

ARCHIVES AND RECORDS COMMISSION

**Oklahoma Department of Libraries
200 NE 18th Street, Second Floor South Conference Room
Oklahoma City, Oklahoma**

**January 26, 2023
11:00 a.m.**

AGENDA

Call to Order
Roll Call

Amber Smith, Chair
Natalie Currie, Vice Chair and Secretary
Ruthie Chicoine
Catherine Appling
Kiran Nallayahgari

Approval of Minutes of the Meeting of October 27, 2022*
State Archives and Records Management Division Quarterly Report

Open Meeting Act Statement.

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

Key to abbreviations used below:

[AMD] = Amendment to a Records Disposition Schedule

[NEW] = Records Disposition Schedule

[RDA] = Records Disposition Authorization

*Consideration of Requests**

84-09	[AMD]	Oklahoma Tax Commission, Legal Division
2023-01	[NEW]	Oklahoma Tax Commission, Legal Division
86-07	[AMD]	Oklahoma Department of Mental Health and Substance Abuse Services, Children's Recovery Center of Oklahoma
90-03	[AMD]	Oklahoma State Regents for Higher Education
2012-01	[AMD]	Oklahoma Lottery Commission
2015-04	[AMD]	Commissioners of the Land Office
2005-03	[AMD]	Oklahoma Department of Human Services, Office of Civil Rights
GRDS	[AMD]	Oklahoma Department of Libraries, General Records Disposition Schedule for State Agencies, Boards, and Commissions

ARCHIVES AND RECORDS COMMISSION

**Oklahoma Department of Libraries
200 NE 18th Street, Second Floor South Conference Room
Oklahoma City, Oklahoma**

**January 26, 2023
11:00 a.m.**

2023-01	[RDA]	Oklahoma Department of Libraries, Oklahoma Insurance Department
2023-02	[RDA]	Oklahoma Department of Libraries, Office of the Chief Medical Examiner
2023-03	[RDA]	Oklahoma Department of Libraries, Irene Van Sant Journals
2023-04	[RDA]	Oklahoma Department of Libraries, Farm Security Administration
2023-05	[RDA]	Oklahoma Department of Libraries, Office of War Information

Adjournment

*Archives and Records Commission action required.

Upcoming meetings of the Archives and Records Commission

- April 27, 2023
- July 27, 2023
- October 26, 2023



Archives and Records Commission Meeting Minutes, October 27, 2022

Call to Order:

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

Members present were:

Nicole Willard	Chair
Natalie Currie	Vice Chair and Secretary
Kirby Smith	Proxy for Lt. Governor
Kiran Nallayahgari	Proxy for State Treasurer

Members absent were:

Ruthie Chicoine	Proxy for State Auditor
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Also present were:

Liz Stevens	Office of the Attorney General
Cassandra Spindle	Department of Libraries
Jan Davis	Department of Libraries
Jennifer Green	Department of Libraries
Holly Hasenfratz	Department of Libraries
Alyssa Vaughn	Department of Libraries
Patricia Franz	Corporation Commission
Lisa Coy	Commissioners of the Land Office
Amber Brown-Smith	

Posting of Meeting Agenda

The agenda was posted on the window near the front door of the Oklahoma Department of Libraries building on October 14, 2022. The agenda was also posted on the agency's website on October 14, 2022.

Approval of Minutes of the Meeting of July 21, 2022:

Approval of the Minutes was moved by Currie and seconded by Smith.

Currie	aye
Nallayahgari	abstain
Smith	aye
Willard	aye

Approval of Schedule for Meetings in 2023:

Approval of the proposed dates for Commission meetings was moved by Currie and seconded by Nallayahgari.

Currie	aye
Nallayahgari	aye
Smith	aye
Willard	aye

Dates for 2023 meetings, as approved by the Commission, will be:

January 26, 2023
April 27, 2023
July 27, 2023
October 26, 2023

Consideration of Requests:

Amendment to Records Disposition Schedule 82-04, Oklahoma Arts Council

The Oklahoma Arts Council requested Records Disposition Schedule 82-04 be amended. Approval of the Amendment to Records Disposition Schedule 82-04 was moved by Nallayahgari and seconded by Currie.

Currie	aye
Nallayahgari	aye
Smith	aye
Willard	aye

Amendment to Records Disposition Schedule 84-04, Corporation Commission, Administration Division

Davis introduced Patricia Franz. The Corporation Commission requested Records Disposition Schedule 84-04 be approved. Approval of Records Disposition Schedule 84-04 was moved by Smith and seconded by Currie.

Currie	aye
Nallayahgari	aye

Smith aye
Willard aye

Amendment to Records Disposition Schedule 2005-02, Corporation Commission, Public Utility Division

The Corporation Commission requested Records Disposition Schedule 2005-02 be approved. Approval of Records Disposition Schedule 2005-02 was moved by Currie and seconded by Smith.

Currie aye
Nallayahgari aye
Smith aye
Willard aye

Amendment to Records Disposition Schedule 94-09, Department of Environmental Quality

The Department of Environmental Quality requested Records Disposition Schedule 94-09 be amended. Approval of the Amendment to Records Disposition Schedule 94-09 was moved by Nallayahgari and seconded by Willard.

Currie aye
Nallayahgari aye
Smith aye
Willard aye

Amendment to Records Disposition Schedule 2003-05, Department of Health, County Health Departments

Davis introduced Jennifer Han. The Department of Health requested Records Disposition Schedule 2003-05 be approved. Approval of Records Disposition Schedule 2003-05 was moved by Currie and seconded by Nallayahgari.

Currie aye
Nallayahgari aye
Smith aye
Willard aye

Amendment to Records Disposition Schedule 2015-04, Commissioners of the Land Office

Davis introduced Lisa Coy. The Commissioners of the Land Office requested Records Disposition Schedule 2015-04 be approved. Approval of Records Disposition Schedule 2015-04 was moved by Nallayahgari and seconded by Currie.

Currie	aye
Nallayahgari	aye
Smith	aye
Willard	aye

New Business:

No new business was conducted at this time.

Adjournment:

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

Natalie Currie, Vice Chair and Secretary
Oklahoma Department of Libraries

Archives and Records Management Department Activity Report

October 11, 2022 – January 12, 2023

State Archives

Projects

- Recent uploads to Digital Prairie include: 19 reports of the Oklahoma State Bar Association, 71 Oklahoma State Health Department bulletins, and 136 newsletters produced by inmates of the State Penitentiary.
- Reviewed and corrected metadata for all items in the Oklahoma Collection on Digital Prairie to comply with Digital Public Library of America standards.
- Completed supervising the work of three undergraduate interns from OU.
- Reprocessed 21 cubic feet of records in the State Archives.
- Participating in a cross-functional working group to examine ODL's internal file storage practices and structure with the goal of migrating files to a single, shared location.

Records Management

- Provided two records management training sessions for state agency personnel. Sessions were attended by 18 individuals from 11 agencies, boards, and commissions. (Green)

Outreach

- Participated in three Archives Hashtag Parties on Twitter. The themes were: Did You Know (October), Menu (November), and Sparkle (December).
- Shared unique items from the collections on social media for Electronic Records Day (10/10), Ask an Archivist Day (10/12), Archives Month (October), and World Geography Week (November 14-18).
- Promoted the 285 prisoner newsletters spanning 1937 to 1973 in Archives.OK.Gov.
- Worked the exhibit booth to distribute Images of Oklahoma bookmarks and information about ODL digital resources and collections at the OHS Folklife Festival (October 15). (Green, Hasenfratz)
- Presented sessions at OKSTE Annual Conference about digital resources and ODL collections; worked exhibit booth to distribute Images of Oklahoma bookmarks (November 2-3). (Davis, Hasenfratz)
- Presented a session on managing student records at the Oklahoma Association of Collegiate Registrars and Admissions Officers Annual Conference (November 10). (Green, Hasenfratz)

State Records Center and Annex

- Transfers to the State Records Center include 56 cubic feet from the following agencies: Board of Engineers and Land Surveyors, Juvenile Affairs, Merit Protection Commission, State Senate, and Virtual Charter School Board.
- Staff pulled 107 cubic feet of records for destruction from the following agencies: Aeronautics Commission, Corporation Commission, and OMES.

