

ARCHIVES AND RECORDS COMMISSION

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

* January 25, 2018 *

The authorized dispositions included in this General Records Disposition Schedule stipulate the minimum retention periods for certain administrative, financial, personnel, and electronic records common to state agencies, boards, commissions, and institutions. The authorized dispositions do not apply to state office of record copies of administrative records maintained by the:

- Oklahoma Senate
- Oklahoma House of Representatives
- Oklahoma Department of Libraries
- Attorney General of Oklahoma
- Department of Labor
- Archives and Records Commission
- Secretary of State
- Department of Central Services
- State Auditor and Inspector

These administrative records shall be governed by schedules now in effect or subsequently approved for these offices.

The state office of record copies of financial records retained by the following agencies shall be governed by schedules now in effect or subsequently approved for these offices:

- Office of State Finance
- Department of Central Services
- Oklahoma Tax Commission
- Department of Commerce
- CompSource Oklahoma
- State Treasurer

The state office of record copies of personnel records retained by the following agencies shall be governed by schedules now in effect or subsequently approved for these offices:

- Office of Personnel Management
- Merit Protection Commission
- Ethics Commission
- Oklahoma State and Education Employees Group Insurance Board
- CompSource Oklahoma
- Oklahoma Public Employees Retirement System and Uniform Retirement System for Justices and Judges
- Teachers' Retirement System
- Any other retirement system

The authorized dispositions in this General Records Disposition Schedule do not apply to records included in the General Records Disposition Schedule for Universities and Colleges. The authorized dispositions listed in this General Records Disposition Schedule supersede all previously approved retention periods established for the records listed.

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The most recently Amended dispositions approved by the Archives and Records Commission shall supersede all previously approved dispositions.

Records Storage

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

Records Formats and Retention Periods

If statutory provisions, court decisions, Code of Federal Regulations (CFR), Oklahoma Rules and Regulations adopted in accordance with the Administrative Procedures Act (75 O.S. §250 *et seq.*), or other state and federal regulations mandate retention periods longer than those stipulated in this General Records Disposition 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.

Because state agencies, boards, commissions, and institutions vary in size and administrative organizational patterns and the annual accumulation of individual record series varies among them, this General Records Disposition Schedule does not specify which formats shall be used for records creation and retention. 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, and court decisions; and their individual records keeping needs.

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.

Records Destruction

In accordance with Archives and Records Commission Rule OAC 60:10-3-2(b), no records listed in this General Records Disposition Schedule, regardless of format, shall be destroyed until one of the following forms has been submitted to and has been approved by the State Records Administrator or his/her designee:

- Notice of Intent to Destroy Records (ARC Form 4)
- Notice of Intent to Destroy Records That Have Been Microfilmed (ARC Form 5) accompanied by Microfilm Quality Evaluation Report (ARC Form 5A)
- Notice Of Intent To Destroy Microforms (ARC Form 6)
- Notice of Intent To Destroy Records That Have Been Imaged (ARC Form 12)
- Notice Of Intent To Destroy Optical Disks (ARC Form 13)
- Notice Of Intent To Delete Information From Rewritable Disks (ARC Form 14)

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Exceptions: The following records series may be destroyed in accordance with Archives and Records Commission Rule 60-10-3-2 (d) without prior approval by the State Records Administrator or his/her designee:

- 1-2, Minutes
- 1-6, Legislative Files
- 1-9, Telephone Messages
- 1-11, Agency Staff Meetings
- 1-12, Mailing Lists
- 1-15, Calendars of Events
- 1-16, Records Inventory Reports
- 1-17, Records Disposition Schedules and Records Disposition Authorizations
- 1-21C, Litigation Files [Reference Materials]
- 1-24, Risk Management Certificate of Self Insurance
- 1-25, Property Inventory/Surveys
- 1-28, Safety Correspondence
- 1-29, Risk Management Policies
- 1-31, Fleet Management Inventory and Sales Reports
- 1-32, Fleet Management Monthly Report
- 1-34, Fleet Management Correspondence
- 1-35, Fleet Management Policies
- 1-37, Division Activity Reports
- 1-38, OPC Transmittal Reports
- 1-39, Publications Lists
- 1-43B, State and Federal Guidelines
- 1-49, Attorney General Opinions [Agency Copies]
- 1-55, Open Meeting Filings
- 1-63, Open Records Act Files
- 1-64, Desk Calendars and Appointment Books
- 1-66, Records Management Coordinator Appointment Forms [ARC Form 11 - Copies]
- 1-68, Fax Logs
- 1-69, Fax Transmittal Cover Sheets
- 1-70, Communications Service Request/Repair Problems Form
- 2-7C, Budget Requests [Division Copies]
- 2-12B, Miscellaneous Claims and Invoices [Except OSF Form 14 and OSF Form 9 – 3rd or Non-Audit Copies]
- 2-19B, Purchase Order Files [Division Copies]
- 2-21B, Institutional Purchase Orders & Contracts/”Agency Issued Orders” [Division Copies]
- 2-22B, Authorizations for Purchase [Division Copies - Prior to February 1, 2000]
- 2-22D, Authorizations for Purchase [Division Copies - February 1, 2000 to Present]
- 2-23, “OO” Contracts [Agency Copies]
- 2-24, Scheduled Buys [Agency Copies]

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- 2-30B, Receipts [3rd or Non-Audit Copies]
 - 2-31, Special Account Applications [Agency Copies]
 - 2-32, Payroll Working File
 - 2-68B, Internal Requisitions [Division Copies]
 - 2-69B, Non-binding Contracts [Division Copies]
 - 3-14, Current Employee Rosters
 - 3-28, Job Descriptions—Merit [Copies]
 - 3-33, OPM Training File [Copies]

Microformat

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

1. All microfilming and microfiching shall be done in accordance with the following Archives and Records Commission Rules:
 - OAC 60:10-7-1 [Authenticity and photographic quality]
 - OAC 60-7-2 [Quality control standards]
 - OAC 60:10-7-3 [Computer output microfilm (COM)]
 - OAC 60:10-7-4 [Micrographics laboratory certification]
 - OAC 60:10-3-2(b) [Notification of intent to destroy records]
2. All master negatives shall be deposited with the Oklahoma Department of Libraries.
3. The agency, board, commission, or institution shall retain a minimum of one (1) user copy of all master negatives.
4. Because the maintenance of records in microformat may be prohibited by state and federal laws, rules and regulations, or court decisions, individual agencies, boards, institutions, and commissions shall verify that microformat is not prohibited by state and federal laws, rules and regulations, or court decisions.
5. Agencies, boards, commissions, and institutions whose programs are funded all or in part by federal funds shall retain all records in accordance with all applicable records keeping requirements.

Electronic Records Keeping Systems Except Electronic Mail Systems and Optical Imaging Systems

1. All records shall be retained in accordance with all applicable Archives and Records Commission Rules.
2. All electronic records shall be backed up on a regular basis and all back up media shall be stored in separate locations under proper environmental conditions.

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3. All data shall be secured against accidental and unauthorized addition, modification, or deletion.
4. Because the maintenance of records in electronic format may be prohibited by state and federal laws, rules and regulations, or court decisions, individual agencies, boards, institutions, and commissions shall verify that the retention of records in electronic format is not prohibited by state and federal laws, rules and regulations, or court decisions.
5. Where applicable, no records shall be destroyed until a Notice Of Intent To Destroy Records has been approved by the State Records Administrator or his/her designee [Archives and Records Commission Rule OAC 60:10-3-2(b), Notification of intent to destroy records].

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

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

Records in Series 1-5 [Correspondence], 1-15 [Calendar of Events], 1-56 [Open Meeting Filings], 1-60 [Board and Commission Correspondence], 1-64 [Desk Calendars and Appointment Books] 2-50 [Financial Correspondence], and 3-7 [OPM Correspondence] may be maintained in electronic mail systems provided the following conditions are satisfied:

1. Records are retained and are accessible in a usable format for their entire stipulated retention period.
2. If an electronic mail system does not have the capability of maintaining an individual record for its entire stipulated retention period, agencies shall download the record to another electronic records keeping system (magnetic tape, hard disks, floppy diskettes, mainframe computer systems, or optical imaging systems), or print the record and maintain it in hard copy format.
3. All receipt and transmission data, directory information, distribution lists, and acknowledgements of receipt shall be considered to be part of the applicable record to which they pertain and shall be retained and shall be accessible in a usable format for the same length of time as the applicable record.
4. When electronic mail is printed and retained in hard copy format, all sender and recipient information, receipt and transmission times, and other header information shall be included on the hard copy printout.
5. When electronic mail is downloaded to another electronic records keeping system, all sender and recipient information, receipt and transmission times, and other header information shall be included as part of the record.
6. If an electronic mail system does not have the capability of maintaining receipt and transmission data, directory information, distribution lists, and acknowledgements of receipt for their entire stipulated retention period, agencies shall download the information to another electronic records keeping system (magnetic tape, hard disks, floppy diskettes, mainframe computer systems, or optical imaging systems), or print the record and maintain it in hard copy format before the electronic mail and accompanying sender and recipient information, receipt and transmission times, and other directory information is automatically deleted from the system.

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7. If senders and recipients are identified only by user identifications, nicknames, codes, titles, or the names of distribution lists, agencies shall ensure that records exist to identify senders and recipients.
8. Electronic mail systems and electronic records keeping systems on magnetic medium used to retain electronic mail records for their entire stipulated retention periods shall be backed up at regular intervals.
9. Back up copies of electronic mail records or records downloaded to electronic records keeping systems (magnetic tape, hard disks, floppy diskettes, mainframe computers, or optical disks) shall be stored in off site storage areas that meet manufacturer's recommendations for temperature and humidity controls. If the manufacturer does not provide recommendations, backup copies shall be stored in off site storage areas whose temperature is between 65° and 75° Fahrenheit and whose relative humidity is between 30% and 50%.
10. Agencies whose programs are funded all or in part by federal funds shall retain all records in accordance with all applicable records keeping requirements. Electronic mail systems based records accessioned into the State Archives must be transferred in a format acceptable by the State Archives.
11. Records may be downloaded to another electronic records keeping system (magnetic tape, hard disks, floppy diskettes, mainframe computer systems, or optical imaging systems), or printed in hard copy format at any time provided:
 - (a) All accompanying sender and recipient information, receipt and transmission times, and other directory information is downloaded or printed in hard copy format.
 - (b) If senders and recipients are identified only by user identifications, nicknames, codes, titles, or the names of distribution lists, agencies shall ensure that records exist to identify senders and recipients.
 - (c) Electronic mail systems and electronic records keeping systems on magnetic medium used to retain electronic mail records for their entire stipulated retention periods shall be backed up at regular intervals.
 - (d) Back up copies of electronic mail records or records downloaded to electronic records keeping systems (magnetic tape, hard disks, floppy diskettes, mainframe computers, or optical disks) shall be stored in off site storage areas that meet manufacturer's recommendations for temperature and humidity controls. If the manufacturer does not provide recommendations, backup copies shall be stored in off site storage areas whose temperature is between 65° and 75° Fahrenheit and whose relative humidity is between 30% and 50%.
 - (e) Agencies whose programs are funded all or in part by federal funds shall retain all records in accordance with all applicable records keeping requirements. Electronic mail systems based records accessioned into the State Archives must be transferred in a format acceptable by the State Archives.

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Optical Imaging Systems

Records with stipulated retention periods of ten (10) years or longer included in this General Records Disposition Schedule may be maintained in optical imaging format provided the following conditions are satisfied:

1. All optical imaging systems and applications maintaining records with stipulated retention periods of ten (10) years or longer shall be in compliance with the following Archives and Records Commission Rules:
 - OAC 60:10-8-2 [Scope]
 - OAC 60:10-8-3 [Definitions]
 - OAC 60:10-8-4 [Documentation standards]
 - OAC 60:10-8-5 [Standards for the creation, use, and storage of records maintained on optical imaging systems]
 - OAC 60:10-8-6 [Annual Compliance Report]
 - OAC 60:10-3-2(b) [Notification of intent to destroy records]
2. Records that cannot be reproduced on paper in a legible and readable condition shall be retained for the entire retention period stipulated for the corresponding optical disks.
3. Agencies, boards, commissions, and institutions whose programs are funded all or in part by federal funds shall retain all records in accordance with all applicable records keeping requirements.
4. The storage of records in optical imaging format may be prohibited by state and federal laws, rules and regulations, or court decisions. Individuals agencies, boards, institutions, and commissions shall verify that optical imaging is not prohibited by state and federal laws, rules and regulations, or court decisions.
5. Hard copy records in Series 1-1A and 1-13A shall be transferred to the State Archives for permanent preservation.

