.

Disposition: Retain in office until no longer required for administrative purposes, then destroy.

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Athletics Department

2-9 **Student Affidavits File**

Description: Affidavits completed by scholarship recipients stating knowledge of NCAA, NAIA, or NJCAA rules and regulations.

Disposition: Retain in office until two (2) years after student terminates enrollment then destroy, provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Amended April 13, 1988

2-10 **Athletic Scholarship Reference File**

Description: Records concerning Athletic scholarships awarded by the University. File may include descriptions of scholarships procedures, guidelines, regulations, eligibility criteria, and related records.

Disposition: Retain in office until superseded, then destroy.
Amended April 13, 1988

2-11 **Fitness Facility Waiver Forms (Confidential Record 74 O.S. § 3113)**

Description: Fitness facility waiver forms signed by students, staff and faculty. This form acknowledges the risks of injury related to the use of fitness equipment facilities and releases the college or university of any liability.

Disposition: Retain in office for two (2) years after students, staff and faculty last use of fitness facility, then destroy, provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements.
Added April 27, 2006

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Bookstore

3-1 **Stock Inventory File**

Description: Inventories of books and other materials stocked by bookstore.

Disposition: Retain in office five (5) years, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending, destroy two (2) years after the exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Language Correction April 15, 1987

3-2 **Book Order File**

Description: Records concerning orders for books. File may include purchase orders and invoices, shipping and billing information, and related documents.

Disposition: Retain in office five (5) years, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending, destroy two (2) years after the exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Language Correction April 15, 1987

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Curriculum

4-1 Master Course File

Description: Listing of courses offered by university.

Disposition: Retain in office until superseded or obsolete, then transfer to the Institutional Archives for permanent preservation.

4-2 Scholastic Requirements

Description: Files concerning scholastic requirements for admittance to and graduation from a College.

Disposition: Retain in office until two (2) years after superseded or obsolete, then transfer to Institutional Archives, with authority to weed, for permanent preservation.

4-3 Accreditation File

Description: Records concerning departmental accreditation. File may include correspondence, reports, questionnaires, guides, and related documents.

Disposition: Retain in office five (5) years, then transfer to Institutional Archives for permanent preservation.

4-4 Course Schedule File

Description: File consists of schedules for courses offered by University for each term.

Disposition: Retain in office two (2) years, then destroy.

4-5 Course Syllabus/Outlines File

Description: Detailed syllabus or outline of each course offered by Department.

Disposition: Retain in office until one (1) year after superseded or obsolete, then destroy.

4-6 New Course Proposals File

Description: File contains information on proposed courses. File may include course descriptions, justifications, projected schedules, and related materials.

Disposition: Retain in office one (1) year, then destroy.

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Curriculum

4-7 **Curriculum Revision File**

Description: Working file used to prepare materials for New Course Proposals and related curriculum changes.

Disposition: Retain in office until two (2) years after superseded or obsolete, then transfer to the Institutional Archives, with authority to weed, for permanent preservation.
Amended April 13, 1988

4-8 **Curriculum Files**

Description: Files concerning development of curriculum and requirements for college.

Disposition: Retain in office until two (2) years after superseded or obsolete, then transfer to Institutional Archives, with authority to weed, for permanent preservation.

4-9 **Catalogs**

Description: Record copy of catalogs published by the University which describe available programs, degree requirements, and courses taught.

Disposition: Transfer one (1) copy to the Institutional Archives for permanent preservation.

4-10 **Evaluations by Instructors**

Description: Evaluations of current programs by instructors, including goals/objectives, plans for curriculum changes, textbooks, etc.

Disposition: Retain in office two (2) years, then destroy.
Added January 18, 1989

4-11 **Textbook Guides (Concurrent)**

Description: Test keys and other instructional guideline materials received from textbook companies, used concurrently by faculty and adjunct faculty with accompanying textbook.

Disposition: Retain in office and destroy one (1) year after discontinuation of textbook use provided academic grade appeal period has expired.
Added January 12, 2000

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Curriculum

4-12 **Textbook Guides (Non-Concurrent)**

Description: Test keys and other instructional guideline materials received from textbook companies, but not used by faculty and adjunct faculty concurrently with accompanying textbook.

Disposition: Retain in office until discontinuation of textbook use, then destroy.
Added January 12, 2000

4-13 **Credit and Non Credit Course File**

Description: File containing Program Initiation Forms, course registrations, conference lists, copies of purchase orders and/or letters of authorization.

Disposition: Retain in office until no longer required for administrative purposes, then transfer to the Institutional Archives for permanent preservation.
Amended January 22, 2004

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Finance and Accounting/Business Affairs

5-1 **Student Accounts File**

Description: Records concerning individual student accounts. File may include listings of charges, adjustments of tuition fees, refunds, outstanding fees for damages or overdue library books, records of payments or other credits, and related records.

Disposition: Retain in office two (2) years after termination of enrollment if account is settled, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements. For unsettled accounts, retain in office five (5) years after termination of enrollment, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Amended April 12, 2000

5-2 **Overdue Bills File**

Description: Records concerning overdue bills owed the university. File may include copies of bill and associated documents, records concerning debt collection attempts, and other related records.

Disposition: Retain in office two (2) years after payment, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Language Correction April 15, 1987

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Finance and Accounting/Business Affairs

5-3 Returned Checks File

Description: Checks returned to university for insufficient funds.

Disposition: Retain in office thirty (30) days. If item has not been redeemed, transfer to Student Accounts File (Series 5-1). If item has been redeemed, retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.

Amended October 12, 1988

5-4 Accounts Receivable File

Description: Records of accounts receivable from sources other than student accounts.

Disposition: Retain in office five (5) years, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.

Language Correction April 15, 1987

5-5 Cash Receipts File

Description: Records of cash receipts other than receipt books from various university offices.

Disposition: Retain in office seven (7) years, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.

Amended April 12, 2000

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Finance and Accounting/Business Affairs

5-6A Audit Reports File

- Description: Copies of both internal and external audit reports for the various offices of the university that conduct financial transactions. The Governing Board is the state office of record, (Schedule 89-08, Series 1-10 for the Board of Regents of Oklahoma Colleges; Schedule 90-03, Series 1-11 for the Oklahoma State Regents for Higher Education.)
- Disposition: Transfer one (1) copy to the Institutional Archives for permanent preservation. Retain other copies in office until no longer required for administrative purposes, then destroy.
Amended April 13, 1988

5-6B Audit Reports-- Working Papers

- Description: Work papers used in the preparation of internal audits. Agency copy is state office of record copy.
- Disposition: Retain in office three (3) years from date of report, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies, provided records are no longer required for administrative purposes, and provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Added January 13, 1999

5-7 Financial Aid Reports File

- Description: Reports of university financial aid.
- Disposition: Retain in office five (5) years, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending, destroy two (2) years after the exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Language Correction April 15, 1987

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5-8 Student Loans File

- Description: Records concerning disbursements, deferments, repayments, and collections of student loans. Files include: Repayment Agreement, Exit Interview, Confidential Information Sheet, Statement of Responsibilities to Borrower, Comments Sheet, Due Diligence Memorandum, Correspondence on Past Due Account, and returned mail.
- Disposition: Retain in office five (5) years after repayment or release from repayment of loan, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Amended October 14, 1992

5-9A University Bid Purchase File-Formal Bids

- Description: Records for purchases conducted through a formal bid process but not through the Department of Central Services that involve the acquisition of goods and services other than capital improvements. Records include departmental requisitions, invitations to bid, bid specifications, affidavits of noncollusion, notices of aware, purchase orders, any applicable performance bonds, and correspondence. For the disposition of capital improvement records, see Series 1-29, Capital Improvement Projects.
- Disposition: Retain in office seven (7) years, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Amended October 11, 1995

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5-9B Institutional Bid Purchase File- Informal Requests for Quotations

Description: Records for purchases conducted through an informal request for quotation bid process but not through the Department of Center Services that involve the acquisition of goods and services other than bids received through a formal bid process and records are usually limited to notes relating to telephone conversations with two (2) or more potential vendors, confirmation letters transmitted through the U.S. Postal Services or sent by telefacsimile, and purchase orders.

Disposition: Retain in office three (3) years, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Amended October 11, 1995

5-10 Internal Contract

Description: Internal contracts for purchases similar to Statewide contracts but not involving the Department of Central Services.

Disposition: Retain in office seven (7) years, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending, destroy two (2) years after the exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Language Correction April 15, 1987
Amended October 13, 2011

5-11 Grants File

Description: File contains all financial documents concerned with the administration of a grant.

Disposition: Retain in office until three (3) years after completion of grant activity, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending, destroy two (2) years after the exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Amended July 17, 1991

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5-12 **Federal Contracts for Research and Training**

Description: File contains all financial documents concerned with the administration of Federal Contracts for Research and Training.

Disposition: Retain in office until three (3) years after completion, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending, destroy two (2) years after the exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Amended July 17, 1991

5-13 **Requisitions**

Description: Copies of requisitions used in purchasing process. These are used as basis for letter orders and purchase orders but are not filed with University Bid Purchase File, Series 5-9, or Internal Contracts, Series 5-10.

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.
Added July 13, 1988

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5-14 **Authorizations for Purchase** (Prior to February 1, 2000)

A. Description: Copies of OSF Form 6 or used to acquire goods and services when it is not feasible or required to go out on competitive bid. The Office of State Finance is the state office of record (Schedule 91-08, Series 2-53).

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.
Amended April 12, 2000

C. **Authorizations for Purchase** (February 1, 2000-) (Record Copy)

Description: Copies of OSF Form 6 or used to acquire goods and services when it is not feasible or required to go out on competitive bid. Institution's copy is the state office of record copy.

Disposition: Retain in office seven (7) years then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.
Amended April 28, 2005

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5-15 Purchase Order Files

Description: Institution copies of documents submitted to the Central Purchasing Division of the Department of Central Services to acquire goods and services. Documents include Central Purchasing Form #2, "Purchase Requisition"; Invitation to Bid; correspondences concerning purchase; copy of purchase order; sole source affidavit if applicable; contents for professional services and local funding project awards; and CP Form 001, "Change Order Form". The Central Purchasing Division of the Department of Central Services is the state office of record (Schedule 90-05, Series 7-27).

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.
Amended April 28, 2005

5-16 Long Distance Telephone Log

Description: Record of long distance telephone calls.

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.
Added January 18, 1989

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5-17 **Warranty File**

Description: Warranties for equipment purchased by an institution for its use. Institution copy is the state office of record copy.

Disposition: Retain in office until equipment is sold, surplus, or otherwise removed from service, then destroy provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Amended April 12, 2000

5-18 **Non-binding Contracts**

A. Description: Non-binding contracts for equipment maintenance, services, and supplies, as well as documents relating to service calls. Institution copy is the state office of record copy.

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.
Amended April 12, 2000

B. Description: Division copies of items in Series 5-18A (Non-binding Contracts).

Disposition: Retain in office until no longer required for administrative purposes, then destroy.
Amended April 12, 2000

5-19 **Internal Billings File**

Description: Invoices and "paper" payments exchanged internally between divisions at the university or college for payments of goods or services.

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.
Added July 12, 1989

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Finance and Accounting/Business Affairs

5-20 **Check Registers**

Description: Periodic computer report of warrants issued on all accounts. Data include check number, date, account number, subamount, name of payee, and social security number of payee.

Disposition: Retain in office seven (7) years, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.

Added October 11, 1989

5-21 **Quarterly Financial Statements**

Description: Financial statements listing balance sheets, income statements, listing of different university budgets, and listing of revenue and expenditures of various offices and departments.

Disposition: Retain in office seven (7) years, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.

Added July 17, 1991

5-22 **6-Digit Expenditure Detail Reports**

Description: Monthly computer printouts from the Office of State Finance listing expenditures incurred within each agency fund/amount. The Institution's copy is the state office of record copy.

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.

Added January 12, 2000

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5-23 Budget and Cash Balance Reports

Description: Monthly computer printouts from the Office of State Finance listing the closing balances of all treasury accounts. The Office of State Finance is the state office of record (Schedule 91-08, Series 2-20A).

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.
Added January 12, 2000

5-24 Summary of Receipts, Disbursements, and Balances by Agency

Description: Monthly computer printouts from the Office of State Finance showing beginning account balances, receipts, disbursements, transfers, and ending balances for each institution's fund. The Office of State Finance is the state office of record (Schedule 91-08, Series 2-27A).

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.
Added January 12, 2000

5-25 6-Digit Object of Expenditure Summary Reports

Description: Monthly computer printouts from the Office of State Finance listing expenditures by object of expenditure sequence. The institution's copy is the state office of record copy.

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.
Added January 12, 2000

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5-26 **Monthly Receipts and Expenditure Reports**

Description: Internal records listing receipts by source code and expenditures by program and object code, and providing monthly and year-to-date information. The institution's copy is the state office of record copy.

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.

Added January 12, 2000

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5-27 **Budget Work Program**

- A. Description: Copies of OSF Form 55, Capital Outlay Projects; OSF Form 47, Detail of Personnel by Sub-Activity; OSF Form 47.1, Detail of Exempted Personnel by Sub-Activity; OSF Form 47.2, Detail of Professional Services by Sub-Activity; OSF Form 16, Detail of Expenditures by Sub-Activity; OSF Form 22, Summary of Sub-Activities within an Activity; OSF Form 17, Detail of Expenditures by Activity; OSF Form 21, Summary of Activities Within an Agency; Form 33, Estimate of Income To Agency Funds; OSF Form 48, Request for Allotment and/or Appropriation Transfer; OSF Form 47, Detail of Personnel by Sub-Activity - Revision; OSF Form 47.1, Detail of Exempted Personnel by Sub-Activity - Revision; OSF Form 47.2, Detail of Professional Services by Sub-Activity - Revision; OSF Form 16, Detail of Expenditures by Sub-Activity - Revision; OSF Form 22, Summary of Sub-Activities within an Activity - Revision; OSF Form 17, Detail of Expenditures by Activity - Revision; OSF Form 21, Summary of Activities Within an Agency - Revision; and OSF Form 33, Estimate of Income to Agency Funds - Revision budget requests. The Office of State Finance is the state office of record (Schedule 91-08, Series 1-2).
- Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.
Added January 12, 2000
- B. Description: File contains materials submitted from administrative organizational units and other working papers used to compile the institution's budget work program. The institution's copy is the state office of record copy.
- Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.
Amended April 28, 2005

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5-28 **Budget Requests**

A. Description: Copies of institution's budget requests submitted to the Office of State Finance for development of Executive budget. The Office of State Finance is the state office of record (Schedule 91-08, Series 1-3).