ARCHIVES AND RECORDS COMMISSION

OKLAHOMA TAX COMMISSION

Legal Division

Amendments to Records Disposition Schedule **84-09**

*** January 26, 2023 ***

Summary

Agency requests Introduction to schedule be amended.

- 1-1 Agency requests series be amended and transferred to Schedule 2023-01, Series 1-3.
- 1-2 Agency requests series be amended and transferred to Schedule 2023-01, Series 1-4.
- 1-3 Agency requests series be amended and transferred to Schedule 2023-01, Series 1-5.
- 1-4 Agency requests series be amended and transferred to Schedule 2023-01, Series 1-5 and 1-7.
- 1-5 Agency requests series be amended and transferred to Schedule 2023-01, Series 1-4 and 1-5.
- 1-6 Agency requests series be deleted. This series is included in the General Records Disposition Schedule for State Agencies, Boards, and Commissions.
- 1-7 Agency requests series be deleted. This series is included in the General Records Disposition Schedule for State Agencies, Boards, and Commissions.
- 1-8 Agency requests series be deleted. This series is included in the General Records Disposition Schedule for State Agencies, Boards, and Commissions.
- 1-9 Agency requests series be deleted. This series is included in the General Records Disposition Schedule for State Agencies, Boards, and Commissions.
- 1-10 Agency requests series be amended and transferred to Schedule 2023-01, Series 1-9.
- 1-11 Agency requests series be amended and transferred to Schedule 2023-01, Series 1-9.
- 1-12 Agency requests series be amended and transferred to Schedule 2023-01, Series 1-14.
- 1-13 Agency requests series be amended and transferred to Schedule 2023-01, Series 1-15.
- 1-14 Agency requests series be amended and transferred to Schedule 2023-01, Series 1-9.
- 1-15 Agency requests series be amended and transferred to Schedule 2023-01, Series 1-10.
- 1-16 Agency requests series be amended and transferred to Schedule 2023-01, Series 1-11.
- 1-17 Agency requests series be amended and transferred to Schedule 2023-01, Series 1-10.
- 1-18 Agency requests series be amended and transferred to Schedule 2023-01, Series 1-10.
- 1-19 Agency requests series be deleted. This series is included in the General Records Disposition Schedule for State Agencies, Boards, and Commissions.

ARCHIVES AND RECORDS COMMISSION

OKLAHOMA TAX COMMISSION

Legal Division

Amendments to Records Disposition Schedule **84-09**

*** January 26, 2023 ***

This Consolidated Records Disposition Schedule encompasses the original disposition schedule approved January 16, 1985; two "Repeal and Replace" documents dated October 15, 1986 and January 14, 1987; and an Archives and Records Commission Resolution dated April 15, 1987. In accordance with an Archives and Records Commission Resolution of July 15, 1998, where applicable, references to the General Records Disposition Schedule have been updated to reflect current titles and series numbers.

This schedule is superseded by Schedule 2023-01, as approved by the Archives and Records Commission on January 26, 2023.

Retention of Confidential Records

Records Disposition Schedule 84-09 for the Legal Division includes a number of confidential records. Title 67 O.S. § 305 exempts the confidential records of the Oklahoma Tax Commission from the disposition authority of the Archives and Records Commission. These records are included with other series because of the Oklahoma Tax Commission's desire to schedule confidential records in the same manner as all other records.

OKLAHOMA TAX COMMISSION

Legal Division

Amendments to Records Disposition Schedule **84-09**

*** January 26, 2023 ***

1-1 Correspondence Files

Description: Files consist of incoming letters and memos and copies of outgoing responses.

Volume: ~~1.75 cubic feet per year~~

Disposition: ~~Retain in office and review on an annual basis. Destroy duplicate and ancillary materials as well as substantive materials five (5) or more years old no longer required for administrative purposes.~~

Retain five (5) years, then destroy.

Amend and transfer to Schedule 2023-01, Series 1-3, January 26, 2023

1-2 Pending Protests File Confidential Record 68 O.S. 1981, §205

Description: File consists of taxpayers' formal written protests to a particular tax, and related documents.

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

Disposition: ~~Retain in pending file until matter is resolved then transfer to Closed Protests, Litigation and Waiver File, Series 1-5.~~

Destroy five (5) years after closure of the file unless it is a significant case. Significant cases selected by the Assistant General Counsel or above for file retention to be destroyed fifteen (15) years after case is closed.

Amend and transfer to Schedule 2023-01, Series 1-4, January 26, 2023

1-3 Pending Litigation Files

Description: File consists of any documents pertaining to litigation involving the Oklahoma Tax Commission.

Volume: ~~1.5 cubic feet per year~~

Disposition: ~~Retain in pending file until matter is resolved then transfer to Closed Protests, Litigation and Waiver File, Series 1-5.~~

Destroy five (5) years after closure of the file unless it is a significant case. Significant cases selected by the Assistant General Counsel or above for file retention to be destroyed fifteen (15) years after case is closed.

Amend and transfer to Schedule 2023-01, Series 1-5, January 26, 2023

ARCHIVES AND RECORDS COMMISSION

OKLAHOMA TAX COMMISSION

Legal Division

Amendments to Records Disposition Schedule 84-09

* January 26, 2023 *

1-4 **Pending Requests for Waivers of Penalties and/or Interest** Confidential Record 68 O.S. 4981, §205

Description: File consists of requests from other Tax Commission Divisions for waivers of penalties and/or interest and related documents.

Volume: 2 cubic feet per year

Disposition: ~~Retain in pending file until matter is resolved, then transfer to Closed Protests, Litigation and Waiver File, Series 1-5.~~
Destroy five (5) years after closure of the file unless it is a significant case. Significant cases selected by the Assistant General Counsel or above for file retention to be destroyed fifteen (15) years after case is closed.
Amend and transfer to Schedule 2023-01, Series 1-5 and 1-7, January 26, 2023

1-5 **Closed Protest, Litigation and Waiver Files** Confidential Record 68 O.S. 4981, §205

Description: File consists of memos, letters and related documents pertaining to settled or resolved protests, litigation and requests for waivers.

Disposition: ~~Retain in office five (5) years, then microfilm. Destroy hard copy documents: (1) upon certification that the microfilm meets all standards established by the Archives and Records Commission, (2) after depositing the master negative with the Records Management Division of the Oklahoma Department of Libraries, and (3) after retaining at least one (1) user copy in the agency.~~
Destroy five (5) years after closure of the file unless it is a significant case. Significant cases selected by the Assistant General Counsel or above for file retention to be destroyed fifteen (15) years after case is closed.
Amend and transfer to Schedule 2023-01, Series 1-4 and 1-5, January 26, 2023

1-6 **~~Employees Time Record (Active)~~**

Description: ~~Ledger used to record the amounts of leave accrued and used by Legal Division employees.~~

Volume: less than 1 cubic foot per year

Disposition: ~~Retain in Active file for calendar year and then transfer to Employees Time Record (Inactive), Series 1-7.~~
Delete from schedule, January 26, 2023

ARCHIVES AND RECORDS COMMISSION

OKLAHOMA TAX COMMISSION

Legal Division

Amendments to Records Disposition Schedule 84-09

* January 26, 2023 *

1-7 ~~Employees Time Record (Inactive)~~

Description: ~~Contains the same types of documents as in Series 1-6.~~

Volume: ~~13 cubic feet per year~~

Disposition: ~~Retain in office five (5) years, then destroy.
Delete from schedule, January 26, 2023~~

1-8 ~~Personnel Records of Permanent State Employees (Active) (Refer to General Records Disposition Schedule, Series 3-1)~~

~~Delete from schedule, January 26, 2023~~

1-9 ~~Personnel Records of Permanent State Employees (Inactive) (Refer to General Records Disposition Schedule, Series 3-1D)~~

~~Delete from schedule, January 26, 2023~~

1-10 ~~Opinion Requests Book~~ Opinions and Letter Rulings

Description: ~~Binders containing OTC L-12 Forms: Tax Commission opinion requests.~~
File consists of requests for opinions on legal issues received from Oklahoma Tax Commission Divisions and taxpayers and the legal opinions pertaining to those issues.