Records with stipulated retention periods of less than ten (10) years included in this General Records Disposition Schedule may be maintained in optical imaging format provided the following conditions are satisfied:

1. A back up copy of all optical disks shall be stored in an off site area that meets the manufacturer's recommendations for temperature and humidity controls. If the manufacturer does not provide recommendations, backup copies shall be stored in off site storage areas whose temperature is between 65° and 75° Fahrenheit and whose relative humidity is between 30% and 50%.
2. Records that cannot be reproduced on paper in a legible and readable condition shall be retained for the entire retention period stipulated for the corresponding optical disks.
3. Agencies, boards, commissions, and institutions whose programs are funded all or in part by federal funds shall retain all records in accordance with all applicable records keeping requirements.

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Because of the diversity of applications and types of equipment involved, no individual agency program files maintained in data base files are included in this General Records Disposition Schedule. All individual agency data base files, including Master Files and Processing Files, shall be incorporated into agency specific records disposition schedules in the same manner as other records. The only records included in Section 4 of this General Records Disposition Schedule are human-readable documents pertaining to systems documentation, planning, development, evaluation, acquisition, and usage.

Permanent Records

- Records that possess continuing value because they document the organization, functions, policies, decisions, and procedures or protect the legal and financial rights of the state or persons directly affected by state agencies, boards, commissions, and institutions must be retained permanently

The following twelve (12) Records in Series 3-1A [Personnel Records of Permanent State Employees (Active)] shall be retained permanently:

- Employment Applications
- Request for Personnel Action [OPM Form 14]
- Longevity Certification Form [OPM Form 52 or equivalent]
- Employment History Cards
- Change or Designation of Beneficiary [OPERS Form 515-116-97R or equivalent]
- Individual Leave Record [OPM Form 1 or equivalent]
- Retirement Enrollment Applications [OPERS Form 515-01-97R or equivalent]
- Retirement Notice and Application [OPERS Form 515-117-95R or equivalent]
- Correspondence relating to leave without pay
- Application Withdrawal [OPERS Form 515-118-96W or equivalent]
- Correspondence relating to interagency transfers
- Department of Defense Form DD214

Essential Records

The original records in Series 1-1A [Minutes—Official] and 1-13A [Policies and Procedures File] shall be transferred to the State Archives for permanent preservation as essential records. An essential record, as defined in 67 O.S., §203(e), means a state or local record necessary to the operation of government during an emergency created by a disaster, or necessary to protect the rights and interests of persons or to establish and affirm powers and duties of governments in the resumption of operations after a disaster.

In addition to transferring the original records in Series 1-1A and 1-13A to the State Archives for permanent preservation, agencies, boards, commissions, and institutions must retain at least one (1) copy. Copies maintained on microfilm and microfiche must satisfy the following requirements:

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1. All microfilming and microfiching shall be done in accordance with the following Archives and Records Commission Rules:
 - OAC 60:10-7-1 [Authenticity and photographic quality]
 - OAC 60-7-2 [Quality control standards]
 - OAC 60:10-7-3 [Computer output microfilm (COM)]
 - OAC 60:10-7-4 [Micrographics laboratory certification]
 - OAC 60:10-3-2(b) [Notification of intent to destroy records]
2. All master negatives shall be deposited with the Oklahoma Department of Libraries.
3. The agency, board, commission, or institution shall retain a minimum of one (1) user copy of all master negatives.
4. The maintenance of records in microformat may be prohibited by state and federal laws, rules and regulations, or court decisions. Individual agencies, boards, institutions, and commissions shall verify that microformat is not prohibited by state and federal laws, rules and regulations, or court decisions.
5. Agencies, boards, commissions, and institutions whose programs are funded all or in part by federal funds shall retain all records in accordance with all applicable records keeping requirements.

Copies maintained in optical imaging format must satisfy all requirements stipulated in Archives and Records Commission Rules:

- OAC 60:10-8-2 [Scope]; OAC 60:10-8-3 [Definitions]
- OAC 60:10-8-4 [Documentation standards]
- OAC 60:10-8-5 [Standards for the creation, use, and storage of records maintained on optical imaging systems]
- OAC 60:10-8-6 [Annual Compliance Report]

Historical Notes

The General Records Disposition Schedule replaced General Disposition Schedule 1 adopted by the Archives and Records Commission January 16, 1985, and Amended August 9, 1985, October 16, 1985, January 15, 1986, April 16, 1986, July 16, 1986, October 15, 1986, January 14, 1987, April 15, 1987, July 15, 1987, October 14, 1987, and January 13, 1988; General Disposition Schedule 2 adopted by the Archives and Records Commission January 16, 1985, and Amended October 16, 1985, January 15, 1986, October 15, 1986, January 14, 1987, April 15, 1987, July 15, 1987, and October 14, 1987; and General Disposition Schedule 3 adopted by the Archives and Records Commission August 9, 1985, and Amended October 16, 1985, January 15, 1986, July 16, 1986, October 15, 1986, January 14, 1987, July 15, 1987, October 14, 1987, and January 13, 1988. General Disposition Schedules 1, 2, and 3 were incorporated into the General Records Disposition Schedule on April 13, 1988. Subsequent amendments were approved on April 13, 1988, July 13, 1988, October 12, 1988, December 7, 1988, January 18, 1989, April 12, 1989, July 12, 1989, October 11, 1989, January 17, 1990, April 11, 1990, May 9, 1990, July 11, 1990, October 17, 1990, April 17, 1991, July 17, 1991, October 16, 1991, January 15, 1992, April 15, 1992, July 15, 1992, October 14, 1992, January 13, 1993, April 14, 1993, July 14, 1993, October 13, 1993, October 12, 1994, January 18, 1995, April 12, 1995, July 12, 1995, October 11, 1995, January 17, 1996, April 17, 1996, July 17, 1996, April 16, 1997, July 16, 1997, January 14, 1998, April 15, 1998, July 15, 1998,

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October 14, 1998, January 13, 1999, April 14, 1999, October 13, 1999, April 12, 2000, July 12, 2000, October 11, 2000, January 17, 2001, April 11, 2001, July 18, 2001, October 17, 2001, January 22, 2003, April 24, 2003, October 23, 2003, April 22, 2004, July 22, 2004, October 21, 2004, January 27, 2005, April 28, 2005, July 28, 2005, January 26, 2006, October 26, 2006, January 25, 2007, October 18, 2007, April 24, 2008, October 30, 2008, January 22, 2009, April 16, 2009, July 16, 2009, October 13, 2011, January 22, 2015, and January 25, 2018.

The amendments approved on January 15, 1992 included a completely revised version of Section 2 that contained updated citations to all references to Records Disposition Schedules of the Office of Public Affairs and the Office of State Finance, revised and expanded descriptions of various records series pertaining to agency copies of records submitted to or received from the Office of Public Affairs and the Office of State Finance, deletions of reports from the Office of State Finance that are no longer being created because they have been consolidated into new reports, title changes in various records series to reflect the current official names of applicable records, and the addition in the description section of applicable records series of the phrase "the agency copy is the state office of record copy" where the agency has the "state office of record copy" and it was not previously specified.

The amendments approved on July 15, 1992 included a completely revised version of Section 1 that included adding several new records series; adding copies of Agendas to Series 1-1; adding the correspondence of deputy chief executive officers to Series 1-3; deleting publications required to be deposited with the Oklahoma Publications Clearinghouse in accordance with 65 O. S., § 3-114; and transferring a number of financial records to Section 2.

The amendments approved on April 14, 1993 included a completely revised version of Section 3 that included adding several new records series. The amendments approved July 15, 1998 eliminated records series previously deleted from or transferred to other records series in the General Records Disposition Schedule and accordingly renumbered records series in sections 1, 2, and 3. In addition, the amendments updated various descriptions and dispositions by making minor stylistic and editorial changes.

The amendments approved on October 17, 2001 permitted records to be maintained in microformat and optical imaging format as long as certain requirements were satisfied, and deleted redundant microfilming and optical imaging disposition language in Series 1-1A [Minutes-Official], 2-29A [Special and Clearing Account Vouchers (Warrants)], 3-1A [Personnel Records of Permanent State Employees (Active)], 3-1C [Personnel Records of Temporary State Employees], and 3-1D [Personnel Records of Permanent State Employees [Inactive]]. In addition, the amendments enumerated permanent records and essential records and specified requirements relating to ensuring their permanent preservation, regardless of format.

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

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Administrative Records

- 1-1 **Minutes--Official** Essential Record (67 O.S., §203(e))
- Description: Official minutes and copies of Agendas of Board or Commission meetings.
- Disposition: Retain official copy in office two (2) years, then transfer to the State Archives for permanent preservation. Retain one (1) copy in office permanently.
- [Note: Agencies may retain their copies of these records in hard copy, micro format, or optical imaging format. Copies maintained in micro format and optical imaging format shall satisfy all requirements for these formats specified in the Introduction to this General Records Disposition.]
Amended April 28, 2005
- 1-2 **Minutes**
- Description: Audio tapes or handwritten notes taken at Board or Commission meetings and transcribed to or compiled into Official Minutes, (Series 1-1A).
- Disposition: Retain in office until minutes are approved, then destroy or erase and reuse.
- 1-3 **Correspondence**
- Description: File consists of chief executive officer's and deputy executive officers' incoming and copies of outgoing correspondence.
- Disposition: Retain in office and review on an annual basis. After the review, destroy duplicate and ancillary records. Transfer substantive records when they become three (3) years old and are no longer required for administrative purposes to the State Archives, with authority to weed, for permanent preservation.
Amended April 28, 2005
- 1-4 **Correspondence (Convenience Copy)**
 Transferred to Series 1-3, April 28, 2005
- 1-5 **Correspondence (Records Maintained in Electronic Mail Systems)**
 Transferred to Series 1-3, April 28, 2005

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Administrative Records

1-6 **Legislative Files**

Disposition: Reference copies of legislation that may have an effect upon the agency. Record copies are retained by the House of Representatives, the Senate, the Secretary of State, and the State Archives.

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

1-7 **Reports**

Description: Record copy of reports submitted by Divisions, Departments, or Sections documenting activities to Administration.

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

1-8 **Reference File** Deleted from Schedule, April 28, 2005

1-9 **Telephone Messages and Logs**

Description: Telephone message slips or equivalent used as a written memorandum of telephone calls received by employees who are absent or otherwise unavailable at the time calls were received.

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

1-10 **Telephone Logs** Transferred to Series 1-9, April 28, 2005

1-11 **Agency Staff Meetings**

Description: Agendas, handouts, and minutes for any Agency Staff Meetings.

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

1-12 **Mailing Lists**

Description: Material used to create, maintain, and generate mailing lists.

Disposition: Retain in office until superseded, then destroy.

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Administrative Records

- 1-13 **Policies and Procedures File** Essential Record (67 O.S., §203(e))
- Description: Record copy of Agency Policies and Procedures Manual which governs the operation of the Agency.
- Disposition: Transfer one (1) copy to the State Archives for permanent preservation and retain one (1) copy in office permanently. Transfer one copy of all updates to the Policies and Procedures Manual to the State Archives for permanent preservation and retain one (1) copy of all updates in office permanently.
 Amended April 28, 2005
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- 1-14 **Division Policies and Procedures Manual** Essential Record (67 O.S. §203(e))
- Description: Record copy of Division Policies and Procedures Manual which governs the operation of the Division.
- Disposition: Retain in office until five (5) years after superseded, then destroy provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
 Amended April 28, 2005
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- 1-15 **Calendars of Events**
- Description: Agency Calendars of Events.
- Disposition: Retain in office until no longer required for administrative purposes, then destroy.
 Amended April 28, 2005
-
- 1-16 **Records Inventory Reports**
- Description: Records Inventory Reports (RMD Form 1, RMD Form 1MRR-PI, and RMD Form 1MRR-PII) which serve as the basis for drafting Records Disposition Schedules and Records Disposition Authorizations. The Oklahoma Department of Libraries is the state office of record (Schedule 82-19, Series 7-12).
- Disposition: Retain in office until superseded, then destroy.