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.
Added January 12, 2000

B. Description: File contains materials submitted from administrative and organizational units and other working papers used to compile the institution's budget request.

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.
Amended April 28, 2005

5-29 **Indirect Cost Rate**

Description: Approved indirect cost rate used as an overhead charge to various programs. The institution's copy is the state office of record copy.

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.
Added January 12, 2000

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5-30 Annual Allotment Requests

Description: Copies of OSF Form 24A requesting that revolving and appropriated funds be posted to institution accounts. The Office of State Finance is the state office of record (Schedule 91-08, Series 1-2).

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.
Added January 12, 2000

5-31 Request for Allotment and Appropriation Transfer

Description: Copies of OSF Form 48 requesting that appropriated funds be transferred to different line items. The Office of State Finance is the state office of record (Schedule 91-08, Series 1-4).

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.
Added January 12, 2000

5-32 Requests for Encumbrance

Description: Copies of OSF Form NP7 used to encumber institutional funds "against existing non-encumbered contracts." The Office of State Finance is the state office of record (Schedule 91-08, Series 2-53).

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.
Added January 12, 2000

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5-33 Miscellaneous Claims and Invoices (Except OSF Form 14 and OSF Form 9)

A. Description: Copies of OSF Form 3, "Notarized Claim Form"; OSF Form 15A, "Claim Jacket Form"; OSF Form 15B, "Inter/Intra Payment"; OSF Form 19, "Travel Voucher"; OSF Form 18, "Actual and Necessary Expense Travel Voucher"; Affidavit - Actual and Necessary Unreceipted Travel Expenses; and OSF Form 19A, Travel Voucher Attachment submitted to the Office of State Finance for payment of financial obligations other than payrolls. (For copies of OSF Form 14, "Claim for Disbursement of Payroll Withholdings," and OSF Form 9, "Imprest Cash Form," refer to Series 5-83. The Office of State Finance is the state office of record (Schedule 91-08, Series 2-64).

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.
Added January 12, 2000

B. Description: Third or non-audit copies of items in Series 5-33A (Miscellaneous Claims and Invoices).

Disposition: Retain in office until no longer required for administrative purposes, then destroy.
Added January 12, 2000

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5-34 **Alternate Claim Processing System [Electronically Filed Miscellaneous Claims and Invoices]**

Description: Claims filed by state agencies and state supported institutions of higher education that have been approved by the Office of State Finance to file electronically. Records include OSF Form 3, "Notarized Claim Form"; OSF Form 15A, "Claim Jacket Form"; OSF Form 15B, "Inter/Intra Payment"; OSF Form 19, "Travel Voucher"; OSF Form 18, "Actual and Necessary Expense Travel Voucher"; Affidavit - Actual and Necessary Unreceipted Travel Expenses; and OSF Form 19A, Travel Voucher Attachment submitted to the Office of State Finance for payment of financial obligations other than payrolls. **The institution's copies are state office of record copies.** (Records do not include OSF Form 14, "Claim for Disbursement of Payroll Withholdings," and OSF Form 9, "Imprest Cash Form" and allied documentation. **For the disposition of OSF Form 14 and OSF Form 9, refer to Series 5-83).**

Disposition: Retain in office seven (7) years then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Added January 12, 2000

5-35 **Payroll Claims**

Description: Copies of OSF Form 41, Payroll Funding Sheet-Record Type C and Tape Layout; OSF Form 41, Payroll Funding Detail Listing - Record Type S & Tape Layout; and any required supporting documents submitted to the Office of State Finance for payment of faculty and staff wages and salaries. The Office of State Finance is the state office of record (Schedule 91-08, Series 2-63).

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.
Amended April 28, 2005

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5-36 Payroll Warrant Cancellation Forms

Description: Copies of OSF Form PWC, "Request for Payroll Warrant Cancellation" submitted to the Office of State Finance. The Office of State Finance is the state office of record (Schedule 91-08, Series 2-56).

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.
Added January 12, 2000

5-37 Official Depository Records

Description: Institution copies of forms submitted to the State Treasurer's Office along with deposits of funds to Treasury Fund Accounts. The Office of the State Treasurer is the state office of record (Schedule 87-25, Series 1-1).

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.
Amended April 28, 2005

5-38 Affidavit of Lost or Destroyed Warrant

Description: Institution copies of affidavits submitted to the State Treasurer's Office requesting the issuance of warrants to replace warrants that have been lost, stolen, or destroyed. The Office of the State Finance is the state office of record (Schedule 91-08).

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.
Added January 12, 2000

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5-39 Affidavits for Cancelled Warrants Issued in Error

Description: Institution copies of affidavits submitted to the Office of State Finance requesting the issuance of warrants to replace warrants issued in error. Agency copy is the state office of record copy.

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.
Added January 12, 2000

5-40 Refund Records

Description: Claims and duplicate vouchers written against Treasurer's Office institution's clearing accounts. The institution's copy is the state office of record copy.

Disposition: Retain in office five (5) years, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Added January 12, 2000

5-41 6-Digit Object of Expenditure Summary by Fund Report

Description: Computer Printouts from the Office of State Finance listing agency expenditures by object code in fund sequence. The institution's copy is the state office of record copy.

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.
Added January 12, 2000

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5-42 **Agency Special and Clearing Account Reports**

Description: Copies of OSF Form 11, "Agency Clearing Account Report" and OSF Form 11A, "Agency Special Account Report," detailing transactions through clearing and special accounts. The institution's copy is the state office of record copy.

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.

Added January 12, 2000

5-43 **Reconciliation of Official Depository Balance**

Description: Institution copies of documents, including Agency Summary/Activities Statements and Reconciliation of Official Depository Balance as per Statement Rendered by the State Treasurer's Office, used to reconcile Institution's accounting records with those compiled by the State Treasurer's Office. The Office of the State Treasurer is the state office of record (Schedule 87-25, Series 1-2).

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.

Added January 12, 2000

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5-44A Special and Clearing Account Vouchers (Warrants) (Prior to January 2, 2003)

Description: Vouchers written on special accounts that are ultimately returned to the Institution and not to the Office of the State Treasurer. The institution's copy is the state office of record copy.

[Note: Agencies may retain their copies of these records in hard copy, micro format, or optical imaging format. Copies maintained in micro format and optical imaging format shall satisfy all requirements for these formats specified in the Introduction to this General Records Disposition.]

Disposition: Retain in office for seven (7) years, then destroy records after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies, provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements.
Amended October 23, 2003

5-44B Description: Duplicate copies of records in Series 5-44A.

Disposition: Retain in office one (1) year or until all reconciliations have been completed, then destroy.
Amended October 23, 2003

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5-44C **Special and Clearing Account Voucher (Warrants) (January 2, 2003-)
(Electronic File)**

Description: Vouchers written on special and clearing account vouchers, including 340 Funds and 700 Funds. The Office of the State Treasurer is the state office of record.

Disposition: Transfer hard copy records to an electronic format. Maintain electronically formatted record in a storage area that meets the manufacturer's recommendations for temperature and humidity controls; or if no recommendations are provided by the manufacturer, store in an area whose temperature is between 65° and 75° Fahrenheit and whose relative humidity is between 30% and 50%. Maintain a backup copy in an off-site storage area that meets the manufacturer's recommendations for temperature and humidity controls; or if no recommendations are provided by the manufacturer, store in an area whose temperature is between 65° and 75° Fahrenheit and whose relative humidity is between 30% and 50%. Delete electronically formatted records when they become seven (7) years old, provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies, provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements.

Destroy hard copy records when they become two (2) years old, upon (a) certification that records have been successfully transferred to the online system and (b) after storing a backup copy of the records on a separate server in an offsite storage area. Destroy all below standard hard copies that are unable to be electronically formatted when they become seven (7) years old, provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies, provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements.

Amended October 23, 2003

5-45 **Special Account Applications**

Description: Institution copies of OSF Form 18 submitted to the Office of State Finance requesting permission to establish special accounts. The Office of State Finance is the state office of record (Schedule 91-08, Series 2-58).

Disposition: Retain in office until no longer required for administrative purposes, then destroy.

Added January 12, 2000

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5-46 **Payroll Working File** Records are subject to 51 O.S., §24A.7

Description: Prelists, copies of faculty and staff withholding data, payroll cancellation information, and other records used to compile agency payroll.

Disposition: Retain in office until superseded, then destroy.
Added January 12, 2000

5-47 **Bond Ledgers and Issuance Files**

Description: These records pertain to deductions from employee salaries and wages for the purchase of U.S. Savings Bonds and may include data relative to bond serial numbers and issue dates. The Institution's copy is the state office of record copy.

Disposition: Retain in office seven (7) years, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending destroy two (2) years after the exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Added January 12, 2000

5-48 **Maintenance and Insurance**

Description: Reports listing deductions from salaries and wages for insurance, credit union dues, and annuities, as well as billing documents from insurance companies for premium payments and copies of applicable miscellaneous claims sent to the Office of State Finance. The Institution's copy is the state office of record copy.

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after the exhaustion of all legal remedies.
Added January 12, 2000

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5-49 **Miscellaneous Payroll Data** Records are subject to 51 O.S., §24A.7

Description: Overtime reports and payroll data for temporary employees. Documents are used to compile institution payrolls submitted to the Office of State Finance. The institution's copy is the state office of record copy.

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after the exhaustion of all legal remedies.
Added January 12, 2000

5-50 **Clearing Account Letters**

Description: Copies of letters submitted to the State Treasurer's Office requesting the establishment of Institutional Clearing Accounts. The Office of the State Treasurer is the state office of record (Schedule 87-25, Series 1-7).

Disposition: Retain in office until one (1) year after account has been cancelled, then destroy.
Added January 12, 2000

5-51 **Treasury Fund Request Letters**

Description: Copies of letters submitted to the Office of State Finance requesting the establishment of treasury fund accounts. The institution's copy is the state office of record copy.

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.
Added January 12, 2000

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5-52 Special and Special Account Advice of Deposit Slips

Description: Cards submitted by institutions to the State Treasurer's Office listing funds deposited in approved banks. The Office of the State Treasurer is the state office of record (Schedule 87-25, Series 1-3).

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.
Added January 12, 2000

5-53 Special and Clearing Account Claims

Description: Invoices, vouchers and supporting documentation for payment of obligations from Institutional Special or Clearing Accounts. The institution's copy is the state office of record copy.

Disposition: Retain in office seven (7) years, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Added January 12, 2000

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5-54 **Inventories**

Description: Files include data sheets, purchasing documents, annual physical audits, sale documents, transfer receipts, disposition notices, printouts and other records on equipment and furniture to meet minimum documentation requirements established by the State Auditor and Inspector for audit purposes. The institution's copy is the state office of record copy.

Disposition: Retain in office five (5) years, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending destroy two (2) years after the exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Amended April 28, 2005

5-55 **Sales Tax Reports**

Description: Reports to the Oklahoma Tax Commission on collection of sales tax. The Sales Tax Division of the Oklahoma Tax Commission is the state office of record (Schedule 83-13, Series 3-1).

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after the exhaustion of all legal remedies.
Added January 12, 2000

5-56 **Payroll Year-To-Date Reports**

Description: Cumulative monthly computer printout from the Office of State Finance showing gross pay, deductions and net pay on a calendar year basis. Information is duplicated in Payroll Claims (Series 5-35) and W-2 Forms (Series 9-10).

Disposition: Retain in office and destroy all monthly reports when no longer required for administrative purposes. Destroy all calendar year end reports, when they become two (2) years old.
Added January 12, 2000

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5-57 Employees on Payroll of More Than One Agency

Description: Cumulative monthly report computer printout from the Office of State Finance to agencies with employees that work for another agency used to track FICA and other deductions. Information is duplicated in Payroll Claims (Series 5-35) and W-2 Forms (Series 9-10). The Institution's copy is the state office of record copy.

Disposition: Retain in office and destroy all monthly reports when no longer required for administrative purposes. Destroy all calendar year end reports, when they become two (2) years old.
Added January 12, 2000

5-58 Outstanding Purchase Orders Report

Description: Monthly printout generated by Office of State Finance listing outstanding Purchase Orders. The institution's copy is the state office of record copy.

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after the exhaustion of all legal remedies.
Added January 12, 2000

5-59 Cancelled Non-Encumbered Contracts/Cancelled Non-Binding Contracts Reports

Description: Monthly printout by Office of State Finance listing cancelled Non-binding Contracts. The institution's copy is the state office of record copy.

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after the exhaustion of all legal remedies.
Added January 12, 2000

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5-60 **Financial Correspondence**

Description: Correspondence between institutions and the Office of State Finance, Department of Central Services, State Treasurer, State Auditor and Inspector and/or vendors. The institution's copy is the state office of record copy.

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after the exhaustion of all legal remedies.
Amended April 28, 2005

5-61 **Financial Correspondence (Records Maintained in Electronic Mail System)**

Transferred to Series 5-60, April 28, 2005

5-62 **Miscellaneous Financial Computer Printouts**

Description: Computer printouts generated for reference use from institution's financial information. The institution's copy is the state office of record copy.

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after the exhaustion of all legal remedies.
Added January 12, 2000

5-63 **Travel Expenditure Reports**

Description: Cumulative quarterly computer printout from the Office of State Finance listing institution's travel claims. The institution's copy is the state office of record copy.

Disposition: Retain quarterly reports until superseded. Retain year end report in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.
Added January 12, 2000

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5-64 **Transmittal Letters**

Description: Copies of letters of enclosure included with state warrants mailed to vendors for payments of goods and services. The institution's copy is the state office of record copy.

