

ARCHIVES AND RECORDS COMMISSION

OFFICE OF MANAGEMENT AND ENTERPRISE SERVICES
NEW Records Disposition Schedule **2024-03**

*** July 25, 2024***

The Office of Management and Enterprise Services (OMES) is part of the Executive Department and is under the administrative control of the Director of the Office of Management and Enterprise Services who is appointed by the Governor.

The Office of Management and Enterprise Services is charged with the following major responsibilities, including, but not limited to:

1. To prepare the Governor's budget document and draft legislation to make it effective.
2. To make field surveys and studies of governmental agencies.
3. To make allotments to control expenditures.
4. To make transfer of appropriations authorized by law.
5. To prepare and maintain uniform budget and accounting classifications for all state agencies.
6. To settle claims payable by the state.
7. To keep the central budget and proprietary accounts of state government.
8. To establish and issue periodic financial and accounting reports.
9. To establish and maintain a preaudit system of settling claims.
10. To review and recommend annual budgets for the operation of all state agencies and to aid the Governor in the economical management of the state.
11. To develop and/or acquire financial systems software for the purpose of automating the responsibilities and duties imposed on the office.
12. To coordinate information technology and telecommunications planning through long-term agency and statewide plans.
13. To establish minimum standards in the area of information technology and telecommunications.
14. To operate a central data processing center and offsite locations, including application development, for all agencies, excluding Higher Education.
15. To coordinate a central communications system for the state, and install, maintain, and operate communication facilities for agencies located in the Capitol Complex in Oklahoma City and the Tulsa Capitol Building.

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This records disposition schedule encompasses the original schedule approved by the Archives and Records Commission on July 25, 2024. It supersedes Schedules 1990-05, 1991-08, and 2015-02.

Convenience or Reference Copies

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

Record Format

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

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

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

In order to maintain individual record series in the most efficient and cost-effective format, the Office of Management and Enterprise Services maintains most agency records in electronic format. Records not initially created in electronic format may be converted to that format by creating a digital image of the original record or by entering data from the original record. After this process is complete and verified, the original record will be destroyed. Electronic backup copies of records are stored in an off-site storage area operated and managed by the Office of Management and Enterprise Services.

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Agency Administration and Management
Advice and Technical Assistance

1-1 **Provisions of Advice, Assistance, or Information**

Description: Records relating to requests received and provision of advice, technical assistance, repairs and information (including agency-initiated communications) concerning the agency, its core business, programs, and services. Includes, but is not limited to:

- Internal and external correspondence/communications (regardless of format) relating to the request/agency-initiated advice, assistance, or information.

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

Audits and Assessments

1-2 **Corrective Actions**

Description: Records relating to the actions taken by the agency to address issues/findings raised in internal and external audits/reviews/assessments. Includes, but is not limited to:

- Corrective action plans
- Certificates of completion
- Reports of findings and recommendations, corrective actions, plans, progress on corrective actions
- Related correspondence/communications.

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

1-3 **External Audits/Reviews of Agency**

Description: Records relating to the audits conducted by either the State Auditor's Office or other external organizations. Includes, but is not limited to:

- Findings and Recommendations
- 584 Audit Report and Findings
- Final reports of audits and examinations
- Management letters
- Exit items
- Other documentation not herein listed.

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

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Agency Administration and Management

1-4 **External Audits/Reviews of the Agency – Interactions**

Description: Records relating to the agency’s interactions with the external agency/organization conducting the audit/review of the agency. Includes, but is not limited to:

- Requests for information
- Entrance documents
- Status reports
- Related correspondence/communications.

Disposition: Retain until conclusion of audit, then destroy.

1-5 **Internal Assessments**

Description: Records related to the conducting of internal audits/assessments/reviews. Includes, but is not limited to:

- Findings and recommendations
- Planning procedures and communications (such as engagement letters, memoranda of understanding, etc.)
- Internal control reviews
- Substantive tests and criteria used
- Strategies and procedures performed
- Evidence
- Conclusions reached
- Final reports.

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

1-6 **Internal Audit or Assessment Programs – Quality Assurance Reviews (Final Reports)**

Description: Records relating to final outcome of external independent reviews of agency’s internal audit programs. Includes, but is not limited to:

- Final reports
- Working papers
- Self-assessment documentation.

Disposition: Retain six (6) years after review report date, then destroy.

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Agency Administration and Management

Calendars

1-7 **Calendars – Executive Officers and Deputy Executive Officers**

- Description: Records documenting the day-to-day meetings and other official appointments of elected officials and agency heads.
- Calendar records stored in Microsoft Outlook and other calendaring software/apps
 - Hardcopy calendars/appointment books/diaries/etc.
- Disposition: Retain three (3) years after end of calendar year, then transfer to the State Archives for permanent preservation.

1-8 **Calendars – Employees**

- Description: Records documenting the day-to-day meetings and other work-related appointments of agency employees other than executive officers and deputy executive officers.
- Calendar records stored in Microsoft Outlook and other calendaring software/apps
 - Hardcopy calendars/appointment books/diaries/etc.
- Disposition: Review every year, then destroy records that are no longer required for administrative purposes.

Community and External Relations

1-9 **Advertising and Promotion**

- Description: Records relating to the planning and/or execution of advertising and promotional activities conducted by the agency to promote the agency's mission or business.
- Marketing plans/strategies
 - Records relating to the development of advertising campaigns/materials (such as original artwork, designs, storyboards, etc.)
 - Samples of advertising materials (regardless of format)
 - Records relating to the evaluation of campaigns/strategies
 - Records relating to the design/selection of agency branding (such as logos, mottos, slogans, etc.)
 - Related correspondence/communications.
- Disposition: Retain five (5) years, then transfer to the State Archives for permanent preservation.

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Agency Administration and Management

1-10 **Celebrations/Ceremonies/Events – Routine**

Description: Records relating to the agency's involvement in routine celebrations/ceremonies/events (such as State Suppliers Expo, Health and Wellness Fair, Public Service Week, staff recognition, employee appreciation, retirement ceremonies, etc.).

- Photographs, audio/visual recordings, etc.
- Websites, social media sites, etc.
- Planning and coordination records.

Disposition: Review every five (5) years, then destroy records that are no longer required for administrative purposes.

1-11 **Charity Fundraising**

Description: Records relating to the Oklahoma State Employee Charitable Contribution Act. Includes, but is not limited to:

- Rules
- Correspondence
- Substantive tests and criteria used
- Other information relating to the Act

Disposition: Review every two (2) years, then destroy records that are no longer required for administrative purposes.

1-12 **Celebrations/Ceremonies/Events – Significant**

Description: Records relating to the agency's involvement in celebrations/ceremonies/events of particular significance to the agency and/or the State of Oklahoma (such as milestone anniversaries, openings/dedications of major buildings or monuments, groundbreaking and ribbon-cutting events, inaugurations, noteworthy appointments, national/international recognition, state funerals, etc.). Includes, but is not limited to:

- Programs, lists of VIPs in attendance, etc.
- Photographs, audio/visual recordings, transcripts of speeches
- Samples/designs of logos, commemorative items
- Websites, social media content, etc.
- Planning and coordination records.

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

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Agency Administration and Management

1-13 **Client/Customer Feedback and Complaints**

Description: Records relating to the capturing and receiving of feedback/information/data (including complaints) from the agency's clients/customers concerning policies, procedures, business practices, customer service, etc., where not covered by a more specific records series. Includes, but is not limited to:

- Thank-you messages, kudos, etc.
- Client/customer satisfaction surveys (including the design and distribution of such surveys)
- Internal and external correspondence/communications relating to complaints, their investigation, and resolution.

Disposition: Review every three (3) years after feedback is received or the complaint is resolved, then destroy any records no longer required for administrative purposes.

1-14 **Media Releases and Coverage**

Description: Records relating to the agency's communications with the media and coverage in the media of the agency's activities and accomplishments. Includes, but is not limited to:

- Press/news releases issued by the agency to the media for distribution
- Media advisories issued by the agency to the media.
- Audio/visual recordings/transcripts of press conferences, speeches, etc., by the head of the agency or senior executives
- Copies of guest editorials written by the head of the agency
- Copies of news clippings/media coverage of the agency's activities (if compiled by the agency).

Disposition: Review every two (2) years, then transfer records no longer required for administrative purposes to the State Archives for permanent preservation.

1-15 **Stakeholder Group Relations**

Description: Records relating to developing and maintaining cooperative working relationships with stakeholder groups (such as community groups, government agency associations/taskforces/committees, professional associations, etc.) where not covered by a more specific records series. Includes, but is not limited to:

- Copies of agendas/minutes/conference proceedings
- Newsletters/notices of stakeholder groups' activities
- Non-financial records relating to memberships/relationships with external organizations
- Related correspondence/communications.

