AGENDA

Call to Order
Roll Call

Nicole Willard, Chair
Natalie Currie, Vice Chair and Secretary
Ruthie Chicoine
Ashley Crall
Kiran Nallayahgari

Approval of Minutes of the Meeting of April 21, 2022*
State Archives and Records Management Division Quarterly Report

Open Meeting Act Statement.

This meeting is being conducted under the provisions of the Open Meeting Act as provided in SB 1031 approved by the Governor on February 10, 2021.

Key to abbreviations used below:
[AMD] = Amendment to a Records Disposition Schedule
[NEW] = Records Disposition Schedule
[RDA] = Records Disposition Authorization

Consideration of Requests*

83-02 [AMD] Oklahoma Securities Commission
86-10 [AMD] Oklahoma Merit Protection Commission
90-03 [AMD] Oklahoma State Regents for Higher Education
94-09 [AMD] Oklahoma Department of Environmental Quality
94-10 [AMD] Oklahoma Corporation Commission, Indemnity Fund
99-01 [AMD] Oklahoma Corporation Commission, Petroleum Storage Tank Division
2012-01 [AMD] Oklahoma Lottery Commission
2015-04 [AMD] Commissioners of the Land Office
2020-02 [AMD] Workers Compensation Commission
2022-20 [RDA] Oklahoma Department of Libraries-University of Oklahoma Health Sciences Center
Upcoming meetings of the Archives and Records Commission

- October 27, 2022

Adjournment

* Archives and Records Commission action required.
Call to Order:

Nicole Willard called the meeting to order at 11:02 a.m.

Members present were:

Nicole Willard  
Melody A. Kellogg  
Ruthie Chicoine  
Kiran Nallayahgari

Chair  
Vice Chair and Secretary  
Proxy for State Auditor  
Proxy for State Treasurer

Members absent were:

Ashley Crall  

Proxy for Lt. Governor

Also present were:

John Settle  
Jan Davis  
Jennifer Green  
Holly Hasenfratz  
Alyssa Vaughn  
Fariba Williams

Office of the Attorney General  
Department of Libraries  
Department of Libraries  
Department of Libraries  
Department of Libraries  
State Regents for Higher Education

Posting of Meeting Agenda

The agenda was posted on the window near the front door of the Oklahoma Department of Libraries building on April 8, 2022. The agenda was also posted on the agency's website on April 8, 2022.

Approval of Minutes of the Meeting of January 20, 2022:

Approval of the Minutes was moved by Kellogg and seconded by Nallayahgari.

Chicoine  aye  
Kellogg  aye  
Nallayahgari  aye  
Willard  aye
Consideration of Requests:

**Amendment to Records Disposition Schedule 80-42, State Board of Chiropractic Examiners**

The State Board of Chiropractic Examiners requested Records Disposition Schedule 80-42 be amended.

Approval of the Amendment to Records Disposition Schedule 80-42 was moved by Kellogg and seconded by Willard.

Chicoine  aye
Kellogg   aye
Nallayahgari  aye
Willard   aye

**Amendment to Records Disposition Schedule 90-03, State Regents for Higher Education**

Davis introduced Fariba Williams. The State Regents for Higher Education requested Records Disposition Schedule 90-03 be amended.

Approval of the Amendment to Records Disposition Schedule 90-03 was moved by Nallayahgari and seconded by Willard.

Chicoine  aye
Kellogg   aye
Nallayahgari  aye
Willard   aye

**Amendment to Records Disposition Schedule 92-12, Oklahoma Funeral Board**

The Oklahoma Funeral Board requested Records Disposition Schedule 92-12 be amended.

Approval of the Amendment to Records Disposition Schedule 92-12 was moved by Kellogg and seconded by Willard.

Chicoine  aye
Kellogg   aye
Nallayahgari  aye
Willard   aye

**Records Disposition Authorization 2022-03, District Attorneys Council**

The District Attorneys Council requested Records Disposition Authorization 2022-03 be approved.

Approval of Records Disposition Authorization 2022-03 was moved by Kellogg and seconded by Willard.

Chicoine  aye
Kellogg   aye
Nallayahgari  aye
Willard   aye
Amendment to the General Records Disposition Schedule for State Universities and Colleges, Department of Libraries

The Department of Libraries requested the General Records Disposition Schedule for State Universities and Colleges be amended.
Approval of the Amendment to the General Records Disposition Schedule for State Universities and Colleges was moved by Nallayahgari and seconded by Kellogg.

Chicoine        aye
Kellogg         aye
Nallayahgari    aye
Willard         aye

Records Disposition Authorization 2022-04, Department of Libraries, Town of Cardin

The Department of Libraries requested Records Disposition Authorization 2022-04 be approved.
Approval of Records Disposition Authorization 2022-04 was moved by Nallayahgari and seconded by Chicoine.

Chicoine        aye
Kellogg         abstain
Nallayahgari    aye
Willard         aye

Records Disposition Authorization 2022-05, Department of Libraries, Kay County Court Files, Miller 101 Ranch

The Department of Libraries requested Records Disposition Authorization 2022-05 be approved.
Approval of Records Disposition Authorization 2022-05 was moved by Nallayahgari and seconded by Chicoine.

Chicoine        aye
Kellogg         abstain
Nallayahgari    aye
Willard         aye

Records Disposition Authorization 2022-06, Department of Libraries, Oklahoma and Indian Territory Children's Home Society

The Department of Libraries requested Records Disposition Authorization 2022-06 be approved.
Approval of Records Disposition Authorization 2022-06 was moved by Nallayahgari and seconded by Willard.

Chicoine        aye
Kellogg         abstain
Nallayahgari    aye
Willard         aye
Records Disposition Authorization 2022-07, Department of Libraries, Newspapers on Microfilm

The Department of Libraries requested Records Disposition Authorization 2022-07 be approved.

Approval of Records Disposition Authorization 2022-07 was moved by Nallayahgari and seconded by Willard.

Chicoine  aye
Kellogg  abstain
Nallayahgari  aye
Willard  aye

Records Disposition Authorization 2022-08, Department of Libraries, Union Depot Hotel, Muskogee, Indian Territory

The Department of Libraries requested Records Disposition Authorization 2022-08 be approved.

Approval of Records Disposition Authorization 2022-08 was moved by Nallayahgari and seconded by Willard.

Chicoine  aye
Kellogg  abstain
Nallayahgari  aye
Willard  aye

Records Disposition Authorization 2022-09, Department of Libraries, Oklahoma Press Association

The Department of Libraries requested Records Disposition Authorization 2022-09 be approved.

Approval of Records Disposition Authorization 2022-09 was moved by Nallayahgari and seconded by Willard.

Chicoine  aye
Kellogg  abstain
Nallayahgari  aye
Willard  aye
Records Disposition Authorization 2022-10, Department of Libraries, American Association of Social Workers

The Department of Libraries requested Records Disposition Authorization 2022-10 be approved.
Approval of Records Disposition Authorization 2022-10 was moved by Nallayahgari and seconded by Willard.

Chicoine  aye
Kellogg  abstain
Nallayahgari  aye
Willard  aye

Records Disposition Authorization 2022-11, Department of Libraries, Thomas G. Harrison Collection

The Department of Libraries requested Records Disposition Authorization 2022-11 be approved.
Approval of Records Disposition Authorization 2022-11 was moved by Nallayahgari and seconded by Willard.

Chicoine  aye
Kellogg  abstain
Nallayahgari  aye
Willard  aye

Records Disposition Authorization 2022-12, Department of Libraries, Dissertation, Clark

The Department of Libraries requested Records Disposition Authorization 2022-12 be approved.
Approval of Records Disposition Authorization 2022-12 was moved by Nallayahgari and seconded by Willard.

Chicoine  aye
Kellogg  abstain
Nallayahgari  aye
Willard  aye


The Department of Libraries requested Records Disposition Authorization 2022-13 be approved.
Approval of Records Disposition Authorization 2022-13 was moved by Nallayahgari and seconded by Willard.

Chicoine  aye
Kellogg  abstain
Nallayahgari  aye
Willard  aye
Records Disposition Authorization 2022-14, Department of Libraries, Honor’s Thesis, Ever

The Department of Libraries requested Records Disposition Authorization 2022-14 be approved.

Approval of Records Disposition Authorization 2022-14 was moved by Nallayahgari and seconded by Willard.

Chicoine  aye
Kellogg  abstain
Nallayahgari  aye
Willard  aye

Records Disposition Authorization 2022-15, Department of Libraries, Master’s Thesis, Minyvar

The Department of Libraries requested Records Disposition Authorization 2022-15 be approved.

Approval of Records Disposition Authorization 2022-15 was moved by Nallayahgari and seconded by Willard.

Chicoine  aye
Kellogg  abstain
Nallayahgari  aye
Willard  aye

Records Disposition Authorization 2022-16, Department of Libraries, Master’s Thesis, Boylan

The Department of Libraries requested Records Disposition Authorization 2022-16 be approved.

Approval of Records Disposition Authorization 2022-16 was moved by Nallayahgari and seconded by Willard.

Chicoine  aye
Kellogg  abstain
Nallayahgari  aye
Willard  aye

Records Disposition Authorization 2022-17, Department of Libraries, Dissertation, Hill

The Department of Libraries requested Records Disposition Authorization 2022-17 be approved.

Approval of Records Disposition Authorization 2022-17 was moved by Nallayahgari and seconded by Willard.