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Administrative Records

1-17 **Records Disposition Schedules and Records Disposition Authorizations**

Description: Approved Records Disposition Schedules and Records Disposition Authorizations. The Archives and Records Commission is the state office of record (Schedule 89-11, Series 1-1).

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

1-18 **Records Transfer Authorizations**

Description: Records Transfer Authorizations used to accession records into the State Archives and State Records Center. The Oklahoma Department of Libraries is the state office of record (Schedule 82-19, Series 6-5 and 7-16).

Disposition: Retain in office permanently.

1-19 **Notices of Intent to Destroy Records**

Description: ARC Form 3, 4, 5, 6, 12, 13, 14, and 15 Notices of Intent to Destroy Records and applicable attachments. The Archives and Records Commission is the state office of record (Schedule 89-11, Series 1-5).

Disposition: Retain in office permanently.
Amended October 14, 1998

1-20 **Travel Requests**

Description: Travel requests submitted by employees requesting permission to travel at state expense and agency copies of travel requisitions detailing departure and return times, purposes of travel, travel ticket information, confirmation, and cost of trip.

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

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Administrative Records

1-21 **Litigation Files**

A. Description: Records concerning litigation to which the agency is party where the Attorney General is attorney of record. Files contain copies of petitions, motions, pleadings, depositions, orders, opinions and related material. The Office of the Attorney General is the state office of record (Schedule 85-16, Series 2-3, 2-4).

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

B. Description: Records concerning litigation to which the agency is party where staff or private practice attorney is attorney of record. Files contain copies of petitions, motions, pleadings, depositions, orders, opinions and related material.

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

C. Description: Files contain reference material related to litigation where agency is not a party.

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

1-22 **Microfilm or Imaging Identification Declaration**

Description: ARC 7, 8, 9, 10, and 12 target forms or their equivalent used in microfilming or imaging documents.

Disposition: For microfilm: Retain in office and destroy upon certification that the microfilm meets all standards established by the Archives and Records Commission.

For imaged records: Retain in office until no longer required for administrative purposes.

Amended January 22, 2009

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Administrative Records

1-23 **Real Property File**

Description: File contains deeds, titles, inspection reports, loan agreements, promissory notes, and related records dealing with ownership of real property.

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

1-24 **Risk Management Certificate of Self Insurance**

Description: File contains copies of Certificates of Self Insurance issued by the Risk Management Division of the Department of Central Services verifying liability insurance. The Risk Management Division of the Department of Central Services is the state office of record (Schedule 90-05, Series 6-31).

Disposition: Retain in office until superseded, then destroy.

1-25 **Property Inventory/Surveys**

Description: File contains copies of original property inventories/property surveys conducted for Risk Management plus computer printouts received from Risk Management with notations concerning Comprehensive Insurance coverage. The Risk Management Division of the Department of Central Services is the state office of record (Schedule 90-05, Series 6-32).

Disposition: Retain in office until superseded, then destroy.

1-26 **Incident Reports**

Description: File contains copies of incident reports completed when an incident has occurred where the state might be liable for damages. File includes Standard Liability/Standard Incident Report, In Case of Accident Report or related reports completed at the time of an incident. The Risk Management Division of the Department of Central Services is the state office of record (Schedule 90-05, Series 6-33).

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

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

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Administrative Records

1-27 **Safety Audits**

Description: File contains reports of Safety Audits conducted by Risk Management Safety Engineer plus follow up reports and correspondence. The Risk Management Division of the Department of Central Services is the state office of record (Schedule 90-05, Series 6-35).

Disposition: Retain in office until next safety audit, then destroy.

1-28 **Safety Correspondence**

Description: File contains correspondence from Risk Management Division concerning tips on safety and avoiding accidents. The Risk Management Division of the Department of Central Services is the state office of record (Schedule 82-10, Series 6-36).

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

1-29 **Risk Management Policies**

Description: File contains correspondence and materials from Risk Management Division concerning policies and rules and regulations regarding Risk Management. The Risk Management Division of the Department of Central Services is state office of record (Schedule 90-05, Series 6-37).

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

1-30 **Risk Management--Motor Vehicle Operator Verification File**

Description: File contains drivers license numbers for state employees who drive their own cars on state business. Agency copy is state office of record copy.

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

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

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Administrative Records

1-31 **Fleet Management Inventory and Sales Reports**

Description: File contains inventory and sales reports (FMD-1) for agency owned vehicles. Information includes vehicle number, make, model and year, purchase date, cost, license tag number, location and whether owned, loaned or leased. The Fleet Management Division of the Department of Central Services is the state office of record (Schedule 90-05, Series 8-6 and 8-7). [Series covers Fleet Management Reports only.]

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

1-32 **Fleet Management Monthly Report**

Description: Monthly summaries turned into Fleet Management Division reporting fuel cost and usage, maintenance done and cost and related information. The Fleet Management Division of the Department of Central Services is the state office of record (Schedule 90-05, Series 8-8).

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

1-33 **Fleet Management Vehicle Maintenance Records**

Description: File contains detailed vehicle maintenance records for agency owned cars.

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

1-34 **Fleet Management Correspondence**

Description: File contains correspondence and reports detailing Fleet Management policies and rules and regulations. The Fleet Management Division of the Department of Central Services is the state office of record (Schedule 90-05, Series 8-9).

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

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

* January 25, 2018 *

Administrative Records

1-35 **Fleet Management Policies**

Description: File contains agency's Fleet Management Policy on preventive maintenance and how their fleet management program will be conducted. Filed with Department of Central Services, Fleet Management Division.

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

1-36 **Rule Making and *Oklahoma Administrative Code* File** Essential Record (67 O.S., §203(e))

Description: File contains emergency, permanent and preemptive rules and revocations of rules proposed in accordance with 75 O.S., §250 *et seq.* Documents include notice documents, rule documents, proposed rules, rule revocations, and other submissions for publication in the *Oklahoma Register* and the *Oklahoma Administrative Code*; written statements and petitions received during the comment period or during public hearings; stenographic notes; video tapes and audio tapes made during public hearings; petitions for exceptions to rules; summary statements of public hearings prepared by the agency, copies of attestations, liaison verifications, rule impact statements, transmittal letters to the governor and the legislature, notices of gubernatorial and legislative approval/disapproval; and any other records required by the Administrative Procedures Act (75 O.S., §250 *et seq.*) and the Administrative Rules on Rulemaking. A copy of the Administrative Code of the agency consisting of the official rules of the agency may be included.

Disposition: Retain in office permanently.
Amended April 28, 2005

1-37 **Division Activity Reports**

Description: Monthly or special reports compiled by division personnel for use by its staff (not submitted to Agency Administration as part of Series 1-7A).

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

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

* January 25, 2018 *

Administrative Records

1-38 **OPC Transmittal Forms**

Description: Copies of Oklahoma Publications Clearinghouse Form OPC 2 or equivalent submitted along with shipments of publications to the Oklahoma Department of Libraries. The Oklahoma Department of Libraries is the state office of record (Schedule 82-19, Series 5-9).

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

1-39 **Publications List**

Description: Copies of Oklahoma Publications Clearinghouse Form OPC 3 or equivalent submitted to the Oklahoma Department of Libraries. The Oklahoma Department of Libraries is the state office of record (Schedule 82-19, Series 5-2).

Disposition: Retain in office until no longer required for administrative purposes, then destroy.
Amended April 14, 1999

1-40 **Public Relations File**

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

Disposition: Retain in office until no longer required for administrative purposes, then transfer all items except those defined as state publications by 65 O.S., §3, 143.2(2) to the State Archives, with authority to weed, for permanent preservation.

1-41 **Patent Files**

Description: Files consist of patents and related correspondence pertaining to inventions created by individuals in various state agencies.

Disposition: Retain in office until two (2) years after patent is granted, then transfer to the State Archives for permanent preservation.

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

* January 25, 2018 *

Administrative Records

1-42 **Audit Reports**

A. Description: Files consist of reports of audits conducted by private auditing firms under contract with the State of Oklahoma.

Disposition: Transfer one (1) copy to the State Archives for permanent preservation. Retain one (1) copy in office five (5) years, then destroy.

B. Description: Files consist of reports of audits conducted by the Office of the State Auditor and Inspector. The State Auditor and Inspector is the state office of record (Schedule 92-13, Series 1-20).

Disposition: Retain one (1) copy in office five (5) years, then destroy.

1-43 **State and Federal Guidelines**

A. Description: Guidelines issued by state and federal officials pertaining to program activities that are not published in the Code Of Federal Regulations or in the *Oklahoma Register*.

Disposition: Retain in office permanently.

B. Description: Guidelines issued by state and federal officials that are published in the Code of Federal Regulations or the *Oklahoma Register*.

Disposition: Retain in office and destroy individual guidelines when superseded.

1-44 **Organizational Charts**

A. Description: Organizational charts indicating overall administrative structure of an agency.

Disposition: Transfer one (1) copy to the State Archives for permanent preservation and retain one (1) copy in office permanently.

B. Description: Convenience or reference copies of Series 1-44A (Organizational Charts).

Disposition: Retain in office until superseded, then destroy.

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

* January 25, 2018 *

Administrative Records

1-45 **Requisition for Motor Vehicles**

Description: Agency copies of official written requests for motor vehicles from Motor Pool. The Motor Pool Division of the Department of Central Services is the state office of record (Schedule 90-05, Series 4-35).

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

1-46 **Boiler Inspection Report File**

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

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

1-47 **Hot Water Heater Inspections (Form SSD-82-11-048)**

Description: Copies of yearly inspections reports of hot water heaters in agency offices. The Department of Labor is the state office of record (Schedule 82-24, Hydro Inspection File, Series 4-7).

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

1-48 **Loyalty Oaths**

Description: Loyalty oaths to the state and county, signed by state employees in accordance with 51 O.S., §36.1, *et seq.* Agency copy is state office of record copy.

Disposition: File in applicable Personnel Records of Permanent State Employees (Active), Series 3-1A.
Amended April 28, 2005

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

* January 25, 2018 *

Administrative Records

1-49 **Attorney General Opinions**

Description: Agency copies of official Attorney General opinions and requests in writing for letters opinions. The Office of the Attorney General is the state office of record (Schedule 85-16, Series 1-1).

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

1-50 **Architect Selection Files**

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

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

1-51 **Capital Improvement Projects Files**

Description: Agency capital improvement projects files containing copies of information to bidders, bid form proposals, bid affidavits, pertinent Senate and House bills, public construction contracts, and Construction Contract Forms for Use by Public Agencies. The file may also contain copies of letters signed by the agency head to be enclosed with contracts and copies of applicable statutes. The Construction and Properties Division of the Department of Central Services is the state office of record (Schedule 90-05, Series 14-30).

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

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

* January 25, 2018 *

Administrative Records

1-52 **Employee Incident Reports**

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

Disposition: Retain in office five (5) years, then destroy provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Amended April 28, 2005

1-53 **Microform Quality Evaluation Forms**

Description: Agency copies of Microform Quality Evaluation Forms filled out by inspectors in micrographics laboratories certified by the State Records Administrator in accordance with Archives and Records Commission Rule 60:10-7-4. The Oklahoma Department of Libraries is the state office of record (Schedule 82-19, Series 7-23).

Disposition: Retain in office permanently.
Amended April 28, 2005

1-54 **Court Orders**

Description: Court orders issued by judges requiring that certain actions be undertaken by the agency.