Disposition: Retain until no longer needed for administrative purposes, review every 2 years then, destroy.

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Agency Administration and Management

Legal affairs

1-16 **Compulsory Process Served on the Agency (Not Party to Litigation)**

Description: Records relating to court orders, subpoenas, and other compulsory legal process served on the agency, where the agency is not a party to the litigation. Includes, but is not limited to:

- Personnel/staff summonses or notices of deposition
- Subpoenas or court orders for agency records.

Disposition: Review every five (5) years, then destroy records no longer required for administrative purposes.

1-17 **Legal Advice and Opinions**

Description: Records relating to legal advice and opinions received by the agency concerning the agency's actions, statutes, rules, policies and procedures, etc. Also includes records relating to legal issues of concern to the agency where not covered by a more specific records series. Includes, but is not limited to:

- Advice and opinions (formal/informal) requested
- Copies of legal documents and other materials pertaining to specific issues
- Related correspondence/communications.

Disposition: Retain ten (10) years, then transfer to the State Archives for permanent preservation.

1-18 **Litigation Case Files**

Description: Agency records related to a particular litigation case involving the agency. Includes, but is not limited to:

- Background information
- Lawsuit documentation
- Pleadings, appeals, court orders
- Agency working files
- Related correspondence/communications.

Disposition: Retain for seven (7) years after exhaustion of all legal remedies (including appeals), then destroy.

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1-19 **Contract Negotiation Files**

Description: Agency records related to attorney negotiation of contracts.
Includes, but is not limited to:

- Redline and draft documents
- Attorney notes
- Attorney-client communications
- Correspondence with vendors/suppliers.

Disposition: Review seven (7) years after the execution of the contract, then destroy records no longer required for administrative purposes.

Legislation and rule making

1-20 **Legislation – Development and Analysis**

Description: Records relating to the development of agency requested legislation and analysis of the impact on the agency of any legislation.
Includes, but is not limited to:

- Bill drafts
- Fiscal notes
- Bill analysis reports
- Related correspondence/communications.

Disposition: Review every two (2) years, then destroy records no longer required for administrative purposes.

Policies and procedures

1-21 **Policies and Procedures – Administrative Functions**

Description: Records relating to the development, implementation, and interpretation of the policies and procedures developed by the agency to implement internal administrative functions (such as facility management, finance, human resources, purchasing, information management, etc.) where these functions are not the agency's core mission.

Includes, but is not limited to:

- Each adopted/approved version of policies and procedures
- Records documenting the development of policies and procedures
- Audio/visual recordings and transcripts of proceedings.

Disposition: Review every six (6) years and destroy any superseded records.

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Agency Administration and Management

1-22 **Background Checks**

Description: Records relating to background checks conducted by the agency for employees, contractors, and other requested individuals.

Disposition: Review every five (5) years, then destroy any records no longer required for administrative purposes.

Risk Management and disaster preparedness/response

1-23 **Accidents/Incidents – No Claim Filed (Age 18 and Older)**

Description: Records relating to accidents/incidents involving individual(s) age 18 and older, and where claims for damages are not filed.
Includes, but is not limited to:
• Reports and investigations.

Excludes accidents and incidents involving hazardous materials.

Disposition: Retain five (5) years after date of incident, then destroy.

1-24 **Accidents/Incidents – No Claim Filed (Under Age 18)**

Description: Records relating to accidents/incidents involving individual(s) younger than age 18, and where claims for damages are not filed.
Includes, but is not limited to:
• Reports and investigations.

Excludes accidents and incidents involving hazardous materials.

Disposition: Retain three (3) years after individual reaches age 18, then destroy.

1-25 **Emergency/Disaster Preparedness – Contact Information**

Description: Personal contact information for employees, students, volunteers, etc., compiled to facilitate contact in the event of an emergency or disaster.
Includes, but is not limited to:
• Personal contact information (cell/home phone, email address, etc.)
• Medical information (provider name, blood type, allergies, ADA requirements, etc.).

Disposition: Review every year, then destroy any obsolete or superseded records.

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1-26 **Emergency/Disaster Preparedness and Recovery Plans**

Description: Records relating to disaster preparedness, response, and recovery plans prepared for any aspect of the agency's operations and assets.
Includes, but is not limited to:

- Employee emergency plans and fire prevention plans prepared

Disposition: Review every three (3) years, then destroy any superseded records.

1-27 **Emergency/Disaster Response/Recovery – Significant**

Description: Records relating to the agency's response to and recovery from significant emergencies/disasters (such as tornadoes, earthquakes, straight line winds, wild-fires, flooding, hailstorms, etc.) where the agency deploys non-routine procedures, mobilizes special resources, requires significant outside assistance, and/or where normal agency operations are suspended or significantly disrupted.

Disposition: Review every five (5) years, then destroy records that are no longer required for administrative purposes.

1-28 **Safety Drills/Disaster Recovery Exercises**

Description: Records relating to agency fire/safety drills and disaster recovery exercises.

Disposition: Review five (5) years after date of drill/exercise, then destroy any records no longer required for administrative purposes.

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Asset Management

Surplus Property Division (Federal and State)

2-1 **SF 123 Forms Files**

Description: These files contain SF 123 Forms and all paperwork relating to the final disposition of requests for Donations of Surplus Property. Other paperwork includes pickup authorization, letters signed by the head of the Property Distribution Division, and notices of approval from federal authorities for property procurement.

Disposition: Retain five (5) years after all paperwork is complete or until the transaction has been cancelled, then destroy.

2-2 **123 Index**

Description: Index of items listed on Form SF 123.

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

2-3 **Agency Use Inventory Runs**

Description: Computer printouts listing all surplus property items being used by the Surplus Property Division.

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

2-4 **Credit Memos**

Description: Duplicate copies of forms relating to credits issued to eligible agencies and institutions who have returned surplus property acquired from the division.

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

2-5 **Master Inventory Books**

Description: Computer printouts listing all property received by the division from the federal government during the reporting period.

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

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Asset Management

2-6 **Overage/Shortage (O/S) Reports**

Description: Reports submitted to GSA (Ft. Worth Office) indicating any underages or overages of surplus property acquired items have been checked against approved SF 123 forms.

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

2-7 **Agency Use Reports**

Description: Requests submitted to GSA asking that surplus property held by the division be transferred to it for its own use.

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

2-8 **GSA Sales Lists**

Description: Reports submitted to GSA listing surplus property acquired from the division by eligible institutions and agencies.

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

2-9 **3040 Reports**

Description: Monthly reports submitted to GSA listing property received from the federal government (dollar values), dollar values of property received from other state agencies, dollar value of federal property received from overseas facilities maintained by the federal government, dollar value of property returned by eligible agencies and institutions previously acquired from the division, dollar value of property transferred to out of state surplus property agencies, dollar value of property returned to the federal government, and dollar value of property provided to eligible recipients (by type such as educational institutions and public health groups).

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

2-10 **Federal Regulations**

Description: File contains documents relating to aircraft acquired by the division for distribution to eligible agencies and institutions.

Disposition: Retain until superseded, then destroy.

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Asset Management

2-11 **Aircraft Donation File**

Description: File contains documents relating to aircraft acquired by the division for distribution to eligible agencies and institutions.

Disposition: Retain permanently.

2-12 **Historical File**

Description: File contains correspondence, photographs, and other documents that chronicle the history of the division.

Disposition: Retain until no longer required for administrative purposes, then transfer to the State Archives for permanent preservation.

2-13 **Wish List(s)**

Description: Computer generated list(s) used as reference tools to assist in the acquisition of items requested by eligible donees.

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

2-14 **Surplus Property Dispositions**

Description: File contains transfer forms, letters, and supporting documents from state agencies, boards, and commissions requesting to dispose of surplus property in accordance with the state Central Purchasing Act.

Disposition: Retain seven (7) years, then destroy.

2-15 **Surplus Property Disposal Agreements**

Description: Agreements to include Memorandum of Understandings, Interlocal Cooperative Agreements, and Interagency Agreements with state agencies and municipalities for the purpose of disposing of surplus property.

Disposition: Retain permanently.

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Asset Management

Fleet Management

2-16 **Fleet Inventory Records**

Description: Compilation of records received from agencies owning cars. The information includes vehicle number, make, model and year, purchase date, cost, license tag number, location, and whether owned, loaned, or leased.

Disposition: Retain for five (5) years after disposal of asset, then destroy.

2-17 **Sales Report (FMD-1)**

Description: Monthly report of vehicles removed from inventory and sold.

Disposition: Retain until compilation of Annual Report, then destroy.