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

Disposition: ~~Retain in Request Book until opinion transferred to State Archives then transfer to "State Archives Books", Series 1-11.~~
Retain permanently.
Amend and transfer to Schedule 2023-01, Series 1-9, January 26, 2023

1-11 ~~"State Archives Books"~~ Opinions and Letter Rulings

Description: ~~Reference Book containing OTC L-12 forms for opinion files stored at the State Archives.~~
File consists of requests for opinions on legal issues received from Oklahoma Tax Commission Divisions and taxpayers and the legal opinions pertaining to those issues.

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

Disposition: ~~Retain in office permanently.~~
Amend and transfer to Schedule 2023-01, Series 1-9, January 26, 2023

OKLAHOMA TAX COMMISSION

Legal Division

Amendments to Records Disposition Schedule **84-09**

*** January 26, 2023 ***

1-12 **Log Book of Checks**

Description: Used to log all incoming checks. Information includes dates, amount and type of tax.

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

Disposition: Retain in office five (5) years, then destroy ~~provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.~~
Amend and transfer to Schedule 2023-01, Series 1-14, January 26, 2023

1-13 ~~Log Book of Assignment Numbers~~ **Log of File Assignments**

Description: Documents used to assign ID numbers for claims for refund, litigation, opinions, partial releases, protests, show cause, waivers of penalty and/or interest and other matters.

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

Disposition: Retain ~~in office~~ five (5) years after closure of the case, then delete the entry. ~~provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.~~
Amend and transfer to Schedule 2023-01, Series 1-15, January 26, 2023

1-14 **Opinions and Letter Rulings**

Description: File contains Oklahoma Tax Commission Division request for opinions on unprecedented situations and the legal opinions pertaining to those situations.

Volume: ~~9 cubic feet per year~~

Disposition: Retain in office permanently.
Amend and transfer to Schedule 2023-01, Series 1-9, January 26, 2023

ARCHIVES AND RECORDS COMMISSION

OKLAHOMA TAX COMMISSION

Legal Division

Amendments to Records Disposition Schedule 84-09

* January 26, 2023 *

1-15 **Quiet Title (Disclaimers) File** (Confidential Record 68 O.S. 1981, § 205)

Description: Petitions, Notices of Suit to Quiet Title, and the Oklahoma Tax Commission's Disclaimer disclaiming any interest in the subject property.

Volume: 8 cubic feet per year

Disposition: ~~Retain in office five (5) years, then microfilm. Destroy hard copy documents: (1) upon certification that the microfilm meets all standards established by the Archives and Records Commission, (2) after depositing the master negative with the Records Management Division of the Oklahoma Department of Libraries, and (3) after retaining at least one (1) user copy in the agency.~~
Retain five (5) years, then destroy, provided cases have been resolved and closed by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements.
Amend and transfer to Schedule 2023-01, Series 1-10, January 26, 2023

1-16 **Bankruptcy File** (Confidential Record 68 O.S. 1981, § 205)

Description: File includes notices to creditors of individuals or corporations in bankruptcy, Oklahoma Tax Commission proofs of Claim as filed in Bankruptcy Court setting forth any taxes due, correspondence and other related material.

Volume: 1.3 cubic feet per year

Disposition: ~~Retain in office five (5) years, then microfilm. Destroy hard copy documents: (1) upon certification that the microfilm meets all standards established by the Archives and Records Commission, (2) after depositing the master negative with the Records Management Division of the Oklahoma Department of Libraries, and (3) after retaining at least one (1) user copy in the agency.~~
Retain five (5) years, then destroy, provided cases have been resolved and closed by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements.
Amend and transfer to Schedule 2023-01, Series 1-11, January 26, 2023

ARCHIVES AND RECORDS COMMISSION

OKLAHOMA TAX COMMISSION

Legal Division

Amendments to Records Disposition Schedule 84-09

* January 26, 2023 *

1-17 **Quiet Titles (~~Answer & Cross~~) Files** (Confidential Record 68 O.S. 1981, § 205)

Description: ~~Notices of suit to quiet title and petitions in mortgage foreclosures, along with Tax Commission's answer and cross petition setting forth tax warrants filed, correspondence and other related documents.~~

Files consist of notices of suit to quiet title and petitions in mortgage foreclosures, along with Oklahoma Tax Commission's answer and cross petition setting forth tax warrants filed, or disclaimer disclaiming any interest in the subject property, correspondence and other related documents.

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

Disposition: ~~Retain in office until matter is closed then transfer to Quiet Titles (Closed Answer & Cross) File, Series 1-18.~~

Retain five (5) years, then destroy, provided cases have been resolved and closed by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements.

Amend and transfer to Schedule 2023-01, Series 1-10, January 26, 2023

1-18 **Quiet Title (~~Closed Answer & Cross~~) Files** (Confidential Record 68 O.S. 1981, § 205)

Description: ~~Contains the same type of information as in Series 1-17.~~

Files consist of notices of suit to quiet title and petitions in mortgage foreclosures, along with Oklahoma Tax Commission's answer and cross petition setting forth tax warrants filed, or disclaimer disclaiming any interest in the subject property, correspondence and other related documents.

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

Disposition: ~~Retain in office five (5) years, then microfilm. Destroy hard copy documents: (1) upon certification that the microfilm meets all standards established by the Archives and Records Commission, (2) after depositing the master negative with the Records Management Division of the Oklahoma Department of Libraries, and (3) after retaining at least one (1) user copy in the agency.~~

Retain five (5) years, then destroy, provided cases have been resolved and closed by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements.

Amend and transfer to Schedule 2023-01, Series 1-10, January 26, 2023

1-19 **Purchase Order Files** (Refer to General Records Disposition Schedule, Series 2-19)

Delete from schedule, January 26, 2023

ARCHIVES AND RECORDS COMMISSION

OKLAHOMA TAX COMMISSION

Legal Division

Amendments to Records Disposition Schedule **84-09**

*** January 26, 2023 ***

ARCHIVES AND RECORDS COMMISSION

OKLAHOMA TAX COMMISSION

Legal Division

NEW Records Disposition Schedule 2023-01

***January 26, 2023 ***

Summary

Agency requests new schedule be created.

1-1 Agency requests series be added.

1-2 Agency requests series be added.

1-3 Agency requests series be transferred from Schedule 84-09, Series 1-1.

1-4 Agency requests series be transferred from Schedule 84-09, Series 1-2 and 1-5.

1-5 Agency requests series be transferred from Schedule 84-09, Series 1-3, 1-4 and 1-5.

1-6 Agency requests series be added.

1-7 Agency requests series be transferred from Schedule 84-09, Series 1-4.

1-8 Agency requests series be added.

1-9 Agency requests series be transferred from Schedule 84-09, Series 1-10, 1-11, and 1-14.

1-10 Agency requests series be transferred from Schedule 84-09, Series 1-15, 1-17, and 1-18.