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after the exhaustion of all legal remedies.
Added January 12, 2000

5-65 **Request for Replacement Of A Missing Warrant Cancelled by Statute**

Description: Institution copies of OSF Form 20A and 2-20 requesting the issuance of warrants to replace ones which have been statutorily cancelled. The Office of State Finance is the state office of record (Schedule 91-08, Series 2-55).

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after the exhaustion of all legal remedies.
Added January 12, 2000

5-66 **State Insurance Payroll Fund Reports**

Description: Institution copies of reports submitted to CompSource Oklahoma that are the basis for premium calculations. CompSource Oklahoma is the state office of record (Schedule 88-12, Series 16-1).

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after the exhaustion of all legal remedies.
Amended July 18, 2001

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5-67 Certificates of Deposit

Description: Certificates of Deposit or safekeeping receipt for funds invested by state Institutions. The institution's copy is the state office of record copy.

Disposition: Retain in office five (5) years, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending destroy two (2) years after the exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Added January 12, 2000

5-68 Meter Postage Receipts

Description: U.S. Postal Service PS Form 3603, Receipt for Postage Meter Setting. The institution's copy is the state office of record copy.

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after the exhaustion of all legal remedies.
Added January 12, 2000

5-69 Lease Contracts for Space

Description: File contains contracts for leasing of residential housing, office space, warehouse, or storage. The institution's copy is the state office of record copy.

Disposition: Retain in office until three (3) years after expiration, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending, destroy two (2) years after the exhaustion of all legal remedies, provided records meet all stipulated retention requirements.
Amended October 30, 2008

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5-70 Lease Contracts for Equipment

Description: File contains contracts for leasing of equipment. The institution's copy is the state office of record copy.

Disposition: Retain in office until three (3) years after expiration, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending destroy two (2) years after the exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Added January 12, 2000

5-71 Bills of Lading

Description: Incoming and outgoing bills of lading which accompany the delivery of goods. The institution's copy is the state office of record copy.

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.
Added January 12, 2000

5-72 UPS Manifest

Description: Record consists of log books supplied by United Parcel Service used for shipping materials with UPS. The institution's copy is the state office of record copy.

Disposition: Retain in office five (5) years, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Added January 12, 2000

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5-73 **Telephone Bills**

- A. Description: Records consist of monthly Centrex telephone bills and applicable attachments sent by the Office of State Finance. The Office of State Finance is the state office of record (Schedule 91-08, Series 3-1A).
- Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.
Added January 12, 2000
- B. Description: Record consists of pages two and following which are sent with bills from telephone companies to an institution detailing monthly telephone charges. The first page is returned with the warrant when the bill is paid. The institution's copy is the state office of record copy.
- Disposition: Retain in office three (3) years, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Added January 12, 2000

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5-74 **Gas Charge Slips**

- A. Description: Purchaser copies of gas, oil, and other vehicle services charged on an Department of Central Services credit card and turned over to institution's fiscal office for payment upon billing by the Department of Central Services. The Department of Central Services is the state office of record (Schedule 90-05, Series 2-58).
- Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.
Added January 12, 2000
- B. Description: Purchaser copies of gas, oil, and other vehicle services charged on an agency credit card and turned over to the agency fiscal office for payment upon receipt of bill. The institution's copy is the state office of record copy.
- Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.
Added January 12, 2000

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5-75 Non-binding Contracts

Description: Non-binding contracts for equipment maintenance, services, and supplies, as well as documents relating to service calls. The institution's copy is the state office of record copy.

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.
Amended April 28, 2005

5-76 Photocopy Meter Reading Records

Description: Forms completed listing the number of copies made, dates readings were taken, and signatures of persons completing forms. The institution's copy is the state office of record copy.

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.
Amended April 28, 2005

5-77 Miscellaneous Warrant Register

Description: Institution copies of monthly computer printouts from the Office of State Finance listing all miscellaneous warrants issued during the reporting period. The Office of State Finance is the state office of record (Schedule 91-08, Series 2-34A).

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.
Added January 12, 2000

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5-78 **Payroll Warrant Register**

Description: Institution copies of monthly computer printouts from the Office of State Finance issued during the reporting period. The Office of State Finance is the state office of record (Schedule 91-08, Series 2-35A).

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.
Added January 12, 2000

5-79 **Record of Registered, Insured, C.O.D., Certified, and Express Mail**

Description: U.S. Postal Service PS Form 3877, used in conjunction with special mail services. The institution's copy is the state office of record copy.

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.
Added January 12, 2000

5-80 **Notice to Replenish Advance Deposit Account**

Description: U.S. Postal Service PS Form 3580, used to notify agency when LONG and SHORT accounts are near depletion. The institution's copy is the state office of record copy.

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.
Added January 12, 2000

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5-81 **Stop Payment Requests**

Description: Correspondence from institutions and Stop Payment Forms completed by Treasurer's office employees when institutions request that warrants not be redeemed for payment. File also contains photocopies of Stop Payment Forms. The Office of the State Treasurer is the state office of record (Schedule 87-25, Series 1-101).

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.
Added January 12, 2000

5-82 **Salary Warrant Receipt Records**

Description: Records used to transmit faculty and staffs' monthly and supplemental payroll warrants and any applicable correspondence. The faculty or staff member and/or designee signs the record each month to prove receipt of warrant and then returns it to the institution's business office. The institution's copy is the state office of record copy.

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.
Added January 12, 2000

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5-83 Miscellaneous Claims and Invoices (OSF Form 14 and OSF Form 9)

- A. Description: Copies of OSF Form 14, "Claim for Disbursement of Payroll Withholdings" and OSF Form 9, "Imprest Cash Form" submitted to the Office of State Finance for payment of financial obligations other than payrolls. The Office of State Finance is the state office of record (Schedule 91-08, Series 2-64).
- Disposition: Retain in office seven (7) years, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Added January 12, 2000
- B. Description: Third or non-audit copies of records in Series 5-83A (Miscellaneous Claims and Invoices (OSF Form 14 and OSF Form 9)).
- Disposition: Retain in office until no longer required for administrative purposes, then destroy.
Added January 12, 2000

5-84 Request for Miscellaneous Warrant Cancellations

- Description: Copies of OSF Form MWC, "Request For Miscellaneous Warrant Cancellation," submitted to the Office of State Finance. The Office of State Finance is the state office of record (Schedule 91-08, Series 2-57).
- Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.
Added January 12, 2000

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5-85 Miscellaneous Inter-Intra Agency Transfers (From Sending Agency) Report

Description: Computer printouts from the Office of State Finance listing processed warrantless claims. The institution's copy is the state office of record copy.

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.
Added January 12, 2000

5-86 Statutory Cancellation Report

Description: Computer printouts from the Office of State Finance listing statutory cancellations of warrants. The institution's copy is the state office of record copy.

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.
Added January 12, 2000

5-87 Professional Services Monthly Report

Description: Computer printouts from the Office of State Finance listing expenditures pertaining to contractual services, i.e., legal, architectural, administrative, and consulting. The institution's copy is the state office of record copy.

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.
Added January 12, 2000

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5-88 Miscellaneous Inter-Intra Agency Transfers (To Receiving Agency) Report

Description: Computer printouts from the Office of State Finance listing processed warrantless claims.

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.
Added January 12, 2000

5-89 Payroll Fund Transfer Forms

Description: File includes Payroll Fund Transfer forms, such as OSF Form PFT or equivalent showing transfer activity between budgetary funds and the payroll fund. Data includes fund, agency, account, sub-activity, transfer, debit and credit. The institution's copy is state office of record copy.

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements.
Amended July 31, 2008

5-89 Supplemental Insurance Withholding Record

Description: Files consist of records of claims by which institutions remit faculty and staff voluntary payroll deductions for supplemental insurance and retirement plans. The Office of State Finance is the office of record (Schedule 91-08, Series 2-64A).

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.
Added January 12, 2000

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5-90 Year-to Date Deposit Record

Description: Computer printout from Office of State Finance listing deposit totals for the current month and fiscal year summarized by institution, fund, and revenue code. The institution's copy is State Office of Record copy.

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.

Added January 12, 2000

5-91 Professional Services Contracts File

Description: File contains a copy of the contract; a record of the payments made to the service provider; a copy of any evaluations required; and any books, records, documents, accounting procedures, practices or any other items of the service provider relevant to the contract.

Disposition: Retain in office until three (3) years after expiration, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending destroy two (2) years after the exhaustion of all legal remedies provided records meet all stipulated retention requirements.

Added January 12, 2000

5-92 Airline Invoices

Description: Institution copies of airline invoices.

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.

Added January 12, 2000

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5-93 **Flight Ticket Encumbrance Request**

Description: Institution copies of forms listing invoice date, account, location name, and social security number for budget accounting.

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Added January 12, 2000

5-94 **Statement of Mailing Second-Class Special and Classroom Rates**

Description: U.S. Postal Service Form 3541-N used to accompany mailings.

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Added January 12, 2000

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5-95 Charge Back Records

Description: Files pertain to deposits previously credited to institution accounts by the State Treasurer's Office that have been 'charged back' because of checks that were returned by banks for insufficient funds, closed accounts, or other reasons. Records consist of checks returned and Charge Back Slips listing institution names, account numbers, amounts being charged back and transaction dates. The State Treasurer's Office is the state office of record (Schedule 87-25, Series 1-37 and 1-39).

Disposition: For records pertaining to redeemed checks, retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements. For records pertaining to unredeemed checks, retain in office five (5) years, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Added January 12, 2000

5-96 GAAP Conversion Package

Description: A set of instruction packages to assist state agencies and institutions in reporting year-end accounting data to Office of State Finance. Information is included in the Comprehensive Annual Financial Report Published by OSF.

Disposition: Retain in office three (3) years then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Added January 12, 2000

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5-98 **Data Processing, Planning, Development, and Evaluation Records** (Record copy)

Description: File consists of planning, development, and evaluation records relating to selection, including feasibility studies, planning documents, and justification supporting materials; implementation; upgrading, modification, or conversion of systems and equipment; procedures; and manuals pertaining to the acquisition and use of data processing equipment.

Disposition: Retain in office and transfer records pertaining to individual equipment and programs to the Institutional Archives for permanent preservation one (1) year after equipment has been disposed of or program has been discontinued.
Added January 12, 2000

5-99 **Systems Documentation Records** (Record Copy)

Description: File consists of record layouts, code books, technical specifications for programs and equipment, detailed program descriptions, flow charts, job control records, test data, and all other records pertaining to systems operations.

Disposition: Retain record copy in office until one (1) year after applicable equipment or program has been disposed of or discontinued, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies. For the life of the equipment or program, retain one (1) back up copy of all records in an off site storage facility. Destroy all back up records one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.
Added January 12, 2000

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5-100 **Systems Usage Records** (Record copy)

Description: Log books, ledgers, and allied records used to record system usage.

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.
Added January 12, 2000

5-101 **Electronic Data Equipment File** (Record Copy)

Description: Copies of Data Processing Equipment Contracts.

Disposition: Retain in office and destroy superseded contracts when they become five (5) years old, provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Added January 12, 2000

5-102 **Budget Revisions**

Description: Form used by institution's departments to modify their approved budgets.

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.
Added January 12, 2000

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5-103 **Position Control**

Description: Report used to provide administrative and organizational units transaction details, by position number, for activity within the payroll section of their accounting ledgers.

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.
Added January 12, 2000

5-104 **Procurement Card Records and Invoices**

Description: Monthly cardholder statements and all related documentation (e.g. charge slips, invoices and receipts, retained to support charges incurred by the institution.

Disposition: Retain in office seven (7) years, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Added January 12, 2000

5-105 **Application for Account**

Description: Application for an internal institution account.

Disposition: Retain in office until five (5) years after the account is closed, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Added January 12, 2000

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5-106 **Signature Card**

Description: Cards used to verify that individuals are authorized signatories for internal institution accounts.

Disposition: Retain in office until five (5) years after the account is closed, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Added January 12, 2000

5-107 **Accounting Ledgers**

Description: Internal records compiled to monitor the receipt and disbursement of funds. Institution's copy is the state office of record copy.

Disposition: Retain in office seven (7) years, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Amended April 28, 2005

5-108 **Fiscal AFP Expenditure Reports**

Description: Cumulative monthly computer printout from the Office of State Finance listing expenditures against Authorizations for Purchase. Institution's copy is the state office of record copy.

Disposition: Retain monthly reports until superseded, then destroy. Retain year end report in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after the exhaustion of all legal remedies.
Added April 12, 2000

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5-109 **Treasurer's Correction of Account**

Description: Copy of STO Form 31 from the State Treasurer's Office notifying institution of a correction to account, for reason (e.g. "Advice of Deposit Cards Not Received..."). The Office of the State Treasurer is the state office of record (Schedule 87-25, Series 1-5).

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.

Added April 12, 2000

5-110 **Internal Requisitions**

Description: Forms submitted to the fiscal services office, purchasing office, or business office to request supplies. Institution copy is the state office of record copy.

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.

Amended April 28, 2005

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5-111 **Auction Reports**

Description: Reports of auctions conducted by the institution. Files contain letters to the Central Purchasing Division of the Department of Central Services requesting permission for auction, lists of items to be auctioned, letter from Department of Central Services authorizing sale, buyer sign-in sheets, sales tickets, amounts recorded by buyer (net sales, tax, gross), report to Department of Central Services on items sold and price of each, and other miscellaneous supporting documents, and copies of reports to Oklahoma Tax Commission (Schedule 83-13, Series 3-1) on sales tax derived from the auction. The Department of Central Services is the state office of record (Schedule 90-05, Series 7-28).

Disposition: Retain in office five (5) years, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Added July 12, 2000

5-112 **Day Care Center Licensing Files**

Description: File pertains to the licensing of day care centers and applications for license. This may include requests for license renewals; information sheets listing data about day care center staff; any applicable articles of incorporation; facility health and fire safety inspection reports; and visitation reports compiled by Department of Human Services staff.