2-18 **Monthly Reports**

Description: Cumulative monthly report compiled from reports received from an FMD-2 or equivalent concerning for each car: fuel cost for month, number of gallons, maintenance done, maintenance costs, and related information. For each car, information is reported as current, year to date, and inception to date.

Disposition: Retain until superseded, then destroy.

Construction and Properties

2-19 **Public Construction Projects**

Description: Files contain bonds, bidding data, wage scale information, insurance materials, cost data addendum, specifications, drawings, and other documents relating to construction projects.

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

2-20 **Public Construction Blueprints**

Description: Architectural, mechanical, and electrical plans and specifications for Public Construction Projects (Series 2-19).

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

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Asset Management

2-21 **Contractor Questionnaires**

Description: Questionnaires from contractors desiring to be on bid lists. Information includes bonding information, types of projects contractors are interested in, and examples of representative projects contractors have done.

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

2-22 **Payroll Records**

Description: Required by the federal government, these records pertain to payrolls of contractors performing state work funded by the federal government.

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

2-23 **Reference and Miscellaneous**

Description: The items include brochures, interoffice memos, and other informational documents.

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

2-24 **Consultant Application Forms**

Description: Forms sent to the Construction and Properties Division of the Department of Central Services by the architects, engineers, and other design professionals applying to perform engineering work for the State of Oklahoma.

Disposition: Review every two (2) years, then destroy any records no longer required for administrative purposes.

2-25 **Capital Outlay Requests**

Description: Copies of all state agency construction projects that the agency plans on completing within the given fiscal year.

Disposition: Review every two (2) years, then destroy any records no longer required for administrative purposes.

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Asset Management

2-26 **Capitol-Medical Zoning Commission Zoning Permits**

Description: Permits and plans for land use filed with the Capitol-Medical Zoning Commission.

Disposition: Retain three (3) years, then transfer to the State Archives for permanent preservation.

2-27 **Architect Selection Files (Accepted)**

Description: Files contain proposals by successful architects prepared in compliance with the Office of Management and Enterprise Services Construction and Properties Division's requirements for selection of architects for public construction projects. The proposal submitted by the successful architect is filed in the Public Construction Projects file, Series 2-19.

Disposition: Retain until two (2) years after completion of project, then destroy.

2-28 **Architect Selection Files (Not Accepted)**

Description: Files contain proposals by unsuccessful architects.

Disposition: Review every two (2) years, then destroy any records no longer required for administrative purposes.

Facilities Management

2-29 **Asbestos Employee Personnel Files (Inactive)**

Description: Record copy of applications, hiring, promotional data, yearly physical examination results of each worker removing asbestos, and other information pertaining to state employment.

Disposition: Retain until five (5) years after termination of employment, then transfer to the State Records Center. Destroy records when they become thirty (30) years old. 29 CFR §1910.20 (d) (i)

2-30 **Asbestos Fit Test Results**

Description: Copies of test results of respirator equipment worn by each asbestos worker to insure proper fit for safety

Disposition: Retain thirty (30) years, then destroy.

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Asset Management

2-31 **Asbestos Abatement Project Files**

Description: Copies of contracts, waste manifests, analytical testing sample records, project design records, National Emission Standards for Hazardous Air Pollutants (NESHAPS) records, and records of asbestos workers present on each abatement project let for the removal of asbestos from state buildings and from public schools.

Disposition: Retain until five (5) years after expiration, then transfer to the State Archives for permanent.

2-32 **Construction and Properties Project Files**

Description: Copies of project requisition to Construction and Properties Division requesting labor, materials, and equipment to maintain buildings. The files include Solicitation for Bid Notice, Specifications, blueprints, tabulation sheets, contracts, invoices, acceptance letters, and related correspondence pertaining to OPA building renovations and repairs. The Construction and Properties Division of Office of Management and Enterprise Services is the agency office of record (Series 2-19).

Disposition: Review one (1) year after project is completed, then destroy any records no longer required for administrative purposes.

2-33 **Vendor Information Files**

Description: Brochures, books, pamphlets, and other informational materials from vendors advertising services, materials, and equipment pertaining to building maintenance.

Disposition: Review every three (3) years, then destroy any records no longer required for administrative purposes.

Real Estate and Leasing

2-34 **Land Inventory**

Description: Current leases on mineral, grazing, and easements for state lands.

Disposition: Review every year, then destroy any records no longer required for administrative purposes.

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Asset Management

2-35 **Miscellaneous Consultant Information**

Description: Unsolicited promotional information which occasionally accompanies Consultant Application Forms (Series 2-24).

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

Acquisition and Disposal

2-36 **Acquisition and Disposal – Assets (Other than Real Property)**

Description: Records relating to the acquisition and disposal of assets other than real property (such as equipment, intellectual property, vehicles, vessels, etc.). Includes, but is not limited to:

- Purchase orders
- Surplus property disposition records
- Registration of intellectual property rights
- Vehicle/vessel titles or copy of title if original is transferred to new owner/Department of Licensing
- Related correspondence/communications
- Disposal of asset forms.

Disposition: Retain for five (5) years after disposal of asset, then destroy.

2-37 **Acquisition and Disposal – Real Property/Land/Water Rights**

Description: Records relating to the acquisition and disposal of real property, land, and water rights by state agencies through purchase/sale, condemnation, escheatment, or donation.

Includes, but is not limited to:

- Contracts/agreements
- Planning reports, studies, etc., regarding the acquisition/disposal
- Conveyance documentation (title searches, deeds, patents, etc.)
- Related correspondence/communications.

Disposition: Retain for three (3) years after disposal of asset, then transfer to State Archives for permanent retention.

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Asset Management

2-38 **Use Reservation Forms**

Description: Records relating to the forms used by organizations to request use of public areas of the State of Oklahoma Capitol and other State property. Information includes statement of purpose for event; date, time, and area of building requested; number of persons expected; and detailed description of equipment needed.

Disposition: Review every year, then destroy any records no longer required for administrative purposes.

Authorization/Certification

2-39 **Authorizations/Certifications – Assets**

Description: Records relating to licenses, permits, accreditations, certifications, inspections, and other authorizations acquired by the agency in relation to its assets from regulating authorities (local, state, federal agencies and/or courts). Includes, but is not limited to:

- Certificates of occupancy and other building/facility permits
- Elevator permits/inspections
- Equipment/vehicle registration, etc.
- Fire and life safety permits/inspections (fire extinguishers, alarms, sprinklers, suppression systems, etc.)
- Application/filing and confirmation
- Records relating to violations/corrections
- Records
- Related correspondence/communications.

Disposition: Review every six (6) years, then destroy any records that are superseded or are no longer required for administrative purposes.

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Asset Management

2-40 **Capitol Construction Projects**

Description: Records relating to the design, new construction, or additions/remodels (affecting the structure of the building/facility) of structures. Also includes records relating to the preliminary planning of the agency's routine construction projects where the project was not proceeded with/completed. Includes, but is not limited to:

- Project meeting minutes, approval, program review, and/or comments
- Plans and drawings (including "as-built" and "as-designed" drawings and shop drawings affecting the structure or operating systems of the building (such as elevators, structural steel, HVAC, etc.)
- Permits and Environmental Impact Statements (EIS)
- Specifications, design calculations, contracts, test results, reports (including engineering, commissioning and balancing reports), modification proposals, and manuals
- Selected images/photographs showing major/significant stages of the project
- Allotment and payment records and related documentation.

Disposition: Review every six (6) years, then destroy any records that are no longer required for administrative purposes.

2-41 **Facility Systems and Equipment – Installation**

Description: Records relating to the installation of systems and equipment in agency facilities that are not integral to the structure of the facility and that may be replaced during the life of the facility, such as:

- Audio/visual systems/equipment
- Fire and life safety (alarms, sprinklers, etc.)
- Heating, ventilating, and air conditioning (HVAC)
- Information technology (IT) wiring
- Security systems/equipment (alarms, keys, locks, etc.).

Includes, but is not limited to:

- Installation drawings and other documentation integral to the maintenance and operation of the system or equipment
- System layout descriptions/specifications
- Warranties.

Disposition: Review every six (6) years, then destroy any records that are no longer required for administrative purposes.

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Asset Management

Information services

2-42 **Applications/Systems – Implementation Projects**

Description: Records relating to the implementation of the agency’s computer software applications, databases, and websites (internet and intranet). Excludes records covered by Applications/Systems – Technical Design (series 2-43.)

Disposition: Review every three (3) years, then destroy any records that are no longer required for administrative purposes.

2-43 **Applications/Systems – Technical Design**

Description: Records relating to the technical design of the agency’s computer software applications, databases, and websites (internet and intranet).

