Management of Office Records

I. Definitions
   A. Record
      1. Any document, book, paper, photograph, microfilm, computer tape, disk, record, sound recording, film recording, video recording, or other material, regardless of physical form or characteristics, made or
received pursuant to law or ordinance or in connection with the transaction of official business, the expenditure of public funds, or the administering of public property. (67 O.S. § 203(a)).

2. Information created, received, and maintained as evidence by an organization or person in the transaction of business, or in the pursuance of legal obligations, regardless of media format.

B. Archives and Records Commission

1. Pursuant to the Oklahoma Sunset Law, the Archives and Records Commission (ARC) is a five member statutory board (67 O.S., § 305). With certain exceptions, it has the sole, entire and exclusive authority for the disposition of all public records and archives of state officers, departments, boards, commissions, agencies, and institutions.

2. In most cases by law, records created or received in the transaction of official business cannot be destroyed by a state agency without prior authorization from the Commission.

C. Records Disposition Schedules

A records disposition schedule specifies the length of time and the manner in which records are to be retained or disposed.

Introduction of a new record series, format change, administrative reorganization, or the elimination of a record may require modification to a schedule. Periodic review of a records disposition schedule requires a close review of the way records are created, maintained, and organized. ODOC records will be maintained in accordance with the General Records Disposition Schedule (GRDS) and the Agency Records Disposition Schedule (ARDS).

1. General Records Disposition Schedule (GRDS)

The ARC periodically issues general records disposition schedules that apply to records common to several agencies. The GRDS normally covers financial, personnel and administrative records. The GRDS allows for uniformity in disposition across state government, identifies record copies, and clarifies agency responsibility for meeting legal and audit requirements for these records relieving other agencies of the burden of maintaining duplicate records.

a. The dispositions on these schedules supersede all previous dispositions for such records.

b. The GRDS is available on the Oklahoma Department of Libraries (ODL) website at: http://www.libraries.ok.gov
2. Agency Records Disposition Schedule (ARDS)

Records unique to ODOC, or otherwise not covered by the GRDS, are addressed by the agency records disposition schedule.

   a. Changes, additions, or deletions of a record or series are developed from records inventories and submitted for approval to the ARC through the agency records management coordinator.

   b. The ARDS is available on the agency’s web site at: https://oklahoma.gov/content/dam/ok/en/doc/documents/administration/general-services/agency-schedules.pdf

D. Record Series

Documents, volumes, folders, reels, or other units of the same record title arranged under a single filing system or kept together as a unit because they relate to a particular subject, result from the same activity, or have a particular format.

E. Records Management

A program designed to provide maximum economy and efficiency in the creation, organization, use, maintenance, or disposition of records to ensure records are retained as long as needed and unneeded records are not created or retained beyond their usefulness.

F. Convenience Records

Copies of records created for the user’s convenience.

G. Imaged Records

Records that have been scanned and retained in an electronic format such as microfilm or optical imaging that prevent modification.

II. Ownership of Records

The agency retains sole ownership of its records. Employees who create records have no ownership over them and must turn them over intact to successors or upon request from a person who has supervisory authority over the employee. All ODOC records are subject to the provisions of this procedure.

III. Establishment of Control

Centralized control over retention and disposition of all records will be in accordance with this procedure and state statutes. However, agency records will remain decentralized to ensure the people who work with them have access to them.
IV. Maintenance of Records

A. Physical Records

All agency records maintained in a physical form (e.g., paper, photographs, tapes, etc.) are to remain accessible to authorized staff and protected from unauthorized access or damage. Each location is responsible for the maintenance of physical records in a safe and secure manner.

B. Damaged Records

Within 24 hours of the discovery that agency records have been damaged, the agency records management coordinator and the state records administrator at the Oklahoma Department of Libraries must be notified by the division/facility/unit head or designee.

C. Imaged Records

1. Imaged records are maintained the same length of time as the original records and require authorization before being disposed of in either physical or electronic format. Each location is responsible for addressing accessibility and off-site storage of back-up electronically stored information.

2. For records that are to be retained ten years or longer, standards for imaging will be in accordance with Oklahoma Administrative Code (OAC), 60:10-7-3 entitled “Microfilm,” Oklahoma Administrative Code, (OAC) 60:10-8(a) entitled “Optical Imaging,” and Oklahoma Administrative Code (OAC) 60:10-10-3 entitled “Video Tapes and Audio Tapes.

D. Convenience Records

Convenience records may be discarded once their administrative purpose is served. It is not necessary to request approval for destruction of convenience copies of records. Access restrictions, if any, apply to copies and originals alike.

V. Personnel and Responsibility

The records management system consists of two levels of personnel responsible for records management.

A. Agency Records Management Coordinator

The chief administrator of Contracts and Acquisitions will designate an agency records coordinator whose responsibilities will include:
1. Overseeing compliance with agency records management policies and procedures;

2. Providing records management assistance and coordination for agency personnel;

3. Ensuring agency disposition schedules are updated on an ongoing basis;

4. Advising facility/unit records coordinators on changing procedures and appropriate records disposition schedule updates;

5. Serving as liaison between the agency and the Department of Libraries/Archives and Records Commission;

6. Developing and instructing records management curricula; and

7. Conducting training as needed on the management of office records for facility/unit records coordinators in accordance with OP-100101 entitled “Training and Staff Development.”