Disposition: Retain in office until superseded then destroy, provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements.
Added July 22, 2004

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5-113 **Day Care Claims of Payment**

Description: File contains payment invoices of Day Care services. Payments may include charges of services to Department of Human Services.

Disposition: Retain in office for seven (7) years, then destroy, provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements.
Added July 22, 2004

5-114 **Independent Contractor Form**

Description: Form completed by the contracting university department in consultation with the worker/service provider to hire and pay individuals to perform services for the University who are not employees, such as trainers, performing artists, speakers, contractors, etc.

Disposition: Retain in office seven (7) years, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending, destroy two (2) years after the exhaustion of all legal remedies, provided records meet all stipulated retention requirements.
Added July 22, 2004

5-115 **Postal Meter Reading Record**

Description: United States Postal Service PS Form 3602-A, detailing the daily record of meter register readings or institution's equivalent form. The institution is the office of record.

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending, destroy two (2) years after the exhaustion of all legal remedies, provided records meet all stipulated retention requirements.
Added January 27, 2005

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Finance and Accounting/Business Affairs

5-116 State Purchase Card (P/Card)

Description: State entity State Purchase Card (P/Card), statewide contract p/card and travel p/card records required to be maintained by the State of Oklahoma Purchase Card Procedures, which include but are not limited to paper copies and/or electronic records of transaction receipts and logs, dispute documents, Cardholder and State Entity Approving Official approval records, and any other pertinent documents. The agency copy is the state office of record copy.

Disposition: Retain in office for seven (7) years, then destroy records after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies, provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements.
Added July 28, 2005

5-117 Cash Register Tapes

Description: Tapes collected from cash registers in university operations, such as the bookstore, student store, golf course, snack bar and other university-related retail outlets.

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements.
Added October 26, 2006

5-118 Vendor/Payee Form

Description: File contains agency copy of Vendor/Payee Form (Office of State Finance Form VEND or equivalent form) completed by vendors (payees) and state agencies, as appropriate. This information is used to establish vendors in the State's vendor files database, which is maintained by the Office of State Finance.

Disposition: Retain in office for 6 months, then destroy.
Added April 24, 2008

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Finance and Accounting/Business Affairs

5-119 **IRS 1099 Forms Received By Institution**

Description: Copies of summaries of miscellaneous earnings received by universities and colleges for revenues earned from investments, oil and gas royalties and other mineral interests, and similar revenue types.

Disposition: Retain in office five (5) years, then destroy, provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements.
Added to schedule, April 16, 2009

5-120 **Miscellaneous Financial Adjustment Forms**

Description: Documents or forms used in conjunction with adjustment corrections to revenues collected or funds expended within an institution's financial reporting system.

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies.
Added to schedule, April 16, 2009

5-121 **Financial Statement Reconciliation Review File**

Description: File includes documents, reports, forms and related information created for the purpose of reviewing financial statements and reconciliations.

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet stipulated retention requirements.
Added to schedule October 14, 2010

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Library

6-6 **Shelf List File**

Description: Inventory of all holdings of Library.

Disposition: Retain in office permanently.
Amended April 12, 2000

6-7 **Circulation File** Confidential Record 65 O.S., §1-105

Description: Circulation information on Library holdings.

Disposition: Retain in office until materials are returned, then destroy. If materials become overdue, transfer to Overdue Materials File (Series 6-8).

6-8 **Overdue Materials File** Confidential Record 51 O.S., §1-105

Description: Records of overdue materials. File may include copies of overdue notices, bills, and related materials.

Disposition: Retain in office. For items that have accrued no fine or charge, destroy record when material is returned. For items that have accrued fines or charges, retain in office five (5) years after resolution, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending, destroy two (2) years after the exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Language Correction April 15, 1987

6-9 **Patron Identification File** Confidential Record 51 O.S., §1-105

Description: List of patrons, students, faculty, staff, and public, their addresses and identification numbers.

Disposition: Retain in office until superseded or obsolete, then destroy.

6-10 **Reference Requests** Confidential Record 51 O.S., §1-105

Description: Reference requests received at reference desk.

Disposition: Destroy after primary use.

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Library

6-11 Library Accession File

Description: File used to accession materials into the Library Collection.

Disposition: Retain in office permanently.
Amended April 12, 2000

6-12 Correspondence With Book Publishers

Description: Incoming and copies of outgoing correspondence with book publishers concerning book orders.

Disposition: Retain in office and review on an annual basis. Destroy duplicate and ancillary materials as well as substantive materials three (3) or more years old no longer required for administrative purposes.
Amended April 28, 2005

6-13 Correspondence

Description: Incoming and copies of outgoing letters and memos exchanged among various departments at the college.

Disposition: Retain in office and review on an annual basis. Destroy duplicate and ancillary materials as well as substantive materials three (3) or more years old no longer required for administrative purposes.
Amended April 28, 2005

6-14 Inventories

Description: Files include data sheets, purchasing documents, annual physical audits, sale documents, transfer receipts, disposition notices, printouts, etc., on equipment and furniture to meet minimum documentation requirements established by the State Auditor and Inspector for audit purposes. Institution copy is the state office of record copy.

Disposition: Retain in office five (5) years, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending destroy two (2) years after the exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Amended April 28, 2005

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Library

6-15 Video Production Records

Description: Records of inhouse video productions produced by the college for instructional or promotional use. Files contain scripts, proposals, and evaluations of the productions.

Disposition: Retain in office until no longer required for administrative purposes, then transfer to the Institutional Archives, with authority to weed, for permanent preservation.
Added January 18, 1989

6-16 Videotape Collection

Description: Videotape programs produced by the college for college related matters, both edited programs and camera masters (originals).

Disposition: Retain in office until no longer required for administrative purposes, then transfer to the Institutional Archives, with authority to weed, for permanent preservation.
Added January 18, 1989

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Maintenance

7-1 Pending Work Orders File

Description: Work orders submitted to Maintenance Office.

Disposition: Retain in office until task is completed, then transfer to Completed Work Orders File, (Series 7-2).

7-2 Completed Work Orders File

Description: Work orders for repairs and maintenance services on university building and facilities. File may also include invoices.

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies.

7-3 Maintenance Services File

Description: Records concerning maintenance services performed on university buildings and facilities. File may include reports, correspondence, and related records.

Disposition: Retain in office five (5) years, then destroy provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Amended April 13, 1988

7-4 Fire and Safety Inspections File

Description: Completed reports of fire and safety inspections conducted by Maintenance Office/Physical Plant.

Disposition: Retain in office five (5) years, then destroy provided no legal action is pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Language Correction April 15, 1987

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Maintenance

7-5 Energy Conservation File

Description: Records concerning energy conservation measures at the university. File may include reports, suggestions and related material.

Disposition: Retain in office five (5) years, then destroy.
Amended April 13, 1988

7-6 Energy Management System File

Description: Records concerning the university energy management system.

Disposition: Retain in office five (5) years, then destroy.
Amended April 13, 1988

7-7 Energy Consumption Reports File

Description: Reports of fuel and electricity consumption for university.

Disposition: Retain in office five (5) years, then destroy.
Amended April 13, 1988

7-8 Safety Program File

Description: Records concerning the university safety program.

Disposition: Retain in office five (5) years, then destroy provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Amended April 13, 1988

7-9 OSHA Inspection Reports File

Description: Complete OSHA inspection reports for the university. Office of record is OSHA.

Disposition: Retain in office five (5) years, then destroy provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Amended April 13, 1988

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Maintenance

7-10 **Plant Operator's Reports File**

Description: Reports of the costs and amounts of water, oil, gas and electricity utilized in the operation of the University.

Disposition: Retain in office five (5) years, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending, destroy two (2) years after the exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Language Correction April 15, 1987

7-11 **Blueprints, Plans, and Drawings File** (Essential Record)

Description: Blueprints plans and drawing of university buildings and facilities.

Disposition: Retain one (1) copy in office and transfer one (1) copy to Institutional Archives for security preservation.

7-12 **Surplus Property File**

Description: Records concerning all university surplus property and its disposition. File may include inventories and disposition records.

Disposition: Retain in office five (5) years after disposition of property, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending, destroy two (2) years after the exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Language Correction April 15, 1987

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Medical Clinic/Dispensary

8-1 **Medical Records File (Confidential Record 43A O.S. §3-422)**

Description: Individual student, faculty and staff, and dependent's medical health records. File may include x-ray reports, doctor's orders or copies of prescriptions, office visit reports, and all other medical records.

Disposition: Retain in office for five (5) years after the date the patient was last seen or date of last medical contact or a minimum of three (3) years after the date of patient's death, then destroy provided no legal actions are pending. Retain records of newborns or minors for three (3) years past the age of majority, then destroy, provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements.

OR

Retain in office until three (3) years after last visit, then microfilm all records except chest x-ray films. Destroy hard copy documents except chest x-ray films: (1) upon certification that the microfilm meets all standards established by the Archives and Records Commission, (2) after depositing the master negative with the Oklahoma Department of Libraries, and (3) after retaining at least one (1) user copy in the agency. Destroy all microfilm copies, chest x-ray films and all below standard documents five (5) years after the date the patient was last seen or date of last medical contact or a minimum of three (3) years after the date of patient's death, provided no legal actions are pending. Retain records of newborns or minors for three (3) years past the age of majority, then destroy, provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements.

Amended April 22, 2004

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Medical Clinic/Dispensary

8-2 **Patient Admission Slips File** Confidential Record 63 O.S., §2139

Description: Patient admission slips for individuals receiving clinic/dispensary services.

Disposition: Retain in office two (2) years, then destroy.

8-3 **Clinic Admission File** Confidential Record 63 O.S., §2139

Description: Daily listings of patients admitted to the Medical Clinic/Dispensary.

Disposition: Retain in office two (2) years, then destroy.

8-4 **Daily Drug Dispensing Records File** Confidential Record 63 O.S., §2116

Description: Records documenting the daily dispensing of drugs by Medical Clinic/Dispensary.

Disposition: Retain in office five (5) years, then destroy provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.

Language Correction April 15, 1987

8-5 **Controlled Drug Dispensing Records File** Confidential Record 63 O.S., §2116

Description: Records documenting the daily dispensing of drugs by Medical Clinic/Dispensary.

Disposition: Retain in office five (5) years, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.

Language Correction April 15, 1987

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Medical Clinic/Dispensary

8-6 Controlled Drug Administrative File

Description: Records accounting for the receipt and control of controlled drugs by health services personnel.

Disposition: Retain in office five (5) years, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Language Correction April 15, 1987

8-7 Controlled Drug Audit Forms File

Description: Completed audit forms recording the periodic inventory of controlled drugs maintained by and stored in the Medical Clinic/Dispensary.

Disposition: Retain in office five (5) years, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Amended April 13, 1988

8-8 Emergency Room Dispensing Records File

Description: Daily record of non-prescribed drugs administered by emergency room personnel.

Disposition: Retain in office five (5) years, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Language Correction April 15, 1987

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Medical Clinic/Dispensary

8-9 **Prescription File** Confidential Record 63 O.S., §2116

Description: Completed prescription forms used to record all drugs prescribed for patients.

Disposition: Retain in office five (5) years, then destroy provided no legal action is pending. If legal actions is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.

Language Correction April 15, 1987

8-10 **X-Rays**

Description: X-rays of students, faculty and staff, and dependents.

Disposition: For all patients destroy x-rays where there has been a positive pathology reading when they become ten (10) years old provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements. For all patients destroy x-rays where there has been a negative pathology reading when they become five (5) years old provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.

Added October 11, 1989

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Personnel

9-1 **Institutional Personnel Files** File is subject to 51 O.S., §24

Description: Individual personnel file for faculty and staff. Each file may include application, resume recommendations, personnel actions, job descriptions, correspondence, awards, disciplinary actions, retirement enrollment cards, insurance enrollment cards, yearly goals and objectives, performance evaluations, professional information such as publications, grants, and tenure information, and other records relating to an individuals employment history.

Disposition: Retain in office until faculty or staff terminates, then transfer to Inactive Institutional Personnel File (Series 9-2).
Amended January 12, 2000

9-2 **Inactive Institutional Personnel File** Confidential Record 51 O.S., §24A.7

Description: Same information as in Series 9-1.

Disposition: For permanent faculty and staff who did not become members of the Oklahoma Teachers Retirement System or another state agency retirement system, transfer files to the Institutional Archives for permanent preservation. For temporary, part time and permanent faculty and staff who did become members of the Oklahoma Teachers Retirement System or another state agency retirement system, destroy files after five (5) years.
Amended April 12, 2000

9-3 **Disciplinary Records File** File is subject to 51 O.S., §24

Description: Records concerning disciplinary actions brought against university employees for violations of university rules and regulations.

Disposition: Retain in office. If not contested, transfer to individual personnel file (Series 9-1). If contested, transfer to individual personnel file (Series 9-1) after exhaustion of all legal remedies.

9-4 **Grievance File**

Description: Records concerning employee grievances.

Disposition: Retain in office until two (2) years after exhaustion of all legal remedies, then destroy.

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Personnel

9-5 **Position Description File**

Description: Description of university positions.

Disposition: Retain in office until superseded, then destroy provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.
Amended April 13, 1988

9-6 **Applications for Employment File** File is subject to 51 O.S., §24A.7

Description: Applications for employment. File may also include resumes, recommendations, correspondence, and related records.

Disposition: (1) For applicants who are hired file in records applicable Personnel File (Series 9-1). (2) For applicants who are not hired, retain all applicable records in agency for two (2) years after making of the records or the personnel action involved, whichever occurred later, then destroy provided no legal actions involving hiring or promotion are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements. [29 CFR, §1602.49]
Language Correction April 15, 1987
Amended April 15, 1992

9-7 **Affirmative Action/Equal Opportunity File**

Description: Records concerning university affirmative action equal opportunity programs. File may include regulations and guidelines, policies, reports, correspondence, studies, and related records.

Disposition: Retain in office five (5) years after superseded or obsolete, then destroy provided no legal actions are pending. If legal actions are pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Language Correction April 15, 1987

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9-8 **Worker's Compensation Administrative File**

Description: Records concerning the administration of worker's compensation programs or policies. File may include regulations and guidelines, policies, reports, correspondence, reference material, and related records.