Chicoine  aye
Kellogg  abstain
Nallayahgari  aye
Willard  aye
Records Disposition Authorization 2022-18, Department of Libraries, Baptist College Journal

The Department of Libraries requested Records Disposition Authorization 2022-18 be approved.
Approval of Records Disposition Authorization 2022-18 was moved by Nallayahgari and seconded by Willard.

Chicoine  aye
Kellogg  abstain
Nallayahgari  aye
Willard  aye

Records Disposition Authorization 2022-19, Department of Libraries, Methodist Episcopal Church "South" Conference Records

The Department of Libraries requested Records Disposition Authorization 2022-19 be approved.
Approval of Records Disposition Authorization 2022-19 was moved by Nallayahgari and seconded by Willard.

Chicoine  aye
Kellogg  abstain
Nallayahgari  aye
Willard  aye

New Business:
No new business was conducted at this time.

Adjournment:
The meeting was adjourned at 11:25 a.m.

Melody A. Kellogg
Melody A. Kellogg, Vice Chair and Secretary
Oklahoma Department of Libraries
Archives and Records Management Department Activity Report
April 5, 2022 – June 30, 2022

State Archives

Projects
- Shared 288 issues of prisoner newsletters with JSTOR Reveal Digital to be made freely available online to a wider audience through the American Prison Newspapers project
- Moved 2 TB of digital files from network drives to OU's OURRstore for preservation and to lower OMES storage fees.
- Completed supervising one OU undergraduate intern who was working on digital projects and territorial bill transcription for inclusion on Digital Prairie.
- Recent uploads to Digital Prairie include: 12 Corporation Commission annual reports, 20 territorial reports, and 48 yearbooks from Images of Oklahoma partner institutions.
- Interesting research requests include: aerial photographs of Keokuk Falls, a ghost town in eastern Oklahoma; cattle brands for three family members that will be used to make custom headboards in the family’s hunting lodge; and Oklahoma Supreme Court cases related to segregation.

Records Management
- Confirmed contact with 158 agency coordinators and identified 116 agencies that need to update coordinator contact information.

Outreach
- Participated in two more Archives Hashtag Parties on Twitter, generating considerable social media interaction for ODL. The themes were: On My Street (April) and Trees (May).
- Attended Society of Southwest Archivists Annual Meeting in Houston, Texas. Received professional development to support ACA Certification maintenance and attend RIM and digital records management sessions. Completed duties as Scholarships Committee Chair.

State Records Center and Annex
- Recent transfers include the Office of the Attorney General, Employment Securities Commission, Office of Juvenile Affairs, Board of Nursing, and Secretary of State.
- Collaborated with Library Resources staff to box and send an additional 28 pallets (672 boxes) of withdrawn books to the Internet Archive for possible digitization. The books will be included in the ODL Collection on the Internet Archive website, available to access for free by users worldwide.
- Pulled 114 cubic feet of records from the Department of Education and the Office of Management and Enterprise Services for destruction.
- Continuing annual physical inventory of State Records Center.
Summary

<table>
<thead>
<tr>
<th>1-2</th>
<th>Agency requests series be amended.</th>
</tr>
</thead>
<tbody>
<tr>
<td>1-3</td>
<td>Agency requests series be amended.</td>
</tr>
<tr>
<td>1-4</td>
<td>Agency requests series be transferred to series 1-3.</td>
</tr>
<tr>
<td>1-5</td>
<td>Agency requests series be amended.</td>
</tr>
<tr>
<td>1-6</td>
<td>Agency requests series be amended.</td>
</tr>
<tr>
<td>1-7</td>
<td>Agency requests series be transferred to series 1-5.</td>
</tr>
<tr>
<td>1-8</td>
<td>Agency requests series be amended.</td>
</tr>
<tr>
<td>1-9</td>
<td>Agency requests series be amended.</td>
</tr>
<tr>
<td>1-10</td>
<td>Agency requests series be amended.</td>
</tr>
<tr>
<td>1-11</td>
<td>Agency requests series be amended.</td>
</tr>
<tr>
<td>1-14</td>
<td>Agency requests series be deleted. This record is no longer created. There is no backlog.</td>
</tr>
<tr>
<td>1-29</td>
<td>Agency requests series be added.</td>
</tr>
<tr>
<td>1-30</td>
<td>Agency requests series be added.</td>
</tr>
<tr>
<td>1-31</td>
<td>Agency requests series be added.</td>
</tr>
<tr>
<td>1-32</td>
<td>Agency requests series be added.</td>
</tr>
</tbody>
</table>
1-2  **Commission Meeting Files**

Description: Files contain agenda and supporting documents for monthly and special Commission meetings.

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

1-3  **Original Administrative Orders Issued by the Administrator**

Description: Files contain orders relative to the designation of officers, suspensions, revocations, denials, investigations, subpoenas, the registration of securities, business opportunities, subdivided land and take-over offers, exemptions, and other administrative matters.

Disposition: Retain in office permanently.

1-4  **Original Registration Orders**

Description: Orders authorizing issuers to sell securities in Oklahoma.

Disposition: Retain in office permanently.

Transfer to series 1-3, July 21, 2022
ARCHIVES AND RECORDS COMMISSION

OKLAHOMA SECURITIES COMMISSION
Amendments to Records Disposition Schedule 83-02

* July 21, 2022 *

1-5  **Registration Corporate Finance Files**

A  Description:  File includes copies of records filed and maintained electronically through EDGAR (Electronic Data Gathering, Analysis and Retrieval) or NASAA’s EFD (North American Securities Administrators' Association Electronic Filing Depository), including applications for registration statements, periodic reports, investment company notices, exemption notices, requests for exemption, requests for waivers, consents to service of process, and other forms pertaining to the offer and sale of securities.

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

B  Description:  File includes administrative orders, files include applications for registration, correspondence, workpapers, periodic reports, investment company notices, exemption notices, requests for exemption, requests for waivers and responses, consents to service of process, and other documents pertaining to the offer and sale of securities, business opportunities, subdivided land, or take-over offers.

Disposition:  Retain in office until matter is closed, then transfer to the State Records Center. Destroy records when they become five (5) years old. Retain five (5) years, then destroy.
Broiler-Dealer and Investment Adviser Files

A Description: Files contain registration applications and amendments, workpapers, correspondence, post-registration filings, waiver requests and responses, consents to service of process, and other forms and documents pertaining to the registration of brokers and dealers.

Disposition: Retain in office until closed, then transfer to State Records Center. Destroy records when they become five (5) years old after withdrawal or denial of application or termination of active registration, then destroy.

B Description: Files include copies of records filed and maintained electronically through CRD (Central Registration Depository) or IARD (Investment Adviser Registration Depository), including registration applications and amendments, periodic reports, consents to service of process, and other documents pertaining to the registration of broker-dealers and investment advisers.

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

C Description: Files include court order expunging disclosures, associated correspondence, and copies of the expunged disclosures.

Disposition: Retain until five (5) years after expungement order, then destroy.

Exemptions

Description: Applications for organizations seeking exemptions from Oklahoma Securities Act and supplemental legislation. Files also contain planning documents, correspondence, and related materials.

Disposition: Retain in office one (1) year, then transfer to State Records Center. Destroy records when they become five (5) years old. Transfer to series 1-5, July 21, 2022
1-8 **Escrow Stock Agreements, Released and Returned**

**Description:** Copies of Escrow Form 1000 Escrow Agreements, receipts of deposit of stock, and receipts of release of stock, records relating to transfer of stock to the State Treasurer for safekeeping or referral to the Unclaimed Property Division, and correspondence related to the stocks, releases, and transfers.

**Disposition:** Retain in office until release of Escrow or and then transfer to State Records Center for five (5) years, then destroy determination that property owner cannot be located, then transfer to State Treasurer, Unclaimed Property Division.

1-9 **Cancelled Agents’ File Agents and Investment Adviser Representative Files**

A **Description:** Files contain include applications for registration and amendments, waiver requests and responses, renewal requests, correspondence, and qualification examination results, consents to service of process, and other forms and documents relating to the registration of agents and investment adviser representatives.

**Disposition:** Retain in office one (1) year, then transfer to State Records Center. Destroy records when they become five (5) years old, five (5) years after withdrawal or denial of application or termination of active registration, then destroy.

B **Description:** Files include copies of records filed and maintained electronically through CRD and IARD, including registration applications and amendments, consents to service of process, and other forms and documents pertaining to the registration of agents and investment adviser representatives.

**Disposition:** Retain until no longer needed for administrative purposes, then destroy.

C **Description:** Files include court orders to expunge disclosures, associated correspondence, and copies of records reflecting the expunged disclosures.

**Disposition:** Retain five (5) years after expungement order, then destroy.
1-10 **Examinations Files (Confidential Record 71 O.S. § 1-607)**

Description: Files include reports of annual and special, periodic, special, or other issuer, broker-dealer, investment adviser, and land sales examinations, workpapers, copies of company records, and previous examination reports.

Disposition: Retain in office five (5) years after examination is closed, then destroy unless referred to the Enforcement Division. If referred to the Enforcement Division, retain in compliance with 1-11, then transfer to the State Records Center. Destroy records when they become ten (10) years old.

1-11 **Investigations Enforcement--Closed Case Files (Record Copy) Confidential Record 71 O.S. 1981, §405 §1-607**

Description: Files contain include complaints, orders initiating investigations, orders closing investigations, subpoenas, correspondence, administrative proceeding documents and orders, revocations, court documents and orders, transcripts and tape recordings of hearings and proceedings, financial records, referrals, financial analysis, workpapers, background reports, interview notes, memorandums, and other pertinent documents.