Includes, but is not limited to:

- Design documentation/detail
- Database schema and dictionaries
- Source code
- System and program change descriptions/authorizations
- Development plans (for testing, training, conversion, and acceptance)
- Release notes
- Operational and user instructions
- Acceptance testing
- Heating, ventilating, and air conditioning (HVAC).

Disposition: Review every three (3) years, then destroy any records that are no longer required for administrative purposes.

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2-44 **Audit Trails and System Usage Monitoring**

Description: Records documenting the use of the agency's information technology and communication systems to ensure security and appropriate use.
Includes, but is not limited to:

- Design documentation/detail
- Audit trails
- Authorizations for and modifications to the configurations and settings of the agency's IT infrastructure (such as firewalls, routers, ports, network servers, etc.)
- Log-in records, security logs, and system usage files
- Internet activity logs (sites visited, downloads/uploads, video/audio streaming, etc.)
- Fax and telephone logs.

Disposition: Review every two (2) years, then destroy any records that are no longer required for administrative purposes.

2-45 **Authorization – Systems/Telecommunications Access**

Description: Records documenting the authorization of employees (including contractors and volunteers) to use agency systems/applications and telecommunication services.

Includes, but is not limited to:

- User account creation/change requests
- Network access authorization requests
- Related correspondence/communications
- OMES Forms 300, 301, 301A, 301BUD, 301SUP, 302BUD, 302, 303, 303HD, 304, 305, 90, 301ePro, 301EPLAN, 302EPLAN, 301EHFM, 302EHFM, 302ESSBASE, 301ARDEP, 301BIAPP, 301b, 304ESS, 304ELM, 304HE or equivalent.

Disposition: Review every year, then destroy any records that are no longer required for administrative purposes.

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Asset Management

2-46 **Automated/Scheduled Tasks and Work/Intermediate/Test Files**

Description: Records relating to scheduled, computer-driven tasks and other work/intermediate files. Includes, but is not limited to:

- Event logs
- Run reports and requests
- Task schedules
- Test data sets
- Successful completion reports
- Valid transaction files
- Work/intermediate files.

Disposition: Review every year, then destroy any records that are no longer required for administrative purposes.

2-47 **Backups for Disaster Preparedness/Recovery**

Description: Routine/cyclical backups of IT systems and data for the purposes of disaster preparedness and recovery.

Disposition: Review every three (3) years, then destroy any records that are no longer required for administrative purposes.

2-48 **Helpdesk Requests**

Description: Records relating to requests for advice and assistance in using the agency's information technology and telecommunications equipment, systems, and applications.

Disposition: Review every year, then destroy any records that are no longer required for administrative purposes.

2-49 **Network – Design and Build**

Description: Records relating to the design and construction of the agency's information technology networks. Includes, but is not limited to:

- Network diagrams and build guides
- Master control list of Internet Protocol (IP) address assignments
- Uniform Resource Locator (URL) addresses and passwords.

Disposition: Review every year, then destroy any records that are no longer required for administrative purposes.

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Asset Management

Inventory

2-50 **Inventories – Capital Assets**

Description: Records relating to inventories of land, buildings, furniture, equipment, and other capital assets. May be used for input into the statewide reporting system. Includes, but is not limited to:

- Records within the Capital Assets Management System (or equivalent systems)
- Asset tracking and depreciation schedules
- Running inventory control documents that describe each piece of agency-owned or leased equipment and furniture
- Data Input Sheet
- Reports (Asset, Added, Changes, Purge, Summary of Monthly File Activity)
- Parts Inventory Control Record.

Disposition: Review every year, then destroy any records that are no longer required for administrative purposes.

2-51 **Inventories – Supplies, Commodities, and Parts**

Description: Running inventories used to manage stocks of expendable materials such as office supplies, parts, and other expendable supplies, describing the materials and indicating current stock balances.

Disposition: Review every six (6) years, then destroy any records that are no longer required for administrative purposes.

Maintenance, inspection, and monitoring

2-52 **Inspections/Monitoring – Regulated**

Description: Records relating to inspecting/monitoring of assets owned, used, or maintained by the agency where required by regulatory agencies and where not covered by a more specific records series. Includes, but is not limited to:

- Underground storage tank (UST) inspections (40 CFR § 280.45).

Disposition: Review every six (6) years, then destroy any records that are no longer required for administrative purposes.

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2-53 **Inspections/Monitoring – Routine/Non-Regulated**

Description: Records relating to the routine inspecting/monitoring of assets owned, used, or maintained by the agency where not required by regulatory agencies and not covered by a more specific records series.

Includes, but is not limited to:

- Temperature and humidity records
- Equipment functionality/safety checks (vehicle daily checks, etc.)
- Computer records for every vehicle.

Disposition: Review every year, then destroy any records that are no longer required for administrative purposes.

2-54 **Maintenance – Major and/or Regulated**

Description: Records documenting all major maintenance (which is beyond regular upkeep) and all regulated maintenance (required by regulatory agencies and/or local, state, or federal statute and/or court order/rule) which is performed on assets owned, used, or maintained by the agency.

Includes, but is not limited to:

- Instructions, maintenance manuals, vendor statements
- Maintenance/repair history (logs, summaries, reports, etc., which may also include non-regulated minor maintenance)
- Original defect and inspection reports
- Service, repair, and maintenance records (regulated and/or major)
- Work orders
- Related correspondence/communications.

Disposition: Review every year, then destroy any records that are no longer required for administrative purposes.

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2-55 **Maintenance – Minor Non-Regulated**

- Description: Records documenting minor maintenance (regular upkeep) performed on assets owned, used or maintained by the agency and is not required by a regulatory agency, such as:
- Custodial, floor and window cleaning, mowing/gardening, indoor plant care, etc.
 - Painting, furniture upholstery/refinishing, etc.
 - Vehicle and equipment oil changes, tune-ups, filters, tires, etc.
- Includes, but is not limited to:
- Service, repair, and maintenance records
 - Work orders, lists/logs, and reports
 - Related correspondence/communications.
- Disposition: Review every year, then destroy any records that are no longer required for administrative purposes.

2-56 **Pesticide Applications**

- Description: Records relating to the agency’s application of pesticides to agricultural land, roadsides, and/or landscapes and property.
- Disposition: Review every two (2) years, then destroy any records that are no longer required for administrative purposes.

Operations and Use

2-57 **Disbursement of Agency Supplies/Consumables**

- Description: Records documenting the disbursement of agency supplies (such as office supplies, fuel, parts, and other consumables).
- Disposition: Review every year, then destroy any records that are no longer required for administrative purposes.

2-58 **Operating Manuals**

- Description: Operating manuals, specifications, vendor statements, and other related documentation for assets owned, used, or maintained by the agency where not covered by a more specific records series.
- Disposition: Retain until asset is superseded or disposed, whichever is sooner, then destroy.

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2-59 **Use of Agency Facilities/Equipment/Vehicles**

Description: Records relating to allowing use of agency assets (such as meeting rooms, other facilities, equipment, vehicles/vessels, etc.) by agency staff (including contractors and volunteers), other agencies, students/clients, and the general public. Includes, but is not limited to:

- Allocation of parking spaces/permits
- Bookings/reservations/requests for use
- Check-in/-out logs
- Rental/use schedules
- Vehicle logs/usage data
- Fuel Issue Comparison and Recap
- Gasoline Tickets
- Related correspondence/communications
- Capital Use Reservation Form.

Disposition: Review every year, then destroy any records that are no longer required for administrative purposes.

Security

2-60 **Authorization – Building/Facility Access**

Description: Records documenting the authorization of access for employees (including contractors and volunteers) to agency buildings and facilities. Includes, but is not limited to:

- Requests and approvals for access and permissions
- Assignment of security identification badges, building/card keys, access codes, etc.

Disposition: Review every five (5) years, then destroy any records that are no longer required for administrative purposes.

2-61 **Entry/Exit Logs – Facilities**

Description: Records documenting the entry and exit of staff, contractors, volunteers, and visitors to agency facilities (including secure areas) where not covered by a more specific records series. Includes, but is not limited to:

- Keycard transaction logs
- Secure area logs (such as safe logs)
- Visitor books/logs.

Disposition: Review every five (5) years, then destroy any records that are no longer required for administrative purposes.

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Asset Management

2-62 **Security Incidents and Data/Privacy Breaches**

Description: Records documenting security incidents, data/privacy breaches, responses, and investigations relating to agency facilities, vehicles, equipment, supplies, information, etc.