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

1-55 **Open Meetings Filings**

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

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

1-56 **Open Meeting Filings [Records Maintained in Electronic Mail Systems]**

Transferred to Series 1-55, April 28, 2005

ARCHIVES AND RECORDS COMMISSION

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

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Administrative Records

1-57 **Unpublished Annual or Biennial Reports**

Description: Record copy of unpublished annual or biennial reports.

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

1-58 **Board and Commission Correspondence**

Description: File consists of incoming and copies of outgoing correspondence relating to board and commission functions and activities.

Disposition: Retain in office and review on an annual basis. After the review, destroy duplicate and ancillary records. Transfer substantive records, when they become three (3) years old and are no longer required for administrative purposes to the State Archives, with authority to weed, for permanent preservation.
Amended April 28, 2005

1-59 **Board and Commission Correspondence [Convenience Copy]**

Transferred to Series 1-58, April 28, 2005

1-60 **Board and Commission Correspondence [Records Maintained in Electronic Mail Systems]**

Transferred to Series 1-58, April 28, 2005

1-61 **Board and Commission Membership Files**

Description: Files contain information regarding appointments to boards and commissions, including biographical information, copies of oath of office forms, and incoming letters and copies of outgoing responses to individual members rather than to the board or commission as an entity of state government.

Disposition: Retain in office and review on an annual basis. After the review, destroy duplicate and ancillary records and transfer substantive records three (3) years to the State Archives, with authority to weed, for permanent preservation.
Amended April 28, 2005

1-62 **Board and Commission Membership Files [Records Maintained in Electronic Mail Systems]**

Transferred to Series 1-61, April 28, 2005

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

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Administrative Records

1-63 **Open Records Act Files**

Description: Files pertain to requests for information under provisions of the Oklahoma Open Records Act (51 O.S., §24A.1, *et seq.*) and contain request forms, correspondence, copying fee information, and allied information.

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

1-64 **Calendars and Appointment Books**

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

Disposition: Retain in office until no longer required for administrative purposes, then destroy.
Amended, January 25, 2018

1-65 **Insurance Policies**

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

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

1-66 **Records Management Coordinator Appointment Form (ARC Form 11)**

Description: Copies of forms sent to the Office of Archives and Records of the Oklahoma Department of Libraries listing appointment of agency Records Management Coordinator and title. The Oklahoma Department of Libraries is the state office of record (Schedule 82-19, Series 7-19).

Disposition: Retain in office until superseded, then destroy.

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

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Administrative Records

- 1-67 **Voter Registration Statements** 26 O.S. Supp. 1994 §4-109.2 42 U.S.C.A. § 1973gg et seq.
- Description: File consists of Voter Registration Statements completed by applicants as required by the National Voter Registration Act of 1993.
- Disposition: Retain in office two (2) years, then destroy.
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- 1-68 **Fax Logs**
- Description: Reports generated by facsimile machines indicating the names of recipients or senders, and times of transmissions.
- Disposition: Retain in office until no longer required for administrative purposes, then destroy.
Added January 17, 2001
-
- 1-69 **Fax Transmittal Cover Sheets**
- Description: Cover sheets which accompany facsimile transmissions of documents to recipients. Records typically include names of recipients and senders, dates and times of transmissions, and number of pages transmitted.
- Disposition: Retain in office until no longer required for administrative purposes, then destroy.
Added January 17, 2001
-
- 1-70 **Communications Service Request/Repair Problems Form**
- Description: Form used by state agencies to request telephone service or repairs. Information includes agency names, telephone numbers to be billed, and signatures of agency Communications Coordinators. State office of record copy is Office of State Finance, Schedule 91-08, Series 3-3.
- Disposition: Retain in office until no longer required for administrative purposes, then destroy.
Added April 11, 2001

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

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Administrative Records

1-71 **Log of Work-Related Injuries and Illness (Confidential Record CFR 29 §1904.33)**

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

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

1-72 **Injury and Illness Report (Confidential Record CFR 29 §1904.33)**

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

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

1-73 **Summary of Work-Related Injuries and Illness**

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

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

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

* January 25, 2018 *

Administrative Records

1-74 **Emergency Management Program Annual Report
(Oklahoma Emergency Management Act of 2003 63 O.S. § 683.1-683.24)**

Description: Annual report prepared by agencies regarding status of agency emergency management program.

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.
Added April 24, 2008

1-75 **Employee Recognition Awards File**

Description: File includes nominations, applications, incoming and copies of outgoing correspondence, copies of certificates or acknowledgements and other information related to employee recognition programs.

Disposition: Retain in office until no longer required for administrative purposes, then destroy.
Added April 24, 2008

1-76 **Reception Area Sign-in Sheets**

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

Disposition: Retain in office until no longer required for administrative purposes, then destroy.
Amended, January 25, 2018

1-77 **Oklahoma Sunset Law Review Materials**

Description: File contains copy of sunset review questionnaire, supporting documentation, response and sunset review hearing information.

Disposition: Retain in office for five (5) years after the close of the Legislative session following Sunset Law review for use in the next cycle of review. Destroy records after the close of the next Legislative session. If agency, board or commission does not continue, transfer records to the State Archives for permanent preservation.
Added April 16, 2009

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

* January 25, 2018 *

Financial Records

2-1 **6-Digit Expenditure Detail Reports**

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

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

2-2 **Budget and Cash Balance Reports**

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

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

2-3 **Summary of Receipts, Disbursements, and Balances by Agency**

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

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

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

* January 25, 2018 *

Financial Records

2-4 **6-Digit Object of Expenditure Summary Reports**

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

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

2-5 **Monthly Receipts and Expenditure Reports**

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

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

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

* January 25, 2018 *

Financial Records

2-6 **Budget Work Program**

A. Description: Copies of OSF Form 55, Capital Outlay Projects; OSF Form 47, Detail of Personnel by Sub-Activity; OSF Form 47.1, Detail of Exempted Personnel by Sub-Activity; OSF Form 47.2, Detail of Professional Services by Sub-Activity; OSF Form 16, Detail of Expenditures by Sub-Activity; OSF Form 22, Summary of Sub-Activities within an Activity; OSF Form 17, Detail of Expenditures by Activity; OSF Form 21, Summary of Activities Within an Agency; Form 33, Estimate of Income To Agency Funds; OSF Form 48, Request for Allotment and/or Appropriation Transfer; OSF Form 47, Detail of Personnel by Sub-Activity - Revision; OSF Form 47.1, Detail of Exempted Personnel by Sub-Activity - Revision; OSF Form 47.2, Detail of Professional Services by Sub-Activity - Revision; OSF Form 16, Detail of Expenditures by Sub-Activity - Revision; OSF Form 22, Summary of Sub-Activities within an Activity - Revision; OSF Form 17, Detail of Expenditures by Activity - Revision; OSF Form 21, Summary of Activities Within an Agency - Revision; and OSF Form 33, Estimate of Income to Agency Funds - Revision budget requests. The Office of State Finance is the state office of record (Schedule 91-08, Series 1-2).

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

B. Description: File contains materials submitted from various divisions and other working papers used to compile agency budget work program. Agency copy is the state office of record copy.

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

Amended April 28, 2005

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

*** January 25, 2018 ***

Financial Records

2-7 **Budget Requests**

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

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

B. Description: File contains materials submitted from various divisions and other working papers used to compile agency budget request.

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

C. Description: Division copies of material submitted by division for inclusion in agency budget request.

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

2-8 **Indirect Cost Rate**

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

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

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

*** January 25, 2018 ***

Financial Records

2-9 Annual Allotment Requests

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

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

2-10 Request for Allotment and Appropriation Transfer

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

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

2-11 Requests for Encumbrance

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

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

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

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Financial Records

- 2-12 **Miscellaneous Claims and Invoices (Except OSF Form 14, OSF Form 3 (when used for payroll withholdings) and OSF Form 9)**
- A. Description: Copies of OSF Form 3, "Notarized Claim Voucher and Disbursement of Payroll Withholdings"; OSF Form 15A, "Claim Jacket Form"; OSF Form 15B, "Inter/Intra Payment"; OSF Form 19, "Travel Voucher"; OSF Form 18, "Actual and Necessary Expense Travel Voucher"; Affidavit - Actual and Necessary Unreceipted Travel Expenses; and OSF Form 19A, Travel Voucher Attachment submitted to the Office of State Finance for payment of financial obligations other than payrolls. The Office of State Finance is the state office of record (Schedule 91-08, Series 2-64).
- Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies, provided no legal actions are pending, then destroy. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements.
- B. Description: Third or non-audit copies of items in Series 2-12A (Miscellaneous Claims and Invoices).
- Disposition: Retain in office until no longer required for administrative purposes, then destroy.
Amended July 16, 2009
- 2-13 **Alternate Claim Processing System [Electronically Filed Miscellaneous Claims and Invoices]**
- Description: Claims filed by state agencies and state supported institutions of higher education that have been approved by the Office of State Finance to file electronically. Records include OSF Form 3, "Notarized Claim Form"; OSF Form 15A, "Claim Jacket Form"; OSF Form 15B, "Inter/Intra Payment"; OSF Form 19, "Travel Voucher"; OSF Form 18, "Actual and Necessary Expense Travel Voucher"; Affidavit - Actual and Necessary Unreceipted Travel Expenses; and OSF Form 19A, Travel Voucher Attachment submitted to the Office of State Finance for payment of financial obligations other than payrolls. **Agency copies are state office of record copies.** (Records do not include OSF Form 14, "Claim for Disbursement of Payroll Withholdings," and OSF Form 9, "Imprest Cash Form" and allied documentation. **For the disposition of OSF Form 14 and OSF Form 9, refer to Series 2-82).**

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Financial Records

2-13 Alternate Claim Processing System [Electronically Filed Miscellaneous Claims and Invoices]

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

2-14 Payroll Claims Records are subject to 51 O.S., §24A.7

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

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

2-15 Payroll Warrant Cancellation Forms

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

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

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Financial Records

2-16 **Official Depository Records**

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

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

2-17 **Affidavit of Lost or Destroyed Warrant**

Description: Affidavits (OSF Form 20B) submitted by agencies to the Office of State Finance requesting the issuance of warrants to replace warrants that have been lost, stolen, or destroyed, requested prior to the statutory cancellation of the warrant.

Volume: 2 cubic feet per year

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

2-18 **Affidavits for Cancelled Warrants Issued in Error**

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

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

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

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Financial Records

2-19 **Purchase Order Files**

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

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

B. Description: Division copies of items in Series 2-19A (Purchase Order Files).

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

2-20 **Refund Records**

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

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

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

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Financial Records

2-21 **Institutional Purchase Orders and Contracts/"Agency Issued Orders"**[Except Institutions of Higher Education]

A. Description: Copies of OSF Form 17, "Purchase Order Form," OSF Form 3A, "Contracts," and may include OSF Form 6C, "Advice of Change," and OSF Form 49, "Request for 30 Day Requirement Waiver. These forms are used for purchase orders and contracts for agencies except institutions of higher education that are exempt from the Oklahoma Central Purchasing Act or if the type of acquisition is exempt from the act. The Office of State Finance is the state office of record (Schedule 91-08, Series 2-53). For records pertaining to institutions of higher education, see State Universities and Colleges General Records Disposition Schedule, Series 5-9A and 5-9B.

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

B. Description: Division copies of items in Series 2-21A (Institutional Purchase Orders and Contracts "Agency Issued Orders").

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

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

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Financial Records

2-22 **Authorizations for Purchase** (Prior to February 1, 2000)

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

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

B. Description: Division copies of items in Series 2-22A, Authorizations for Purchase (Prior to February 1, 2000).

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

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

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

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

D. Description: Division copies of items in Series 2-22C, Authorizations for Purchase (February 1, 2000).

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

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

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Financial Records

2-23 **Statewide Contracts**

Description: Agency copies of Central Purchasing Statewide Contracts for goods and services. Information includes contract numbers, expiration dates, terms and conditions, and awarded contract and all relative addendum. The Central Purchasing Division of the Department of Central Services is the state office of record (Schedule 90-05, Series 7-29).