Volume: 29 cubic feet per year

Disposition: Retain in office one (1) year ten (10) years after file is closed, then destroy, transfer to the State Records Center. Destroy records 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.

1-14 **Bond Files**

Description: Broker-Dealer, blanket and agent bonds.

Disposition: Retain in office one (1) year then transfer to State Records Center. Destroy records when they become five (5) years old. Delete from schedule, July 21, 2022
<table>
<thead>
<tr>
<th>1-29</th>
<th><strong>Investor Education Records (PII of students are Confidential Records, 71 O.S. § 1-607)</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Description:</strong></td>
<td>Files include participation documents with schools and teachers, student participation documents, student reports, program brochures and presentation materials, documentaries, and teacher evaluations.</td>
</tr>
<tr>
<td><strong>Disposition:</strong></td>
<td>Retain five (5) years, then destroy. Add to schedule, July 21, 2022</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>1-30</th>
<th><strong>Miscellaneous Correspondence Files</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Description:</strong></td>
<td>Files may include public record requests and responses, public questions and replies, responses to questionnaires and surveys, or other similar correspondence. (The disposition of correspondence to and from the Administrator and Deputy Administrator are governed by Series 1-3 of the General Records Disposition Schedule.)</td>
</tr>
<tr>
<td><strong>Disposition:</strong></td>
<td>Retain five (5) years, then destroy. Add to schedule, July 21, 2022</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>1-31</th>
<th><strong>Oklahoma Tax Commission 68 O.S. § 238.1 Files (Confidential Records 71 O.S. § 1-607)</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Description:</strong></td>
<td>Files include lists of registered individuals' names, addresses, and social security numbers provided to the Oklahoma Tax Commission (OTC) in compliance with 68 O.S. 238.1, lists from OTC of non-compliant individuals, notifications of compliance, and correspondence.</td>
</tr>
<tr>
<td><strong>Disposition:</strong></td>
<td>Retain five (5) years, then destroy. Add to schedule, July 21, 2022</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>1-32</th>
<th><strong>No-Action and Interpretive Opinions</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Description:</strong></td>
<td>Files include requests for no-action or interpretive opinions, accompanying correspondence, supporting documentation, opinions of counsel, and the Administrator's responses.</td>
</tr>
<tr>
<td><strong>Disposition:</strong></td>
<td>Retain permanently. Add to schedule, July 21, 2022</td>
</tr>
</tbody>
</table>
Summary

1-1  Agency requests series be amended.
1-3  Agency requests series be amended.
1-7A Agency requests series be amended.
1-7B Agency requests series be amended.
1-12 Agency requests series be amended to include the transfer of series 1-13 and 1-14.
1-13 Agency requests series be amended and transferred to series 1-12.
1-14 Agency requests series be amended and transferred to series 1-12.
1-16A Agency requests series be amended.
1-16B Agency requests series be amended.
1-16C Agency requests series be amended.
1-17 Agency requests series be amended.
1-18 Agency requests series be added to its schedule.
<table>
<thead>
<tr>
<th>1-1</th>
<th><strong>Active Case Files</strong></th>
<th>File is subject to 51 O.S., §24.1</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td><strong>Description:</strong></td>
<td>Case files relating to hearings or appeal requests under investigation. Documents may include the original appeal request, pleadings, motions, and intermediate rulings; evidence received or considered in a hearing; statements of matter officially noticed; questions and offers of proof; objections and rulings thereon; proposed findings and exceptions; decisions, opinions or reports by the presiding Administrative Law Judge; audio or video recordings; staff memoranda or data submitted to the Administrative Law Judge or Commissioners in connection with their consideration of the case.</td>
</tr>
<tr>
<td></td>
<td><strong>Volume:</strong></td>
<td>11 cubic feet per year</td>
</tr>
<tr>
<td></td>
<td><strong>Disposition:</strong></td>
<td>Retain in office and transfer individual case files not appealed to Inactive Files (Series 1-2), and individual cases files that have been appealed to District Court Files (Series 1-3).</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>1-3</th>
<th><strong>District Court Case Files</strong></th>
<th>File is subject to 51 O.S., §24.1</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td><strong>Description:</strong></td>
<td>Case files in which final disposition with the Commission has occurred and in which a party has filed for judicial review with the District Court, or an appellate court, and the Commission is also named party to the review.</td>
</tr>
<tr>
<td></td>
<td><strong>Volume:</strong></td>
<td>6 cubic feet per year</td>
</tr>
<tr>
<td></td>
<td><strong>Disposition:</strong></td>
<td>Retain in office until disposition is made by District Court, provided no appeals are pending, then transfer to the State Records Center. Destroy records four (4) years after the judicial review is completed provided no further legal action is pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies.</td>
</tr>
</tbody>
</table>
1-7A  **Agency Correspondence**

Description:  Incoming and copies of outgoing correspondence of a general nature, not relating to a specific appeal case, between the Commission, other state agencies, officials and the general public.

Volume:  1 cubic foot per year

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

1-7B  **Agency Correspondence**

Description:  Executive officer’s incoming and copies of outgoing correspondence.

Volume:  1 cubic foot per year

Disposition:  Retain in office and review on an annual basis. After the review, destroy duplicate and ancillary materials and transfer substantive materials three (3) years old to the State Archives, with authority to weed, for permanent preservation.

1-12  **Weekly Reports**

Description:  Weekly report reflecting current status of active cases. File includes weekly, monthly, quarterly, and annual reports reflecting status of active cases.

Volume:  less than 1 cubic foot per year

Disposition:  Retain in office two (2) years, then transfer to the State Archives for permanent preservation. Weekly, monthly, quarterly reports: Retain until annual report is completed, then destroy, when no longer required for administrative purposes. Annual reports: Retain permanently. Amend and transfer from series 1-13 and 1-14, July 21, 2022.
<table>
<thead>
<tr>
<th></th>
<th>Monthly Reports</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1-13</strong></td>
<td><strong>Description:</strong> Monthly reports reflecting number of cases filed, status and disposition by the Commission and Administrative Law Judges. File includes weekly, monthly, quarterly, and annual reports reflecting status of active cases.</td>
</tr>
<tr>
<td></td>
<td><strong>Volume:</strong> less than 1 cubic foot per year</td>
</tr>
<tr>
<td></td>
<td><strong>Disposition:</strong> Retain in office two (2) years then transfer to the State Archives for permanent preservation. Weekly, monthly, quarterly reports: Retain until annual report is completed, then destroy, when no longer required for administrative purposes. Amend and transfer to series 1-12, July 21, 2022</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>Quarterly Reports</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1-14</strong></td>
<td><strong>Description:</strong> Quarterly reports of cases, complaints, and requests for hearings filed, mediations, pre-hearing conferences, and appellate hearings conducted; status and disposition by the Commission and Administrative Law Judges. As required by 74 O.S., §841.3(8), other copies are transferred to the Governor, the Speaker of the House of Representatives, and the President Pro Tempore of the Senate. File includes weekly, monthly, quarterly, and annual reports reflecting status of active cases.</td>
</tr>
<tr>
<td></td>
<td><strong>Volume:</strong> less than 1 cubic foot per year</td>
</tr>
<tr>
<td></td>
<td><strong>Disposition:</strong> Retain copy in office two (2) years, then transfer to the State Archives for permanent preservation. Weekly, monthly, quarterly reports: Retain until annual report is completed, then destroy, when no longer required for administrative purposes. Amend and transfer to series 1-12, July 21, 2022</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>Mediation Records: Financial Records</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1-16A</strong></td>
<td><strong>Description:</strong> Financial records of monies provided by the Alternative Dispute Resolution System for the Dispute Mediation Program.</td>
</tr>
<tr>
<td></td>
<td><strong>Volume:</strong> less than 1 cubic foot per year</td>
</tr>
<tr>
<td></td>
<td><strong>Disposition:</strong> Retain in office until five (5) two (2) years old, 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.</td>
</tr>
</tbody>
</table>
1-16B Mediation Records: Written Records  Subject to 12 O.S., §1805

Description: Written agreement or decision to which both parties subscribe.

Volume: less than 1 cubic foot per year

Disposition: Retain in office until five (5) two (2) years old, then destroy.

1-16C Mediation Records: Case Records  Subject to 12 O.S., §1805

Description: Case record containing names of parties, category of dispute, and resolution outcome.

Volume: less than 1 cubic foot per year

Disposition: Retain in office until five (5) two (2) years old, then destroy.

1-17 Grievance Procedures

Description: Policies and procedures submitted to Merit Protection Commission by classified agencies detailing the manner in which employee grievances will be handled.

Disposition: Retain in office and transfer individual documents to the State Records Center when they are superseded. Retain in Records Center five (5) years, then destroy. Retain in office until no longer required for administrative purposes, then destroy.

1-18 Training Program File

Description: File includes training program information for programs offered by the Commission, including course rosters, sign-in sheets, training materials, agendas, and evaluations.

Disposition: Retain in office until no longer required for administrative purposes, then destroy. Add to schedule, July 21, 2022
Summary

1-61A  Agency requests series be amended to include series 1-61B.

1-61B  Agency requests series be amended and transferred to series 1-61A.

1-61C  Agency requests series be added to schedule.
Administrative Records

1-61A Integrated Postsecondary Education Data System (IPEDS) (September 1, 2000-) [Machine Readable Records]

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.]