Includes, but is not limited to:

- Incident documentation (such as security recordings, alarm logs/reports, entry/exit logs, incident reports, witness statements, etc.)
- Notification documentation
- Reports to law enforcement agencies, agency management, regulating authority, etc.
- Records documenting services provided by outside vendors (such as notifications, credit monitoring, call center reports/logs/notes, etc.)
- Records documenting corrective action taken
- Records documenting decision not to proceed with investigation/notification
- Related correspondence/communications.

Disposition: Review every six (6) years, then destroy any records that are no longer required for administrative purposes.

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Financial Management

Accounting and Fiscal

3-1 Accounting Reports - Statewide

- Description: Records relating to Statewide accounting transactions.
Includes, but is not limited to:
- Reports listing daily/monthly closing balances of all treasury accounts
 - Reports listing daily/monthly balance totals and any individual Fund/Agency/Account Code (FAAC) entries which did not reconcile
 - Reports listing daily/monthly processed warrantless claims both from and to paying/receiving agency
 - Receipts for deposits to state funds through the State Treasurer
 - Reports listing monthly closing balances of all treasury accounts as of the end of the reporting period
 - Cumulative monthly report by Agency showing beginning balance, receipts, disbursements, transfers, and ending balances for each fund of each agency.
- Disposition: Review every five (5) years, then destroy any records that are no longer required for administrative purposes.

3-2 Oil Overcharge Funding Records

- Description: Records relating to restitution documents.
Includes, but is not limited to:
- Records of requests made by oil producers for restitution of overcharges with funding denied by the Governor.
- Disposition: Review every ten (10) years, then destroy any records that are no longer required for administrative purposes.

3-3 Investment Journals

- Description: Records relating to the agency's investment activities in agency and fund order listing.
Includes, but is not limited to:
- Investment Journal Reports
 - Journal Entries by Agency Reports
 - 1046 Journal Entry Reports
 - Journal Entries by Agency and Fund Reports
- Disposition: Review every three (3) years after the end of the fiscal year, then destroy any records that are no longer required for administrative purposes.

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Financial Management

3-4 **Expenditure Reports**

Description: Records relating to the agency's expenditures.
Includes, but is not limited to:

- 6-Digit Expenditure Detail Reports
- 6-Digit Object of Expenditure Summary by Fund Reports
- 6-Digit Object of Expenditure Summary Reports
- Fiscal AFP Expenditure by Agency/FEI Number Report
- Fiscal AFP Expenditure by Agency/AFP Number Report
- Travel Expenditures

Disposition: Review every three (3) years after the end of the fiscal year, then destroy any records that are no longer required for administrative purposes.

3-5 **Reports – General**

Description: Records documenting all other financial reports.
Includes, but is not limited to:

- Agency/Fund Transfer Reports
- Successful Transactions Reports
- Outstanding Purchase Orders Reports
- Encumbrance/Outstanding Order Comparison and Detail Reports
- Daily/Monthly Transaction Control and Exception Reports
- Monthly Statutory Cancellation Report
- 36 Month Statutory Cancellation Report
- Professional Services Report (Monthly)
- Weekly Paid Payroll Summary
- Correspondence for warrant no reissue
- Miscellaneous Warrant Register (Month End) Report

Disposition: Review every three (3) years after the end of the fiscal year, then destroy any records that are no longer required for administrative purposes.

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Financial Management

3-6 **Office of the State Treasurer Reports**

Description: Records relating reconciliation between OMES and the Office of the State Treasurer.

Includes, but is not limited to:

- Reconciling Items for Office of the State Treasurer – Fund/Agency
- Reconciling Items for Office of the State Treasurer – Journal Entry Number Report
- Office of Management and Enterprise Services/Office of the State Treasurer Warrant Exceptions Report
- Receipts for deposits to state funds through the State Treasurer.

Disposition: Review every three (3) years after the end of the fiscal year, then destroy any records no longer required for administrative purposes.

3-7 **Annual Statewide Financial Reports**

Description: Records relating to reference reports used to prepare the State’s Annual Statement of Cash, Revenues, Expenditures and Fund Balances (Cash Basis).

Includes, but is not limited to:

- Annual Comprehensive Financial Report
- Summary reports of the State’s revenue and expenditure transactions (Cash Basis)

Disposition: File one copy with the Oklahoma Publications Clearinghouse for permanent preservation. Retain all other copies for one (1) year, then destroy.

3-8 **Independent Contract Records**

Description: Records related to requested changes to independent contractor information:

Includes, but is not limited to:

- Social Security Number
- Individual Tax Identification Number
- Federal Employer Identification Number
- 1099 reporting and form corrections.

Disposition: Review every three (3) years, then destroy any records no longer required for administrative purposes.

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3-9 **Year to Date Deposit Record**

Description: Records documenting all deposit totals.
Includes, but is not limited to:

- Reports listing deposit totals for the current month and fiscal year summarized by agency, fund, and revenue code.

Disposition: Review every three (3) years, then destroy any records no longer required for administrative purposes.

3-10 **Special Account Applications**

Description: Records relating to special account forms.
Includes, but is not limited to:

- Special Account Application Forms submitted by agencies requesting permission to establish a Special Account.

Disposition: Retain in office permanently.

3-11 **Year over Year Revenue Comparisons**

Description: Monthly reports listing cumulative revenue comparisons of previous fiscal year to current fiscal year-to-date in source code sequence and in agency/fund sequence.

Disposition: Review every year, then destroy any records no longer required for administrative purposes.

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3-12 **Warrant Registers and Revenue Deposits**

- Description: Records relating to miscellaneous warrants and warrantless claims. Includes, but is not limited to:
- Monthly listing of processed warrantless claims in batch and locator number sequence
 - Reports that act as the register for all 15b transactions
 - Monthly listing of all miscellaneous warrants issued monthly during the reporting period
 - Monthly report of 15b deposits, treasury deposits and deposit corrections by agency and fund sequence
 - Bonds and Coupons redeemed by the State Treasurer for general obligations of the State
 - State warrants, both payroll and miscellaneous, that have been cancelled and have not been redeemed for payment by the State Treasurer
 - Original source document affecting all state Treasury Fund and Account Records
 - Miscellaneous Warrant Cancellation or Replacement Request Forms submitted by state agencies requesting cancellation of miscellaneous warrants or electronic fund transfer deposits
 - Claim vouchers submitted by state agencies for payment of obligations other than payrolls
 - Monthly reports and forms of transactions reported through Agency Clearing and Special Accounts
 - Reports showing warrant activity including outstanding warrants, paid warrants, stop-pay warrants, statutorily cancelled warrants, and replaced warrants
 - Monthly listing of agency funds which have lapsed during the reporting period
 - Voucher Register Batch Slip Notice
 - Affidavits submitted by agencies to OMES requesting the issuance of replacement warrants.
- Disposition: Review every seven (7) years, then destroy any records no longer required for administrative purposes.

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3-13 **Miscellaneous Voucher/Transmit Authorizations**

Description: Records relating to fund transactions and voucher transmission.
Includes, but is not limited to:

- 700 Fund Transactions Direct Entry
- Transmit Authorization Form
- OMES Form 700 or equivalent
- Alternate System for Settlement of Miscellaneous Vouchers
- Transmit Authorization
- OMES Form ALT or equivalent
- Agreement or Obligation for Expenses Incurred in the Prior Year

Disposition: Review every seven (7) years, then destroy any records no longer required for administrative purposes.

3-14 **Overpayment Refunds**

Description: Records documenting refunds and overpayment refunds.
Includes, but is not limited to:

- OMES Form 94P or equivalent
- Monthly Refund Reports
- Voucher Encumbrance Adjustment Request/Voucher Reversal Request
- OMES Form 77 or equivalent

Disposition: Review every four (4) years, then destroy any records no longer required for administrative purposes.

3-15 **Statewide Financial Reports – Working Papers**

Description: Records documenting work efforts for required Statewide Financial Reports.
Includes, but is not limited to:

- Working papers for ACFR and SEFA Reports
- GAAP Reports
- SWCAP Reports

Disposition: Retain seven (7) years, then destroy.

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Financial Management

Authorization/Delegation

3-16 **Signature Authority/Delegation Records**

- Description: Records documenting the designating of agency personnel with the authority to sign for purchases, leave authorizations, or other actions.
Includes, but is not limited to:
- Signature Cards listing personnel authorized to approve payment of miscellaneous claim vouchers and/or payroll claims
 - Forms for approving expenditure corrections and other related expenditure issues.
- Disposition: Review every seven (7) years after the end of the fiscal year, then destroy any records no longer required for administrative purposes.

3-17 **Local Project Award Files**

- Description: Records relating to local project funding awards, which relate to contracts and payments between agencies and vendors for projects considered to be local and not for statewide purposes.
- Disposition: Review every seven (7) years, then destroy any records no longer required for administrative purposes.