Disposition: Retain in office until no longer required for administrative purposes, then destroy.
Amended October 13, 2011

2-24 **Scheduled Buys**

Transferred to series 2-91 October 13, 2011

2-25 **6-Digit Object of Expenditure Summary by Fund Report**

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

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

2-26 **Agency Special and Clearing Account Reports**

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

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

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Financial Records

2-27 Reconciliation of Official Depository Balance

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

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

2-28 FICA Quarterly Reports

Description: Quarterly Reports from the Office of State Finance listing employee wages and tax deductions.

Disposition: Retain in office and destroy individual reports one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Added October 13, 1999

2-29A Special and Clearing Account Vouchers (Warrants) (Prior to January 2, 2003)

Description: Vouchers written on special and clearing accounts, including 340 Funds and 700 Funds. The agency maintains the record copy.

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

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

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

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2-29B **Special and Clearing Account Vouchers (Warrants) (January 2, 2003-) (Electronic File)**

Description: Vouchers written on special and clearing account vouchers, including 340 Funds and 700 Funds. The Office of the State Treasurer is the state office of record. The Department of Human Services is the office of record for vouchers issued by that agency. See Department of Human Services Records Disposition Schedule 98-02, Series 10-6A and 10-6B regarding the disposition of DHS 340 and 700 funds.

Disposition: Retain in office and transfer records to an electronic format. Destroy hard copy documents except those that cannot be reproduced in a legible and readable condition upon certification that all records have been successfully entered into an electronic format. Maintain a backup copy in a storage area that meets the manufacturer's recommendations for temperature and humidity controls. Delete records and destroy all below standard documents when records become seven (7) years old, provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements.
Amended October 26, 2006

2-30 **Receipts**

A. Description: Copies of receipts issued to persons who have remitted license fees or made other payments to the agency. Agency copy is the state office of record copy.

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

B. Description: Third or non-audit copies of items in Series 2-30A (Receipts).

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

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Financial Records

2-31 **Special Account Applications**

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

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

2-32 **Payroll Working File** Records are subject to 51 O.S., §24A.7

Description: Prelists, copies of employee withholding data, payroll cancellation information, and other documents used to compile agency payroll.

Disposition: Retain in office until superseded, then destroy.

2-33 **Accounting Ledgers**

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

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

2-34 **Bond Ledgers and Issuance Files** Records are subject to 51 O.S., §24A.7

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

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

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Financial Records

2-35 **Maintenance and Insurance Files** Records are subject to 51 O.S., §24A.7

Description: Reports listing employee salary and wage deductions for insurance, credit union dues, and annuities, as well as billing documents from insurance companies for premium payments and copies of applicable miscellaneous claims sent to the Office of State Finance. Agency copy is the state office of record copy.

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

2-36 **Miscellaneous Payroll Data** Records are subject to 51 O.S., §24A.7

Description: Overtime reports and payroll data for seasonal employees. Documents are used to compile agency payrolls submitted to the Office of State Finance. Agency copy is the state office of record copy.

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

2-37 **Clearing Account Letters**

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

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

2-38 **Treasury Fund Request Letters**

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

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

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Financial Records

2-39 Agency Clearing and Special Account Advice of Deposit Slips

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

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

2-40 Agency Special and Clearing Account Claims

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

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

2-41 Inventories

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

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

Amended April 28, 2005

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

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Financial Records

2-42 **Sales Tax Reports**

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

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

2-43 **Surplus Property File**

Description: File contains memos, worksheets and invitation to bid forms relating to surplus property. Agency copy is the state office of record copy.

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

2-44 **Payroll Year-To-Date Reports** Records are subject to 51 O.S., §24A.7

Description: Cumulative monthly computer printout from the Office of State Finance showing gross pay, deductions and net pay on a calendar year basis. Information is duplicated in Payroll Claims (Series 2-14) and W-2 Forms (Series 3-15).

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

2-45 **Employees on Payroll of More Than One Agency** Records are subject to 51 O.S., §24A.7

Description: Cumulative monthly report computer printout from the Office of State Finance to agencies with employees that work for another agency used to track FICA and other deductions. Information is duplicated in Payroll Claims (Series 2-14) and W-2 Forms (Series 3-15). Agency copy is the state office of record copy.

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

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2-46 State of Oklahoma Notification of Intent and Action Notification Forms

Description: Preliminary document used to notify the Department of Commerce of possible federal funding by source, and document used to notify the Department of Commerce of receipt of funds. The Department of Commerce is the state office of record (Schedule 89-03, Series 6-8).

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

2-47 Outstanding Purchase Orders Report

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

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

2-48 Cancelled Non-encumbered Contracts/Cancelled Non-Binding Contracts Reports

Deleted from schedule October 13, 2011

2-49 Financial Correspondence

Description: Correspondence between agency and the Office of State Finance, Department of Central Services, State Treasurer, State Auditor and Inspector and/or vendors. Agency copy is the state office of record copy.

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

2-50 Financial Correspondence [Records Maintained in Electronic Mail Systems]

Transferred to Series 2-49, April 28, 2005

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2-51 Miscellaneous Financial Computer Printouts

Description: Computer printouts generated for reference use from agency financial information. Agency copy is the state office of record copy.

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

2-52 Travel Expenditure Reports

Description: Cumulative quarterly computer printout from the Office of State Finance listing agency travel claims. Agency copy is the state office of record copy.

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

2-53 Fiscal AFP Expenditure Reports

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

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

2-54 Transmittal Letters

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

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

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Financial Records

2-55 Request For Replacement Of A Missing Warrant Cancelled By Statute

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

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

2-56 State Insurance Payroll Fund Reports

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

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

2-57 Workers Compensation Claims File

Description: Agency copies of reports, correspondence, and other documents pertaining to injury claims against CompSource Oklahoma. CompSource Oklahoma is the state office of record (Schedule 88-12, Series 9-3 through 9-8).

Disposition: Retain in office two (2) years, then destroy.
Amended July 18, 2001

2-58 Certificates of Deposit

Description: Certificates of Deposit or safekeeping receipt for funds invested by state agencies. Agency copy is the state office of record copy.

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

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2-59 **Postal Meter Reading Record**

Description: U.S. Postal Service PS Form 3602-A, Daily Record of Meter Register Readings. Agency copy is the state office of record copy.

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

2-60 **Meter Postage Receipts**

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

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

2-61 **Treasurer's Correction of Account**

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

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

2-62 **Lease Contracts for Space**

Description: File contains contracts for leasing of space for office, warehouse, or storage. Agency copy is the state office of record copy.

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

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

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2-63 Lease Contracts for Equipment

Description: File contains contracts for leasing of equipment. Agency copy is the state office of record copy.

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

2-64 Bills of Lading

Description: Incoming and outgoing bills of lading which accompany the delivery of goods. Agency copy is the state office of record copy.

Disposition: Retain in office until one (1) year after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending destroy two (2) years after exhaustion of all legal remedies. (May be filed with the Miscellaneous Claims, Series 2-12A and 2-13.)

2-65 UPS Manifest

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

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

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2-66 **Telephone Bills**

A. Description: Records consist of monthly Centrex telephone bills and applicable attachments sent by the Office of State Finance. The Office of State Finance is the state office of record (Schedule 91-08, Series 3-1A).

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

B. Description: Record consists of pages two and following which are sent with bills from telephone companies to an agency detailing monthly telephone charges. The first page is returned with the warrant when the bill is paid. Agency copy is the state office of record copy.

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

Amended April 28, 2005

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

* January 25, 2018 *

Financial Records

2-67 **Gas Charge Slips**

A. Description: Purchaser copies of gas, oil, and other vehicle services charged on an Department of Central Services credit card and turned over to agency fiscal office for payment upon billing by the Department of Central Services. The Department of Central Services is the state office of record (Schedule 90-05, Series 2-58).

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

B. Description: Purchaser copies of gas, oil, and other vehicle services charged on an agency credit card and turned over to the agency fiscal office for payment upon receipt of bill. Agency copy is the state office of record copy.

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

2-68 **Internal Requisitions**

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

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

B. Description: Division copies of items in Series 2-68A (Internal Requisitions).

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

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

* January 25, 2018 *

Financial Records

2-69 **Non-binding Contracts**

Transferred to series 2-91 October 13, 2011

2-70 **Photocopy Meter Reading Records**

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

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

2-71 **Miscellaneous Warrant Register**

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

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

2-72 **Payroll Warrant Register**

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

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

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

* January 25, 2018 *

Financial Records

2-73 Record of Registered, Insured, C.O.D., Certified, and Express Mail

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

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

2-74 Notice to Replenish Advance Deposit Account

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

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

2-75 Bid Purchase File

Description: Records for purchases conducted through the bid process but not through the Department of Central Services. Agency copy is the state office of record copy.

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

2-76 Signature Cards

Description: Copies of OSF Form 13 submitted to the State Treasurer by agencies containing the names and signatures of persons authorized to deposit proceeds or moneys in agency accounts or sign checks. The Office of the State Treasurer is the state office of record (Schedule 87-25, Series 1-4).

Disposition: Retain in office until person listed is no longer authorized to handle financial transactions, then destroy.

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

* January 25, 2018 *

Financial Records

2-77 **Stop Payment Requests**

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

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

2-78 **Warranty File**

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

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

2-79 **Premium Billing**

Description: Agency copies of billing documents for insurance premiums sent by CompSource Oklahoma. CompSource Oklahoma is the state office of record (Schedule 88-12, Series 20-2).

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

Amended July 18, 2001

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

* January 25, 2018 *

Financial Records

2-80 **Auction Reports**

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

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

2-81 **Salary Warrant Receipt Records**

Description: Records used to transmit each employees' monthly and supplemental payroll warrants and any applicable correspondence. The employee and/or designee signs the record each month to prove receipt of warrant and then returns it to the agency business office. Agency copy is the state office of record copy.

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

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

* January 25, 2018 *

Financial Records

2-82 **Miscellaneous Claims and Invoices (OSF Form 14, OSF Form 3 (when used for payroll withholdings) and OSF Form 9)**

A. Description: File includes copies of OSF Form 14, "Claim for Disbursement of Payroll Withholdings", "OSF Form 9, "Imprest Cash Form", OSF Form 3, "Notarized Claim Voucher and Disbursement of Payroll Withholdings" (only when used for payroll withholdings); submitted to the Office of State Finance for payment of financial obligations other than payrolls and related expenditure details. The agency is the state office of record for the expenditure details for claim payments. The Office of State Finance is the state office of record for the forms (Schedule 91-08, Series 2-64).

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

B. Description: Third or non-audit copies of records in Series 2-82A (Miscellaneous Claims and Invoices (OSF Form 14, OSF Form 3 (when used for payroll withholdings), and OSF Form 9).

Disposition: Retain in office until no longer required for administrative purposes, then destroy.
Added to schedule, July 16, 2009. (Series was transferred to Series 2-12, October 18, 2007, then returned to Series 2-82, July 16, 2009.)

2-83 **Request For Miscellaneous Warrant Cancellation**

Description: Copies of OSF Form MWC, "Request For Miscellaneous Warrant Cancellation," submitted to the Office of State Finance. The Office of State Finance is the state office of record (Schedule 91-08, Series 2-57).

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

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

* January 25, 2018 *

Financial Records

2-84 **Miscellaneous Inter-Intra Agency Transfers (From Sending Agency) Report**

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

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

2-85 **Statutory Cancellation Report**

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

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

2-86 **Professional Services Monthly Report**

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

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

2-87 **Miscellaneous Inter-Intra Agency Transfers (to Receiving Agency) Report**

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

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

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

* January 25, 2018 *

Financial Records

2-88 **Payroll Fund Transfer Forms**

Description: Copies of OSF Form PFT submitted to the Office of State Finance showing transfer activity between budgetary funds and the payroll fund. Data includes fund, agency, account, sub-activity, transfer, debit and credit. Agency copy is state office of record copy.