IPEDS survey data is collected from and on behalf of Oklahoma state institutions of higher learning by Oklahoma State Regents for Higher Education (OSRHE) and submitted electronically to the National Center for Education Statistics (NCES) of the U.S. Department of Education (DOE). Information includes statistical data on student enrollments, including gender and race/ethnicity of students, graduation rates and postsecondary education programs. Specifically, OSRHE submits the following surveys on behalf of the state institutions of higher learning: completions, 12-month enrollment (Fall), Graduation Rates and Outcome Measures (Winter) and Fall Enrollment (Spring). IPEDS fulfills a U.S. Congressional mandate to collect, collate, and analyze and report statistics on the condition of American education. [Due to an odd-even year system of data collected, the profile of the collection data may vary from one reporting period to another.]

Disposition: Retain in office until closure of applicable reporting period, then delete. Retain in office ten (10) years after closure of applicable reporting period, then destroy. Amend and transfer from series 1-61B, July 21, 2022
Administrative Records

1-61B  **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.]

IPEDS survey data is collected from and on behalf of Oklahoma state institutions of higher learning by Oklahoma State Regents for Higher Education (OSRHE) and submitted electronically to the National Center for Education Statistics (NCES) of the U.S. Department of Education (DOE). Information includes statistical data on student enrollments, including gender and race/ethnicity of students, graduation rates and postsecondary education programs. Specifically, OSRHE submits the following surveys on behalf of the state institutions of higher learning: completions, 12-month enrollment (Fall), Graduation Rates and Outcome Measures (Winter) and Fall Enrollment (Spring). IPEDS fulfills a U.S. Congressional mandate to collect, collate, and analyze and report statistics on the condition of American education. [Due to an odd-even year system of data collected the profile of the collection data may vary from one reporting period to another.]

**Disposition:** Retain in office until closure of applicable reporting period, then destroy. Retain in office ten (10) years after closure of applicable reporting period, then destroy. Amend and transfer to series 1-61A, July 21, 2022

1-61C  **Utilized Data System (UDS)**

**Description:** The UDS and UDS Manuals contain student and professional staff data and information collected from Oklahoma higher education institutions. Those data are collected via the following digital files: Student, Enrollment, Multiple, Professional, Prior Learning Assessment, and Degrees Conferred. Concurrent data are contained in these digital files.

**Disposition:** Retain in office permanently. Add to schedule, July 21, 2022
Summary

2-1  Agency requests series be transferred to 2-21F and 2-22I.
2-3  Agency requests series be transferred to 2-21A and 2-22A.
2-4  Agency requests series be transferred to 2-21A and 2-22A.
2-5  Agency requests series be transferred to 2-21A, 2-21B, 2-22A, and 2-22C.
2-8  Agency requests series be transferred to 2-21D.
2-11 Agency requests series be transferred to 2-22D.
2-13 Agency requests series be amended and transferred to 6-1.
2-14 Agency requests series be transferred to 2-22B.
2-15 Agency requests series be transferred to 2-22C.
2-16 Agency requests series be transferred to 2-22C.
2-17 Agency requests series be transferred to 2-21A and 2-22A.
2-18 Agency requests series be transferred to 2-22C.
2-19 Agency requests series be transferred to 2-22B.
2-20 Agency requests series be transferred to 2-22B.
2-21A Agency requests series be transferred from series 2-3, 2-4, 2-5, and 2-17.
2-21B Agency requests series be transferred from 2-5.
2-21C Agency requests series be added to schedule.
2-21D Agency requests series be transferred from series 2-8.
2-21E Agency requests series be added to schedule.
2-21F Agency requests series be transferred from series 2-1.
2-22A Agency requests series be transferred from series 2-3, 2-4, 2-5, and 2-17.
2-22B Agency requests series be transferred from series 2-14, 2-19, and 2-20.
2-22C Agency requests series be transferred from series 2-5, 2-15, 2-16, and 2-18.
<table>
<thead>
<tr>
<th>Series</th>
<th>Action Requested</th>
</tr>
</thead>
<tbody>
<tr>
<td>2-22D</td>
<td>Agency requests series be transferred from series 2-11.</td>
</tr>
<tr>
<td>2-22E</td>
<td>Agency requests series be added to schedule.</td>
</tr>
<tr>
<td>2-22F</td>
<td>Agency requests series be added to schedule.</td>
</tr>
<tr>
<td>2-22G</td>
<td>Agency requests series be added to schedule.</td>
</tr>
<tr>
<td>2-22H</td>
<td>Agency requests series be added to schedule.</td>
</tr>
<tr>
<td>2-22I</td>
<td>Agency requests series be transferred from series 2-1.</td>
</tr>
<tr>
<td>2-23A</td>
<td>Agency requests series be added to schedule.</td>
</tr>
<tr>
<td>2-23B</td>
<td>Agency requests series be added to schedule.</td>
</tr>
<tr>
<td>2-23C</td>
<td>Agency requests series be added to schedule.</td>
</tr>
<tr>
<td>2-23D</td>
<td>Agency requests series be added to schedule.</td>
</tr>
<tr>
<td>2-23E</td>
<td>Agency requests series be added to schedule.</td>
</tr>
<tr>
<td>2-23F</td>
<td>Agency requests series be added to schedule.</td>
</tr>
<tr>
<td>6-1</td>
<td>Agency requests series be transferred from series 2-13.</td>
</tr>
</tbody>
</table>
Water Quality Division

2-1 Water and Waste Water Treatment Operators Certification File

Description: File relates to the certification of water and waste water treatment operators and contains applications, test results, and allied documents.

Volume: five (5) cubic feet per year

Disposition: Retain in office for ten (10) years, 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. Transfer to series 2-21F and 2-22I, July 21, 2022

2-3 Record of Receipt of Plans and Specifications for Construction of Water, Sewage, and Swimming Pool Facilities

Description: Files contain entries used to record the receipt of plans required to be submitted for review (see Series 2-4).

Volume: one (1) cubic foot per year

Disposition: Retain in office permanently. Transfer to series 2-21A and 2-22A, July 21, 2022

2-4 Plans and Specifications for Construction of Water and Sewage Facilities

Description: Blueprints, engineering drawings, and other documents relating to the construction of water and sewage facilities submitted for review.

Volume: five (5) cubic feet per year

A. Disposition: Retain in office permanently.

B. Disposition: Transfer one (1) copy to the applicability-proposed facility and one (1) copy to the applicable municipality. Transfer to series 2-21A and 2-22A, July 21, 2022
Water Quality Division

2-5 Engineering Reports

Description: Files relate to reviews carried out in Series 2-4 and contain departmental analyses, cost data, and reference materials.

Volume: two (2) cubic feet per year

Disposition: Retain in office and destroy five (5) years after completion of applicable individual construction project, 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.

Transfer to series 2-21A, 2-21B, 2-22A, and 2-22C, July 21, 2022

2-8 Monthly Surface Water Treatment Plant Reports

Description: Files consist of monthly reports submitted by officials of water treatment plants documenting chemical use, filtration, turbidity, alkalinity, and other statistical data.

Volume: three (3) cubic feet per year

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.

Transfer to series 2-21D, July 21, 2022
Water Quality Division

### 2-11 Discharge Monitoring Reports (EPA Form 3320-1)

**Description:** Monthly reports of sewage discharge into streams, lakes, and other bodies of water.

**Volume:** five (5) cubic feet per year

**Disposition:** Retain in office ten (10) 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.

Transfer to series 2-22D, July 21, 2022

### 2-12 Complaint Files

**Description:** Files relate to specific complaints made pertaining to specific instances in which water quality is being called into question.

**Volume:** one (1) cubic foot per year

**Disposition:** Retain in office twenty-five (25) years following resolution of complaint, 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 in office ten (10) 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.

Amend and transfer to series 6-1, July 21, 2022
Water Quality Division

2-14  Affidavit of No Discharge

Description: Affidavit completed by municipalities affirming cessation of wastewater discharge into state waters.

Volume: less than 1 cubic foot per year

Disposition: Retain in office permanently.
Transfer to series 2-22B, July 21, 2022

2-15  Quarterly Progress Reports

Description: Quarterly reports received from permitted facilities updating DEQ of their progress towards compliance with permit enforcement requirements.

Volume: less than 1 cubic foot per year

Disposition: Retain in office permanently.
Transfer to series 2-22C, July 21, 2022

2-16  Inspection Reports

Description: Reports filed by DEQ inspectors after inspections of wastewater facilities. Information includes legal descriptions of sites, and any noted violations of the permit.

Volume: less than 1 cubic foot per year

Disposition: Retain in office permanently.
Transfer to series 2-22C, July 21, 2022

2-17  Maps

Description: Maps of municipal and industrial facilities showing locations of construction lines, and discharge pipes.

Volume: less than 1 cubic foot per year

Disposition: Retain in office permanently.
Transfer to series 2-21A and 2-22A, July 21, 2022
Water Quality Division

2-18  **Bypass Reports**

Description: Reports received from municipalities regarding bypasses of their discharge treatment systems or discharge pipes.

Volume: less than 1 cubic foot per year

Disposition: Retain in office three (3) years, then destroy.
Transfer to series 2-22C, July 21, 2022

2-19  **Application to Discharge, Treat, or Dispose of Municipal or Industrial Wastewater**

Description: Permit application forms received from industries or municipalities wanting to discharge, treat, or dispose of wastewater.

Volume: two (2) cubic feet per year

Disposition: Retain in office permanently.
Transfer to series 2-22B, July 21, 2022

2-20  **Permit to Treat Discharge**

Description: Permits issued by DEQ to industries or municipalities to treat discharge wastewater.

