

ARCHIVES AND RECORDS COMMISSION
Special Meeting
Oklahoma Department of Libraries
200 NE 18th Street, Second Floor South Conference Room
Oklahoma City, Oklahoma
And
Via Teleconference
Please see page two of the Agenda for Instructions.

February 25, 2021
10:00 a.m.

AGENDA

Call to Order
Roll Call

Nicole Willard, Chair - Attending via remote access on Zoom
Melody A. Kellogg, Vice Chair and Secretary - Attending in person
Ruthie Chicoine - Attending via remote access on Zoom
Kirby Smith - Attending via remote access on Zoom
Connie Taylor - Attending via remote access on Zoom

Approval of Minutes of the Meeting of October 22, 2020 *

State Archives and Records Management Division Quarterly Report

Consideration and possible action on proposed changes to Oklahoma Administrative Rules, Title 60. Archives and Records Commission. Changes are proposed for Subchapter 7 - Microfilm, Subchapter 8 - Optical Imaging, and Subchapter 11 - Service Fees.*

Open Meeting Act Statement.

Public Notice of this meeting, together with the agenda, was posted February 12, 2021 on the Oklahoma Department of Libraries website and in prominent public view on the glass exterior window of the Allen Wright Memorial Library Building, 200 N.E. 18th Street, Oklahoma City.

Key to abbreviations used below:

[AMD] = Amendment to a Records Disposition Schedule

[NEW] = Records Disposition Schedule

[RDA] = Records Disposition Authorization

*Consideration of Requests**

2021-01	[NEW]	Oklahoma Board of Tests for Alcohol and Drug Influence
2021-01	[RDA]	Langston University
81-14	[AMD]	Oklahoma Department of Corrections
88-13	[AMD]	Oklahoma Department of Corrections, Community Treatment Centers
89-13	[AMD]	Grand River Dam Authority
86-27	[AMD]	Office of the Governor

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February 25, 2021
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90-03	[AMD]	State Regents for Higher Education
2002-01	[AMD]	Oklahoma Department of Health, Commissioner of Health
87-04	[AMD]	Oklahoma Department of Human Services, Programs Division
97-05	[AMD]	Oklahoma Department of Human Services, General Services
2001-01	[AMD]	Oklahoma Department of Human Services, Aging Services
2001-04	[AMD]	Oklahoma Department of Human Services, Adult and Family Services

Adjournment

* Archives and Records Commission action required.

2021 Meeting Dates for the Archives and Records Commission

- April 22, 2021
- July 22, 2021
- October 21, 2021

This meeting may be viewed via Zoom.

To Join the Meeting:

Topic: Archives & Records Commission Meeting

Time: Feb 25, 2021 09:30 AM Central Time (US and Canada)

Join Zoom Meeting

<https://zoom.us/j/93321468269>

Meeting ID: 933 2146 8269

One tap mobile

+16699006833,,93321468269# US (San Jose)

+12532158782,,93321468269# US (Tacoma)

Dial by your location

+1 669 900 6833 US (San Jose)

+1 253 215 8782 US (Tacoma)

+1 346 248 7799 US (Houston)

Meeting ID: 933 2146 8269

**Archives and Records Commission
Minutes
October 22, 2020**

Call to Order:

Nicole Willard called the meeting to order at 10:00 a.m.

Members present were:

Nicole Willard	Chair
Melody A. Kellogg	Vice Chair and Secretary
Kirby Smith	Proxy for Lt. Governor
Ruthie Chicoine	Proxy for State Auditor
Connie Taylor (joined at 10:05)	Proxy for State Treasurer

Also present were:

Joe Ashbaker	Office of the Attorney General
Jan Davis	Department of Libraries
Natalie Currie	Department of Libraries
Holly Hasenfratz	Department of Libraries
Alyssa Vaughn	Department of Libraries
Jessica Roberts	Tax Commission
Rhonda Craig	Department of Environmental Quality
Matt Pace	Department of Environmental Quality
Bryan Younger	Oklahoma Health Care Authority
Hannah Pryor	Commissioners of the Land Office
Putnam Reiter	Dept. of Emergency Management and Homeland Security
Rick Pierson	Board of Licensed Alcohol and Drug Counselors
Kathy Pierson	Board of Licensed Alcohol and Drug Counselors
Lisa Caton	Department of Health
Mary Gail Foster	Department of Human Services
Janey Rowden	Council on Law Enforcement Education and Training

Posting of Meeting Agenda

The agenda was posted on the window near the front door of the Oklahoma Department of Libraries building on October 8, 2020. The agenda was also posted on the agency's website on October 8, 2020.