Disposition: Retain in office five (5) years after superseded or obsolete, then destroy provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Language Correction April 15, 1987

9-9 **Worker's Compensation Medical and Claim File** File is subject to 51 O.S., §24

Description: Records concerning worker's compensation claims against university. File may include legal opinions and briefs, court documents, transcripts, affidavits, correspondence, photographs, findings, and recommendations, and related records. CompSource Oklahoma (Schedule 88-12, Series 9-3 through 9-8 is the office of record for unlitigated claims). Worker's Compensation Court is the office of record for litigated claims (Schedule 79-09, Series 1-1).

Disposition: Retain in office until two (2) years after exhaustion of all legal remedies, then destroy.
Amended July 18, 2001

9-10 **W-2 Forms** File is subject to 51 O.S., §24

Description: Agency copies of summaries of employee earnings used for filing federal and state income tax returns. Compiled by Office of State Finance for each agency.

Disposition: Retain in office five (5) years, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending, destroy two (2) years after the exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Language Correction April 15, 1987

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9-11 **FICA Quarterly Reports** File is subject to 51 O.S., §24A3

Description: Quarterly computer printouts from the Office of State Finance listing employee wages and tax deductions. Agency copy is state office of record copy.

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending, destroy two (2) years after the exhaustion of all legal remedies.
Amended January 13, 1999

9-12 **Employee Health Insurance File**

Description: Copies of claims for reimbursement under contracted employee group, life, health, and accident insurance policy, as well as supporting documents.

Disposition: Retain in office five (5) years, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending, destroy two (2) years after the exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Language Correction April 15, 1987

9-13 **Unemployment Compensation Claims**

Description: Correspondence and documentation concerning claims, appeals and decisions concerning claims for unemployment compensation.

Disposition: Retain in office five (5) years, then destroy provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Amended April 13, 1988

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9-14 **Payroll Information Files** File is subject to 51 O.S., §24

Description: Deduction forms, requests for changes in deductions for insurance, credit union, bonds, tax withholdings, and other documents pertaining to payroll calculations and preparations.

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending, destroy two (2) years after the exhaustion of all legal remedies.

9-15 **Daily Attendance Records** (Record Copy)

Description: Records used to compile attendance and leave statistics for payroll preparations. File may include sign/sign out sheets or their equivalent.

Disposition: Retain in office three (3) years, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Amended April 28, 2005

9-16 **Employee Leave Requests** (Record Copy)

Description: Leave forms completed by employees who have taken leave.

Disposition: Retain in office three (3) years, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Amended April 28, 2005

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9-17 **Recruitment and Search Committee Files** File is subject to 51 O.S., §24A.7

Description: Search and recruiting records concerning searches for new or replacement university personnel. File may include correspondence, resumes, *vita*, applications and related documents.

Disposition: Retain in office and transfer records of successful candidates to applicable Personnel Files (Series 9-1). Retain all other records for two (2) years after making of the records or the personnel action involved, whichever occurred later, then destroy provided no charge of discrimination has been filed. If a charge of discrimination has been filed destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements. [29 CFR, §1602.49]
Amended April 15, 1992

9-18 **Recruitment File--Policies and Procedures**

Description: Records concerning the policies and procedures for recruitment of Presidents, Deans, Faculty, and Administrative personnel.

Disposition: Retain in office for two (2) years after superseded or obsolete, then transfer to the Institutional Archives for permanent preservation.

9-19 **Personnel Awards and Honors File**

Description: Records concerning College awards and honors received by faculty and staff members. File may include recommendations, approvals, personal reference information and relate records.

Disposition: Transfer one (1) copy to Personnel File (Series 9-1) and retain one (1) copy in office for two (2) years, then transfer to Institutional Archives for permanent preservation.
Amended April 12, 2000

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9-20 **Adjunct Faculty File**

Description: Personnel file for Adjunct Faculty in department. File may contain *vita*, resumes, list of publications, and grants.

Disposition: Retain in office until five (5) years after expiration of contract, then destroy provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Amended April 13, 1988

9-21 **Faculty Roster File**

Description: Listings of departmental faculty.

Disposition: Retain in office until two (2) years after superseded, then destroy.

9-22 **Tenure and Promotion File** File is subject to 51 O.S., §24

Description: Records concerning faculty tenure and promotion.

Disposition: Transfer substantive material to faculty personnel file (Series 9-1). Retain remainder in office five (5) years, then destroy provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Amended July 14, 1993

9-23 **Sabbatical Leave File**

Description: Requests and Authorizations and Board actions.

Disposition: File one (1) copy in personnel file (Series 9-1). Retain one (1) copy in office until two (2) years after termination of employment, then destroy.

9-24 **Faculty and Staff Handbook**

Description: Description of employee benefits and policies and procedures of the institution.

Disposition: Retain in office until superseded, then transfer one (1) copy to the Institutional Archives for permanent preservation.
Amended April 13, 1988

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9-25 **Salary Schedule/Programs**

Description: Wage grades, placement information, and related information.

Disposition: Retain in office three (3) years, then destroy.

9-26 **Faculty Contracts**

Description: Contract for the hiring of all faculty.

Disposition: Retain in office until five (5) years after expiration of contract, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.

Added April 12, 1989

9-27 **Employees Health Insurance Files (Colleges and Universities)**

Description: Copies of claims for reimbursement under existing group, life, health and accident insurance policy, as well as supporting documents.

Disposition: Retain in office five (5) years, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending destroy two (2) years after the exhaustion of all legal remedies provided records meet all stipulated retention requirements.

Added October 14, 1992

9-28 **Current Employee Rosters**

Description: Lists of employees by classes, grades, steps, and substitutions in budgeted classes.

Disposition: Retain in office until superseded, then destroy .

Added July 13, 1994

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9-29 **Emergency Contact List File**

Description: Lists of staff to contact in case of an after hours emergency.

Disposition: Retain in office until superseded, then destroy.
Added July 13, 1994

9-30 **Personnel Transaction Freeze Exception Request [OPM Form 92]**

Description: Document submitted with a Request for Personnel Action form to the Office of Personnel Management by an agency requesting that a job be filled despite a mandated freeze on jobs.

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Added January 11, 1999

9-31 **Faculty and Staff Incident Reports**

Description: Copies of reports of incidents and/or occurrences involving employees which do not result in risk management or worker's compensation claims.

Disposition: Retain in office five (5) years, then destroy provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Added January 12, 2000

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9-32 **Contractual Employment Records**

Description: Record copies of contracts, payment information, and other records pertaining to contractual employment. [For publications "that may or may not be financed by state funds but are released by private entities pursuant to a contract with or subject to the supervision of any agency," see 65 O.S. §3-113.2 (2) or other applicable statutes.]

Disposition: Retain in office and destroy records pertaining to individual contract employees five (5) years after final payment, provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending, destroy two (2) years after the exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Amended April 28, 2005

9-33 **Reduction in Force Plans**

Description: Copies of plans filed with the institution's personnel office outlining how the agencies will proceed in the event of an ordered reduction in force. The institution's copy is the state office of record copy.

Disposition: Retain permanently in office.
Added January 12, 2000

9-34 **Faculty and Staff Service Evaluation Records (Active)**

Description: Forms used to evaluate faculty and staff work performance. The institution's copy is the state office of record copy.

Disposition: File in applicable Institutional Personnel File (Series 9-1).
Added January 12, 2000

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9-35 **Acknowledgement of Receipt**

Description: Forms signed by faculty and staff acknowledging receipt of Institution's Policies and Procedures Manuals, Retirement System Benefit Information, and other employment related materials and publications.

Disposition: File in applicable Institutional Personnel File (Series 9-1).
Added January 12, 2000

9-36 **Longevity Records**

Description: Copies of OPM Form 52 (Longevity Certification Forms) completed by employees under provisions of pay plan passed by Legislature. Forms list employee names, social security numbers, and data relating to length of time in state service.

Disposition: File in applicable Institutional Personnel File (Series 9-1).
Added January 12, 2000

9-37 **Retirement Enrollment Application**

Description: Form used to enroll faculty and staff in the Teachers' Retirement System. Teachers Retirement System (Schedule 82-23, Series 6-1A and 6-1B) is the state office of record.

Disposition: File in applicable Institutional Personnel File (Series 9-1).
Added January 12, 2000

9-38 **Job Announcements** (Record Copy)

Description: Record copies of internal recruitment announcements of job openings. For records pertaining to actions taken to fill vacancies, see Recruitment and Search Committee Files (Series 9-17).

Disposition: Retain in office until two (2) years after making of the record or the personnel action involved, whichever occurred later, then destroy provided no legal actions pertaining to hiring or promotion are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements (29 CFR §1620.31).
Amended April 28, 2005

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9-39

Financial Disclosure Statements

Description: Copies of financial disclosure statements filed with the Ethics Commission. The Ethics Commission is the state office of record. (Schedule 93-01, Series 1-3 A&B)

Disposition: Retain in office two (2) years, then destroy.
Added January 12, 2000

9-40

Benefits Information (Record Copy)

Description: Files pertain to benefits available to University faculty, staff and students. Information includes material from the various medical and dental providers, investment, deferred compensation and retirement options, rate plans, beneficiary designation forms, etc. Institution's office responsible for benefits administration maintains the state office of record copy.

Disposition: Retain in office until one (1) year after superseded, then destroy.
Amended April 28, 2005

9-41

Request for Personnel Action Records

Description: Copies of OPM Form 14 (Request for Personnel Action) used to document changes in an employee's status, such as appointments, separations, promotions, demotions, and leave taken. The Office of Personnel Records Personnel Management is state office of record (Schedule 82-13, Series 1-1).

A.

Disposition: File in applicable Institutional Personnel File (Series 9-1).
Added January 12, 2000

B.

Disposition: For temporary faculty and staff, retain in office until five (5) years after he/she leaves the institution, then destroy.
Added January 12, 2000

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9-42 **Chemical Information Lists (CIL)**

Description: Records used to document faculty and staff exposure to hazardous substances in the work place. Information includes faculty and staff names and all hazardous substances present in their work areas.

Disposition: Retain in office until faculty or staff member terminates employment, then transfer to the State Records Center. Destroy records when they become forty (40) years old provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements [29 CFR §1910.1020].
Added January 12, 2000

9-43 **Garnishment Records**

Description: Copies of garnishment of salary records filed with county clerks.

Disposition: Retain in office and destroy one (1) year after notification by court of payment of obligation or release of payment of obligation.
Added January 12, 2000

9-44 **IRS Levies Records**

Description: Orders issued by the Internal Revenue Service requiring deductions from faculty and staff salaries for the payment of taxes owed to the federal government.

Disposition: Retain in office and destroy one (1) year after notification of payment of obligation or final release of payment of obligation.
Added January 12, 2000

9-45 **Immigration Reform and Control Act Records (Confidential Record 74 O.S. §3113)**

Description: Department of Justice Immigration and Naturalization Service Form I-9 (Employment Eligibility Verification) and supporting documentation.

Disposition: Retain in office. Destroy one (1) year after person is no longer employed provided the records are at least three (3) years old and no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Amended January 27, 2005

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9-46 **Fair Labor Standards Act Time Sheets (Record Copy)**

Description: Weekly time sheets, time cards, or equivalent which may be signed by the staff and their immediate supervisors indicating actual hours worked, leave status hours and total hours for the week. These records are maintained to comply with the Fair Labor Standards Act, 29 CFR, §516, *et. seq.*

Disposition: Retain in office three (3) years, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Amended April 28, 2005

9-47 **Request for Employee Evaluation**

Description: Institution copies of OPM Form-9 and OPM Form 4-B used to request evaluation of qualifications for proposed change to individual status. The Office of Personnel Management is the state office of record (Schedule 82-13, Series 1-1).

Disposition: File in applicable Institutional Personnel File (Series 9-1).
Added January 12, 2000

9-48 **Application for Refund (Active)**

Description: Form used to refund monies to applicants who were ineligible for enrollment in the Teachers' Retirement System, but who had submitted applications and payments. Records include enrollment and refund applications and correspondence. The Teachers' Retirement System (Schedule 82-23, Series 6-1A and 6-1B, and Series 3-3A) is the state office of record.

Disposition: Retain in office until faculty or staff member terminates, then transfer to Inactive Institutional Personnel File, (Series 9-2) or retain in office and file in Application for Refund (Inactive) files, (Series 9-49).
Added January 12, 2000

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9-49 **Application for Refund (Inactive)**

Description: Same type of records and information as Series 9-48, Application for Refund (Active).

Disposition: Retain in office until five (5) years after termination of employment, then destroy provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Added January 12, 2000

9-50 **Employee File Review Log**

Description: Record of individuals who have requested to review specific Institutional Personnel Files (Series 9-1 through 9-2). Data includes names and social security numbers of persons making requests, request dates, names of faculty or staff whose files have been requested, and initials of staff assisting with the file reviews.

Disposition: Retain in office five (5) years, then destroy provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Added January 12, 2000

9-51 **Notice of Right to Continued Coverage Records (Active)**

Description: Institution copies of a form completed by faculty and staff to allow them to continue insurance coverage under the Consolidated Omnibus Budget Reconciliation Act (COBRA) of July 1, 1986. The institution's copy is the state office of record.

Disposition: Retain in office until faculty or staff member terminates, then transfer to Notice of Right to Continued Coverage Records (Inactive), [Series 9-52].
Added January 12, 2000

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9-52 **Notice of Right to Continued Coverage Records (Inactive)**

Description: Same type of records and information as Series 9-51.

Disposition: Retain in office until five (5) years after termination of employment, then destroy provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Added January 12, 2000

9-53 **Change or Designation of Beneficiary Record**

Description: Form completed by faculty and staff to change or designate a beneficiary. The Teachers' Retirement System (Schedule 82-23, Series 6-1A and 6-1B, and 6-2) is the state office of record.