Volume: two (2) cubic feet per year

Disposition: Retain in office permanently.
Transfer to series 2-22B, July 21, 2022
Water Quality Division

2-21A Public Water Supply (PWS) Construction Files

Description: File 1 includes construction files for drinking water projects, which includes plans, specifications, construction permitting records, blueprints, engineering reports, and related information. File also includes maps of facilities showing locations of construction lines, and discharge pipes.

Disposition: Retain in office permanently.
Transfer from 2-3, 2-4, 2-5, and 2-17, July 21, 2022

2-21B Public Water Supply (PWS) Enforcement Files

Description: File 2 includes enforcement, correspondence, review reports, and related information for permitting and enforcement of the Drinking Water program.

Disposition: Retain in office permanently.
Transfer from series 2-5, July 21, 2022

2-21C Public Water Supply (PWS) Monitoring Sourcewater Files

Description: File 3 includes supporting documents for monitoring drinking water including sample site plans, lead & copper documents, correspondence, inventories, and contact information.

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.
Add to schedule, July 21, 2022

2-21D Public Water Supply (PWS) Monthly Operating Reports (MOR)

Description: Files 4 consist of monthly reports submitted by officials of water treatment plants documenting chemical use, filtration, turbidity, alkalinity, and other statistical data.

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.
Transfer from series 2-8, July 21, 2022
Water Quality Division

2-21E Public Water Supply (PWS) Drinking Water State Revolving Fund (DWSRF) Construction Projects

Description: File includes DWSRF construction files for drinking water projects (water plants, water lines, and towers) which includes plans, specifications, construction permitting records, blueprints, engineering reports, and related information, that are using the DWSRF program for funding.

Disposition: Retain in office for two (2) years following the completion of the project and payment of the loan, 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.

Add to schedule, July 21, 2022

2-21F Public Water Supply (PWS) Operator Certification Files

Description: File includes applications, test results, and related information, for the certification of water treatment operators.

Disposition: Retain in office ten (10) 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.

Transfer from series 2-1, July 21, 2022
Water Quality Division

2-22A  Municipal Wastewater Construction Files

Description: File includes construction files for municipal wastewater projects, which includes plans, specifications, construction permitting records, blueprints, engineering reports, and related information. File also includes maps of facilities showing locations of construction lines, and discharge pipes.

Disposition: Retain in office permanently.
Transfer from series 2-3, 2-4, 2-5, and 2-17, July 21, 2022

2-22B  Municipal Wastewater Permitting Files

Description: File 1 includes approved permits and permit application forms received from municipalities wanting to discharge, treat, or dispose of wastewater. File also includes affidavits completed by municipalities affirming cessation of wastewater discharge into state waters.

Disposition: Retain in office permanently.
Transfer from series 2-14, 2-19, and 2-20, July 21, 2022

2-22C  Municipal Wastewater Enforcement Files

Description: File 2 includes enforcement, monitoring, correspondence, and related information for permitting and enforcement of the Wastewater program. File also includes engineering, inspection, and progress reports, as well as reports received from municipalities regarding bypasses of their discharge treatment systems or discharge pipes.

Disposition: Retain in office permanently.
Transfer from series 2-5, 2-15, 2-16, and 2-18, July 21, 2022
Water Quality Division

**2-22D Municipal Wastewater Reporting Files**

**Description:** File 3 contains Discharge Monitoring Reports (DMRs) for municipal wastewater programs.

**Disposition:** Retain in office ten (10) 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.

Transfer from series 2-11, July 21, 2022

**2-22E Biomonitoring Files**

**Description:** File 4 includes records related to biomonitoring testing of effluents to determine toxicity to fish and invertebrates including lab reports, and Toxicity Reduction Evaluation (TRE) reports.

**Disposition:** Retain in office ten (10) 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.

Add to schedule, July 21, 2022

**2-22F Sludge and Residual Files**

**Description:** File 5 includes sludge & residual disposal files for wastewater, sludge management plans, sludge disposition plans, permits and associated records.

**Disposition:** Retain in office permanently.

Add to schedule, July 21, 2022

**2-22G Fish Kills Files**

**Description:** File pertain to water pollution records related to fish kills, including reporting documents, investigations and conclusions.

**Disposition:** Retain in office permanently.

Add to schedule, July 21, 2022
### Water Quality Division

<table>
<thead>
<tr>
<th>Series</th>
<th>Description</th>
<th>Disposition</th>
</tr>
</thead>
<tbody>
<tr>
<td>2-22H</td>
<td><strong>Stormwater Files</strong>&lt;br&gt;File includes permitting, correspondence and supporting documents related to the monitoring of sediment due to water runoff in municipalities.</td>
<td>Retain in office permanently.&lt;br&gt;Add to schedule, July 21, 2022</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Series</th>
<th>Description</th>
<th>Disposition</th>
</tr>
</thead>
<tbody>
<tr>
<td>2-22I</td>
<td><strong>Wastewater Operator Certification Files</strong>&lt;br&gt;File includes applications, test results, and related information, for the certification of wastewater treatment operators.</td>
<td>Retain in office ten (10) 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. Transfer from series 2-1, July 21, 2022</td>
</tr>
</tbody>
</table>
Water Quality Division

2-23A **Industrial Wastewater Permitting Files**

Description: File 1 includes industrial wastewater permitting files, including plans, specifications, permitting records, blueprints, engineering reports, and related information.

Disposition: Retain in office permanently.
Add to schedule, July 21, 2022

2-23B **Industrial Wastewater Enforcement Files**

Description: File 2 includes enforcement, monitoring, correspondence, and related information for permitting and enforcement of the Drinking Water program.

Disposition: Retain in office permanently.
Add to schedule, July 21, 2022

2-23C **Industrial Wastewater Reporting Files**

Description: File 3 includes monthly operating reports for industrial wastewater operations.

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.
Add to schedule, July 21, 2022

2-23D **Biomonitoring Files**

Description: File 4 includes records related to biomonitoring testing of effluents to determine toxicity to fish and invertebrates including lab reports, and Toxicity Reduction Evaluation (TRE) reports.

Disposition: Retain in office ten (10) 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.
Add to schedule, July 21, 2022
Water Quality Division

2-23E  **Sludge and Residual Files**

**Description:** File 5 includes sludge & residual disposal files for Industrial wastewater, sludge management plans, sludge disposition plans, permits and associated records.

**Disposition:** Retain in office permanently.
Add to schedule, July 21, 2022

2-23F  **Stormwater Files**

**Description:** File includes permitting, correspondence and supporting documents related to the monitoring of sediment from Industrial construction sites.

**Disposition:** Retain in office permanently.
Add to schedule, July 21, 2022
Environmental Complaints & Local Services Division (ECLS)

6-1 Environmental Complaints (Record Copy)

Description: Files pertain to environmental complaints from parties received by the DEQ Complaints Office. Records include locations and descriptions of complaints, correspondence between DEQ and complainant, supporting documentation, customer performance survey comment cards, names of agency investigators assigned, investigator’s field notes, and if enforcement action was taken, a record of action taken.

Volume: thirty (30) cubic feet per year

Disposition: Retain in office ten (10) 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.

Transfer from series 2-13, July 21, 2022
Summary

Agency requests Introduction be amended.

1-93 Agency requests series be amended and transferred to Schedule 99-01, Series 2-41.

1-94 Agency requests series be deleted. This information is included in Schedule 99-01, Series 2-41.

1-95 Agency requests series be deleted. This information is included in Schedule 99-01, Series 2-41.

1-96 Agency requests series be deleted. This information is included in Schedule 99-01, Series 2-41.

1-97 Agency requests series be deleted. This information is included in Schedule 99-01, Series 2-41.

1-98 Agency requests series be deleted. This information is included in Schedule 99-01, Series 2-41.

1-99 Agency requests series be deleted. This information is included in Schedule 99-01, Series 2-41.
This Records Disposition Schedule encompasses the original Records Disposition Schedule approved by the Archives and Records Commission on April 13, 1994. This schedule is superseded by Schedule 99-01 as approved by the Archives and Records Commission on July 21, 2022.

Convenience or Reference Copies

Copies of records created for the user’s convenience may 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 Format

Individual agencies, boards, commissions, and institutions shall maintain individual record series in the most efficient and cost-effective format consistent with sound records management principles, state and federal laws, rules and regulations, court decisions, and their individual records keeping needs.

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 stipulated in this Schedule or require that records be retained in hard copy or other format, the applicable statutes, court decisions, CFR, or other state and federal regulations shall govern the retention periods and formats of the records.

Information regarding requirements for specific record formats is located in the Introduction to the General Records Disposition Schedule for State Agencies, Boards and Commissions, which can be found at the Oklahoma Department of Libraries website.
1-93  **Indemnity Fund Claim Files**

**Description:** Files contain forms relating to accessing the Indemnity Fund for reimbursement of costs associated with the clean up of a release from a petroleum storage tank. Records include Forms IF 100, Reimbursement Application; IF 101 Supplemental Reimbursement Request; IF 102, Request for Reimbursement; IF 103, Affidavit of Release; IF 104-1, Professional Services, IF 104-2, Environmental/Contractor Expenses; IF 110, Leak; Detection Data Sheet; and IF 111, Resubmittal Reimbursement Request; the Critical Data Log, Claim Activity Record, Statement of other Financial Mechanisms, Potential Damage Estimate, Evidence of Ownership, Original Invoices, Back-up Invoices, Bids, Contracts Between the Client and the Consultant, Leak Detection Supporting Documentation, Substantial Compliance Documentation, and an Administrative Pre-Review Checklist; and all correspondence regarding the application and reimbursement, copies of all vouchers issued for reimbursement of expenses.