This meeting was conducted via Zoom under the emergency provisions of the Open Meeting Act, as amended by SB 661 on Wednesday, March 18, 2020.

Approval of Minutes of the Meeting of July 23, 2020:

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

Chicoine	aye
Kellogg	aye
Smith	aye
Willard	aye

Approval of Administrative Rules – Title 60. Archives and Records Commission, Chapter 10 – Archives and Records

Approval to proceed with the rulemaking process to make changes to the Administrative Rules was moved by Smith and seconded by Chicoine.

Chicoine	aye
Kellogg	aye
Smith	aye
Willard	aye

Approval of Schedule for Meetings in 2021:

Approval of the proposed dates for Commission meetings was moved by Chicoine and seconded by Smith.

Chicoine	aye
Kellogg	aye
Smith	aye
Taylor	aye
Willard	aye

Dates for 2021 meetings, as approved by the Commission, will be:

January 21, 2021
April 22, 2021
July 22, 2021
October 21, 2021

Consideration of Requests:

Amendment to the General Records Disposition Schedule for State Universities and Colleges, Department of Libraries

The Department of Libraries requested the General Records Disposition Schedule for State Universities and Colleges be amended.

Approval of the Amendment to the General Records Disposition Schedule for State Universities and Colleges was moved by Kellogg and seconded by Chicoine.

Chicoine	aye
Kellogg	aye
Smith	aye
Taylor	aye
Willard	aye

Records Disposition Authorization 2020-04, Cameron University

Cameron University requested Records Disposition Authorization 2020-04 be approved. Approval of Records Disposition Authorization 2020-04 was moved by Smith and seconded by Chicoine.

Chicoine aye
Kellogg aye
Smith aye
Taylor aye
Willard aye

Records Disposition Authorization 2020-05, Tax Commission

Davis introduced Jessica Roberts. The Tax Commission requested Records Disposition Authorization 2020-05 be approved.

Approval of Records Disposition Authorization 2020-05 was moved by Smith and seconded by Kellogg.

Chicoine aye
Kellogg aye
Smith aye
Taylor aye
Willard aye

Amendment to Records Disposition Schedule 84-08, Tax Commission, Headquarters Division

The Tax Commission requested Records Disposition Schedule 84-08 be amended.

Approval of the Amendment to Records Disposition Schedule 84-08 was moved by Smith and seconded by Chicoine.

Chicoine aye
Kellogg aye
Smith aye
Taylor aye
Willard aye

Amendment to Records Disposition Schedule 91-08, Office of Management and Enterprise Services

The Office of Management and Enterprise Services requested Records Disposition Schedule 91-08 be amended.

Approval of the Amendment to Records Disposition Schedule 91-08 was moved by Kellogg and seconded by Chicoine.

Chicoine aye
Kellogg aye
Smith aye
Taylor aye
Willard aye

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

Davis introduced Rhonda Craig and Matt Pace. 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 Chicoine and seconded by Smith.

Chicoine	aye
Kellogg	aye
Smith	aye
Taylor	aye
Willard	aye

Amendment to Records Disposition Schedule 95-06, Oklahoma Health Care Authority

Davis introduced Bryan Younger. The Oklahoma Health Care Authority requested Records Disposition Schedule 95-06 be amended.

Approval of the Amendment to Records Disposition Schedule 95-06 was moved by Chicoine and seconded by Smith.

Chicoine	aye
Kellogg	aye
Smith	aye
Taylor	aye
Willard	aye

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

Davis introduced Hannah Pryor. The Commissioners of the Land Office requested Records Disposition Schedule 2015-04 be amended.

Approval of the Amendment to Records Disposition Schedule 2015-04 was moved by Smith and seconded by Chicoine.

Chicoine	aye
Kellogg	aye
Smith	aye
Taylor	aye
Willard	aye

Amendment to Records Disposition Schedule 2020-01, Department of Emergency Management and Homeland Security

Davis introduced Putnam Reiter. The Department of Emergency Management and Homeland Security requested Records Disposition Schedule 2020-01 be amended.

Approval of the Amendment to Records Disposition Schedule 2020-01 was moved by Smith and seconded by Chicoine.