Disposition: Retain in office until faculty or staff member terminates, then transfer to Inactive Institutional Personnel File (Series 9-2).
Added January 12, 2000

9-54 **Application for Disability Benefits Records (Active)**

Description: Form completed by faculty and staff to apply for disability benefits. The Teachers' Retirement System (Schedule 82-23, Series 6-1A and 6-1B) is the state office of record.

Disposition: Retain in office and file in applicable Institutional Personnel Files (Series 9-1) or in Application for Disability Benefit Records (Inactive), (Series 9-55).
Added January 12, 2000

9-55 **Application for Disability Benefits Records (Inactive)**

Description: Same type of records and information as Series 9-54.

Disposition: Retain in office until five (5) years after termination of employment, then destroy provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Added January 12, 2000

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9-56 **IRS Form 1099**

Description: Institution copies of summaries of contract employee earnings used for filing federal and state income tax returns.

Disposition: Retain in office five (5) years, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Added January 12, 2000

9-57 **Health Insurance Remittance Advice Forms**

Description: Record of staff and faculty payments for health insurance premiums for persons who are on leave without pay.

Disposition: Retain in office three (3) years, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Added January 12, 2000

9-58 **Health Plan Change Request Records (Active)**

Description: Form completed by faculty or staff when a change in health care coverage is desired.

Disposition: Retain in office and file in applicable Institutional Personnel Files (Series 9-1) or retain in office until person terminates employment, then transfer to Health Plan Change Request Record (Inactive), (Series 9-59).
Added January 12, 2000

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9-59 **Health Plan Change Request Records (Inactive)**

Description: Copies of records in Series 9-58, Health Plan Change Request Records (Active), used solely for reference purposes.

Disposition: Retain in office until five (5) years after termination of employment, then destroy provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Added January 12, 2000

9-60 **Individual Leave Record for Year**

Description: Official individual leave record of faculty and staff posted on a yearly basis [OPM Form 1 or equivalent].

Disposition: File in applicable Institutional Personnel File (Series 9-1).
Added January 12, 2000

9-61 **Compensatory Time Requests**

Description: Original requests for approved compensatory time completed by the staff and their supervisors.

Disposition: Retain in office three (3) years, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Added January 12, 2000

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9-62 **Overtime Payment Authorization**

Description: Completed overtime payment authorizations and copies of Fair Labor Standards time report for personnel as required by the Fair Labor Standards Act.

Disposition: Retain in office three (3) years, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Added January 12, 2000

9-63 **Optional Insurance Coverage Cancellation** (Record Copy)

Description: Forms submitted to agency personnel office requesting cancellation of extra insurance coverage (other than state plan). The Institution's personnel office is state office of record.

Disposition: File in applicable Institutional Personnel File (Series 9-1).
Added January 12, 2000

9-64 **U.S. Savings Bond Cancellation** (Record Copy)

Description: Forms submitted to Institution's personnel office requesting cancellation of U.S. Savings Bonds. The Institution's personnel office is state office of record.

Disposition: File in applicable Institutional Personnel File (Series 9-1).
Added January 12, 2000

9-65 **Staff Mediation Records**

Description: Forms, incoming memoranda, copies of outgoing memoranda, and other records pertaining to the resolution of staff mediation disputes.

Disposition: Retain in office five (5) years, then destroy provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Added January 12, 2000

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9-66 **Staff Pre-termination Records**

Description: Notice of Proposed Adverse Personnel Action, Certificate of Prior Disciplinary Action, staff member's response, affidavits, investigative reports, evidence and exhibits, tape recording of pre-termination hearing, pre-termination hearing decision, legal review, Notice of Final Adverse Action, Notice of Hearing.

Disposition: Retain in office and destroy five (5) years after resolution provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Added January 12, 2000

9-67 **Automatic Deposit Transmittal Form (Confidential Record 51 O.S. §24A.7(A)(2))**

Description: File includes Automatic Deposit Transmittal Forms, such as OPM 73 or equivalent, containing faculty and staff's completed personal banking information allowing participation in the State Employees Direct Deposit Program. Data includes employee name and address, Social Security Number, financial institution name and address and employing institution's name.

Disposition: Retain in office until two (2) years after termination of participation, then destroy, provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirement.
Amended July 31, 2008

9-68 **Employee Assistance Program Records (Record Copy) Records are subject to 51 O.S., §24A.7(A)(2)**

Description: Pertains to employee participation in institutional sponsored Employee Assistance Programs, including the Department of Mental Health Employee Assistance Program (MHEAP) and contains background data, policy statements, information relative to confidentiality of information, and other records.

Disposition: Retain in office and review on an annual basis. After completing the review, destroy duplicate and ancillary materials as well as substantive records three (3) or more years old no longer required for administrative purposes pertaining to participants who have not had contact with the program for at least six (6) months provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Added January 12, 2000

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9-69 **OSHA Log and Summary of Occupational Injuries and Illnesses**

Description: United States Department of Labor OSHA Form No. 200 or equivalent maintained as a log and summary record of "recordable" injuries and illnesses as defined in 29 CFR, §1904.1, *et. seq.*

Disposition: Retain in office and destroy individual Log and Summary five (5) years "following the end of the year to which they relate." 29 CFR, §1904.6.
Added January 12, 2000

9-70 **OSHA Supplementary Record**

Description: United States Department of Labor OSHA Form No. 101 or equivalent maintained to record supplementary information about "recordable" injuries and illnesses as defined in 29 CFR, §1904.1, *et. seq.*

Disposition: Retain in office and destroy Supplementary Records five (5) years "following the end of the of the year to which they relate."29 CFR, §1904.6.
Added January 2, 2000

9-71 **Oklahoma Log and Summary of Occupational Injuries and Illnesses**

Description: Oklahoma Department of Labor Form OK No. 200 or equivalent maintained as a log and summary record of occupational injuries and illnesses as required by the Rules and Regulations of the Oklahoma Department of Labor.

Disposition: Retain in office and destroy individual Log and Summary five (5) years following the end of the of the year to which they relate.
Added January 12, 2000

9-72 **Employment History Cards**

Description: Card file used to summarize faculty and staff employment history from appointment through termination or separation.

Disposition: Retain in office until faculty or staff member terminates, then transfer to applicable Inactive Institutional Personnel File (Series 9-2).
Added January 12, 2000

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9-73 **Retirement Notice and Application**

Description: Form completed by faculty and staff at least 60 days prior to selected retirement date. Data includes employee name, mailing address, social security number, and birthdate; requested retirement date; type of retirement; type of benefit; spouse consent, if applicable; and designated agent verification. The Teachers' Retirement System (Schedule 82-23, Series 6-1A and 6-1B) is the state office of record.

Disposition: Retain in office until faculty or staff member terminates, then transfer to Inactive Institutional Personnel File (Series 9-2).
Added January 12, 2000

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9-74 **Application for Felony Offense Records** Record is subject to 51 O. S., § 24A.7

Description: Forms sent by institutions to the Oklahoma State Bureau of Investigation [OSBI] to initiate felony background checks of employees and prospective employees. [Records may be filed in applicable Institutional Personnel Files, (Series 9-1 or 9-2).]

A. Disposition: For employees who were not seeking promotions or applying for other positions within the institution at the time background investigations were initiated and whose background investigations indicated felony convictions, retain in office and destroy five (5) years after termination of employment provided no legal actions are pending. If legal action is pending, destroy two years after exhaustion of all legal remedies provided records meet all stipulated retention periods.
Added January 12, 2000

B. Disposition: For employees who were not seeking promotions or applying for positions within the institution at the time background investigations were initiated and whose background investigations did not indicate felony convictions, retain in office two (2) years, then destroy provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention periods.
Added January 12, 2000

C. Disposition: For employees who were seeking promotions or applying for other positions within the institution at the time background investigations were initiated and whose background investigations do not indicate felony convictions, retain in office and destroy two (2) years after the making of the records or the personnel action involved, whichever occurred later provided no legal actions involving hiring or promotion are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements (29 CFR, §1620.31).
Added January 12, 2000

D. Disposition: For employees who were seeking promotions or applying for other positions within the institution at the time background investigations were initiated and whose background investigations indicated felony convictions, retain in office and destroy records five (5) years after termination of employment provided no legal actions are pending. If legal action is pending, destroy two years after exhaustion of all legal remedies provided records meet all stipulated retention periods.
Added January 12, 2000

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9-74 **Application for Felony Offense Records** Record is subject to 51 O. S., § 24A.7

Description: Forms sent by agencies to the Oklahoma State Bureau of Investigation [OSBI] to initiate felony background checks of employees and prospective employees. [Records may be filed in applicable Institutional Personnel Files, (Series 9-1 or 9-2).]

E. Disposition: For applicants for employment who are not hired, retain in agency two (2) years after making of the records or the personnel action involved, whichever occurred later, then destroy provided no legal actions involving hiring or promotion are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements
(29 CFR, §1620.31).
Added January 12, 2000

9-75 **Family and Medical Leave Records** 29 CFR §825.500

Description: Agency records relevant to compliance and implementation of the Family and Medical Leave Act of 1993, including basic payroll information, FMLA leave taken, and medical histories (a complete list of records required to be kept to comply with the Family and Medical Leave Act is enumerated in 29 CFR §825.500).

Disposition: Retain in office three (3) years, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet stipulated retention requirements.
Amended April 28, 2005

9-76 **Annuity and Retirement Savings Plan Record**

Description: Institution copies of records pertaining to payroll deductions and institution contributions to faculty and staff supplemental retirement annuities and similar tax deferred annuity plans transacted with private firms and organizations. Information typically includes designation of, or change in designation of, the name(s) of companies to which contributions are to be sent and the amount to be withheld from the faculty or staff paycheck.

Disposition: File in applicable Institutional Personnel File (Series 9-1).
Added January 12, 2000

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9-77 **Equal Employment Opportunity Commission (EEOC) Claims and Complaints**

Description: Record of EEOC claims and complaints filed by faculty or staff against their employing institution. Information includes reports; exhibits; withdrawal notices; copies of decisions; records of hearings and meetings; correspondence; copies of records related to hiring, promotion, demotion, transfer, layoff or termination, rates of pay or other terms of compensation, selection for training or apprenticeship; and all other "personnel records relevant to the charge or action." [29 CFR §1602.49]

Disposition: Retain in office until two (2) years after date of personnel action involved in complaint or claim, or, in the case of involuntary termination, until two (2) years after the date of termination then destroy provided no legal actions are pending. If legal actions are pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements. For cases involving charges of discrimination, or, if an action is brought by the Attorney General under title VII, or the American Disabilities Act (ADA), retain all personnel records relevant to the charge or action until final disposition of the charge or action then destroy provided no legal actions are pending. If legal actions are pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Added July 12, 2000

9-78 **Visa Related Forms for Students, Staff and Faculty
(Confidential Record 54 O.S. § 24A)**

Description: Files include information pertaining to J-1 visa holders who wish to transfer to another college/university or H-1B visa holders who wish to be employed by another college/university and require a new visa from U.S. Immigration or obtained a green card. Information includes copies of the U.S. Citizenship and Immigration Services forms DS 2019 (Certificate of Eligibility) or I-129 (Petition for a Non-Immigrant Worker) along with supporting documentation used to transfer the J-1 visa holder or the request for a new visa from U.S. Immigration on an H-1B visa holder to the new college/university.

Disposition: Retain in office five (5) years after faculty, staff or student terminates employment, then destroy, provided no legal actions are pending. If legal action is pending, destroy two (2) years after the exhaustion of all legal remedies, provided records meet all stipulated retention requirements.
Added October 30, 2008

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Public Relations

10-1 **News Releases File**

Description: Master copy of university news releases.

Disposition: Retain in office two (2) years, then transfer to the Institutional Archives for permanent preservation.

10-2 **Advertisements File**

Description: Records concerning advertisements for university or university programs. File may include correspondence, marketing research, surveys, studies, master copies of advertisements, billing information and related information.

Disposition: Retain in office. Destroy contracts two (2) years after expiration provided no legal action is pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements. Destroy accounting records when five (5) years old provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending, destroy two (2) years after the exhaustion of all legal remedies provided records meet all stipulated retention requirements. Transfer remaining materials when five (5) years old to the Institutional Archives, with authority to weed, for permanent preservation.
Language Correction April 15, 1987

10-3 **Photographs File**

Description: Photographs of university and university related matters, individuals, or locations.

Disposition: Retain in office five (5) years, then transfer to the Institutional Archives, with authority to weed, for permanent preservation.

10-4 **Clippings File**

Description: News clippings concerning university and related matters.

Disposition: Retain in office until no longer required for administrative purposes, then destroy.

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Public Relations

10-5 **History File**

Description: Records concerning the history of the university.

Disposition: Retain in office five (5) years, then transfer to the Institutional Archives,
with authority to weed, for permanent preservation.

10-6 **Public Relations File**

Description: File consists of copies of news releases and clippings, cassette recordings of
broadcast announcements, and any other public relations materials.

Disposition: Retain in office until no longer required for administrative purposes, then
transfer all items except those defined as state publications by 65 O.S. 3-
113.2 to the Institutional Archives, with authority to weed, for permanent
preservation.

Amended April 16, 2009

10-7 **Talent Releases**

Description: File includes talent release forms and information related to rights and
permissions to use photographs, motion pictures, and voice recordings in
institutional publications.

Disposition: Retain in office five (5) years, then transfer to the Institutional Archives,
with authority to weed, for permanent preservation.

Added to schedule, October 16, 2014

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Security

11-1 **Visitor Registration File**

Description: Completed visitor registration sheets or forms.

Disposition: Retain in office one (1) year, then destroy.

11-2 **Vehicle Registration File**

Description: Records concerning the registration of vehicles and bicycles on campus.

Disposition: Retain in office one (1) year, then destroy.
Amended April 13, 1988

11-3 **Temporary Vehicle Registration File**

Description: Records concerning the temporary registration of vehicles on campus.

Disposition: Retain in office one (1) year, then destroy.

11-4 **Vehicle Accident Report File** Confidential Record 47 O.S., §10-117

Description: Records concerning each vehicle accident reported on campus. File may include medical records, reports, affidavits, photographs, diagrams, and related documents.