Files relate to reimbursements associated with the clean up of a release from a petroleum storage tank. Files include all information concerning eligibility, claims, paid vouchers and correspondence related to each case. Files are maintained in a database.

**Volume:** 25 cubic feet per year

**Disposition:** Retain in office and transfer records pertaining to individual claims one (1) year after closure, to the State Archives for permanent preservation.

Retain in office permanently.

Amend and transfer to Schedule 99-01, Series 2-41, July 21, 2022

1-94  **Master Forms**

**Description:** Files contain original of forms used to conduct the daily business of the Indemnity Fund.

**Volume:** less than 1 cubic foot per year

**Disposition:** Retain in office until superseded, then transfer one (1) copy of the superseded form to the State Archives for permanent preservation.

Delete from schedule, July 21, 2022
Claim Tracking Log

Description: File consists of log which is used to assign tracking numbers to claims to provide information on the dispositions and to provide a record of incoming claims received by the Indemnity Fund.

Volume: less than 1 cubic foot per year

Disposition: Retain in office until no longer required for administrative purposes, then transfer to the State Archives for permanent preservation.
Delete from schedule, July 21, 2022

Claim Office Tracking Log

Description: File consists of log used to record, for index and retrieval purposes, the location of Indemnity Fund claim files.

Volume: less than 1 cubic foot per year

Disposition: Retain in office until no longer required for administrative purposes, then transfer to the State Archives for permanent preservation.
Delete from schedule, July 21, 2022

Notice of Release Letter Log

Description: File consists of log used to record, for index purposes, the correspondence sent to the responsible parties in cases of petroleum releases, i.e., the owners of storage tank systems who have received a notice of release letter from the UST/AST (Underground Storage Tank/Above Ground Storage Tank) Department of the Fuel Division, informing them of the Indemnity Fund and of the reimbursement for which they may apply.

Volume: less than 1 cubic foot per year

Disposition: Retain in office until no longer required for administrative purposes, then transfer to the State Archives for permanent preservation.
Delete from schedule, July 21, 2022
**Technical File Register**

**Description:** File consists of log used to record, for index and retrieval purposes, the locations of all technical files produced by the Indemnity Fund.

**Volume:** less than 1 cubic foot per year

**Disposition:** Retain in office until no longer required for administrative purposes, then transfer to the State Archives for permanent preservation. Delete from schedule, July 21, 2022

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**Technical Files Status Sheet Book with Index**

**Description:** Index consists of inventory sheets listing all reports and other documentation which are maintained in the Technical Files received by the Indemnity Fund.

**Volume:** less than 1 cubic foot per year

**Disposition:** Retain in office until no longer required for administrative purposes, then transfer to the State Archives for permanent preservation. Delete from schedule, July 21, 2022
Summary

2-41  Agency requests series be transferred from Schedule 94-10, Series 1-93.

5-33  Agency requests series be amended.

5-38  Agency requests series be amended.

5-50  Agency requests series be amended.

5-55  Agency requests series be amended.

6-1   Agency requests series be amended.

6-2   Agency requests series be amended.

6-11  Agency requests series be amended.
Accounting Records

2-41  **Indemnity Fund Claim Files**

**Description:** Files relate to reimbursements associated with the clean up of a release from a petroleum storage tank. Files include all information concerning eligibility, claims, paid vouchers, and correspondence related to each case. Files are maintained in a database.

**Disposition:** Retain in office permanently.
Transfer from Schedule 94-10, Series 1-93, July 21, 2022
Petroleum Storage Tank Division

5-33  **Calibration Can Certifications Calibration of Dispenser Meters**

Description: U.S. Bureau of Standards' certifications of agency's 5-gallon test measurers used in calibrating pumps. National Institute of Standards and Technology (NIST) certifications of agency's 5-gallon test measurers used in calibrating dispenser meters. Files are maintained in a database.

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. Retain in office permanently.

5-38  **Refineries**

Description: Correspondence from refineries, reporting location, and calibration reports and record of the calibration of meters used at refineries and terminals to measure volumes of fuel sold. File includes records of the calibration of meters at refinery and pipeline terminals used to deliver petroleum products for sale to another party. Files are maintained in a database.

Disposition: Retain in office until superseded, then destroy. Retain in office permanently.

5-50  **Antifreeze Licensing and Permits Database**

Description: File includes chronological records of permits issued for the sale of antifreeze, test results, correspondence, applications for permits to market, lists of approved brands, and payment records pertaining to regulations of sales of antifreeze. File includes applications, payment records, and other supporting documentation for licenses issued for storage tank professionals and permits issued for the sale of antifreeze.

Disposition: Retain in office permanently.
Petroleum Storage Tank Division

5-55  Complaints

Description: Forms recording consumer complaints against stations. Files are maintained in a database.

Disposition: Retain in office until five (5) years after resolution of complaint, 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 in office permanently.

6-1  Technical Files  (Essential Record  67 O.S. §203(e))

Description: Files include documents pertaining to all information concerning leaking petroleum storage tanks and Indemnity Fund issues. Files include suspicion of release files and confirmed release files. These files include, but are not limited to a notice of release, all correspondence, reports and purchase orders. Files are maintained in a database.

Volume: five (5) cubic feet per year

Disposition: Retain in office permanently.

6-2  Facility Files  (Essential Record  67 O.S. §203(e))

Description: Files contain current registration of current and previous owners of Underground Storage Tanks (USTs), Aboveground Storage Tanks (ASTs), reports filed by fuel inspectors, invoices for permit fees, and correspondence pertaining to tanks. Files are maintained in a database.

Volume: eight (8) cubic feet per year

Disposition: Retain in the office permanently.
Petroleum Storage Tank Division

6-11  **Leaking Underground Storage Tank (LUST) Trust Fund Correspondence**

**Description:**
File contains copies of incoming and outgoing correspondence pertaining to the LUST Trust Fund. Files include all information related to LUST Trust Fund release cases. Files include purchase orders, reports, correspondence and documentation of cost recovery measures. Files are maintained in a database.

**Volume:**
less than 1 cubic foot per year

**Disposition:**
Retain in office three (3) 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 in office permanently.
Summary

2-1 Agency requests series be amended.
2-2 Agency requests series be amended.
2-4 Agency requests series be amended.
2-5 Agency requests series be amended.
2-6 Agency requests series be deleted. This record is no longer created. There is no backlog of records.
2-7 Agency requests series be amended.
2-10 Agency requests series be amended.
2-11 Agency requests series be deleted. This record is no longer created. There is no backlog of records.
2-12 Agency requests series be amended.
2-15 Agency requests series be amended
2-18 Agency requests series be amended and transferred to series 12-1.
2-19 Agency requests series be amended.
2-20 Agency requests series be amended.
2-21 Agency requests series be transferred to series 12-2.
2-22 Agency requests series be amended.
3-1 Agency requests series be amended.
3-2 Agency requests series be amended.
3-3 Agency requests series be amended.
3-4 Agency requests series be amended.
4-1 Agency requests series be deleted. This record is no longer created. There is no backlog of records.
4-2 Agency requests series be amended.
4-3 Agency requests series be amended.
4-4 Agency requests series be amended.
4-5 Agency requests series be deleted. This record is no longer created. There is no backlog of records.
Agency requests series be deleted. This record is no longer created. There is no backlog of records.

Agency requests series be deleted. This record is no longer created. There is no backlog of records.

Agency requests series be amended.

Agency requests series be amended.

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Agency requests series be amended.

Agency requests series be amended.

Agency requests series be transferred from series 2-18.

Agency requests series be transferred from series 2-21.
## Security/Investigations

### 2-1 Retailer Requests for Adjustments

**Description:** File includes requests from retailers for adjustments to statements, such as for misprinted tickets. File may include forms, correspondence, supporting documentation and related information.

**Disposition:** Retain in office for three (3) years after resolution of request, then destroy.

### 2-2 Complaint File

**Description:** File includes complaints submitted by customers, retailers, vendors and others related to lottery activities. File may include complaint forms, correspondence, supporting documentation, disposition, and related information.

**Disposition:** Retain in office for three (3) years after disposition of complaint, then destroy.

### 2-4 Access Requests

**Description:** File includes forms for requesting physical access to restricted areas of Commission offices and forms requesting changes to access for these areas.

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

### 2-5 Drawing Results

**Description:** File includes draw reporting forms, auditor results, and related information obtained from automated drawing system.

**Disposition:** Retain in office for three (3) years from date of drawing, then destroy.

### 2-6 Hash File Data (Confidential 3A O.S. 725)

**Description:** File includes hash file data and instant tickets used for online promotional drawings. Hash file data is produced by a computer program used for promotional drawings from online entries.

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

Delete from schedule, July 21, 2022
Security/Investigations

2-7  **Post Deadline Returns**

Description: File includes instant ticket return receipt forms from merchandising service representative and destruction records of past close date tickets.

Disposition: Retain in office for three (3) years from date of destruction, then destroy.

2-10  **Instant Ticket Reconstructions (Confidential 3A O.S. 725)**

Description: File includes instant ticket reconstruction request forms, results and investigative reports.

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

2-11  **Retailer Inspection File (Confidential 3A O.S. 725)**

Description: File includes retailer inspection forms completed by Commission investigators, investigation reports and related records.