1-11 Agency requests series be transferred from Schedule 84-09, Series 1-16.

1-12 Agency requests series be added.

1-13 Agency requests series be added.

1-14 Agency requests series be transferred from Schedule 84-09, Series 1-12.

1-15 Agency requests series be transferred from Schedule 84-09, Series 1-13.

ARCHIVES AND RECORDS COMMISSION

OKLAHOMA TAX COMMISSION

Legal Division

NEW Records Disposition Schedule 2023-01

***January 26, 2023 ***

This records disposition schedule encompasses the original schedule approved by the Archives and Records Commission on January 26, 2023.

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.

Retention of Confidential Records

Records Disposition Schedule 84-09 for the Legal Division includes a number of confidential records. Title 67 O.S., § 305 exempts the confidential records of the Oklahoma Tax Commission from the disposition authority of the Archives and Records Commission. These records are included with other series because of the Oklahoma Tax Commission's desire to schedule confidential records in the same manner as all other 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.

The records governed by this schedule may be retained in hard copy, digital, microfilm, or electronic format. Records may be converted from their original format into electronic format for their retention so long as the resulting electronic record will accurately and completely reproduce all of the information and images in the records being converted; the imaged records will not be rendered unusable due to changing or proprietary technology before their retention and preservation requirements are met; and the imaging system will not permit additions, deletions, or changes to the images without leaving a record of such additions, deletions, or changes; and the conversion will provide continuity and accessibility to these record(s).

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.

ARCHIVES AND RECORDS COMMISSION

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Legal Division

NEW Records Disposition Schedule 2023-01

***January 26, 2023 ***

Additional 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.

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

ARCHIVES AND RECORDS COMMISSION

OKLAHOMA TAX COMMISSION

Legal Division

NEW Records Disposition Schedule 2023-01

***January 26, 2023 ***

1-1 **Administrative Records** (Confidential Record 68 O.S. § 205)

Description: Files consist of correspondence, reports and related papers not covered elsewhere in this schedule, pertaining to the managerial and program activities of the Legal Division and not involving the tax liability of specific taxpayer or made a part of a specific tax case.

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

1-2 **Reference Files** (Confidential Record 68 O.S. § 205)

Description: Maintained by individuals or offices, including extra copies of correspondence, internal management documents, or other materials that are retained solely for convenience of reference.

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

1-3 **Correspondence Files** (Confidential Record 68 O.S. § 205)

Description: Files consist of incoming letters and memos and copies of outgoing responses.

Disposition: Retain five (5) years, then destroy.
Transfer from Schedule 84-09, Series 1-1, January 26, 2023

1-4 **Protest Files** (Confidential Record 68 O.S. § 205)

Description: Files consist of taxpayers' formal written protests to a particular tax, and related documents.

Disposition: Destroy five (5) years after closure of the file unless it is a significant case. Significant cases selected by the Assistant General Counsel or above for file retention to be destroyed fifteen (15) years after case is closed.
Transfer from Schedule 84-09, Series 1-2 and 1-5, January 26, 2023

ARCHIVES AND RECORDS COMMISSION

OKLAHOMA TAX COMMISSION

Legal Division

NEW Records Disposition Schedule 2023-01

***January 26, 2023 ***

1-5 Litigation Files (Confidential Record 68 O.S. § 205)

Description: Files consist of any documents pertaining to litigation involving the Oklahoma Tax Commission.

Disposition: Destroy five (5) years after closure of the file unless it is a significant case. Significant cases selected by the Assistant General Counsel or above for file retention to be destroyed fifteen (15) years after case is closed.
Transfer from Schedule 84-09, Series 1-3, 1-4 and 1-5, January 26, 2023

1-6 Partial Release Files (Confidential Record 68 O.S. § 205)

Description: Files consist of any documents pertaining to partial release applications processed by involving the Oklahoma Tax Commission.

Disposition: Destroy five (5) years after closure of the file unless it is a significant case. Significant cases selected by the Assistant General Counsel or above for file retention to be destroyed fifteen (15) years after case is closed.

1-7 Miscellaneous Files (Confidential Record 68 O.S. § 205)

Description: Files consist of miscellaneous requests, correspondence and other documents which may include confidential taxpayer information.

Disposition: Destroy five (5) years after closure of the file unless it is a significant case. Significant cases selected by the Assistant General Counsel or above for file retention to be destroyed fifteen (15) years after case is closed.
Transfer from Schedule 84-09, Series 1-4, 1-16, January 26, 2023

1-8 Voluntary Disclosure Files (Confidential Record 68 O.S. § 205)

Description: Files consist of voluntary disclosure applications, agreements, related correspondence, and documents.

Disposition: Destroy five (5) years after closure of the file unless it is a significant case. Significant cases selected by the Assistant General Counsel or above for file retention to be destroyed fifteen (15) years after case is closed.

ARCHIVES AND RECORDS COMMISSION

OKLAHOMA TAX COMMISSION

Legal Division

NEW Records Disposition Schedule 2023-01

***January 26, 2023 ***

1-9 **Opinions and Letter Rulings** (Confidential Record 68 O.S. § 205)

Description: File consists of requests for opinions on legal issues received from Oklahoma Tax Commission Divisions and taxpayers and the legal opinions pertaining to those issues.

Disposition: Retain permanently.
Transfer from Schedule 84-09, Series 1-10, 1-11, and 1-14, January 26, 2023

1-10 **Quiet Title Files** (Confidential Record 68 O.S. 205)

Description: Files consist of notices of suit to quiet title and petitions in mortgage foreclosures, along with Oklahoma Tax Commission's answer and cross petition setting forth tax warrants filed, or disclaimer disclaiming any interest in the subject property, correspondence and other related documents.

Disposition: Retain five (5) years, then destroy, provided cases have been resolved and closed by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.
Transfer from Schedule 84-09, Series 1-15, 1-17 and 1-18, January 26, 2023

1-11 **Bankruptcy File** (Confidential Record 68 O.S. § 205)

Description: Notice to creditors of individuals or corporations in bankruptcy, Oklahoma Tax Commission proofs of Claim as filed in Bankruptcy Court setting forth any taxes due, correspondence, and other related material.

Disposition: Retain five (5) years, then destroy, provided cases have been resolved and closed by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements.
Transfer from Schedule 84-09, Series 1-16, January 26, 2023

ARCHIVES AND RECORDS COMMISSION

OKLAHOMA TAX COMMISSION

Legal Division

NEW Records Disposition Schedule 2023-01

***January 26, 2023 ***

1-12 Collections Files (Confidential Record 68 O.S. § 205)

Description: Files consist of documents pertaining to collection of final taxpayer liabilities.

Disposition: Destroy five (5) years after closure of the file unless it is a significant case. Significant cases selected by the Assistant General Counsel or above for file retention to be destroyed fifteen (15) years after case is closed.

1-13 Open Records Act Files (Confidential Record 68 O.S. § 205)

Description: Files consist of requests for records under provisions of the Oklahoma Open Records Act (51 O.S., § 24A.1, *et seq.*), the Oklahoma Tax Commission's related correspondence and responsive documents.

Disposition: Destroy five (5) years after closure of the file.

1-14 Log Book of Checks (Confidential Record 68 O.S. § 205)

Description: Used to log all incoming checks. Information includes dates, amount and type of tax.

Disposition: Retain in office five (5) years, then destroy.
Transfer from Schedule 84-09, Series 1-12, January 26, 2023

1-15 Log of File Assignments (Confidential Record 68 O.S. § 205)

Description: Records used to assign ID numbers for claims for refund, litigation, opinions, partial releases, protests, and other matters receiving an assigned file number.