Chicoine	aye
Kellogg	aye
Smith	aye
Taylor	aye

Willard aye

New Records Disposition Schedule 2020-05, Board of Licensed Alcohol and Drug Counselors

Davis introduced Rick Pierson and Kathy Pierson. The Board of Licensed Alcohol and Drug Counselors requested new Records Disposition Schedule 2020-05 be created.

Approval of the creation of the new Records Disposition Schedule 2020-05 was moved by Smith and seconded by Chicoine.

Chicoine aye
Kellogg aye
Smith aye
Taylor aye
Willard aye

Amendment to Records Disposition Schedule 90-02, Department of Health, Prevention and Preparedness Services

Davis introduced Lisa Caton. The Department of Health requested Records Disposition Schedule 90-02 be amended.

Approval of the Amendment to Records Disposition Schedule 90-02 was moved by Smith and seconded by Willard.

Chicoine aye
Kellogg aye
Smith aye
Taylor aye
Willard aye

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

The Department of Health requested Records Disposition Schedule 2003-05 be amended.

Approval of the Amendment to Records Disposition Schedule 2003-05 was moved by Smith and seconded by Chicoine.

Chicoine aye
Kellogg aye
Smith aye
Taylor aye
Willard aye

Amendment to Records Disposition Schedule 97-05, Department of Human Services, General Records

Davis introduced Mary Gail Foster. The Department of Human Services requested Records Disposition Schedule 97-05 be amended.

Approval of the Amendment to Records Disposition Schedule 97-05 was moved by Smith and seconded by Chicoine.

Chicoine aye
Kellogg aye
Smith aye
Taylor aye
Willard aye

Amendment to Records Disposition Schedule 97-06, Department of Human Services, Inspector General's Office

The Department of Human Services requested Records Disposition Schedule 97-06 be amended.

Approval of the Amendment to Records Disposition Schedule 97-06 was moved by Smith and seconded by Chicoine.

Chicoine aye
Kellogg aye
Smith aye
Taylor aye
Willard aye

Amendment to Records Disposition Schedule 2007-02, Department of Human Services, Office of Performance Outcomes and Accountability

The Department of Human Services requested Records Disposition Schedule 2007-02 be amended.

Approval of the Amendment to Records Disposition Schedule 2007-02 was moved by Smith and seconded by Chicoine.

Chicoine aye
Kellogg aye
Smith aye
Taylor aye
Willard aye

New Business:

No new business was conducted at this time.

Adjournment:

The meeting was adjourned at 10:27 a.m.

Melody A. Kellogg, Vice Chair and Secretary
Oklahoma Department of Libraries

Archives and Records Management Division Report – February 12, 2021

Archives

The National Association of Government Archives and Records Administrators recently featured two staff members (Holly Hasenfratz and Alyssa Vaughn) on their social media account by asking how COVID-19 has impacted their work. Additionally, *Family Tree* magazine named the agency's Digital Prairie website one of 2020's Top 75 State Genealogy Websites thanks to the Confederate Pension Records collection.

Two undergraduate history majors from the University of Oklahoma completed their digital internships in December. They primarily indexed court files and created entries for the Oklahoma history timeline on Digital Prairie. Holly Hasenfratz will be supervising one intern for the spring semester starting a digital internship at the end of January.

The Archives staff have received some interesting requests in recent weeks, including information about the names of tornado victims in Dewey County in 1908, information about an all-black school near McAlester prior to the 1950s, 1907 township plats for black towns, and a 1935 Oklahoma Supreme Court case requested by the US Attorney's Office in Washington DC.

Sharif Tucker continued his work editing images of scanned state publications. Madelyn Chambers continued her work scanning the court files for the US Northern District at Vinita, Indian Territory, and high school yearbooks for upload to Digital Prairie.

Staff fostered collaboration with several libraries and museums around the state to digitize unique and valuable content for inclusion in the Images of Oklahoma collection on Digital Prairie. The institutions included the Seminole Nation Museum in Wewoka, the Oilton City Clerk's Office, Connors State College, Stroud Public Library, and the Pawnee County Historical Society. Since October 1st, Alyssa Vaughn has uploaded 109 yearbooks from these institutions to Digital Prairie.

At the midpoint of FY2021, the Images of Oklahoma collection has grown by 272 items and the Archives.OK.Gov collection has increased by 140 items. Staff recently completed uploading 26 volumes of the Department of Wildlife Conservation's magazines to Archives.OK.Gov, a project which lasted over a year and includes 291 issues of the magazine.