Budgeting

3-18 **Allotment Management and Budget Development**

- Description: Records relating to the development of agency budget proposals and the management of allotments.
Includes, but is not limited to:
- Agency budget work programs
 - Agency budget requests
 - Full Time Equivalency Report
 - Related correspondence/communications.
- Disposition: Review every five (5) years, then transfer any records no longer required for administrative purposes to the State Archives for permanent preservation.

Financial Management

3-19 **Executive Budget**

- Description: Records relating to the development of the Oklahoma Executive Budget, submitted by the Governor to the Legislature recommending funding for State agencies for the upcoming fiscal year.
Includes, but is not limited to:
- State of Oklahoma Executive Budget

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Disposition: Review completed budgets every year after the end of the fiscal year; then transfer to the Oklahoma Department of Libraries for archival within the Oklahoma Publications Clearinghouse in accordance to 65 O.S. § 3-114.

3-20 **Fiscal Impact Reports and Working Papers**

Description: Records relating to the development of Fiscal Impact Reports.

Disposition: Review every five (5) years, then destroy any records no longer required for administrative purposes.

3-21 **Pay-for-Success Program**

Description: Records relating to the implementation and maintenance of the State's Pay for Success Program.
Includes, but is not limited to:

- Executed Contracts
- Paid Vouchers
- Reconciliations of Funds

Disposition: Review every seven (7) years, then destroy any records no longer required for administrative purposes.

Financial Management

Contracts and Purchasing

3-22 **Bids and Proposals**

Description: Records relating to bids and proposals made by other parties to provide the agency with goods, services, revenue, or other benefits, which are accepted by the agency.
Includes, but is not limited to:

- Request for proposal or bid (RFP), request for qualifications/quotations (RFQQ), specifications, etc.
- Notices (filed with newspaper, etc.)
- Bid proposals, evaluation documents, statements of qualification, applications, etc.

Disposition: Retain for seven (7) years after completion of purchase or fulfillment of contract, then destroy.

3-23 **Sole Source Contracting**

Description: Records relating to the use of Sole Source/Sole Brand Contracts/Purchase Order Forms:
Includes, but is not limited to:

- OMES Form 1933 or equivalent
- Compiled monthly summary report regarding sole source and sole

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- brand contracting information
 - Compiled annual summary report regarding sole source and sole brand contracting information
 - Any records required to be retained under 74 O.S. § 85.45j.

Disposition: Review every two (2) years, then destroy any records no longer required for administrative purposes.

3-24 **Purchase Authority**

Description: Any communication from an agency requesting authority to accomplish its own purchases, by either exemption or increased purchasing power.

Disposition: Review every two (2) years, then destroy any superseded records.

Financial Management

3-25 **Contracts and Agreements**

Description: Instruments signed by the agency and one or more parties that set out terms and conditions to which the signing parties agree or submit. Also includes records relating to negotiations, amendments, and contract monitoring. Includes, but is not limited to:

- Interagency, intra-agency, shared services, memorandum of understanding, memorandum of agreement, and inter-governmental agreements
- Vendor insurance certificates
- Purchase and sales agreements
- Warranties
- Related correspondence/communications
- Fixed Rate documentation.

Disposition: Review every seven (7) years, then destroy any records no longer required for administrative purposes.

3-26 **Vendor/Supplier Registration**

Description: Records relating to vendor/supplier registration. Includes, but is not limited to:

- Vendor bonds
- Vendor/Payee Forms pursuant to 67 O.S § 203(e)
- Any additional records relating to registration.

Disposition: Review three (3) years after communication is received or provided, whichever is later, then destroy any records no longer required for administrative purposes.

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3-27 **Agency Internal Purchasing Procedures**

- Description: Records relating to internal purchasing procedures for all State Agencies.
- Procedures approved by the State Purchasing Director.
- Disposition: Review every three (3) years, then destroy any records no longer required for administrative purposes.

Financial Management

Grants Management

3-28 **Grants Issued by Federal Agency – Applications (Denied)**

- Description: Records relating to grant applications that were denied by the federal agency
Includes, but is not limited to:
- Applications
 - Grant evaluation summaries
 - Letters of denial
 - Related correspondence/communications.
- Disposition: Retain fifteen (15) years, then destroy.

3-29 **Grants Issued by Agency – Applications (Successful)**

- Description: Records relating to grants administered and/or issued by state agencies, including continuous grants.
Includes, but is not limited to:
- Announcement parameters and applications
 - Grant Award Notifications (GAN)
 - Grant Agreements, including attachments and amendments
 - Financial documentation, including supporting documentation (e.g., invoices, contracts for services or goods, etc.)
 - Grant monitoring forms
 - Audit and fiscal reports
 - Modifications and amendment requests
 - Progress and compliance reports prepared and submitted by subrecipients
 - Related correspondence/communications.
- Disposition: Retain fifteen (15) years, then destroy.

3-30 **Real Property Records**

- Description: Any records related to real property transactions using federal assistance.
Includes, but is not limited to:
- Construction projects
 - Property purchases

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Disposition: Retain fifteen (15) years, then destroy.

Financial Management

3-31 **Grants Received by Agency – Successful Applications**

Description: Records relating to grant projects and funds received and expended by state agencies, including any continuous grants.
Includes, but is not limited to:

- Requests for Proposals (RFPs), agency application
- Notifications of grant awards, fiscal reports, and supporting documentation
- Grant monitoring, audit reports, compliance reports
- Time keeping/time and effort reports and supporting documentation (if required)
- Modification requests, progress and status reports
- Related correspondence/communications.

Disposition: Retain for three (3) years after end of grant, then destroy.

3-32 **Grants Received by Agency – Unsuccessful Applications**

Description: Records relating to unsuccessful grant applications made by the state agency to grant-issuing entities.

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

Travel

3-33 **Travel**

Description: Records documenting travel undertaken by employees and non-employees.
Includes, but is not limited to:

- Travel authorizations
- Arrangements (including visas for overseas travel)
- Travel receipt documentation
- Reimbursement of expenses (including advance payments)
- Lodging Notices (OMES Form 19-1).

Disposition: Review every seven (7) years after the end of the fiscal year, then destroy any records no longer required for administrative purposes.

Financial Management

Gaming Compliance Unit

3-34 **Tribal-State Gaming Compact Records**

Description: Records documenting payments and revenues.
Includes, but is not limited to:

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- Payment/Notice of Deposit of Monthly Exclusivity Fees
 - OMES Form G-3, G-1, G-4
 - Gaming Compliance Annual Reports

Disposition: Retain for five (5) years after the end of the fiscal year, then transfer to the State Archives for permanent preservation.

3-35 **Tort and Prize Claim Records**

Description: Records documenting Tort and Prize Claims.
Includes, but is not limited to:

- Tort Claims and Prize Claims Notices

Disposition: Review every two (2) years, then destroy any records no longer required for administrative purposes.

3-36 **Audit Reports**

Description: Records including annual independent financial audits of enterprise conduct for covered games as required by the Tribal Gaming Compact submitted to the Gaming Compliance Unit.

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

3-37 **Advisory Memorandums**

Description: Records created for advisory memorandums in conjunction with Gaming Compacts.

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

Human Resource Management

Attendance and Leave

4-1 **Attendance and Leave Records**

Description: Records relating to employee requests and approvals of attendance and leave.
Includes, but is not limited to:

- Annual and sick leave, personal and contractual holidays
- Compensatory, exchange, or overtime earned
- Requests/approvals/denials for any form of leave (including leave without pay)
- Approvals and designations
- Leave donation documentation
- Returned/unused leave administration

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- Time cards and time sheets, etc., documenting hours worked (including overtime).

Excludes:

- Records required to document time and effort as part of grant requirements.
- Requests/approvals for use of Family and Medical Leave Act (FMLA) and shared leave.

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

Authorization/Certification

4-2 **Authorizations/Certifications – Human Resources (General)**

Description: Records relating to licenses, permits, accreditations, certifications, and other authorizations (such as driver’s licenses, etc.) acquired by state government agency employees in certain positions (including contractors and volunteers) that are either required by or received from regulating authorities (such as local, state, or federal agencies and/or court order/rule), where not covered by a more specific records series.

Includes, but is not limited to:

- Applications/confirmations
- Reports
- Violations/corrections, etc.
- Related correspondence/communications.

Disposition: Review every six (6) years, then destroy records that are superseded or are for employees separated from the agency.

Human Resource Management

4-3 **Authorization to Use Personal Equipment/Devices for Work Purposes**

Description: Records relating to the agency granting approval for employees to use their personally-owned equipment/devices, known as BYOD – Bring Your Own Device (such as laptops, phones, tablets, furniture, weapons, vehicles, etc.) for work-related purposes.