Disposition: Retain five (5) years after closure of the case, then delete the entry.
Transfer from Schedule 84-09, Series 1-13, January 26, 2023

ARCHIVES AND RECORDS COMMISSION

DEPARTMENT OF MENTAL HEALTH AND SUBSTANCE ABUSE SERVICES

Children's Recovery Center of Oklahoma

Amendment to Records Disposition Schedule **86-07**

*** January 26, 2023 ***

Summary

4-9 Agency requests series be amended.

ARCHIVES AND RECORDS COMMISSION

DEPARTMENT OF MENTAL HEALTH AND SUBSTANCE ABUSE SERVICES

Children's Recovery Center of Oklahoma

Amendment to Records Disposition Schedule 86-07

* January 26, 2023 *

Medical Records

Series 4-8 included for informational purposes only

4-8 Patient Medical Records/Clinical Records (Active) Confidential Record

Description: Files pertain to patients and contain face sheets, psychiatric assessments, reports of physical examinations, social histories, hearing test results, motor skills evaluations, nursing staff assessments, speech screening test results, activity therapy assessments, admission data, certificates of need, treatment plans, and other clinical records.

Volume: 6 cubic feet per year

Disposition: Retain in office and transfer to Inactive File (Series 4-9) when patient is discharged, transferred, or otherwise released from the Center.

4-9 Patient Medical Records/Clinical Records (Inactive) Confidential Record

Description: Contains the same types of documents and information as Series 4-8A.

~~Disposition: Retain in Inactive File until patient's eighteenth (18th) birthday, then microfilm. Destroy hard copy documents except those defined by Archives and Records Commission Rule 60:10-7-2(2) as below standards for microfilm (1) upon certification that the microfilm meets all standards established by the Archives and Records Commission, (2) after depositing the master negative with the Records Management Division of the Oklahoma Department of Libraries, and (3) after retaining at least one (1) user copy in the agency.~~

Disposition: The following retention periods reflect the Medical Records Retention recommendations of the Oklahoma Board of Medical Licensure and Supervision.
For Adults: Retain in office ten (10) years from the last time the patient was seen, provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements.
For Minors: Retain in office until the patient reaches age twenty (20) or ten (10) years from the last time the patient was seen, whichever is longer, provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements.
Deceased Patients: Retain in office for six (6) years following the date of death, provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements.

ARCHIVES AND RECORDS COMMISSION

STATE REGENTS FOR HIGHER EDUCATION
Amendment to Records Disposition Schedule **90-03**

*** January 26, 2023 ***

Summary

7-28 Agency requests series be added.

ARCHIVES AND RECORDS COMMISSION

STATE REGENTS FOR HIGHER EDUCATION

Amendment to Records Disposition Schedule 90-03

* January 26, 2023 *

Core/Legal

7-28 **Oklahoma Future Teacher Scholarship and Employment Incentive Program (OFTSEIP)**
70 O.S. § 698.1 (Confidential Record 20 U.S.C. § 1232)

Description: File contains Oklahoma Future Teacher Scholarship and Employment Incentive Program (OFTSEIP) Application, Official Transcripts, Copy of State of Oklahoma Teaching Certificate, Notarized OFTSEIP Employment Compliance Form, Applicant Information Update Form and Disbursement of program benefits to qualifying participants for eligible scholarship and incentive payments.

Volume: One (1) cubic foot per year

Disposition: Retain in office fifteen (15) years, then destroy, provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements.
Add to schedule, January 26, 2023

ARCHIVES AND RECORDS COMMISSION

OKLAHOMA LOTTERY COMMISSION
Amendments to Records Disposition Schedule **2012-01**

*** January 26, 2023 ***

Summary

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

ARCHIVES AND RECORDS COMMISSION

OKLAHOMA LOTTERY COMMISSION
Amendments to Records Disposition Schedule **2012-01**

*** January 26, 2023 ***

-
- 4-6 Agency requests series be deleted. This record is no longer created. There is no backlog of records.
- 5-1 Agency requests series be deleted. This record is no longer created. There is no backlog of records.
- 6-1 Agency requests series be amended.
- 8-1 Agency requests series be amended.
- 8-2 Agency requests series be amended.
- 8-3 Agency requests series be amended.
- 8-4 Agency requests series be amended.
- 8-5 Agency requests series be amended.
- 8-6 Agency requests series be amended.
- 8-7 Agency requests series be amended.
- 8-8 Agency requests series be amended.
- 8-9 Agency requests series be amended.
- 9-1 Agency requests series be amended.
- 9-5 Agency requests series be amended.
- 10-1 Agency requests series be amended.
- 10-2 Agency requests series be amended.
- 10-3 Agency requests series be amended.
- 10-4 Agency requests series be amended.
- 11-1 Agency requests series be amended.
- Agency requests new division, “Business Solutions” be created.
- 12-1 Agency requests series be transferred from series 2-18.
- 12-2 Agency requests series be transferred from series 2-21.

OKLAHOMA LOTTERY COMMISSION
Amendments to Records Disposition Schedule **2012-01**

*** January 26, 2023 ***

Security/Investigations

2-1 Retailer Requests for Adjustments

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

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

2-2 Complaint File

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

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

2-4 Access Requests

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

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

2-5 Drawing Results

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

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

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

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

Disposition: ~~Retain in office for three (3) years, then destroy.~~
Delete from schedule, January 26, 2023

ARCHIVES AND RECORDS COMMISSION

OKLAHOMA LOTTERY COMMISSION
Amendments to Records Disposition Schedule **2012-01**

*** January 26, 2023 ***

Security/Investigations

2-7 **Post Deadline Returns**

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

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

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

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

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

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

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

~~Disposition: Retain in office for one (1) year, then destroy.
Delete from schedule, January 26, 2023~~

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

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

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

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

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

Disposition: Retain ~~in office for three (3) years~~ one (1) year after conclusion of any court case, then destroy.

ARCHIVES AND RECORDS COMMISSION

OKLAHOMA LOTTERY COMMISSION
Amendments to Records Disposition Schedule **2012-01**

*** January 26, 2023 ***

Security/Investigations

2-18 **Drawing Procedures**

Description: File includes drawing procedures for all online games.

Disposition: ~~Retain in office until superseded, then destroy.~~
Retain one (1) year, then destroy.
Amend and transfer to series 12-1, January 26, 2023

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

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

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

2-20 **Lock Down Alternative Files**

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

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

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

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

Disposition: ~~Retain in office one (1) year, then destroy.~~
Transfer to series 12-2, January 26, 2023

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

Description: File includes information related to background investigations of potential or current employees ~~vendors, and contractors~~ and retailers. File may include reports of criminal, credit, tax, and other investigations. Information about vendors is collected in compliance with 3A O.S. Section 725.

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

OKLAHOMA LOTTERY COMMISSION
Amendments to Records Disposition Schedule **2012-01**

*** January 26, 2023 ***

Backoffice Information System

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

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

Disposition: ~~File stored electronically.~~ Retain for one (1) year, then destroy.

3-2 **Retailer Activity Detail**

Description: File includes report of retailer account balances.

Disposition: Retain ~~in office for five (5)~~ one (1) year, then destroy.

3-3 **Check Register**

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

Disposition: Retain ~~in office for five (5)~~ one (1) year, then destroy.

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

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

Disposition: Retain ~~in office for five (5)~~ one (1) year, then destroy.

ARCHIVES AND RECORDS COMMISSION

OKLAHOMA LOTTERY COMMISSION
Amendments to Records Disposition Schedule **2012-01**

*** January 26, 2023 ***

Marketing

4-1 **Second Chance Drawings**

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

Disposition: ~~Scratchers: Retain in office for ninety (90) days after the close of the Scratcher Second Chance drawing, then destroy.~~
~~Online Games: Retain in office for one hundred eighty (180) days after the close of the Online Game Second Chance drawing, then destroy.~~
Delete from schedule, January 26, 2023

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

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

Disposition: Retain ~~in office for five (5)~~ one (1) year, then destroy.