The Archives staff helped ODL staff identify the first book that was donated to the Territorial Library on August 9th, 1890. The book is *Observations Made During the Year 1884 by the United States Naval Observatory* and is in the Oklahoma Room on the first floor.

Records Center & Annex

Agencies continued transferring records to the Records Center for storage. Recent transfers included: Secretary of State, Legislature, Office of Juvenile Affairs, Corporation Commission, and OMES Finance Division.

Greystone Construction started interior and exterior repair work to the Annex. The project is funded by a Capitol Improvement Grant.

**TITLE 60. ARCHIVES AND RECORDS COMMISSION
CHAPTER 10. ARCHIVES AND RECORDS**

SUBCHAPTER 7. MICROFILM [REVOKED]

60:10-7-1. Authenticity and photographic quality [REVOKED]

~~The Archives and Records Commission requires, prior to authorization for destruction of original records previously microfilmed, that state agencies seeking such destruction must first obtain certification of the identity and photographic quality of such film from the Micrographics Section of the Records Management Division of the Oklahoma Department of Libraries or personnel in other micrographics laboratories certified by the State Records Administrator. The Commission suggests ANSI/AIIM MS 23-1991, "Practice for Operational Procedures/Inspection and Quality Control of First Generation Silver-Gelatin Microfilm of Documents," as a guide for agency microfilming programs [67 O.S., Sections 305-306].~~

60:10-7-2. Quality control standards [REVOKED]

~~The following are quality control standards for microfilm of state records:~~

~~(1) Records and Microfilm Identification Declarations must be completed and signed by the official who has legal custody of the original records and by the camera operator, and filmed at the beginning and end of each roll of film thus identifying the records on that particular roll. The Commission suggests ANSI/AIIM MS 19-1993, "Recommended Practice for Identification of Microforms," as a guide for completing Microform Identification Declarations.~~

~~(2) Documents in a condition making it impossible to reproduce them in a legible and readable condition, as displayed on a microfilm reader or reproduced in paper copy, should be marked with a target to that effect, such as "The following document is below standards for microfilm." After being filmed, such documents must be withdrawn from the sequence and retained in the original for the same length of time as the applicable microfilm. Legibility is defined as the quality of a letter or numeral which enables the observer to identify it positively and quickly to the exclusion of all other letters and numerals. Readability is defined as the quality of a group of letters or numerals which makes them recognizable as words or whole numbers.~~

~~(3) Microfilm stock used for preservation of documents shall be safety base permanent records film, as specified in ANSI IT9.6-1991, "Photography Photographic Films—Specifications for Safety Film (revision and redesignation of ANSI PH 1.25-1984)."~~

~~(A) The required master record on microfilm (camera negative) shall be permanent record film as specified in ANSI/NAPM IT9.1-1992, "Imaging Media (Film) Silver-Gelatin Type Specifications for Stability (revision and redesignation of ANSI PH 9.1-1989)."~~

~~(B) In addition to the master record, a working copy of the microfilm may be provided. The working copy may be silver, diazo or vesicular type on a safety base of cellulose ester or polyester materials.~~

~~(4) In clear base, negative appearing microfilm of paper documents, the gross background density shall be between 0.8 and 1.50, depending on the type of original document and the reduction ratio. The base plus fog density of unexposed, processed, clear base film must not exceed 0.10. When a tinted base film is used, the density will increase by 0.1 or 0.2 which must be added to the 0.10 value. The Procedures for density~~

measurement are described in ANSI/AHM MS 23-1991, "Practice for Operational Procedures/Inspection and Quality Control of First-Generation Silver-Gelatin Microfilm of Documents." On negative microfilm produced by Computer Output Microfilm (COM), the background density shall be a minimum 1.1. These requirements apply only to the master records.

(5) Every master record shall have density measurements taken at five (5) separate locations listed in (a) through (e) of this paragraph. Whenever possible, the areas selected for recording density measurement shall be free of information. The locations for density measurement are:

- (A) at the beginning of the reel (within the first ten (10) frames);
- (B) one-quarter (1/4) of the way through the reel;
- (C) one-half (1/2) of the way through the reel;
- (D) three-quarters (3/4) of the way through the reel; and
- (E) at the end of the reel (within the last ten (10) frames).