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

Delete from schedule, July 21, 2022

2-12  **Sync Print File (Confidential 3A O.S. 725)**

Description: File includes sync print request forms and results obtained from terminal transaction history.

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

2-15  **Special Investigations (Confidential 3A O.S. 725)**

Description: File includes information related to internal Lottery Commission investigations, investigative reports, and related documentation.

Disposition: Retain in office for three (3) years after conclusion of investigation, then destroy.
Security/Investigations

2-18  **Drawing Procedures**

Description:  File includes drawing procedures for all online games.

Disposition:  Retain in office three (3) years until superseded, then destroy.
Amend and transfer to series 12-1, July 21, 2022

2-19  **Internal Control System (ICS) Transaction Files**

Description:  File includes transaction files created by the ICS system.

Disposition:  Retain in office one (1) three (3) years, then destroy.

2-20  **Lock Down Alternative Files**

Description:  File includes information generated by ICS and Central Gaming System (CGS) systems to balance Multi State Lottery (MUSL) draws.

Disposition:  Retain, in office one (1) three (3) years, then destroy.

2-21  **User Acceptance Testing (UAT) Materials**

Description:  File includes sample reports and tickets created during User Acceptance Testing cycles.

Disposition:  Retain in office one (1) year, then destroy.
Transfer to series 12-2, July 21, 2022

2-22  **Background Investigations- Employees, Vendors, and Contractors (Confidential 3A O.S. 725)**

Description:  File includes information related to background investigations of potential or current employees, vendors, and contractors. File may include reports of criminal, credit, tax, and other investigations. Information about vendors is collected in compliance with 3A O.S. Section 715.

Disposition:  Retain in office permanently three (3) years, then destroy.
Backoffice Information System

3-1  Backoffice Information System (Confidential 3A O.S. 725)

Description: File includes information about lottery tickets, claims, vendors, and retailers required to manage the daily operation of the Commission.

Disposition: File stored electronically. Retain for three (3) years, then destroy.

3-2  Retailer Activity Detail

Description: File includes report of retailer account balances.

Disposition: Retain in office for five (5) three (3) years, then destroy.

3-3  Check Register

Description: File includes report listing all checks written from the prize and clearing accounts.

Disposition: Retain in office for five (5) three (3) years, then destroy.

3-4  Claims History Detail (Confidential 3A O.S. 725)

Description: File includes report listing all lottery winners per claims filed.

Disposition: Retain in office for five (5) three (3) years, then destroy.
### Marketing

#### 4-1 Second Chance Drawings

**Description:** File includes entries for Second Chance drawings of Scratchers and Online Games.

**Disposition:** Scratchers: Retain in office for ninety (90) days after the close of the Scratcher Second Chance drawing, then destroy.

Online Games: Retain in office for one hundred eighty (180) days after the close of the Online Game Second Chance drawing, then destroy.

Delete from schedule, July 21, 2022

#### 4-2 Closed Games File (Confidential 3A O.S. 725)

**Description:** File includes signed copies of working papers, instant game procedures, instant game end procedures, trademark search approvals, any post-executed changes to the working papers, contract proofs, press sheets, sample voided tickets and sample inserts.

**Disposition:** Retain in office for five (5) three (3) years, then destroy.

#### 4-3 Promotions

**Description:** File includes promotional procedures with authorizations from Commission administrators rules.

**Disposition:** Retain in office for five (5) three (3) years, then destroy.

#### 4-4 Winners

**Description:** File includes lists of winners of promotions.

**Disposition:** Retain in office for five (5) three (3) years, then destroy.

#### 4-5 Newsletter

**Description:** File includes informational newsletter distributed to active retailers. Information includes new Scratchers available, closing dates of Scratchers and special promotional information.

**Disposition:** Retain in office for five (5) years, then destroy.

Delete from schedule, July 21, 2022
ARCHIVES AND RECORDS COMMISSION

OKLAHOMA LOTTERY COMMISSION
Amendments to Records Disposition Schedule 2012-01

* July 21, 2022 *

Marketing

4-6 Plan-O-Grams

Description: File includes monthly newsletter distributed to retailers listing all Scratchers available for order and new Scratchers being launched that month.

Disposition: Retain in office for five (5) years, then destroy.
Delete from schedule, July 21, 2022

Sales

5-1 Corporate Accounts Promotions

Description: File includes information related to corporate promotions conducted and supported by the Commission.

Disposition: Retain in office for five (5) years, then destroy.
Delete from schedule, July 21, 2022

Advertising

6-1 Advertising and Promotion

Description: File includes information related to television, radio, newspaper, and other advertising and promotion of the activities of the Oklahoma Lottery Commission. File also includes miscellaneous point of sale advertising prepared for use at special events and retailers.

Disposition: Retain in office for five (5) three (3) years, then destroy.
ARCHIVES AND RECORDS COMMISSION

OKLAHOMA LOTTERY COMMISSION

Amendments to Records Disposition Schedule 2012-01

* July 21, 2022 *

Accounting

8-1 Retailer Final Accounting

Description: File includes information regarding reconciliation of a retailer’s activity, including amount owed to the Commission.

Disposition: Retain in office until one (1) year three (3) years after all audits have been completed, then destroy.

8-2 Prize Analysis Detail

Description: File includes information related to details of the drawing for that date and amount owed by the Commission to Multi State Lottery. Information is also included on the vendor reserve accounts.

Disposition: Retain in office seven (7) three (3) years, then destroy.

8-3 IRS Tax Forms for Vendors (Confidential 3A O.S. Section 724)

Description: File includes copies of 1099-Miscellaneous tax forms that have been sent to retailers receiving more than $600 in commissions.

Disposition: Retain in office for five (5) years, then destroy.

8-4 Opening/Closing Hand Counts

Description: File includes information used to complete the daily open/close procedure for Commission employees who sell instant or online tickets, such as ticket counts, cash count and terminal daily close printouts.

Disposition: Retain in office until one (1) year three (3) years, then destroy.

8-5 Departmental Internal Audit Reports (Confidential 3A O.S. 725)

Description: File includes information related to internal audits completed by Commission internal auditor to evaluate individual department procedures, such as promotional procedures and drawing procedures.

Disposition: Retain in office permanently.
Accounting

8-6  **Accounting Adjustments**

Description: File includes adjustment and back up documentation.

Disposition: Retain in office until one (1) year three (3) years after all audits have been completed, then destroy.

8-7  **Financial Statements**

Description: File includes monthly financial statements, forms, work papers, and documentation. Financial statements are included in the records of the Oklahoma Lottery Commission Board of Trustee meetings which are included in General Records Disposition Schedule, Series 1-1, Official Minutes.

Disposition: Retain in office until one (1) year three (3) years after all audits have been completed, then destroy.

8-8  **Collections**

Description: File includes correspondence and reports regarding files that have been sent to the Attorney General for collection purposes.

Disposition: Retain in office until one (1) year three (3) years after all audits have been completed, then destroy.

8-9  **Check Detail Maintenance**

Description: File includes information regarding checks written from the Oklahoma Lottery Commission prize account.

Disposition: Retain in office until one (1) year three (3) years after all audits have been completed, then destroy.
Validations

9-1  **IRS Tax Forms for Winners (Confidential 3A O.S. Section 724)**
Description: File includes copies of Internal Revenue Service W2G tax forms sent to winners that have won more than $600.
Disposition: Retain in office until five (5) years, then destroy.

9-3  **Claims (Confidential 3A O.S. Section 724)**
Description: File includes winner claim forms which are submitted with copies of winner’s two forms of identification, copy of ticket, and related information from retailer. The record copies of the claim forms are maintained by the Accounting Division, Series 1-1, Check Detail Maintenance.
Disposition: Retain in office until one (1) year, then destroy.

9-4  **Promotional Entries**
Description: File includes all qualifying promotional entries.
Disposition: Retain in office until one (1) year, then destroy.

9-5  **Retailer Win Data (Confidential 3A O.S. Section 724)**
Description: File includes the Internal Revenue Service W2G reports, winner list reports, super retailer reports, claim forms and winner interview sheets.
Disposition: Retain in office for two (2) years, then destroy.
## Retail Contracts

### 10-1  **Retailers-Active/Approved (Confidential 3A O.S. Section 725)**

**Description:** File includes applications from retailers for selling the lottery, including background, criminal, tax, and field investigations, correspondence, as well as related information.

**Disposition:** Retain in office as long as a single retailer under the ownership company remains active, then destroy.

### 10-2  **Retailers-Denied (Confidential 3A O.S. Section 725)**

**Description:** File includes applications from retailers for selling the lottery that do not meet the requirements of the Oklahoma Lottery Commission to become a retailer. File may also include background, criminal, tax, and field investigations, correspondence, as well as related information.

**Disposition:** Retain in office five (5) two (2) years after retailer application is denied, then destroy.

### 10-3  **Retailers-Revoked/Suspended (Confidential 3A O.S. Section 725)**

**Description:** File includes applications from retailers that have had their license as a retailer revoked or suspended due to non-compliance to the rules of their retailer contract. File includes background, criminal, tax, and field investigations, correspondence, as well as related information.

**Disposition:** Retain in office five (5) two (2) years after retailer license is revoked or suspended, then destroy.

### 10-4  **Retailers-Terminated/Cancelled (Confidential 3A O.S. Section 725)**

**Description:** File includes applications from retailers that have terminated or cancelled their retailer contract with the Oklahoma Lottery Commission. File includes background, criminal, tax, and field investigations, correspondence, as well as related information.