Disposition: Retain in office five (5) years, then destroy provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Amended April 13, 1988

11-5 **Accident Reports File** Confidential Record 47 O.S., §10-117

Description: Records concerning each accident reported on campus. File may include medical records, reports, affidavits, photographs, diagrams, and related documents.

Disposition: Retain in office five (5) years, then destroy provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Amended April 13, 1988

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Security

11-6 Non-Moving Traffic Citation and Traffic Citation Appeals Files

Description: Citations for non-moving traffic violations on campus and traffic citation appeals.

Disposition: Retain in office for five years, then destroy; provided no legal action is pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements.
Amended January 22, 2003

11-7 Stolen Property File

Description: Records concerning property reported stolen on campus and property recovered by Security/Police personnel that was suspected to have been stolen. File may include reports, inventories, photographs and other documents.

Disposition: Retain in office seven (7) years, then destroy provided no legal action is pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Language Correction April 15, 1987

11-8 Arrest History File File is subject to 51 O.S., §24

Description: Records concerning arrests of university/college students and other individuals on campus.

Disposition: Retain in office and destroy felony arrests records when twenty (20) years old, provided no legal action is pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements. Destroy misdemeanor and remaining records when five (5) years provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Amended April 13, 1988

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11-9 **Victim File** File is subject to 51 O.S., §24

Description: Records concerning victims of alleged criminal offenses occurring on campus.

Disposition: Retain in office and destroy felony offense victims file when twenty (20) years old provided no legal action is pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies. Destroy misdemeanor and remaining records when five (5) years old provided no legal action is pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Amended April 13, 1988

11-10 **Security File**

Description: Records concerning security measures taken for each university building.

Disposition: Retain in office two (2) years after superseded, then destroy.

11-11 **Case Reports**

Description: List of incidents, including initial offense report information, showing the offense, date, time, general location, officer and a brief summary of what occurred.

Disposition: Retain in office five (5) years, then destroy provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Added January 18, 1989

11-12 **Crime Statistics**

Description: Summary of crimes reported by classification or nature and number.

Disposition: Retain in office until compilation of annual report, then destroy.
Added January 18, 1989

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11-13 **Police Dispatcher Logs**

Description: Record of all calls made to campus security.

Disposition: Retain in office two (2) years, then destroy provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Added April 12, 1989

11-14 **Duty Rosters**

Description: Work schedules for campus security police.

Disposition: Retain in office until no longer required for administrative purposes, then destroy.
Added April 12, 1989

11-15 **Risk Management Certificate of Self Insurance**

Description: File contains copies of Certificates of Self Insurance issued by the Risk Management Division of the Department of Central Services verifying liability insurance. The Risk Management Division of the Department of Central Services is the state office of record (Schedule 90-05, Series 6-31).

Disposition: Retain in office until superseded, then destroy.
Added January 12, 2000

11-16 **Property Inventory/Surveys**

Description: File contains copies of original property inventories/property surveys conducted for Risk Management plus computer printouts received from Risk Management with notations concerning Comprehensive Insurance coverage. The Risk Management Division of the Department of Central Services is the state office of record (Schedule 90-05, Series 6-32).

Disposition: Retain in office until superseded, then destroy.
Added January 12, 2000

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11-17 **Incident Reports**

Description: File contains copies of incident reports completed when an incident has occurred where the state might be liable for damages. File includes Standard Liability/Standard Incident Report, In Case of Accident Report or related reports completed at the time of an incident. The Risk Management Division of the Department of Central Services is the state office of record (Schedule 90-05, Series 6-33).

Disposition: Retain in office two (2) years, then destroy provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Added January 12, 2000

11-18 **Surveillance Recordings (Video or Audio) Restricted Access 51 O. S. 24A.8b, 34 C. F. R. Part 99)**

Description: File includes audio or video recordings used to monitor or document the activities in public areas on campus for security or safety purposes.

Disposition: Retain in office until no longer required for administrative purposes, then destroy, provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies.
Added to schedule January 23, 2014

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12-1 **Student Organization File**

Description: Records concerning student organizations at university. File may include constitution, bylaws, minutes of meetings, and other records of any student organization.

Disposition: Retain constitution, bylaws, and minutes in office three (3) years, then transfer to the Institutional Archives, with authority to weed, for permanent preservation. Destroy fiscal records one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending, destroy two (2) years after the exhaustion of all legal remedies. Review remaining records on an annual basis. Destroy duplicate and ancillary records as well as substantive records no longer required for administrative purposes.

12-2 **Student Financial Assistance File**

Description: Record concerns financial aid awarded to university students. Each file may include applications for financial aid, correspondence, statements of need, approvals/disapprovals, as well as reports, funding information, guidelines and descriptions of programs, and related materials.

Disposition: Retain in office and destroy individual student files five (5) years after repayment, cancellation, or other release from repayment of financial aid provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Amended July 11, 1990

12-3 **Intramural Sports File**

Description: Records concerning intramural sports at the institution.

Disposition: Retain in office two (2) years, then destroy.

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12-4 **Student Legal Services Administrative File**

Description: Records concerning the administration of student legal services. File may include reports, correspondence, financial data, budgets, and related records.

Disposition: Retain in office five (5) years, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending, destroy two (2) years after the exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Language Correction April 15, 1987

12-5 **Student Legal Services Case File** Confidential Record 12 O.S., §2502

Description: Records concerning each student legal services case. Each file may include reports, transcripts, opinions, and related records.

Disposition: Retain in office until two (2) years after exhaustion of all legal remedies, then destroy.

12-6 **Disciplinary Records File**

Description: Records concerning disciplinary actions brought against students for violations of university rules and regulations.

Disposition: Retain in office until two (2) years after exhaustion of all legal remedies, then destroy.

12-7 **Student Counseling File** File is subject to 20 USC §1232g, 1982

Description: Records regarding students counseled by university counseling service. Counseling may relate to academics or minor problems.

Disposition: Retain in office and destroy two (2) years after termination of counseling.

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12-8 **Honor Code Violations File**

Description: Records concerning reported violations of university honor code. File may include investigations of those violations and records of trials before student court.

Disposition: If case is tried and accused is not convicted, destroy records two (2) years after acquittal. If case is tried and accused is convicted, transfer information to Student Records (Series 13-2). Retain remaining convicted case records ten (10) years, then destroy. Destroy records not concerning cases or cases that did not go to trial when five (5) years old.

12-9 **Student Surveys File**

Description: Completed student surveys. File may include reports summarizing results and conclusions of surveys.

Disposition: Retain in office one (1) year, then destroy surveys and work papers and transfer results and conclusions to the Institutional Archives for permanent preservation.

12-10 **Student Accident Reports File**

Description: Reports of accidents involving students. File may include affidavits, photographs, and related records.

Disposition: Retain in office ten (10) years then destroy if no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Language Correction April 15, 1987

12-11 **Dormitory Work Orders File**

Description: Work orders for repair or maintenance of student dormitories.

Disposition: Retain in office five (5) years after completion of project, then destroy provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Amended April 13, 1988

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12-12 **Student Housing Applications File**

Description: Completed applications for student housing.

Disposition: Retain in office two (2) years, then destroy provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Amended April 13, 1988

12-13 **Student Housing Contracts File**

Description: Completed contracts between Student Affairs and students utilizing student housing.

Disposition: Retain in office until two (2) years after end of contract, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided and no legal action is pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Language Correction April 15, 1987

12-14 **Residence Hall Housing File**

Description: Records concerning student residence hall housing. File may include rules and regulations concerning student housing, convenience copies of incident reports(record copy see Series 11-11), copies of completed applications for student housing (Series 12-12), copies of completed contracts between Student Affairs and students utilizing student housing (Series 12-13), copies of residence hall damages records (Series 12-15), move-in check lists, check-in cards, status changes, correspondence, refrigerator rental agreements, roommate selection surveys, deposit receipts, copies of student contracts from financial aid (Series 12-2), copies of time cards, time sheets (Series 9-46).

Disposition: Retain in office until two (2) years after end of housing contracts or housing applications, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided and no legal action is pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Amended January 22, 2009

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12-15 Residence Hall Damages File

Description: Records concerning damage to student residence halls and damage assessments to individual students.

Disposition: Transfer information concerning individual damage assessments to Fiscal Office. Retain copies of assessments and remaining records two (2) years after end of contract, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Language Correction April 15, 1987

12-16 Off Campus Housing File

Description: Records concerning off campus housing available to students.

Disposition: Retain in office until no longer required for administrative purposes, then destroy.

12-17 Student Handbooks

Description: Handbook concerning policies and procedures of the institution as they pertain to students, academic calendar, map of institution, etc.

Disposition: Retain in office until superseded, then transfer one (1) copy to the Institutional Archives for permanent preservation.
Added April 13, 1988

12-18 Academic Scholarships

Description: Record concerns scholarships awarded to university students. Each file may include applications for scholarship, correspondence, approvals/disapprovals, as well as reports, funding information, guidelines and descriptions of programs, and related materials.

Disposition: If scholarship is approved, transfer to Academic Scholarships (Granted), Series 12-19. Retain disapproved applications in office two (2) years, then destroy provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Added April 13, 1988

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12-19 **Academic Scholarships (Granted)**

Description: Record concerns approved scholarships awarded to university students. Each file may include applications for scholarship, correspondence, approvals/disapprovals, as well as reports, funding information, guidelines and descriptions of programs, and related materials.

Disposition: Retain in office five (5) years after termination of enrollment, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Added April 13, 1988

12-20 **Yearbooks**

Description: Copy of the college yearbook.

Disposition: Transfer one (1) copy to the Institutional Archives for permanent preservation.
Added January 18, 1989

12-21 **Campus Newspaper**

Description: Copy of the college newspaper.

Disposition: Retain in office permanently or transfer to the Institutional Archives for permanent preservation.
Amended April 12, 2000

12-22 **Placement Office File** Confidential Record 51 O.S., §24A.16

Description: File contains registration form; personal data form, consisting of institutions attended, degrees, summary of courses taken, number of hours, and names of courses; and confidential reference from faculty members.

Disposition: Retain in office five (5) years, then destroy.
Added January 17, 1990

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12-23 **Student Mastercard** Confidential Record 51 O.S., §24A.16

Description: File consists of card listing student name, address, telephone number, social security number, amount of parents' earned income, and type and amount of financial aid awarded, if any.

Disposition: Retain in office until five (5) years after termination of enrollment, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Added April 11, 1990

12-24 **Dormitory Rosters**

Description: Roster of all students living in a dormitory.

Disposition: Retain in office until no longer required for administrative purposes, then destroy.
Added January 16, 1991

12-25 **Student Contracts [Work Study and Institutional part-time positions]**

Description: Contracts listing one-page sheets listing names, social security numbers, number of hours per week to be worked, salary per hour, total term salary amounts, student's job titles, immediate supervisor's signature, account sponsor's signature, date, and account numbers.

Disposition: Retain in office and destroy five (5) years after submission of award year Fiscal-Operations Report to the U.S. Department of Education provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Added July 14, 1993

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12-26 Requests for Hiring Student Workers

Description: Requests from departments and offices for student workers. Data includes job title, work hours, and the name and social security number of the student.

Disposition: Retain in office and destroy five (5) years after submission of award year Fiscal-Operations Report to the U.S. Department of Education provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Added July 14, 1993

12-27 Financial Aid Procedures Manual

Description: Office copy of university procedures to be followed in awarding and administering student financial aid.

Disposition: Retain in office and destroy five (5) years after superseded provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Added July 14, 1993

12-28 Student Program Files

Description: File includes records concerning the administration of student operated programs. Files contain programs, description proposals, reports, correspondences and tickets.

Disposition: Retain in office two (2) years, then destroy.
Added October 26, 2006

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13-1 **Student Admission Applications File**

Description: File contains applications for admission to the institution. Files may also contain correspondence, references, admission test scores, transcripts of previous academic credit, and related records.

Disposition: If student has been accepted and enrolls, transfer to individual Student Records File (Series 13-2). Retain files on students who were rejected and those who were accepted but failed to enroll for one (1) year, then destroy provided no charges of discrimination have been filed. If charges have been filed destroy two (2) years after exhaustion of all legal remedies.

13-2 **Student Records File**

Description: File for each enrolled student may include admissions records, personal information, and related records.

Disposition: Retain in office two (2) years after student terminates enrollment or graduates, then destroy provided no charges of discrimination have been filed. If charges have been filed destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Language Correction April 15, 1987

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13-3 **Academic Transcript File (Essential Record 67 O.S. §203 (e))**

Description: File contains academic transcript for all courses and degrees earned by students. File may also contain information relative to honors and awards.

A. Disposition: For institutions that maintain their record copies only in hard copy format, after each semester or quarter's grades have been posted and verified, microfilm for security purposes in accordance with all standards for permanent microfilm established by the Archives and Records Commission; deposit the master negative with the Oklahoma Department of Libraries or in an offsite storage facility that meets Archives and Records Commission standards for the storage of permanent microfilm; and retain at least one (1) user copy in the institution. After filming, hard copy documents may be destroyed after approval of an ARC Form 5, "Notice of Intent to Destroy Records That Have Been Microfilmed."

B. Disposition: For institutions that maintain their record copies only in machine-readable format, after each semester or quarter's grades have been posted and verified, either (1) transfer at least one (1) set of backup tapes or disks to an offsite storage facility that meets appropriate environmental and security conditions for the storage of machine-readable records; inspect tapes and disks annually, and if inspection indicates the need to do so, replace the backup copy; and regardless of condition after inspection, replace all backup tapes or disks when they become five (5) years old.

C. Disposition: For print out in Computer Output Microfiche (COM) format or in hard copy format. Transfer Computer Output Microfiche (COM) to the Oklahoma Department of Libraries. For hard copy printouts, either (1) microfilm for security purposes in accordance with all standards for permanent microfilm established by the Archives and Records Commission; deposit the master negative of the microfilm with the Oklahoma Department of Libraries; and retain at least one (1) user copy in the institution; or (2) transfer the printout to the State Archives or to an offsite storage facility for permanent preservation. Printouts that have been microfilmed may be destroyed after approval of an ARC Form 5, "Notice of Intent to Destroy Records That Have Been Microfilmed."