4-3 **Promotions**

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

Disposition: Retain ~~in office for five (5)~~ one (1) year, then destroy.

4-4 **Winners**

Description: File includes lists of winners of promotions.

Disposition: Retain ~~in office for five (5)~~ one (1) year, then destroy.

4-5 **Newsletter**

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

Disposition: ~~Retain in office for five (5) years, then destroy.~~
Delete from schedule, January 26, 2023

ARCHIVES AND RECORDS COMMISSION

OKLAHOMA LOTTERY COMMISSION
Amendments to Records Disposition Schedule **2012-01**

*** January 26, 2023 ***

Marketing

4-6 **Plan-O-Grams**

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

Disposition: ~~Retain in office for five (5) years, then destroy.~~
Delete from schedule, January 26, 2023

Sales

5-1 **Corporate Accounts Promotions**

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

Disposition: ~~Retain in office for five (5) years, then destroy.~~
Delete from schedule, January 26, 2023

Advertising

6-1 **Advertising and Promotion**

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

Disposition: ~~Retain in office for five (5)~~ one (1) year, then destroy.

ARCHIVES AND RECORDS COMMISSION

OKLAHOMA LOTTERY COMMISSION
Amendments to Records Disposition Schedule **2012-01**

*** January 26, 2023 ***

Accounting

8-1 **Retailer Final Accounting**

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

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

8-2 **Prize Analysis Detail**

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

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

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

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

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

8-4 **Opening/Closing Hand Counts**

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

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

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

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

Disposition: Retain ~~in office~~ permanently.

OKLAHOMA LOTTERY COMMISSION
Amendments to Records Disposition Schedule **2012-01**

*** January 26, 2023 ***

Accounting

8-6 Accounting Adjustments

Description: File includes adjustment and back up documentation.

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

8-7 Financial Statements

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

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

8-8 Collections

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

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

8-9 Check Detail Maintenance

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

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

ARCHIVES AND RECORDS COMMISSION

OKLAHOMA LOTTERY COMMISSION
Amendments to Records Disposition Schedule **2012-01**

*** January 26, 2023 ***

Validations

9-1 **IRS Tax Forms for Winners (Confidential 3A O.S. Section 724)**

Description: File includes copies of Internal Revenue Service W2G tax forms sent to winners that have won more than \$600.

Disposition: Retain ~~in office until five (5) year~~ one (1) year, then destroy.

9-5 **Retailer Win Data (Confidential 3A O.S. Section 724)**

Description: File includes the Internal Revenue Service W2G reports, winner list reports, ~~super retailer reports~~, claim forms and winner interview sheets.

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

OKLAHOMA LOTTERY COMMISSION
Amendments to Records Disposition Schedule **2012-01**

*** January 26, 2023 ***

Retail Contracts

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

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

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

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

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

Disposition: Retain ~~in office five (5)~~ one (1) year after retailer application is denied, then destroy.

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

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

Disposition: Retain ~~in office five (5)~~ one (1) year after retailer license is revoked or suspended, then destroy.

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

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

Disposition: Retain ~~in office five (5)~~ one (1) year after retailer contract is terminated or cancelled, then destroy.

ARCHIVES AND RECORDS COMMISSION

OKLAHOMA LOTTERY COMMISSION
Amendments to Records Disposition Schedule **2012-01**

*** January 26, 2023 ***

Special Events

11-1 **Marketing Promotion**

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

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

Business Solutions

12-1 **Drawing Procedures**

Description: File includes drawing procedures for all online games.

Disposition: Retain one (1) year, then destroy.
Transferred from series 2-18, January 26, 2023

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

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

Disposition: Retain one (1) year, then destroy.
Transferred from series 2-21, January 26, 2023

ARCHIVES AND RECORDS COMMISSION
COMMISSIONERS OF THE LAND OFFICE
Amendment to Records Disposition Schedule **2015-04**

*** January 26, 2023 ***

Summary

5-10 Agency requests series be amended.

ARCHIVES AND RECORDS COMMISSION
COMMISSIONERS OF THE LAND OFFICE
Amendment to Records Disposition Schedule 2015-04

* January 26, 2023 *

Minerals Management Division

5-10 **Surface Damage Agreements**

Description: File includes executed surface damage agreement, correspondence, and related documents from the Oklahoma Corporation Commission documents.

Volume: One (1) cubic foot per year

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

ARCHIVES AND RECORDS COMMISSION

DEPARTMENT OF HUMAN SERVICES

Office of for Civil Rights

Amendments to Records Disposition Schedule 2005-03

***January 26, 2023 ***

Summary

Agency requests unit name be changed.

1-1 Agency requests series be amended.

1-2 Agency requests series be amended.

1-3 Agency requests series be amended.

1-4 Agency requests series be amended.

1-5 Agency requests series be amended.

1-6 Agency requests series be amended.

1-7 Agency requests series be amended.

1-8 Agency requests series be amended.

ARCHIVES AND RECORDS COMMISSION

DEPARTMENT OF HUMAN SERVICES

Office of for Civil Rights

Amendments to Records Disposition Schedule 2005-03

*January 26, 2023 *

1-1 **Correspondence (Office of for Civil Rights Administration)**

Description: Files consist of ~~outgoing and incoming~~ correspondence of ~~hard copies~~, including ~~fax transmissions~~, memos and reports of the Office of for Civil Rights Administrator and other persons acting in the role of administration (including programs managers and programs administrators).

Records may be in a variety of formats including paper, electronic, or microfilm.

Volume: one (1) cubic foot per year

Disposition: ~~Retain in office and review on an annual basis. Destroy duplicate and ancillary materials when no longer required for administrative purposes. Destroy substantive materials when they become five (5) years old~~ Retain five (5) years, then destroy, provided no legal actions are pending and approval to destroy records has been received from the State Records Administrator. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements and approval to destroy records has been received from the State Records Administrator.

1-2 **Correspondence (Office of for Civil Rights Supervisors)**

Description: Files consist of ~~outgoing and incoming~~ correspondence of ~~hard copies~~, including ~~fax transmissions~~, memos and reports of the Office of for Civil Rights supervisors and other persons acting in the role of a supervisor.

Records may be in a variety of formats including paper, electronic, or microfilm.

Volume: one (1) cubic foot per year

Disposition: ~~Retain in office and review on an annual basis. Destroy duplicate and ancillary materials when no longer required for administrative purposes. Destroy substantive materials when they become three (3) years old~~ Retain three (3) years, then destroy, provided no legal actions are pending and approval to destroy records has been received from the State Records Administrator. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements and approval to destroy records has been received from the State Records Administrator.

ARCHIVES AND RECORDS COMMISSION

DEPARTMENT OF HUMAN SERVICES

Office of ~~for~~ Civil Rights

Amendments to Records Disposition Schedule 2005-03

*January 26, 2023 *

1-3 **Correspondence (all other Office of ~~for~~ Civil Rights employees)**

Description: Files consist of ~~outgoing and incoming~~ correspondence of ~~hard copies~~, including ~~fax transmissions~~, memos and reports (except those in series 1-1, and 1-2) of the Office of ~~for~~ Civil Rights employees not acting in the roles of administration or supervision.

Records may be in a variety of formats including paper, electronic, or microfilm.

Volume: one (1) cubic foot per year

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

1-4 **Affirmative Action Records, Department of Human Services**

Description: Records pertain to agency affirmative action policies and include all information received and sent regarding the Affirmative Action Plan, EEO reports, and directives from the Governor or Affirmative Action Plan Coordinator for the State, as well as annual reports, semiannual reports, and progress reports implemented to ensure that the hiring, promotion, and termination of employees are carried out in full compliance with all applicable laws and rules and regulations. The Office of Personnel Management is the state office of record (Schedule 82-13, Series 2-3). The Oklahoma Affirmative Action Ban Amendment, also known as State Question 759, was approved as a constitutional amendment on November 6, 2012. The measure banned affirmative action programs in the state, and prohibited special treatment based on race or sex in public employment, education, and contracts. This measure added Section 36 to Article II of the State Constitution.