Includes, but is not limited to:

- Requests from employees
- Approvals (including conditions of use)
- Revocation of approvals.

Disposition: Review every six (6) years, then destroy records that are superseded or are for employees separated from the agency.

Benefits

4-4 **Benefits Enrollment and Participation**

Description: Records relating to the enrollment and participation of employees in various

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benefit programs and packages offered to state employees such as health/disability/life insurance, deferred compensation, etc.

Includes, but is not limited to:

- Determinations of eligibility
- Applications for enrollment/participation
- Name, address, status, and dependent modifications/changes.

Disposition: Review six (6) years after date of separation from agency or withdrawal from participation, whichever is sooner, then destroy any records that are no longer required for administrative purposes.

4-5 **Oklahoma State Employee Section 125 (Flexible Spending Accounts)**

Description: Records relating to Flexible Spending Account Information.

Includes, but is not limited to:

- Information related to medical and dependent expenses
- Claim records
- Correspondence
- Participant appeals
- Related information.

Disposition: Review every six (6) years, then destroy any records that are no longer required for administrative purposes.

Human Resource Management

4-6 **Tuition Reimbursement**

Description: Records relating to tuition reimbursement requests for educational courses taken by employees as part of staff development, or for institutions of higher education for qualified dependents if part of benefits package.

Includes, but is not limited to:

- Requests for reimbursement and supporting documentation
- Course documentation/curriculum
- Approvals for reimbursement.

Disposition: Review every six (6) years, then destroy any records that are no longer required for administrative purposes.

4-7 **Unemployment Insurance Claims**

Description: Records relating to unemployment claims filed by individuals against agency.
Includes, but is not limited to:

- Individual claims
- Documentation of acceptance/denial
- Any appeals of claims.

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Disposition: Review every six (6) years, then destroy any records that are no longer required for administrative purposes.

Human Resource Management

Job Classification and Compensation

4-8 Classification Standards

Description: Records relating to state government position specifications.
Includes, but is not limited to:

- Job Title
- Examples of work performed
- Skills
- Education or knowledge required
- Other related data
- Listing of positions, titles and agency names.

Disposition: Retain two (2) years after date of document, then transfer to the State Archives for permanent preservation.

4-9 Position/Agency Specific Information

Description: Records relating to position specific information.
Includes, but is not limited to:

- Job classification information arranged by Family Group
- Job Family Descriptors
- Job Analysis File
- Position Description Questionnaires (HCM 39)
- Reduction in Force Plans
- Salary Administration Plans pursuant to 67 O.S. § 203(e)
- Job Content Review
- Adoption of Pay Grades and Adjustments.

Disposition: Review every five (5) years, then destroy any records that are superseded or are no longer required for administrative purposes.

Human Resource Management

Civil Service Division and State Employee Dispute Resolution Program

4-10 Administrative Case Files

Description: Records relating to hearings and appeals under investigation.
Includes, but is not limited to:

- Filed complaints and pleadings
- Supporting documentation
- Agency response and decisions
- Legal actions, arbitration, or mediation efforts
- Determinations and appeals
- Active files and inactive files

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- Administrative Law Judge Orders.

Disposition: Retain permanently in office.

4-11 **District Court and Appellate Court Files**

Description: Records relating to final disposition cases that have been filed with the District Court for judicial review or appellate court review, including Oklahoma Supreme Court files.

Disposition: Review every four (4) years, then destroy any records that are no longer required for administrative purposes.

4-12 **Disciplinary Action Reports**

Description: Records include quarterly reports on workload statistics required for distribution to the Governor, speaker of the Oklahoma House of Representatives, and the president pro tempore of the Oklahoma State Senate.

Disposition: Retain permanently in office.

Human Resource Management

4-13 **Mediation Records**

Description: Records relating to mediation files.
Includes, but is not limited to:

- Written agreements or decisions, executed by the parties.
- Case records containing names of parties, category of dispute, and resolution
- Supporting documentation.

Disposition: Review every five (5) years, then destroy any records that are no longer required for administrative purposes.

4-14 **Training Program File**

Description: Records relating to training program information.
Includes, but is not limited to:

- Programs offered
- Course Rosters
- Sign-in Sheets
- Training materials
- Agendas
- Evaluations.

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Disposition: Review every five (5) years, then destroy any records that are no longer required for administrative purposes.

4-15 **Complaint Process Files**

Description: Records relating to the complaint process.
Includes, but is not limited to:

- Program guidelines and procedures
- Progressive discipline standards
- Employee rights letters.

Disposition: Review every five (5) years, then destroy superseded records.

Human Resource Management

Occupational Health and Safety

4-16 **Safety Records**

Description: Records required by the federal Occupational Safety and Health Administration (OSHA) relating to maintaining a safe workplace/environment for employees.
Includes, but is not limited to:

- Required OSHA 300, 300A, and 301 forms
- Logs and supporting documentation.

Disposition: Review every five (5) years, then destroy any records that are no longer required for administrative purposes.

4-17 **Wellness Programs**

Description: Records relating to supporting and promoting employee wellness.
Includes, but is not limited to:

- Wellness campaigns and promotions, including flyers and participation information
- Classes, events, and wellness activities
- Wellness incentives, prizes, and awards.

Disposition: Review every two (2) years, then destroy any records that are no longer required for administrative purposes.

Payroll

4-18 **Deductions**

Description: Records relating to payroll deductions.
Includes, but is not limited to:

- Voluntary Payroll Deduction Program File.

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Disposition: Review every year, then destroy any records that are no longer required for administrative purposes.

Human Resource Management

4-19 **Payroll Files – Employee Pay History**

Description: Records relating to the pay history of individual employees. Includes, but is not limited to:

- Documentation of employee pay status
- Payroll deductions (taxes, insurance, parking, donations, miscellaneous)
- Garnishment or other liens/attachments
- Authorizations for deductions/direct deposit
- Other documentation concerning employee payroll.

Disposition: Review every six (6) years, then destroy any records for employees separated from the agency that are no longer required for administrative purposes.

4-20 **Payroll Processing, Distribution and Reporting**

Description: Records relating to the processing of payroll and reports used by personnel/payroll offices to verify actions, detail distribution of payroll costs, and ascertain accuracy and accountability. Includes, but is not limited to:

- Documents that reflect personnel actions
- Internal Revenue Service (IRS) reports submitted to the IRS such as 1099, 940, 941, and W-2
- State income tax quarterly filings for other states
- Quarterly reports and filings for wages
- Warrant cancellations and electronic fund transfers
- Detail reports, year-to-date costs, and cumulative summary expense reports
- Status reports and adjustments
- Payroll distribution and other related costs.

Disposition: Review every six (6) years, then destroy any records that are no longer required for administrative purposes.

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4-21 **Agency Payroll Reports**

- Description: Records relating to the reports of agency payroll information. Includes, but is not limited to:
- Comparison of Full Time Equivalency Employees
 - Reports listing hours by employment category for current month and year-to-date average
 - Monthly alphabetically listing of state employees' gross salaries, agency code, warrant number, and other information open to public inspection
 - Cumulative monthly reports of employees' calendar year earnings, including gross salaries, amounts withheld for federal and state taxes, FICA and net salaries name and social security number within agency
 - Computer Output Microfiche (COM) monthly cumulative information feeds
 - Computer Output Microfiche (COM) annual reports of employee's calendar years earnings for persons who are employed by more than one state agency.
 - Annual reports for employee's calendar year earnings for persons who are foreign nationals
 - Annual reports for employee's calendar year earnings for persons who are retired state employees
 - Weekly summary of paid payrolls by agency and claim number.
- Disposition: Review every year, then destroy any records that are no longer required for administrative purposes.

Human Resource Management

4-22 **Payroll Fund Reports**

- Description: Records relating to budgetary funds for the payroll fund. Includes, but is not limited to:
- Reports listing monthly activity between budgetary funds and the payroll fund
 - Reports showing current month and year-to date information
 - Monthly listing of all payroll warrants issued monthly during the reporting period
 - Records relating to requested changes to earnings records, including social security number changes and W-2 corrections
 - Payroll Warrant Cancellation Forms (OMES Form PWC or equivalent form) submitted by state agencies requesting cancellation of payroll warrants and payroll electronic fund transfer deposits

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- Payroll Warrant Cancellation Reports – listing of warrants cancelled during a given day/week/month
 - Original signed, notarized payroll claim records consisting of documents for Main, Supplemental and Off-Cycle Payrolls submitted by state agencies for payment of employees’ wages and salaries
 - Final signed claim document
 - Budget checking report
 - GL interface trace file report and Valid Payroll Fund Transfer funding report (Higher Education only)
 - Monthly summary of paid payrolls by agency and claim number
 - Monthly listings of state and employee share of retirement by agency
 - Monthly listings of state and law enforcement employee share of retirement by agency
 - Weekly deferred annuity paid by agency
 - Quarterly report of unemployment benefits paid by agencies
 - Mandatory Supervisory Training Reports.