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

2-89 **Supplemental Insurance Withholding Record**

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

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

2-90 **Year-to-Date Deposit Record**

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

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

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

* January 25, 2018 *

Financial Records

2-91 **Contracts and Acquisitions File (OAC 260:115-5-9)**

Description: File includes contract documents, excluding those related to space or equipment rental, to which the agency is party, such as invitation to bid, request for proposal or quotation; attachments; amendments; change orders or modifications; the supplier's bid or quotation with attachments; evaluations; purchase orders; and related information.

Disposition: Retain in office until seven (7) years after expiration of contract, then destroy, provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements.
Amended January 22, 2015

2-92 **Professional Services Contracts File**
Transferred to series 2-91 October 13, 2011

2-93 **Airline Invoices**

Description: Agency copies of airline invoices.

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

2-94 **Flight Ticket Encumbrance Request**

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

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

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

* January 25, 2018 *

Financial Records

2-95 **Notice of Bankruptcy**

Description: Files contain records of both corporate and individual bankruptcy filings, notices of creditors meetings, and related incoming and copies of outgoing correspondence.

Disposition: If no monetary claim is involved, retain in office two (2) years, then destroy. If claim involves a monetary settlement, retain in office and destroy two (2) years after receipt of final settlement payment 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.

2-96 **Postage Due Bill**

Description: U.S. Postal Service Form 3582-A issued as a bill to postal customers.

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

2-97 **Statement of Mailing Second-Class Special and Classroom Rates**

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

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

2-98 **Postal Service Form 3083 - Trust Accounts and Withdrawal Receipts**

Description: Postal Service form received daily by agency showing balance for Business Reply Mail (Permit 601). This receipt is received with mail each day and shows a running total of on-going balance.

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

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

* January 25, 2018 *

Financial Records

2-99 **Charge Back Records**

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

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

2-100 **GAAP Conversion Package**

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

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

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

* January 25, 2018 *

Financial Records

2-101 **State Purchase Card (P/Card)**

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

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

2-102 **Grants File**

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

Disposition: Retain in office until three (3) years after completion of grant activity, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending, destroy two (2) years after the exhaustion of all legal remedies, provided records meet all stipulated retention requirements.
Added January 26, 2006

2-103 **Vendor/Payee Form**

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

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

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

* January 25, 2018 *

Personnel Records3-1 **Personnel Records of Permanent State Employees (Active)**
(Confidential Record 51 O.S. §24A.7)

- A. Description: State office of record copies of applications, hiring, promotional data, and other records pertaining to state employment. Records include but are not limited to the following:
- employment applications and letters of recommendation, and other supporting documentation
 - Employee Service Evaluations (OPM Form 197 A and B)
 - insurance enrollment cards
 - employee leave requests
 - Longevity Certification Forms (OPM Form 52)
 - Retirement Enrollment Applications (OPERS Form 515-01-97R or equivalent)
 - Requests for Personnel Action (OPM Form 14)
 - Position Description Questionnaires (OPM Form 39)
 - Requests for Employee Evaluation (OPM Form 9 and 4B)
 - Request for Individual Special Entry Rate (OPM Form 15)
 - Application for Refund (OPERS Form 515-120-95R or equivalent)
 - Retirement Notice and Application (OPERS Form 515-117-95R or equivalent)
 - Retirant Returning to Employment (OPERS Form 515-117B-95R or equivalent)
 - Statement of Unused Sick Leave (OPERS Form 515-134C-90R or equivalent)
 - Final Unused Sick Leave Record (OPERS Form 515-134B-84 or equivalent)
 - Change or Designation of Beneficiary (OPERS Form 515-116-97R or equivalent)
 - Election to Increase Final Average Compensation (OPERS Form 515-145 or equivalent)
 - Application for Disability Benefits (OPERS Form 515-127-98R or equivalent)
 - health plan change request forms
 - Individual Leave Record (OPM Form 1 or equivalent)
 - correspondence relating to leave without pay
 - correspondence relating to interagency transfers
 - employment history cards
 - Department of Defense Form DD 214
 - disciplinary records
 - Beneficiary's Application for Death Records (OPERS Form 515-123-97R or equivalent)
 - Application for Withdrawal (OPERS Form 515-118-96W or equivalent).

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

* January 25, 2018 *

Personnel Records

3-1 **Personnel Records of Permanent State Employees (Active)** Records are subject to 51 O.S., §24A.7

A. Disposition: Retain in Active File until termination of employment, then transfer to Personnel Records of Permanent State Employees (Inactive)-Retirement System Members and Nonretirement System Members (Series 3-1D).
Amended January 27, 2005

3-1 **Personnel Records of Permanent State Employees (Convenience Copy) (Confidential Record 51 O. S. §24A.7)**
Amended April 28, 2005

3-1 **Personnel Records of Temporary State Employees** Records are subject to 51 O. S. §24A.7

C. Description: Files contain the same type of records and information as Series 3-1A, but pertain to temporary employees.

Disposition: Retain in office and destroy records pertaining to individual temporary employees five (5) years after termination of their employment, 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.

[Note: Personnel Records of Temporary State Employees may be retained in micro format and optical imaging format provided all requirements for those formats specified in the Introduction to this General Records Disposition Schedule are satisfied].
Amended October 17, 2001

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

* January 25, 2018 *

Personnel Records

3-1 **Personnel Records of Permanent State Employees (Inactive)-Retirement System Members and Nonretirement Members** Records are subject to 51 O. S. §24A.7

D. Description: Files contain the same type of records and information as Series 3-1A.

Disposition: Destroy all records, except the following five (5) years after employee terminates his/her employment provided no legal actions are pending:

- Employment applications
- Requests for Personnel Action (OPM Form 14)
- Longevity Certification Form (OPM Form 52 or Equivalent)
- Employment history cards
- Change or Designation of Beneficiary (OPERS Form 515-116-97R or equivalent)
- Individual Leave Record (OPM Form 1 or equivalent)
- Retirement Enrollment Applications (OPERS Form 515-01-97R or equivalent)
- Retirement Notice and Application (OPERS Form 515-117-95R or equivalent)
- Correspondence relating to leave without pay
- Application for Withdrawal (OPERS Form 515-118-00W or equivalent).
- Correspondence relating to interagency transfers
- Department of Defense Form DD 214

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

* January 25, 2018 *

Personnel Records

3-1 **Personnel Records of Permanent State Employees (Inactive-)Retirement System Members And Nonretirement System Member** Records are subject to 51 O.S., §24A.7

D. Disposition: Transfer the following records to the State Archives for permanent preservation five (5) years after employee terminates his/her employment provided no legal actions are pending:

OR

Each respective agency may maintain the following twelve (12) records as the office of state record, in either hard copy, micro, or optical image format; so long as each agency is fully aware that optical imaging permanent record(s) require periodic migration due to technological upgrade to provide continuity and accessibility to these record(s):

- Employment applications
- Requests for Personnel Action (OPM Form 14)
- Longevity Certification Form (OPM Form 52 or Equivalent)
- Employment history cards
- Change or Designation of Beneficiary (OPERS Form 515-116-97R or equivalent)
- Individual Leave Record (OPM Form 1 or equivalent)
- Retirement Enrollment Applications (OPERS Form 515-01-97R or equivalent)
- Retirement Notice and Application (OPERS Form 515-117-95R or equivalent)
- Correspondence relating to leave without pay
- Application for Withdrawal (OPERS Form 515-118-00W or equivalent)
- Correspondence relating to interagency transfers
- Department of Defense Form DD 214

[Note: Personnel Records of Permanent State Employees (Inactive-Retirement System and Non-members may be retained in micro format and optical imaging format provided all requirements for these formats specified in the Introduction to this General Records Disposition Schedule are satisfied]

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

* January 25, 2018 *

Personnel Records

3-1 **Personnel Records of Permanent State Employees (Inactive)-Retirement System Members and Nonretirement System Members** Records are subject to 51 O. S. §24A.7

D. Disposition:

IF LEGAL ACTION IS PENDING:

Transfer the following records to the State Archives for permanent preservation two (2) years after the exhaustion of all legal remedies, provided records meet all stipulated retention requirements. All other records may be destroyed after the State Records Administrator or his/her designee approves a *Notice of Intent to Destroy Records*.

- Employment applications
- Requests for Personnel Action (OPM Form 14)
- Longevity Certification Form (OPM Form 52 or Equivalent)
- Employment history cards
- Change or Designation of Beneficiary (OPERS Form 515-116-97R or equivalent)
- Individual Leave Record (OPM Form 1 or equivalent)
- Retirement Enrollment Applications (OPERS Form 515-01-97R or equivalent)
- Retirement Notice and Application (OPERS Form 515-117-95R or equivalent)
- Correspondence relating to leave without pay
- Application for Withdrawal (OPERS Form 515-118-00W or equivalent).
- Correspondence relating to interagency transfers
- Department of Defense Form DD 214

[Note: Personnel Records of Permanent State Employees [Inactive-Retirement System and Nonretirement System Members may be retained in micro format and optical imaging format provided all requirements for these formats specified in the Introduction to this General Records Disposition Schedule are satisfied]

Amended July 17, 2002

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

* January 25, 2018 *

Personnel Records

3-2 **Contractual Employment Records**

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

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

3-3 **Employment Applications and Interviews Records (Applicants Hired)** Records are subject to 51 O.S., §24A.7

Description: Applications for employment and supporting documentation such as transcripts, resumes, and letters of recommendation; notes and other records pertaining to employment applications and job interviews. For records pertaining to internal recruitment to fill position vacancies, see Series 3-70.

Disposition: File in applicable Personnel Records of Permanent State Employees (Active) (Series 3-1A).

3-4 **Employment Applications and Interviews Records (Applicants Not Hired)** Records are subject to 51 O.S., §24A.7

Description: Same type of records and information as Series 3-3, but pertain to applicants not hired.

Disposition: Retain all applicable records in agency two (2) years after making of the records or the personnel action involved, whichever occurred later, then destroy provided no legal actions involving hiring or promotion are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements (29 CFR, §1620.31).

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

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Personnel Records

3-5 **Requests for Certification Records**

Description: Agency copies of requests submitted to the Office of Personnel Management for lists of qualified applicants for Merit System positions. Records also include applicable computer printouts received from the Office of Personnel Management. The Office of Personnel Management is the state office of record (Schedule 82-13, Series 3-3).

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

3-6 **OPM Correspondence**

Description: Incoming letters and copies of outgoing responses to the Office of Personnel Management.

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

3-7 **OPM Correspondence (Records Maintained in Electronic Mail Systems)**

Transferred to Series 3-6, April 28, 2005

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

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Personnel Records

3-8 **Reduction in Force Plans**

Description: Copies of plans filed with the Office of Personnel Management outlining how the agencies will proceed in the event of an ordered reduction in force. The Office of Personnel Management is the state office of record (Schedule 82-13, Series 10-10).

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

3-9 **Affirmative Action Records (Except Colleges and Universities)**

Description: Records pertain to agency affirmative action policies and include all information received and sent regarding the Affirmative Action Plan, EEO reports, and directives from the Governor or Affirmative Action Plan Coordinator for the State, as well as annual reports, semiannual reports, and progress reports pertaining to agency affirmative action plan and policies and procedures implemented to insure that hiring, promotions, and terminations are carried out in full compliance with all applicable laws and rules and regulations. The Office of Personnel Management is the state office of record (Schedule 82-13, Series 2-3).

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

3-10 **Employee Performance Appraisal Records**

Description: Employment Performance Appraisal forms or equivalent used to evaluate employees work performance. Agency copy is the state office of record copy.

Disposition: Retain in office and file in Personnel Records of Permanent State Employees (Active), Series 3-1A.
Amended, January 22, 2015

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

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Personnel Records

3-11 **Employee Service Evaluations Records (Inactive)**

Transferred to series 3-10, January 22, 2015

3-12 **Agency Promotional Plans**

Description: Copies of required plans submitted to the Office of Management and Enterprise Services. The Office of Management and Enterprise Services, Human Capital Management Division is the state office of record (Schedule 82-13, Series 21-12).

Disposition: Retain superseded plans in office for one (1) year, 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.
Amended, January 22, 2015

3-13 **Classification/Salary Schedules**

Description: List of classifications and salary schedules for positions used by an agency.