Records may be in a variety of formats including paper, electronic, or microfilm.

Volume: one (1) cubic foot per year

Disposition: ~~Retain current year in office, then transfer to records storage. Retain in records storage until records become five (5) years old, then destroy, provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies, provided no legal actions are pending and approval to destroy documents has been received from the State Records Administrator. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements, and approval to destroy records has been received from the State Records Administrator.~~

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

ARCHIVES AND RECORDS COMMISSION

DEPARTMENT OF HUMAN SERVICES

Office of Civil Rights

Amendments to Records Disposition Schedule 2005-03

*January 26, 2023 *

1-5 **Office of Civil Rights Case Files (Confidential Record 51 O.S. §24A.7 & 56 O.S. §183)
(29 CFR §1602.31)**

Description: Record of complaints filed by OKDHS clients, vendors or employees. Records include sexual harassment charges, or complaints of discrimination based on age, race, nationality, gender, religion, etc. Information includes reports; exhibits; withdrawal notices; copies of decisions; records of hearings and meetings; correspondence; copies of records related to hiring, promotion, demotion, transfer, layoff or termination, rates of pay or other terms of compensation, selection for training or apprenticeship; and all other personnel records relevant to the charge or action.

Records may be in a variety of formats including paper, electronic, or microfilm.

Volume: one (1) cubic foot per year

Disposition: ~~Retain current year in office, then transfer to records storage. Retain in records storage until records become five (5) years old and Retain five (5) years after closure of file,~~ then destroy, provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies, provided no legal actions are pending and approval to destroy documents has been received from the State Records Administrator. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements, and approval to destroy records has been received from the State Records Administrator.

ARCHIVES AND RECORDS COMMISSION

DEPARTMENT OF HUMAN SERVICES

Office of ~~for~~ Civil Rights

Amendments to Records Disposition Schedule 2005-03

*January 26, 2023 *

1-6 **American Disabilities Act (ADA) Accommodation Requests (Confidential Record 51 O.S. §24A.7 & 56 O.S. §183) (29 CFR §1602.31)**

Description: File contains claims and complaints filed by OKDHS clients or employees. Information includes reports, exhibits, withdrawal notices, copies of decisions, records of hearings and meetings, correspondence, medical record information, copies of records related to hiring, promotion, demotion, transfer, layoff or terminations, rates of pay or other terms of compensation, selection for training or apprenticeship; and other personnel records relevant to the charge or action.

Records may be in a variety of formats including paper, electronic, or microfilm.

Volume: one (1) cubic foot per year

Disposition: ~~Retain in office until OKDHS employee is terminated or OKDHS client is no longer receiving services or benefits, then transfer to records storage. Retain in records storage for two (2) years~~ Retain for two (2) years after OKDHS employee is terminated or OKDHS client is no longer receiving services or benefits, then destroy, provided no legal actions are pending, and approval to destroy documents has been received from the State Records Administrator. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements and approval to destroy records has been received from the State Records Administrator.

ARCHIVES AND RECORDS COMMISSION

DEPARTMENT OF HUMAN SERVICES

Office of Civil Rights

Amendments to Records Disposition Schedule 2005-03

*January 26, 2023 *

1-7 **Reasonable Accommodation Request Review Committee (Confidential Record 51 O.S. §24A.7 & 56 O.S. §183) (29 CFR §1602.31)**

Description: Committee meeting email, minutes, and correspondence regarding appeals to resolve ADA accommodation requests, which exceed specified accommodation time frames, cost more than \$600.00, or remain unsolved after local interaction. File contains claims and complaints filed by OKDHS clients or employees. Information includes reports, exhibits, withdrawal notices, copies of decisions, records of hearings and meetings, correspondence, medical record information, copies of records related to hiring, promotion, demotion, transfer, layoff or terminations, rates of pay or other terms of compensation, selection for training or apprenticeship; and other personnel records relevant to the charge or action.

Records may be in a variety of formats including paper, electronic, or microfilm.

Volume: one (1) cubic foot per year

Disposition: ~~Retain current year in office, then transfer to records storage. Retain in records storage until records become five (5) years old and~~ Retain five (5) years, then destroy, provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies, provided no legal actions are pending and approval to destroy documents has been received from the State Records Administrator. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements, and approval to destroy records has been received from the State Records Administrator.

ARCHIVES AND RECORDS COMMISSION

DEPARTMENT OF HUMAN SERVICES

Office of Civil Rights

Amendments to Records Disposition Schedule 2005-03

*January 26, 2023 *

1-8 **Civil Rights and Nondiscrimination Compliance Reviews**

Description: Compliance reviews are conducted as part of the Supplemental Nutrition Assistance Program (SNAP) monitoring and review activities required by program regulations to determine whether program delivery is in compliance with the requirements of 7CFR Part 15. Files include review SNAP applications, process procedures, poster display, case closure and grassroots organizations. Reviews are based on information provided by applicants in the official application for program funds and submitted annually to the Department of Agriculture, Food and Nutrition Service.

Records may be in a variety of formats including paper, electronic, or microfilm.

Volume: one (1) cubic foot per year

Disposition: ~~Retain current year in office, then transfer to records storage. Retain in records storage until records become three (3) years old and then destroy~~ Retain three (3) years, then destroy, provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies, provided no legal actions are pending and approval to destroy documents has been received from the State Records Administrator. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements, and approval to destroy records has been received from the State Records Administrator.

ARCHIVES AND RECORDS COMMISSION

AMENDMENTS TO GENERAL RECORDS DISPOSITION SCHEDULE

*** January 26, 2023 ***

Summary

- 1-3 Agency requests record series be amended.
- 1-21 Agency requests record series be amended.
- 1-78 Agency requests record series be added.

AMENDMENTS TO GENERAL RECORDS DISPOSITION SCHEDULE

* January 26, 2023 *

Administrative Records

1-3 **Correspondence – Chief Executive Officer and Deputy Executive Officer**

Description: File consists of chief executive officer's and deputy executive officers' ~~incoming and copies of outgoing~~ correspondence that states or forms the basis for policy, sets precedent, or records important events in the operational and organizational history of the agency.

See series 1-78 for routine correspondence.

Disposition: ~~Retain in office and review on an annual basis. After the review, destroy duplicate and ancillary records. Transfer substantive records when they become three (3) years old and are no longer required for administrative purposes to the State Archives, with authority to weed, for permanent preservation.~~
Retain in office until employee leaves position, then transfer to the State Archives or retain permanently.

AMENDMENTS TO GENERAL RECORDS DISPOSITION SCHEDULE

* January 26, 2023 *

1-21 **Litigation Files**

- A. Description: Records concerning litigation to which the agency is party where the Attorney General is attorney of record. Files contain copies of petitions, motions, pleadings, depositions, orders, opinions and related material. The Office of the Attorney General is the state office of record (Schedule 85-16, Series 2-3, 2-4).
- Disposition: Retain in office until two (2) years after exhaustion of all legal remedies, then destroy.
- B. Description: Records concerning litigation to which the agency is party where staff or private practice attorney is attorney of record. Files contain copies of petitions, motions, pleadings, depositions, orders, opinions and related material.
- Disposition: Retain in office until two (2) years after exhaustion of all legal remedies then transfer to State Archives, with authority to weed, for permanent preservation.
- Note: Agencies may request approval from the Archives and Records Commission to establish shorter retention periods in agency records disposition schedules for routine litigation that does not set legal precedent or exhibit historical value.
- C. Description: Files contain reference material related to litigation where agency is not a party.
- Disposition: Retain in office until no longer required for administrative purposes, then destroy.