**Disposition:** Retain in office five (5) two (2) years after retailer contract is terminated or cancelled, then destroy.
**Special Events**

**11-1 Marketing Promotion**

**Description:** File includes event cash balancing sheets, cashed tickets, ticket logs, and daily activity sales.

**Disposition:** Retain in office until one (1) year three (3) years after all internal audits have been completed, then destroy.

**Business Solutions**

**12-1 Drawing Procedures**

**Description:** File includes drawing procedures for all online games.

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

Transferred from series 2-18, July 21, 2022.

**12-2 User Acceptance Testing (UAT) Materials**

**Description:** File includes sample reports and tickets created during User Acceptance Testing cycles.

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

Transferred from series 2-21, July 21, 2022.
Summary

2-1  Agency requests series be amended.

2-1B Agency requests series be added to schedule.
Royalty Compliance Division

2-1A  Revenue Distribution Check Detail

Description:  Information supplied by royalty payors to identify which lease or leases the royalty check is paying to at the CLO. Check is for the sale of oil, gas, casinghead gas, liquid hydrocarbons and minimum royalty payments.

Volume:  seven (7) cubic feet per year

Disposition:  Retain in office twenty (20) 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.

2-1B  Revenue Distribution Check Detail (Other Agency Minerals)

Description:  Information supplied by royalty payors to identify which lease or leases the royalty check is paying to at the CLO on behalf of other agencies whose minerals are managed by CLO. Check is for the sale of oil, gas, casinghead gas, liquid hydrocarbons and a percentage of proceeds paid to CLO for their management of the minerals.

Volume:  seven (7) cubic feet per year

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.

Add to schedule, July 21, 2022
Summary

1-3 Agency requests series be amended.

4-4 Agency requests series be added to its schedule.
Adjudications and Appeals

1-3 **Commission Files – Compliance Cases** *(Commission Litigation Files and Investigatory Reports Confidential under 85A O.S. § 40(B)(9); (Attorney General Investigatory Records Confidential under 51 O.S. §§ 24A.5 and 24A.12)*

**Description:** Files pertain to cases investigated and adjudicated by the Workers’ Compensation Commission regarding allegations of non-compliance with the Administrative Workers’ Compensation Act, 85A O.S. § 1 et seq. Files include investigatory records, submitted supporting documentation, correspondence, proposed judgments of noncompliance and requests for review, transcripts, and consent agreements. For Commission Litigation files where the Attorney General is the attorney of record, see Series 1-21 of the Consolidated General Records Disposition Schedule.

**Volume:** Fifteen (15) cubic feet per year

**Disposition:** Retain in office for one (1) year three (3) years after investigation has been completed and liability determined, provided no legal actions are pending, then destroy. If legal action is pending, destroy one (1) year after exhaustion of all legal remedies. All Compliance Division Proposed Judgments and Orders filed with the Commission should be disposed of consistent with the Commission Clerk policies.
Administrative Services

4-4  **Surveillance Recordings (Video or Audio) (Restricted Access 51 O.S. § 24A.8(B))**

**Description:** File includes audio or video recordings used to monitor or document the activities in public areas for security or safety purposes.

**Disposition:** Retain in office until no longer required for administrative purposes, then destroy, provided no legal action are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies. Add to schedule, July 21, 2022
Summary

Agency requests approval for the transfer of the following records.
The Oklahoma Department of Libraries requests authorization for the immediate transfer of the following records which are currently housed in the State Records Center to the University of Oklahoma Health Sciences Center for review and disposition.

Description: Record Group 189-1, University of Oklahoma College of Dentistry
Accession Number 1557, Inactive Dental Patient Charts

Date: Prior to January 12, 1982 (This is the date shown on the State Archives Finding Aid.)

Volume: 27 reels of microfilm

Records Disposition Schedule 96-03 for the OU Health Sciences Center provides the following description and retention period:

2-2 Patient Medical Records (Inactive) (Record Copy) (Confidential Record 76 O.S. §19 and 43A O.S. §1-109, 45 CFR Part 160 and Part 164, Subparts A and E (Health Insurance Portability and Accountability Act of 1996 regulations)

Description: Files contain a comprehensive record of the evaluation, treatment, and other services provided to patients and clients. If individual patients have been admitted more than one time, separate medical records may exist for each admission. Individual files contain one or more of the following records: Face Sheets; Social-Psychiatric-Psychological-Nursing Assessments; Physical Examination Results; Consultation Reports; Treatment Plans and Updates; Physician’s Orders; Progress Notes; X-Ray and Laboratory Reports; Diabetic Records; Operative Reports; Dental Clinic Records; Activity Therapy Assessments; Aftercare Reports; Court Commitment Documents; Release and Discharge Summaries; Copies of Autopsy Reports; Consent to Treatment Forms; Consent to Release Information Forms; Medical Competency Documents; Restoration Competency Documents; Medical Problem Log; Patients Schedule; Clozapine Evaluation/Screening; Seclusion and Restraint Record; Medication Administration Record; Certification of Patient’s Release; Referrals; Flow Sheets and Correspondence.

Disposition: Retain in office three (3) years, then relocate to off-site storage or microfilm Face Sheets; Social-Psychiatric-Psychological-Nursing Assessments; Physical Examination Results; Consultation Reports; Treatment Plans and Updates; Physician's Orders; Progress Notes; X-Ray and Laboratory Reports; Diabetic Records; Operative Reports; Dental Clinic Records; Activity Therapy Assessments; Aftercare Reports; Court Commitment Documents; Release and Discharge Summaries; Copies of Autopsy Reports; Consent to Treatment Forms; Consent to Release Information Forms; Medical Competency Documents; Medical Problem Logs; and Restoration Competency Documents; Patients Schedule; Clozapine Evaluation/Screening; Seclusion and Restraint Record; Medication
Administration Record; Certification of Patient’s Release; Referrals; and Flow Sheets. If microfilmed, destroy applicable hard copy records (1) upon certification that the microfilm meets all standards for authenticity, photographic quality, and bibliographic integrity established by the Archives and Records Commission, (2) after depositing the master negative of the microfilm with the Oklahoma Department of Libraries, and (3) after retaining at least one (1) user copy of the microfilm in the Agency. Destroy Correspondence without microfilming 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. If stored, the hard copy records may later be destroyed according to the following guidelines:

<table>
<thead>
<tr>
<th>Health Information</th>
<th>Retention Period</th>
<th>Source</th>
</tr>
</thead>
<tbody>
<tr>
<td>Medical Records (adult)</td>
<td>10 years after most recent encounter</td>
<td>Am. Health Inf. Mgt. Assoc. (AHIMA)</td>
</tr>
<tr>
<td>Medical Records (minors)</td>
<td>Age of 20 plus statute of limitations</td>
<td>76 O.S. §18</td>
</tr>
<tr>
<td>Medical Records (incompetent patients)</td>
<td>3 years from the date the incompetency is removed</td>
<td>76 O.S. §18</td>
</tr>
<tr>
<td>Fetal Heart Monitor Records</td>
<td>10 years after the infant reaches the age of majority (18 years of age)</td>
<td>AHIMA</td>
</tr>
<tr>
<td>Diagnostic Images (such as x-ray film)</td>
<td>5 years after negative pathology reading. 10 years after positive pathology reading. If legal action is pending, destroy 2 years after exhaustion of all legal remedies provided records meet all other stipulated retention requirements.</td>
<td>42 USC 263b(f)(G)(i)(I)</td>
</tr>
<tr>
<td>Mammography</td>
<td>10 years from date of image</td>
<td>21 CFR 900.12(c)(4)(i)</td>
</tr>
<tr>
<td>Master Patient Index</td>
<td>Permanently</td>
<td>AHIMA</td>
</tr>
<tr>
<td>Employee, Student, Faculty, and Staff Health Records</td>
<td>5 years from last medical contact or a minimum of 3 years after the date of death, provided no legal actions pending. If legal action is pending, destroy 2 years after exhaustion of all legal remedies provided records meet all other stipulated retention requirements.</td>
<td>OUHSC Consolidated General Records Disposition Schedule, Medical Clinic / Dispensary 8-1</td>
</tr>
</tbody>
</table>

In the event applicable Federal Law or a related contract requires a longer retention period, that retention period must be observed.

Prior to the destruction of any medical records, the Risk Management Department, Legal Counsel, and Compliance Office must be provided a proposed list of medical records to be destroyed for verification of pending litigation or investigation. A written authorization to destroy from each office is required prior to destroying records.
**ARCHIVES AND RECORDS COMMISSION**

**OKLAHOMA DEPARTMENT OF LIBRARIES**

Records Disposition Authorization 2022-20

* July 21, 2022 *

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**Archives & Records Division**

**Public Archives List**

**Series or Subseries:** Inactive Dental Patient Charts

<table>
<thead>
<tr>
<th>Box</th>
<th>Reel</th>
<th>Records Description</th>
<th>Date</th>
</tr>
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<tbody>
<tr>
<td>1</td>
<td>1</td>
<td>(The following reels have no identification other than numbered microfilm boxes)</td>
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<tr>
<td>2</td>
<td>2</td>
<td>Clinical Affairs Dept.</td>
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<td>#8011 to 16122</td>
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<td>2</td>
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<td>THERE IS NO REEL #11</td>
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<td>12</td>
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<td>#15026 to #15733</td>
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<td>#6589 to 7199</td>
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