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

3-14 **Current Employee Rosters**

Description: Lists of employees by job title, job code, pay band and salary.

Disposition: Retain in office and destroy when superseded.
Amended, January 22, 2015

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

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Personnel Records

3-15 **W-2 Forms**

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

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

3-16 **Insurance Enrollment Cards (Active)**

Description: Insurance enrollment cards for currently employed persons.

Disposition: Retain in office and file in Personnel Records of Permanent State Employees (Active), (Series 3-1A), or retain in office until person terminates employment, then transfer to Insurance Enrollment Cards (Inactive), (Series 3-17).

3-17 **Insurance Enrollment Cards (Inactive)**

Description: Same type of records and information as Series 3-16.

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

3-18 **Acknowledgments of Receipt**

Description: Forms signed by employees acknowledging receipt of agency Policies and Procedures Manuals, Office of Personnel Management Policies and Procedures Manuals, Oklahoma Public Employees Retirement System Benefit Information, and other employment related materials and publications.

Disposition: Retain in office and file in applicable Personnel Records of Permanent State Employees (Active) (Series 3-1A).

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

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Personnel Records

3-19 **Employee Health Insurance Files Records (Except Colleges and Universities)**

Description: Copies of claims for reimbursement under state employee group, life, health and accident insurance policy, as well as supporting documentation. The Oklahoma State and Education Employees Group Insurance Program is the state office of record (Schedule 85-05, Series 1-13).

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

3-20 **Unemployment Compensation Claims Records**

Description: Copies of claim forms, correspondence and supporting documentation relating to claims, appeals and decisions for unemployment compensation.

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

3-21 **Payroll Information Records (Record Copy)**

Description: Deduction forms; requests for changes in deductions for insurance, credit union, bonds, tax withholdings (W-4), and other records pertaining to payroll calculations and preparations.

Disposition: Retain in office three (3) years, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements. 29 CFR, §516, *et. seq.*
Amended April 28, 2005

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

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Personnel Records

3-22 **Employee Attendance Records (Record Copy)**

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

Disposition: Retain in office three (3) years, then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending destroy two (2) years after the exhaustion of all legal remedies provided records meet all stipulated retention requirements. 29 CFR, §516, *et. seq.*
Amended April 28, 2005

3-23 **Employee Leave Requests (Record Copy)**

Description: OPM Form 31 (Request for Approval of Leave) or equivalent completed by employees requesting leave approval.

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

3-24 **Longevity Records**

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

Disposition: Retain in office and file in applicable Personnel Records of Permanent State Employees (Active) (Series 3-1A).

3-25 **Retirement Enrollment Application**

Description: Copies of OPERS Form 515-01-97R or equivalent used to enroll employees in a retirement system. The Oklahoma Public Employees Retirement System (Schedule 84-06, Series 5-14), Teachers Retirement System (Schedule 82-23, Series 6-1), or other retirement systems are the state offices of record.

Disposition: Retain in office and file in applicable Personnel Records of Permanent State Employees (Active) (Series 3-1A).

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

* January 25, 2018 *

Personnel Records

3-26 **Workers Compensation Quarterly Report**

Description: Quarterly report received from CompSource Oklahoma pertaining to workers compensation insurance coverage of agency personnel and related correspondence.

Disposition: Retain in office five (5) years, then destroy.
Amended July 18, 2001

3-27 **Workers Compensation Accident Records**

Description: Copies of Form 2, Form 3, Form 4, Form 5, Form 6, Form 7, Form 19, and other forms filed with the Workers Compensation Court. CompSource Oklahoma is the state office of record (Schedule 88-12, Series 5-17, 7-1, 7-14, 8-9, 8-10, and 9-1 through 9-8).

Disposition: Retain in office two (2) years, then destroy provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Amended July 18, 2001

3-28 **Job Descriptions -- Merit**

Description: Copies of Office of Personnel Management job descriptions for various classified positions. The Office of Personnel Management is the state office of record (Schedule 82-13, Series 6-7).

Disposition: Retain in office until superseded, then destroy.

3-29 **Job Descriptions -- Non-merit**

Description: Copies of job descriptions for non-merit positions. Agency copy is state office of record copy.

Disposition: Retain in office and destroy three (3) years after superseded 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.

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

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Personnel Records

3-30 **Job Announcements Records** (Record Copy)

Description: Record copies of internal recruitment announcements of job openings. For records pertaining to actions taken to fill vacancies, see Series 3-70.

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

3-31 **Grievance Procedures Records**

Description: Copies of required plans for resolving employee grievances submitted to the Office of Personnel Management. The Merit Protection Commission is the state office of record (Schedule 86-10, Series 1-17).

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

3-32 **Merit Protection Commission Cases**

Description: Copies of materials relating to hearings or appeal requests under investigation by the Merit Protection Commission for alleged violations of the Oklahoma Personnel Act. The Merit Protection Commission is the state office of record (Schedule 86-10, Series 1-1).

Disposition: Retain in office and destroy three (3) years after resolution by Merit Protection Commission provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements.
Amended October 30, 2008

3-33 **OPM Training File**

Description: Copies of OPM Form 193 (Nomination Forms) and OPM Form 10 (Confirmation Forms) for Office of Personnel Management Workshops. The Office of Personnel Management is state office of record (Schedule 82-13, Series 11-4 and 11-5).

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

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

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Personnel Records

3-34 **Employee Identification Badges**

Description: Identification badges issued to employees and required for access to certain work areas, storage areas, or other areas where access is restricted.

Disposition: Destroy applicable badge upon termination of employment.

3-35 **Financial Disclosure Statements**

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

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

3-36 **Grievance Records (Record Copy)** Records are subject to 51 O.S. §24A.7

Description: File contains records related to grievances filed by agency employees.

Disposition: Retain in office until two (2) years after resolution in the agency, then destroy unless appealed. If appealed to the Merit Protection Commission, transfer to Series 3-32 (Merit Protection Commission Cases). If appealed to a Court of Law, transfer to Series 1-21 (Litigation Files).
Amended April 28, 2005

3-37 **Benefit Information** (Record Copy)

Description: Files pertain to benefits available to state employees. Information includes material from the various medical and dental providers, investment, deferred compensation and retirement options, rate plans, beneficiary designation forms, etc. Agency Personnel Office copy is the state office of record copy.

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

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

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Personnel Records

3-38 **Request for Personnel Action Records**

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

A. Disposition: Retirement System Members and Non Retirement Members Except Temporary Employees: Retain in office and file in applicable Personnel Records of Permanent State Employees (Active) (Series 3-1A).

B. Disposition: For Temporary employees, retain in office until five (5) years after employee leaves the agency, then destroy.

3-39 **Position Description Questionnaire**

Description: Copies of OPM Form 39, (Position Description Questionnaire) used to describe each position within an agency and for possible reclassification. The Office of Personnel Management is state office of record (Schedule 82-13, Series 10-7).

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

3-40 **Chemical Information Lists (CIL)**

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

Disposition: Retain in office until employee terminates employment, then transfer to the State Records Center. Destroy records when they become forty (40) years old provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

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Personnel Records

3-41 **Material Safety Data Sheets**

Description: Material Safety Data Sheets (MSDS) listing each hazardous substance which has been identified on the Chemical Information List (CIL). Each MSDS reflects information contained in the sources consulted by manufacturer in hazard determination and information required by 29 CFR 1910.1200.

Disposition: Retain in office five (5) years, then transfer to the State Records Center. Destroy records when they become forty (40) years old provided no legal action is pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.

3-42 **Garnishment Records**

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

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

3-43 **IRS Levies Records**

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

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

3-44 **Immigration Reform and Control Act Records (Confidential Record 74 O.S. §3113)**

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

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

Amended January 27, 2005

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Personnel Records

3-45 **Fair Labor Standards Act Time Sheets** (Record Copy)

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

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

3-46 **Request for Employee Evaluation**

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

Disposition: Retain in office and file in Personnel Records of Permanent State Employees (Active) (Series 3-1A).

3-47 **Application for Refund (Active)**

Description: Agency copies of OPERS Form 515-120-95R used to refund monies to applicants who were ineligible for enrollment in the system, but who had submitted applications and payments. Records include enrollment and refund applications and correspondence. The Oklahoma Public Employees Retirement System is the state office of record (Schedule 84-06, Series 5-14).

Disposition: Retain in office and file in Personnel Records of Permanent State Employees (Active) (Series 3-1A) or retain in office and file in Application for Refund Files (Inactive) (Series 3-48).

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

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Personnel Records

3-48 **Application for Refund (Inactive)**

Description: Same type of records and information as Series 3-47.

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

3-49 **Retirant Returning to Employment (Active)**

Description: Agency copies of OPERS Form 515-117B-95R notifying OPERS of employees returning to employment. The Oklahoma Public Employees Retirement System is the state office of record (Schedule 84-06, Series 5-11).

Disposition: Retain in office and file in Personnel Records of Permanent State Employees (Active) (Series 3-1A) or retain in office and file in Retirant Returning to Employment Files (Inactive) (Series 3-50).

3-50 **Retirant Returning to Employment (Inactive)**

Description: Same type of records and information as Series 3-49.

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

3-51 **Statement for Unused Sick Leave Record (Active)**

Description: Agency copies of OPERS Form 515-134C-90R which OPERS completes and sends to state agencies advising them of monies due for retiring employees. The Oklahoma Public Employees Retirement System is the state office of record (Schedule 84-06, Series 5-3).

Disposition: Retain in office and file in Personnel Records of Permanent State Employees (Active) (Series 3-1A) or retain in office and file in Statement for Unused Sick Leave Files (Inactive) (Series 3-52).

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

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Personnel Records

3-52 **Statement for Unused Sick Leave Record (Inactive)**

Description: Same type of records and information as Series 3-51.

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

3-53 **Final Unused Sick Leave Record (Active)**

Description: Agency copies of OPERS Form 515-134B-84 completed and submitted by agency personnel to OPERS. The Oklahoma Public Employees Retirement System is the state office of record (Schedule 84-06, Series 5-4).

Disposition: Retain in office and file in applicable Personnel Records of Permanent State Employees (Active) (Series 3-1A) or retain in office and file in Final Unused Sick Leave Record (Inactive) (Series 3-54).

3-54 **Final Unused Sick Leave Record (Inactive)**

Description: Same type of records and information as Series 3-53.

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

3-55 **Employee File Review Log**

Description: Record of individuals who have requested to review specific State Employee Personnel Records (Series 3-1A through 3-1D). Data includes names and social security numbers of persons making requests, request dates, names of employees whose files have been requested, and initials of employees assisting with the file reviews.

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

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Personnel Records

3-56 **Notice of Right to Continued Coverage Records (Active)**

Description: Agency copies of a form completed by state employees to allow them to continue insurance coverage under the Consolidated Omnibus Budget Reconciliation Act of July 1, 1986. The Employees Group Insurance Program, Oklahoma State and Education is the state office of record (Schedule 85-05, Series 1-57).

Disposition: Retain in office and file in applicable Personnel Records of Permanent State Employees (Active) (Series 3-1A) or in Notice of Right to Continued Coverage Files (Inactive) (Series 3-57).

3-57 **Notice of Right to Continued Coverage Records (Inactive)**

Description: Same type of records and information as Series 3-56.

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

3-58 **Change or Designation of Beneficiary Record**

Description: Agency copies of OPERS Form 515-116-97R completed by agency personnel to change or designate a beneficiary. The Oklahoma Public Employees Retirement System is the state office of record (Schedule 84-06, Series 5-3, 5-14).

Disposition: Retain in office and file in applicable Personnel Records of Permanent State Employees (Active) (Series 3-1A).

3-59 **Application for Disability Benefits Records (Active)**

Description: Agency copies of OPERS Form 515-127-98R completed by employee to apply for disability benefits. The Oklahoma Public Employees Retirement System is the state office of record (Schedule 84-06, Series 5-3 and 5-4).

Disposition: Retain in office and file in applicable Personnel Records of Permanent State Employees (Active) (Series 3-1A) or in Application for Disability Benefit Records (Inactive) (Series 3-60).