1-78 **Routine Correspondence**

- Description: File includes routine correspondence concerning day-to-day office administration and activities. This may include, but is not limited to, correspondence between other agencies, correspondence with the public and staff, and other types of communications that pertain only to routine matters and are not identified in another record series.
- Disposition: Retain in office until no longer required for administrative purposes, then destroy.
Add to schedule, January 26, 2023

ARCHIVES AND RECORDS COMMISSION

OKLAHOMA DEPARTMENT OF LIBRARIES

Records Disposition Authorization **2023-01**

*** January 26, 2023 ***

Summary

Agency requests approval for the immediate transfer of the records to the Oklahoma Insurance Department.

OKLAHOMA DEPARTMENT OF LIBRARIES

Records Disposition Authorization **2023-01**

*** January 26, 2023 ***

The Oklahoma Department of Libraries requests authorization for the immediate transfer of the following records to the Oklahoma Insurance Department.

The primary focus of the State Archives is to collect and maintain the permanent records of state government. Many years ago, these records, which do not have a permanent retention period, were transferred to the State Archives by the Oklahoma Insurance Department.

The Oklahoma Insurance Department plans to review the records and make a determination about their disposition.

The Oklahoma Insurance Department supports this request for the transfer of these records.

Description: Actuarial Division Company Files (Policy Forms)
Record Group 26-26
Dates Included: Prior to January 1, 1975
Volume: Approximately 104 cubic feet

Oklahoma Insurance Department Records Disposition Schedule, 94-05, provides the following:

3-1B Insurance Policy Forms (1973-1991) (Record Copy)

Description: Microfilm copies of life, accident and health policy forms filed by insurance companies for 1973 to 1991. The policies provide a record of the Insurance Department's approval or disapproval of any particular form for use in Oklahoma.

Disposition: Destroy all master negatives and user copies when they become fifty (50) years old provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.

3-1C Insurance Policy Forms (Prior to 1973) (Record Copy)

Description: Files contain life, accident and health policy forms filed by insurance companies prior to 1973 that were transferred to the State Archives. The Policies provide a record of the Insurance Department's approval or disapproval of any particular form for use in Oklahoma.

Disposition: Retain in the State Archives and destroy individual records when they become fifty (50) years old provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.

ARCHIVES AND RECORDS COMMISSION

OKLAHOMA DEPARTMENT OF LIBRARIES

Records Disposition Authorization **2023-02**

*** January 26, 2023 ***

Summary

Agency requests approval for the transfer of the following records.

ARCHIVES AND RECORDS COMMISSION

OKLAHOMA DEPARTMENT OF LIBRARIES

Records Disposition Authorization 2023-02

* January 26, 2023 *

The Oklahoma Department of Libraries requests authorization for the transfer of the following records from the State Archives to the Office of the Chief Medical Examiner.

The primary focus of the State Archives is to collect and maintain the permanent records of state government.

Due to physical capacity considerations in the State Archives, it is not practical to include confidential records that are inaccessible to the public in the State Archives.

The Office of the Chief Medical Examiner has agreed to accept the return of these records.

Description: Medical Examiner Case Files
Record Group: RG 47-1-1
Dates Included: 1985
Volume: 43 cubic feet, forty-three (43) boxes of Medical Examiner case files

Description: Medical Examiner Toxicology Files
Record Group: RG 47-1-2
Dates Included: 1964-1986
Volume: 95 cubic feet, ninety-five (95) boxes of toxicology reports

Description: Medical Examiner X-Ray Files
Record Group: RG 47-1-3
Dates Included: 1971-1982
Volume: 6 cubic feet, six (6) boxes of x-rays

These records are included in Records Disposition Schedule 81-08.

1-1 **Medicolegal Investigations**

Description: Cases including examiner reports, lab reports and related correspondence.

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

ARCHIVES AND RECORDS COMMISSION

OKLAHOMA DEPARTMENT OF LIBRARIES

Records Disposition Authorization **2023-03**

*** January 26, 2023 ***

Summary

Agency requests approval for the immediate transfer of the following records.

ARCHIVES AND RECORDS COMMISSION

OKLAHOMA DEPARTMENT OF LIBRARIES

Records Disposition Authorization **2023-03**

*** January 26, 2023 ***

The Oklahoma Department of Libraries requests authorization for the immediate transfer of the following records from the Oklahoma State Archives to the Oklahoma Historical Society Research Division.

The primary focus of the State Archives is to collect and maintain the permanent records of state government.

Due to physical capacity considerations in the State Archives, it is not practical to include records not created by state government entities in the State Archives.

The Oklahoma Historical Society Research Division has agreed to accept these records if this Records Disposition Authorization is approved.

Description: Irene Van Sant Journals
Manuscript Group 29

One (1) box, which includes four journals describing visions and revelations transcribed between 1903 and 1911. The journals were given to Governor Lee Cruce.

Dates Included: 1894-1899

Volume: 0.33 cubic feet

ARCHIVES AND RECORDS COMMISSION

OKLAHOMA DEPARTMENT OF LIBRARIES

Records Disposition Authorization **2023-04**

*** January 26, 2023 ***

Summary

Agency requests approval for the immediate transfer of the following records.

ARCHIVES AND RECORDS COMMISSION

OKLAHOMA DEPARTMENT OF LIBRARIES

Records Disposition Authorization **2023-04**

*** January 26, 2023 ***

The Oklahoma Department of Libraries requests authorization for the immediate transfer of the following records from the Oklahoma State Archives to the Oklahoma Historical Society Research Division.

The primary focus of the State Archives is to collect and maintain the permanent records of state government.

Due to physical capacity considerations in the State Archives, it is not practical to include records not created by state government entities in the State Archives. Additionally, these records are available online from the Library of Congress (<https://www.loc.gov/collections/fsa-owi-black-and-white-negatives/about-this-collection/>).

The Oklahoma Historical Society Research Division has agreed to accept these records if this Records Disposition Authorization is approved.

Description:	Farm Security Administration Photographs Manuscript Group 26-3
	Eighteen (18) boxes containing 1,655 photographs taken by the Farm Security Administration of rural life during the Great Depression.
Dates Included:	1935-1941
Volume:	2.5 cubic feet

ARCHIVES AND RECORDS COMMISSION

OKLAHOMA DEPARTMENT OF LIBRARIES

Records Disposition Authorization **2023-05**

*** January 26, 2023 ***

Summary

Agency requests approval for the immediate transfer of the following records.

ARCHIVES AND RECORDS COMMISSION

OKLAHOMA DEPARTMENT OF LIBRARIES

Records Disposition Authorization **2023-05**

*** January 26, 2023 ***

The Oklahoma Department of Libraries requests authorization for the immediate transfer of the following records from the Oklahoma State Archives to the Oklahoma Historical Society Research Division.

The primary focus of the State Archives is to collect and maintain the permanent records of state government.

Due to physical capacity considerations in the State Archives, it is not practical to include records not created by state government entities in the State Archives.

Additionally, these records are available online from the Library of Congress (<https://www.loc.gov/collections/fsa-owi-black-and-white-negatives/about-this-collection/>).

The Oklahoma Historical Society Research Division has agreed to accept these records if this Records Disposition Authorization is approved.

Description: Office of War Information and Office of Emergency Management Photographs Manuscript Group 26-2

Thirty-five (35) boxes containing roughly 8,934 photographs taken by the U.S. Office of War Information and U.S. Office of Emergency Management during World War II.

Dates Included: 1942-1944

Volume: Six (6) cubic feet