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

4-23 **Higher Education Payroll Fund Transfer Forms**

Description: Records relating to forms submitted by higher education agencies showing transfer activity between budgetary funds and the payroll fund.

Disposition: Review every three (3) years, then destroy any records that are no longer required for administrative purposes.

Human Resource Management

Personnel History

4-24 **Performance Management**

Description: Records relating to state employment and performance management. Includes, but is not limited to:

- Performance Management Process (PMP) Documents
- Auditor working notes
- Audit information forms

Disposition: Review every year, then destroy any records that are no longer required for administrative purposes.

4-25 **Personnel – Employment History Files**

Description: Records relating to an individual’s employment history with the agency and the documentation related to the position held.

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Includes, but is not limited to:

- Applications, resumes, and appointment letters
- Position eligibility and position held
- Eligibility requirements for position (certifications, transcripts)
- Disclosure of information to prospective employers.

Disposition: Review every six (6) years, then destroy any records for employees separated from the agency that are no longer required for administrative purposes.

Human Resource Management

4-26 **Personnel – Health-Related Records (Routine)**

Description: Records relating to the health of employees where not covered by another more specific records series.

Includes, but is not limited to:

- Ergonomic assessments (for routine prevention and if non-injury-related)
- Reasonable accommodation (if non-injury-related)
- Documentation of known medical conditions (for awareness in case of medical emergency that would assist in rapid response and treatment)
- Documentation of ongoing medical treatment (if non-exposure or non-injury related and necessary for job performance/reasonable accommodation)
- Requests/approvals for use of Family and Medical Leave Act (FMLA) and shared leave.

Disposition: Retain until six (6) years after date of separation from agency, then destroy.

4-27 **Personnel – Routine Transactions**

Description: Records relating to employees' routine personnel transactions or tasks that do not affect employment history, payroll, performance, or retirement status/eligibility.

Includes, but is not limited to:

- Changes to work schedules and assignments
- Location codes
- Name/address/status/emergency contact change documentation
- Miscellaneous tracking forms.

Disposition: Review every two (2) years, then destroy superseded records.

4-28 **State Internship Program General Information File**

Description: Records relating to the State Internship Program.

Includes, but is not limited to:

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- General Program Information.

Disposition: Review every year, then destroy any records that are no longer required for administrative purposes.

Human Resource Management

4-29 **Reduction In Force Files – Agency**

Description: Records relating to the process and implementation of reduction in force actions by agencies.

Includes, but is not limited to:

- Required notifications
- Reports and related correspondence.

Disposition: Retain for six (6) years after conclusion of any pending action, then destroy.

4-30 **Exit Interview – Personnel**

Description: Documentation of information gained during an exit interview with an employee separating from the agency.

Disposition: Review one (1) year after exit interview is completed, then destroy any records that are no longer required for administrative purposes.

Recruitment/Hiring

4-31 **Applicant Tracking System**

Description: Records relating to the Job Application Information System.

Includes, but is not limited to:

- Applications for job postings
- Correspondence with applicants
- List of eligible applicants sent to hiring agencies
- Actions taken in the selection process
- Demographic information provided by applicants
- Examinations; test takers' answers on examinations/applicant test answer sheets
- Statistical information on examinations
- Requisitions sent by hiring agency to post a job vacancy
- Questions used to screen applicants for required education and experience
- Experience based questions used for scoring purposes.

Disposition: Review every two (2) years, then destroy any records that are no longer required for administrative purposes.

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4-32 **Employment Eligibility – U.S. Citizenship and Immigration Services (USCIS)**

Description: Records relating to the verification of employment eligibility within the United States (8 CFR § 274a.2, 20 CFR § 655.760).

Includes, but is not limited to:

- Applications for job postings
- Federal I-9 forms
- H-1B labor condition applications and approvals
- Copies of valid driver’s license, passports, or other photo identification
- Copies of certificate of naturalization and supporting documentation

Disposition: Review three (3) years after hire date or one (1) year after separation from agency, whichever is later, then destroy any records no longer required for administrative purposes.

4-33 **Recruitment – Employee**

Description: Records relating to the process of recruitment and selection of employees. Includes applicants screened but not interviewed.

Includes, but is not limited to:

- Job announcements and postings
- Job description and qualifications
- Eligibility lists for specific positions
- Applications, resumes, and test results
- Applicant profile data
- Scoring, ranking and selection criteria
- Interview questions and evaluations
- Background and criminal history checks
- Reference check questions and answers.

Disposition: Review three (3) years after completion of recruitment/hiring process, then destroy any records no longer required for administrative purposes.

Human Resource Management

Reporting

4-34 **Reporting/Filing – Employment-Related**

Description: Records relating to employment and submitted to regulatory agencies as required by federal, state, or local law. Includes reports, confirmation of submission, correspondence, inquiries, etc. Also includes employment-related reports required by regulatory agencies to be compiled (but not submitted).

Includes, but is not limited to:

- EEO Reports to monitor equal opportunity employment practices as required by EEOC

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- EEO/AA Statistical Report (Employment Relations)
 - Monthly reports submitted by the Employee Assistance Program coordinator.

Disposition: Review one (1) year after compiled/submitted to regulatory agency, then destroy any records no longer required for administrative purposes.

Staff Development

4-35 **Test Development Files**

Description: Records documenting the development of pre-employment tests, statistical analysis, angoff methodology, and test revision documentation. Includes, but is not limited to:

- Master Examination Books
- Master Standard Books (Personnel Assessment).

Disposition: Retain six (6) years, then transfer to the State Archives for permanent preservation.

Information Management

Forms Management

5-1 **Forms – Accountable**

Description: Unused, pre-numbered forms, such as checks, receipts, invoices, meal tickets, and licenses.

Disposition: Review every six (6) years, then destroy any records no longer required for administrative purposes.

5-2 **Forms – Development**

Description: Records relating to the design, creation, and revision of agency-created forms. Includes, but is not limited to:

- Job descriptions/specifications/design records
- Sample job products/proofs/samples.

Disposition: Review every year, then destroy any records no longer required for administrative purposes.

5-3 **Forms – Master Set**

Description: Master set of all forms created by the agency. Also includes source materials (.pdfs, camera-ready masters, original photographs/images, etc.).

Disposition: Review every year, then destroy any records no longer required for administrative purposes.

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Information Management

Public Disclosure/Records Requests

5-4 **Public Disclosure/Records Requests**

Description: Records relating to requests from the general public for access to the agency's public records.

Includes, but is not limited to:

- Internal and external correspondence relating to the request
- Records documenting the public records provided to the requestor (copies or lists of the records provided, SharePoint folders, etc.)
- Records documenting administrative processes relating to the request
- Public disclosure requests and appeals.

Disposition: Review every two (2) years, then destroy any records no longer required for administrative purposes.

Publishing

5-5 **Online Content Management**

Description: Records documenting the publishing/changing of the agency's online (internet and intranet) content.

Includes, but is not limited to:

- Requests/approvals to upload/update/remove content
- Confirmation of content upload/update/removal.

Disposition: Review every year, then destroy any records no longer required for administrative purposes.

5-6 **Publications – Development**

Description: Records relating to the drafting, development, design, and production of agency-created publications.

Includes, but is not limited to:

- Job descriptions/specifications/design records
- Sample job products/proofs/samples
- Articles submitted for inclusion (including those not used)
- Related correspondence/communications.

Disposition: Retain three (3) years, then destroy records no longer required for administrative purposes.

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Information Management

5-7 **State Publications**

Description: State publications, regardless of format, published by the agency and intended for distribution to state government, the public or the Legislature.
Includes, but is not limited to:

- Annual reports and other reports, manuals, brochures
- Newsletters, magazines, journals, periodicals
- Audio/video films/presentations, including podcasts.

Disposition: Retain until no longer required for administrative purposes, then transfer to the Oklahoma Publications Clearinghouse.

Inconsequential Records

5-8 **Minimal Value Records**

Description: Records with minimal value and without a required retention period.
Includes, but is not limited to:

- All records herein listed to be retained for administrative purposes
- All records herein listed to be retained until superseded
- General correspondence records, including emails and text messages
- Any records that have not otherwise been specifically listed
- Duplicates or copies of records provided internally or by outside agencies.

Disposition: Review every year, then destroy any records no longer required for administrative purposes.