B. Records Coordinators

Each facility/unit head will designate individual(s) to coordinate management of office records and to serve as the records coordinator for that location. The “Records Coordinator Appointment” form (Attachment A, attached) will be completed and forwarded to the agency records management coordinator annually (each January) or when the facility/unit records coordinator changes.

Facility/unit records coordinators' responsibilities include:

1. Serving as liaison between the agency records management coordinator and their respective location;

2. Overseeing the creation, maintenance, and disposal of files according to agency policy and procedures and the respective approved records disposition schedules;

3. Advising the facility/unit of any changes in approved disposition schedules for their respective locations;

4. Ensuring a review of all records at their respective locations is conducted annually and these procedures are followed to ensure proper disposition of records;

5. Ensuring records inventories are completed on new and revised records; and
6. Recommending necessary procedural changes to the agency records management coordinator.

VI. Requesting a Schedule Revision

A. Records Inventory

1. To update a disposition schedule, an inventory of any records or records series created, changed, or deleted is completed using the “Records Inventory Report” form (RMD Form 1). A separate inventory sheet should be completed for each record series or those stored in more than one location.

2. Once completed, the form is to be forwarded to the agency records management coordinator by the facility/unit records coordinator. After review and approval by the agency director, the agency records management coordinator will forward the form to the Oklahoma Department of Libraries (ODL).

B. Approval

1. A representative with the ODL will review the form. Any changes made by the ODL are discussed with the agency records management coordinator. After an agreement is reached, the amended schedule is submitted to the ARC for consideration at its next scheduled meeting.

2. Upon notification of approval of the amended schedule by the ARC, the agency records management coordinator will update the schedule on the agency’s web site and notify all facility/unit records coordinators of the change.

VII. Records Destruction

In accordance with 67 O.S. § 209, no records will be willfully destroyed except as outlined below. Any violation may result in disciplinary action.

A. Conditions Governing Destruction

To legally destroy records, the records must be listed on the GRDS or the ARDS and approved for destruction by the ARC using one of the following forms. Any records to be destroyed that are not listed on either schedule must be added to the appropriate disposition schedule prior to seeking approval to destroy. The following forms are located on the ODL Records Management Forms webpage (ODL Records Management Forms for State Agencies):

1. ARC Form 4 - “Agency Notice of Intent to Destroy Records” for records in a physical format.
2. ARC Form 5 - “Agency Notice of Intent to Destroy Records that have been Microfilmed” for records that have been microfilmed or optically imaged.

3. ARC Form 6 - “Agency Notice of Intent to Destroy Microforms” for records maintained on microfilm.

4. ARC Form 12 - “Agency Notice of Intent to Destroy Records that have been Imaged” for physical records that have been imaged.

5. ARC Form 13 - “Notice of Intent to Destroy Optical Disks” to destroy optical disks containing imaged records.

B. Procedures for Obtaining Approval to Destroy

1. No records are to be destroyed until approval is obtained from ARC. The appropriate above listed form must be submitted in advance of the planned destruction date and approval to destroy must be received from the ARC before such records are destroyed.

2. The information concerning schedule number, series number, and series title must be the same as on the approved GRDS or ARDS. The inclusive dates and quantity columns should reflect the actual dates and number of cubic feet of records the agency is requesting permission to destroy.

3. The facility/unit records coordinator must certify that “all state and federal audits have been completed, all applicable audit reports have been accepted and resolved by all applicable federal and state agencies, and no legal actions are pending.”

4. The facility/unit records coordinator or the facility/unit head will indicate the name of their facility/unit and sign the form in the “Name of Division” section.

5. The form is to be forwarded by the facility/unit records coordinator to the agency records management coordinator for review.

6. Upon review, the agency records management coordinator will forward the form to the agency director for approval, and then, upon approval, to the state records administrator for consideration.

7. After the state records administrator approves or denies a request, a copy of the ARC form will be returned to the facility/unit records coordinator through the agency records management coordinator. If a request is denied in whole or in part, an explanation for the denial will be included.
8. If approved, destruction of the records will occur in accordance with agency policy, procedure and state law.

VIII. References

Policy Statement No. P-020100 entitled "Management of Oklahoma Department of Corrections Information"

OP-100101 entitled “Training and Staff Development”

67 O.S. § 202
67 O.S. § 203(a)
67 O.S. § 209
67 O.S. § 305

Oklahoma Administrative Code (OAC) 60:10-7-3 entitled “Microfilm”

Oklahoma Administrative Code (OAC) 60:10-8(a) entitled “Optical Imaging”

Oklahoma Administrative Code (OAC) 60:10-10-3 entitled “Video Tapes and Audio Tapes”


https://libraries.ok.gov/ (Oklahoma Department of Libraries)

IX. Action

Senior staff and the chief administrator of Contracts & Acquisitions is responsible for compliance with this procedure.

The chief financial officer is responsible for the annual review and revisions.

Any exceptions to this procedure will require prior written approval from the agency director.

This policy is effective as indicated.

Replaced: OP-020202 entitled "Management of Office Records" dated October 22, 2020

Distribution: Policy and Operations Manual

Agency Website
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