Amended April 22, 2004

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13-4 **Recruitment File**

Description: Records concerning the recruitment of students. File may include procedures and guidelines for recruiting, correspondence, completed forms, reports, and related material.

Disposition: Retain in office two (2) years, then destroy provided no complaints have been filed. If complaints have been filed, destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Language Correction April 15, 1987

13-5 **Student Data File**

Description: Records providing statistical data concerning students.

Disposition: Retain in office permanently.
Amended April 12, 2000

13-6 **Admission Test Scores File**

Description: Information may include test descriptions, interpretations of scores, and related reference materials.

Disposition: If student has been accepted and enrolls, transfer to individual Student Records File (Series 13-2). Retain files on students who were rejected and those who were accepted but failed to enroll one (1) year, then destroy provided no charges of discrimination have been filed. If charges have been filed destroy two (2) years after exhaustion of all legal remedies.
Amended April 13, 1988

13-7 **Transfer Equivalent File**

Description: Records concerning transfer equivalents accepted by the institution. File may include reference materials concerning various colleges and universities and their academic equivalents.

Disposition: Retain in office permanently.

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13-8 **Student Withdrawal File**

Description: Records concerning students withdrawing from the institution. File includes notifications and all related data.

Disposition: Retain in office, transfer pertinent data to Academic Transcript File (Series 13-3). Destroy remaining material when two (2) years old.

13-9 **Veteran's Benefits File** 38 CFR §21.4209

Description: Records regarding students who receive veteran's benefits. File contains applications, approvals/disapprovals, dates of enrollment and attendance, enrollment certification, amounts awarded, amounts received, notice of change in student status and related records.

Disposition: Retain in office and destroy records pertaining to individual veterans five (5) years after termination of enrollment, provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements and no written request to retain the records longer has been received from the General Accounting Office or the United States Department of Veterans Affairs.
Amended April 13, 1994

13-10

Student Records Changes File

Description: Data regarding changes in student records.

Disposition: Transfer information to individual Student Records (Series 13-2 and 13-5). Destroy two (2) years after transferring provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Amended October 13, 1993

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13-11 **Add/Drop Forms**

Description: Forms used to add or drop courses.

Disposition: Transfer information to Academic Transcript File (Series 13-3). Retain forms one (1) year, then destroy.

13-12 **Pass/Fail Form File**

Description: Pass/Fail forms used to request a course be taken pass/fail instead of for a grade.

Disposition: Transfer information to Academic Transcript File (Series 13-3). Retain forms one (1) year, then destroy.

13-13 **Graduation File**

Description: Applications filed by students to graduate and listings of eligible students.

Disposition: Retain in office until verified, then transfer information to individual Student Records (Series 13-2). Retain forms one (1) year, then destroy.
Amended April 13, 1988

13-14 **Credit by Examination File** File is subject to 51 O.S., §24A.16

Description: CLEP tests administered by the institution and advanced placement tests administered by the institution or by high schools.

Disposition: Transfer results to Academic Transcript File (Series 13-3). Destroy records five (5) years after transferring results to Academic Transcript File provided no complaints have been filed. If a complaint has been filed destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Amended July 15, 1992

13-15 **Probation File**

Description: Records concerning academic and disciplinary probationary measures imposed upon students.

Disposition: Retain until probation is terminated, then transfer to individual Student Record (Series 13-2).

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13-16 **Diplomas File**

Description: File containing records concerning the ordering of diplomas for graduation.

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.

13-17 **Transcripts Requests File**

Description: Requests for grade transcripts.

Disposition: Retain in office one (1) year, then destroy.

13-18 **Student Awards and Honors File**

Description: Records concerned with bestowing graduation honors, honor rolls, and awards or other honors.

Disposition: Transfer one (1) copy to individual Student Records File (Series 13-2). Retain one (1) copy in office two (2) years, then transfer to Institutional Archives for permanent preservation.

13-19 **Placement Tests File**

Description: Completed tests administered to determine each student's aptitude.

Disposition: If student has been accepted and enrolls, transfer to individual Student Records File (Series 13-2). Retain files on students who were rejected and those who were accepted but failed to enroll one (1) year, then destroy provided no charges of discrimination have been filed. If charges have been filed destroy two (2) years after exhaustion of all legal remedies.

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13-20 **Placement Test Scores Listings File**

Description: Listings of student placement test scores.

Disposition: If student has been accepted and enrolls, transfer to individual Student Records File (Series 13-2). Retain files on students who were rejected and those who were accepted but failed to enroll one (1) year, then destroy provided no charges of discrimination have been filed. If charges have been filed destroy two (2) years after exhaustion of all legal remedies.

13-21 **Individual Placement Test Scores File**

Description: Placement test scores for each student taking test.

Disposition: If student has been accepted and enrolls, transfer to individual Student Records File (Series 13-2). Retain files on students who were rejected and those who were accepted but failed to enroll one (1) year, then destroy provided no charges of discrimination have been filed. If charges have been filed destroy two (2) years after exhaustion of all legal remedies.

13-22 **Completed Tests, Examinations, and Papers File**

Description: File includes course-related correspondence, completed assignments, student tests, examinations, and papers.

Disposition: Retain in office until returned to students. Retain unreturned material in office until expiration of academic appeals period, then destroy.
Amended January 22, 2015

13-23 **Comprehensive Examination File**

Description: Completed student comprehensive or general examinations for Masters or Doctoral degrees.

Disposition: Retain in office four (4) years, then destroy provided no grievances have been filed. If grievances have been filed destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Amended April 13, 1988

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13-24 **Comprehensive Examination Results File**

Description: Listings of student comprehensive or general examination scores.

Disposition: Transfer one (1) copy to individual Student Records File (Series 13-2) and retain one (1) copy in office two (2) years, then destroy.

13-25 **Admission to Program File**

Description: File contains information relevant to the requirements for admissions to a program (such as Nursing) where the program may have requirements separate and beyond those of the University.

Disposition: Retain in office until two (2) years after superseded, then transfer to the Institutional Archives for permanent preservation.

13-26 **Applications for Admissions to Program File**

Description: File contains applications for admissions to program.

Disposition: Transfer successful applications to individual Student Records File (Series 13-2). Retain unsuccessful applications one (1) year, then destroy provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Language Correction April 15, 1987

13-27 **Degree Plans-Degree Checks File**

Description: Working file used to double check student's progress towards a degree.

Disposition: Retain in office until no longer required for administrative purposes, then destroy.

13-28 **Student Teaching Certification File**

Description: Records concerning student certifications for teaching. File may include correspondence, applications, transcripts, check sheets, grade sheets, drop-add forms, class schedules, and related documents.

Disposition: Transfer one (1) copy to individual Student Records File (Series 13-2). Retain one (1) copy until two (2) years after termination of enrollment, then destroy.

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13-29 **Internships/Assistantships File**

Description: Records concerning student internships and assistantships within Department. File may include applications, approvals and disapprovals, records of credit earned, accounting information, class rolls, and related documents.

Disposition: Retain in office, transfer accounting records to Fiscal Office, transfer records of credit earned to Academic Transcript File (Series 13-3) at end of term. Keep remaining records until two (2) years after termination of enrollment, then destroy.

13-30 **Instructor Class Rolls/Grade Sheet**

Description: File contains class rolls and grade sheets for each course.

Disposition: Retain in office five (5) years, then destroy provided no complaints have been filed. If a complaint has been filed destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Language Correction April 15, 1987

13-31 **Course Roster**

Description: Student enrollment for each course in department.

Disposition: Retain in office two (2) years, then destroy.

13-32 **Practicum and Internship Agreements**

Description: Agreements between department, student, and outside entity providing student with practicum or internship experience. The file also includes applications, for student teaching, classroom evaluations, progress reports, recommendations from supervising teachers, and other evaluations.

Disposition: Retain in office and place in individual Student Records File (Series 13-2).
Amended October 11, 1989

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Student Records

13-33 **Instructor Evaluations**

Description: Teacher evaluations completed at the end of a course evaluating an instructor's performance.

Disposition: Retain in office until no longer required for administrative purposes, then destroy.

13-34 **Grievances**

Description: Grievances filed by professors and instructors against students for academic misconduct. File may include correspondence, transcripts of hearings, and decisions.

Disposition: Retain in office five (5) years after termination of enrollment, then destroy provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Language Correction April 15, 1987

13-35 **Instructor Grade Books**

Description: Files consist of instructor grade books for each course.

Disposition: Retain in office five (5) years, then destroy provided no complaints have been filed. If a complaint has been filed destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Amended April 12, 2000

13-36 **Correspondence**

Description: Incoming and copies of outgoing correspondence.

Disposition: File correspondence concerning students in applicable Student Records File, (Series 13-2). Retain other correspondence in office and review on an annual basis. Destroy duplicate and ancillary materials as well as substantive materials two (2) or more years old no longer required for administrative purposes.
Added January 16, 1991

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Student Records

13-37 **Open Lab Attendance Form**

Description: Student's open lab sign in forms.

Disposition: Retain in office until expiration of academic appeals period, then destroy.
Added October 15, 1997

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Hospitality Services

14-1 Hospitality Services Invoices

Description: Records to monitor the receipt of money for the payment of hospitality services. The payments may be in the form of meal tickets, cash, check, debit or credit card.

Disposition: Retain in office seven (7) years, then destroy, provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements.
Amended July 31, 2008

14-2 Profit and Loss Statements

Description: Statements from the hospitality services showing profit and loss for the month.

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies.
Amended July 31, 2008

14-3 Daily Reports

Description: Daily reports generated from hospitality service sales, services receipts, invoices, client portfolios and contracts.

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements.
Amended July 31, 2008

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Hospitality Services

14-4 Cash Register Tapes

Description: Tapes collected from cash registers in hospitality service.

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements.
Amended July 31, 2008

14-5 Inventory File

Description: Inventories of hospitality service supplies.

Disposition: Retain in office five (5) years, then destroy, provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements.
Amended July 31, 2008

14-6 Hospitality Services Events File

Description: File includes information related to events, such as receptions, weddings, or community activities, held in institutional spaces by non-institutional groups. Files may include correspondence, forms, agreements, and other information related to the event.

Disposition: Retain in office five (5) years, then destroy, provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements.
Added to schedule October 13, 2011

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Legal Counsel

15-1 **Open Records Act Requests**

Description: Requests received to examine records that are subject to the provisions of the Open Records Act.

Disposition: Retain in office two (2) years, then destroy provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Added October 17, 1990

15-2 **Court Orders**

Description: Court orders issued by judges requiring that certain actions be undertaken by the institution.

Disposition: Retain in office until two (2) years after exhaustion of all legal remedies, then transfer to the Institutional Archives, with authority to weed for permanent preservation.
Added January 12, 2000

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Printing Services

16-1 **General Accounting Ledger**
Deleted from schedule April 12, 2000

16-2 **Cash Receipts**

Description: File consists of records of cash receipts including deposit slips and copies of checks received from state agencies and various university offices.

Disposition: Retain in office seven (7) years, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Added July 17, 1991

16-3 **Financial Statements**

Description: Files contain monthly income statements and balance sheets prepared from the daily posting to the General Accounting Ledger (Series 16-1).

Disposition: Retain in office until no longer required for administrative purposes, then destroy.
Added July 17, 1991

16-4 **Job Tickets**

Description: File consists of customer order forms. The documents may contain customer order authorization form, job specifications, job cost data billing calculations, estimated price calculations, and samples of printed materials.

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies.
Added July 17, 1991

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Archives

17-1 **Records Transfer Authorizations**

Description: Records Transfer Authorizations used to accession records into the Institutional Archives.

Disposition: Retain in office permanently.
Added July 13, 1994

17-2 **Microform Identification Declaration**

Description: ARC 7, 8, 9, 10, and 12 target forms or their equivalent used in microfilming documents.

Disposition: Retain in office and destroy upon certification that the microfilm meets all standards established by the Archives and Records Commission.
Added January 12, 2000

17-3 **Records Management Coordinator Appointment Form (ARC Form 11)**

Description: Copies of forms sent to the Office of Archives and Records of the Oklahoma Department of Libraries listing appointment of institution's Records Management Coordinator and title. The Oklahoma Department of Libraries is the state office of record (Schedule 82-19, Series 7-19).

Disposition: Retain in office until superseded, then destroy.
Added January 12, 2000

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Veterinary Medical Records

18-1 **Veterinary Medical Records-Research Animals (9 CFR Section 2.35)**

Description: File includes records of examinations, diagnostic tests, treatments, and related information for research animals.

Disposition: Retain in office for three (3) years after completion of research, then destroy, provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies.
Added to schedule April 19, 2012

18-2 **Veterinary Medical Records-Private Patients (Confidential 59 O.S. Section 698.16a)**

Description: File includes records of examinations, diagnostic tests, treatments, and related information for private patients.

Disposition: Retain in office for three (3) years after last visit, then destroy, provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies.
Added to schedule April 19, 2012

18-3 **Research Animal Husbandry Records (9 CFR Section 2.35)**

Description: File includes records related to the care of research animals, including feeding, watering, housing, and breeding records.

Disposition: Retain in office until three (3) years after the completion of the study, then destroy, provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements.
Added to schedule April 19, 2012

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Miscellaneous Operations

19-1 **Golf Course Membership Files**

Description: File includes membership agreements, contact information for members, and information regarding annual dues or fees.

Disposition: Retain in office for three (3) years, then destroy, provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies.
Added to schedule April 18, 2013

19-2 **Non-Credit Continuing Education Program Files**

Description: File includes records pertaining to non-academic, non-credit, continuing education programs offered by various departments that may be conducted on or off of the campus. Examples of these programs include lifelong learning programs, college preparation training, summer youth programs, and sports camps. Files may include program descriptions, promotional materials, applications, registration lists, program materials, information regarding annual dues or fees, and other related information.

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements.
Added to schedule October 16, 2014