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

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Personnel Records

3-60 **Application for Disability Benefits Records (Inactive)**

Description: Same type of records and information as Series 3-59.

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

3-61 **Beneficiary's Application for Death Benefits Records (Active)**

Description: Agency copies of OPERS Form 515-123-97R completed by beneficiaries to collect death benefits. The Oklahoma Public Employees Retirement System is the state office of record (Schedule 84-06, Series 5-14, 5-15).

Disposition: Retain in office and file in applicable Personnel Records of Permanent State Employees (Active) (Series 3-1A) or in Beneficiary's Application for Death Benefits Files Records (Inactive) Series 3-62).

3-62 **Beneficiary's Application for Death Benefits Records (Inactive)**

Description: Same type of records and information as Series 3-61.

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

3-63 **Certificate Records**

Description: Agency copies of OPERS Form 515-106-90R submitted by "non-budget agencies" (agencies who make payments directly rather than by deduction from salaries through the Office of State Finance) along with payments. The Oklahoma Public Employees Retirement system is the state office of record (Schedule 84-06, Series 2-16).

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

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

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Personnel Records

3-64 **IRS Form 1099**

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

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

3-65 **W-3 Forms**

Description: Agency copies of summaries of employee earnings compiled by agencies which do not disburse payrolls through the Office of State Finance.

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

3-66 **Health Insurance Remittance Advice Forms (Record Copy)**

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

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

3-67 **Health Plan Change Request Records (Active)**

Description: Form completed by an employee when a change in health care coverage is desired.

Disposition: Retain in office and file in applicable Personnel Records of Permanent State Employees (Active) (Series 3-1A) or retain in office until person terminates employment, then transfer to Health Plan Change Request Record (Inactive) (Series 3-68).

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

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Personnel Records

3-68 **Health Plan Change Request Records (Inactive)**

Description: Same type of records and information as Series 3-67.

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

3-69 **Individual Leave Record for Year**

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

Disposition: Retain in office and file in applicable Personnel Records of Permanent State Employees (Active) (Series 3-1A).

3-70 **Internal Recruitment Record (Applicants Selected)** Records are subject to 51 O.S., §24A.7

Description: File pertains to internal recruitment to fill position vacancies within an agency. Records include position vacancy announcements; position descriptions; salary and benefits information; applications; supporting documentation including resumes, transcripts, and letters of recommendation; interview notes; correspondence with applicants and other materials relating to internal recruitment to fill position vacancies.

Disposition: Retain in office and file in applicable Personnel of Permanent State Employees (Active)(Series 3-1A) or in Internal Recruitment Records (Applicants Not Selected)(Series 3-71).

3-71 **Internal Recruitment Records (Applicants Not Selected)** Records are subject to 51 O.S., §24A.7

Description: Same type of records and information as Series 3-70.

Disposition: Retain all applicable records in agency two (2) years after the making of records or the personnel action involved, whichever occurred later, then destroy provided no legal actions involving hiring or promotion are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements (29 CFR, §1620.31).

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

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Personnel Records

3-72 **Compensatory Time Requests**

Description: Original requests for approved compensatory time completed by the employee and her/his supervisor.

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

3-73 **Overtime Payment Authorizations**

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

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

3-74 **Dues Cancellation** (Record Copy)

Description: Forms submitted to agency personnel office requesting cancellation of Oklahoma Public Employees Association or Communications Workers of America dues as a payroll deduction. Agency personnel office is state office of record.

Disposition: Retain in office and file in applicable Personnel Records of Permanent State Employees (Active) (Series 3-1A).

3-75 **Optional Insurance Coverage Cancellation** (Record Copy)

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

Disposition: Retain in office and file in applicable Personnel Records of Permanent State Employees (Active) (Series 3-1A).

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

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Personnel Records

3-76 **U.S. Savings Bond Cancellation** (Record Copy)

Description: Forms submitted to agency personnel office requesting cancellation of U.S. Savings Bonds. Agency personnel office is state office of record.

Disposition: Retain in office and file in applicable Personnel Records of Permanent State Employees (Active) (Series 3-1A).

3-77 **Employee Mediation Records**

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

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

3-78 **Employee Pre-termination Hearing Records**

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

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

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Personnel Records

- 3-79 **Disciplinary Records** Records are subject to 51 O.S., §24A.7(A)(2)
- Description: Investigative notes, correspondence, interview lists and notes, audio and/or videocassette tapes, and other documentation upon which an adverse action is based. Final disposition of actions becomes permanent records in employee's personnel file. May also contain any additional paperwork should the action be appealed to the Merit Protection Commission or District Court.
- Disposition: Retain in office. If not contested, transfer to individual Personnel Records of Permanent State Employees (Series 3-1A or 3-1D). If contested, transfer to individual Personnel Records of Permanent State Employees (Series 3-1A or 3-1D) after exhaustion of all legal remedies.
Amended October 11, 2000
- 3-80 **Automatic Deposit Transmittal Forms (OPM-73)** Records are subject to 51 O.S., §24A.7(A)(2)
- Description: Form containing employee's completed personal banking information allowing participation in the State Employees Direct Deposit Program. Data includes employee name and address, Social Security Number, financial institution name and address and employing agency name.
- Disposition: Retain in office until two (2) years after termination of participation, then destroy.
- 3-81 **Employee Assistance Program Records (Record Copy)** Records are subject to 51 O.S., §24A.7(A)(2)
- Description: Pertains to employee participation in agency sponsored Employee Assistance Programs, including the Department of Mental Health Employee Assistance Program (MHEAP) and contains background data, policy statements, information relative to confidentiality of information, and other records.
- Disposition: Retain in office and review on an annual basis. After completing the review, destroy duplicate and ancillary materials as well as substantive records three (3) or more years old no longer required for administrative purposes pertaining to participants who have not had contact with the program for at least six (6) months provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.

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Personnel Records

3-82 **OSHA Log and Summary of Occupational Injuries and Illnesses**

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

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

3-83 **OSHA Supplementary Record**

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

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

3-84 **Oklahoma Log and Summary of Occupational Injuries and Illnesses**

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

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

3-85 **Employment History Cards**

Description: Card file used to summarize employee work records from appointment through separation.

Disposition: Retain in office and file in applicable Personnel Records of Permanent State Employees (Active) (Series 3-1A).

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Personnel Records

3-86 **Retirement Notice and Application**

Description: OPERS Form 515-117-95R or equivalent completed by employees and agency personnel at least 60 days prior to selected retirement date. Data includes employee name, mailing address, social security number, and birthdate; requested retirement date; type of retirement; type of benefit; spouse consent, if applicable; and designated agent verification. The Oklahoma Public Employees Retirement System is the state office of record (Schedule 84-06, Series 5-14).

Disposition: Retain in office and file in applicable Personnel Records of Permanent State Employees (Active) (Series 3-1A).

3-87 **Correspondence Relating to Leave Without Pay**

Description: File consists of correspondence and related records pertaining to employee requests to be placed on leave without pay status.

Disposition: Retain in office and file in applicable Personnel Records of Permanent State Employees (Active) (Series 3-1A).

3-88 **Correspondence Relating to Interagency Transfers**

Description: File consists of correspondence and related records pertaining to interagency employee transfers.

Disposition: Retain in office and file in applicable Personnel Records of Permanent State Employees (Active) (Series 3-1A).

3-89 **Department of Defense DD 214**

Description: Copies of Department of Defense Form DD 214, Armed Forces of the United States Report of Transfer or Discharge. Information includes veteran name, date of birth, social security number, date(s) of military service, reason for discharge or transfer, and last duty assignment.

Disposition: Retain in office and file in applicable Personnel Records of Permanent State Employees (Active) (Series 3-1A).

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

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Personnel Records

3-90 **Application for Felony Offense Records** Record is subject to 51 O. S., § 24A.7

Description: Forms sent by agencies to the Oklahoma State Bureau of Investigation [OSBI] to initiate felony background checks of employees and prospective employees. [Records may be filed in applicable State Employee Personnel File (Series 3-1A or 3-1D).]

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

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

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

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

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Personnel Records

3-90 **Application for Felony Offense Records** Record is subject to 51 O. S., § 24A.7

Description: Forms sent by agencies to the Oklahoma State Bureau of Investigation [OSBI] to initiate felony background checks of employees and prospective employees. [Records may be filed in applicable Personnel Records of Permanent State Employees (Series 3-1A or 3-1D).

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

3-91 **Personnel Transaction Freeze Exception Request [OPM Form 92]**

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

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

3-92 **Application for Withdrawal (Active)**

Description: Agency copies of OPERS Form 515-118-96W completed by agency and employee who is leaving state service and withdrawing from the system. The Oklahoma Public Employees Retirement System is the state office of record (Schedule 84-06, Series 5-14).

Disposition: Retain in office and file in applicable Personnel Records of Permanent State Employees (Active) (Series 3-1A) or in Application for Withdrawal (Inactive) (Series 3-93).

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

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Personnel Records

3-93 **Application for Withdrawal (Inactive)**

Description: Same type of records and information as Series 3-92.

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

3-94 **Family and Medical Leave Records** 29 CFR §825.500

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

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

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Personnel Records

3-95 **Equal Employment Opportunity Commission (EEOC) Claims and Complaints**

Description: Record of EEOC claims and complaints filed by faculty or staff against their employing institution. Information includes reports; exhibits; withdrawal notices; copies of decisions; records of hearings and meetings; correspondence; copies of records related to hiring, promotion, demotion, transfer, layoff or termination, rates of pay or other terms of compensation, selection for training or apprenticeship; and all other "personnel records relevant to the charge or action." [29 CFR §1602.31]

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

3-96 **Request for Overpayment Refunds**

Description: File includes OMES Form 94P, which is used when requesting a refund of monies to agencies and/or employees who have been overpaid due to miscalculations. Agencies submit a copy to OMES as either a hard copy or electronic record (Schedule 91-08, Series 2-93).

Disposition: Retain in office until four (4) years after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies, and provided no legal actions are pending, then destroy. If legal action is pending, destroy two years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements.
Added to schedule, January 25, 2018

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

* January 25, 2018 *

Personnel Records

3-97 **Monthly Refund Report**

Description: File includes Monthly Refund Reports which are prepared by OMES based on OMES Form 94P as submitted by agencies. The Monthly Refund Reports are used for refunding monies to agencies and/or employees who have over contributed due to payroll overpayments (i.e. Deferred Compensation, Employee Benefits, Oklahoma Public Employees Retirement System, Oklahoma Law Enforcement Retirement System, and Pathfinder system). The form is reviewed by the appropriate system and returned to OMES as either hard copy or electronic record giving approval for OMES to issue a refund (Schedule 91-08, Series 2-94).

Disposition: Retain in office until four (4) years after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies, and provided no legal actions are pending, then destroy. If legal action is pending, destroy two years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements.
Added to schedule, January 25, 2018

3-98 **Overpayment Refund Request**

Description: File includes a copy of the Overpayment Refund Requests prepared by the Office of Management and Enterprise Services based on OMES 94P forms submitted by agencies. When a refund is ready to be made, this document is used to notify an agency of the name of the employee who is receiving the refund and the type of refund (Schedule 91-08, Series 2-95).

Disposition: Retain in office until four (4) years after all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies, and provided no legal actions are pending, then destroy. If legal action is pending, destroy two years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements.
Added to schedule, January 25, 2018

CONSOLIDATED GENERAL RECORDS DISPOSITION SCHEDULE

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Electronic Records

4-1 **Data Processing, Planning, Development, and Evaluation Records** (Record copy)

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

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

4-2 **Systems Documentation Records** (Record Copy)

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

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

4-3 **Systems Usage Records** (Record copy)

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

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

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Electronic Records

4-4 **Electronic Data Equipment File** (Record Copy)

Description: Copies of Data Processing Equipment Contracts.

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

4-5 **Data Processing Equipment Fund Invoice File** (Record Copy)

Description: Copies of invoices for Data Processing services performed for other agencies.

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.