(6) The maximum residual thiosulfate ion concentration for the master record shall not exceed 0.014 grams per square meter for records of permanent value or 0.030 grams per square meter for microfilm that the Archives and Records Commission has authorized for destruction within fifty years as determined by the methylene blue method for measuring thiosulfate as specified in ANSI/NAPM IT 9.1-1992, "Imaging Media (Film) — Silver-Gelatin Type — Specifications for Stability (revision and redesignation of ANSI PH 9.1-1989)." The residual thiosulfate ion test shall be performed in accordance with procedures outlined in ANSI/ISO 417-1993; ANSI/NAPM IT9.17-1993, "Determination of Residual Thiosulfate and other Related Chemicals in Processed Photographic Materials Methods Using Iodine Amylose, Methylene Blue and Silver Sulfide" (revision and redesignation of ANSI PH 4.8-1985), whenever any change in film, chemicals, or processing is made. Regular test periods should be observed, and if any reading of more than 0.014 grams per square meter occurs, the test shall be performed on a daily basis until the condition is corrected. The silver densitometric method, as outlined in ANSI/ISO 417-1993; ANSI/NAPM IT9.17-1993, "Determination of Residual Thiosulfate and other Related Chemicals in Processed Photographic Materials Methods Using Iodine Amylose, Methylene Blue and Silver Sulfide" (revision and redesignation of ANSI 4.8-1985), may be used for routine daily analysis providing the density stain differential produced in this method is no greater than 0.02, but this test is not a sufficiently reliable substitute for the methylene blue method required by this section.

(7) Archival quality as defined in ANSI/NAPM IT9.1-1992, "Imaging Media (Film) — Silver-Gelatin Type — Specifications for Stability (revision and redesignation of ANSI PH9.1-1989)" is required for records with a retention requirement greater than ten (10) years except that thermally processed silver film (TPS) is acceptable as the master negative for microfilm that the Archives and Records Commission has authorized as permanent. The master record must be stored in accordance with ANSI IT9.11, "Imaging Media Processed Safety Photographic Film — Storage (revision and redesignation of ANSI PH1.43-1985)."

(8) Retakes, properly identified, may be spliced to either the beginning or end of the reel containing the images for which the retakes are necessary. Splices shall be butt welded or by use of photographic splicing tape or ultrasonic splicer. Retakes, properly

~~identified, may be produced as a separate reel. Splices within the sequence of filmed documents are not acceptable.~~

~~(9) Requests for destruction of records that have been microfilmed must include quality evaluation forms from the Micrographics Section of the Records Management Division of the Oklahoma Department of Libraries or authorized personnel in other micrographics laboratories certified by the State Records Administrator certifying that the microfilm meets the above standards for identification, photographic quality, and storage.~~

60:10-7-3. Computer output microfilm (COM) [REVOKED]

~~The master Records produced by computer output microfilm (COM) technology shall meet the same standards for storage delineated in 60:10-7-2(7). For microfilm that the Archives and Records Commission has authorized as permanent, either wet processed silver film or thermally processed silver film (TPS) is acceptable COM output.~~

60:10-7-4. Micrographics laboratory certification [REVOKED]

~~The State Records Administrator, in conjunction with the Archives and Records Commission, shall establish criteria for, and certify, agency and other micrographics programs that provide microfilming services for state records, in accordance with approved records disposition schedules. Microfilm and microfiche produced by programs that are not certified shall be quality evaluated by laboratories that are certified. All certified laboratories shall submit copies of all microform quality evaluation forms and a five percent (5%) sample of microforms they have created and/or quality evaluated to the Micrographics Section of the Records Management Division. Program certification shall be for one (1) year, and may be revoked at any time by the State Records Administrator, on written notice to the agency head or applicable private firm official stating the reason for certification revocation.~~

SUBCHAPTER 8. OPTICAL IMAGING

60:10-8-6. Annual compliance report [REVOKED]

~~(a) Every agency, board, commission, or institution maintaining records in optical imaging format with an approved retention period of ten (10) years or more in accordance with approved records disposition schedules shall file annually each July with the State Records Administrator a report stating that it is in compliance with all statutory provisions and Archives and Records Commission Rules pertaining to maintaining records in optical imaging format. Upon receipt and acknowledgement of the report, the State Records Administrator or his/her designee shall transmit a copy of the report to the submitting agency, board, commission, or institution. The report shall be on a reporting form provided by the Records Management Division that contains the following information:~~

- ~~(1) The name of the agency, board, commission, or institution filing the report.~~
- ~~(2) The year covered by the report.~~
- ~~(3) The name and signature of the person who compiled the report.~~
- ~~(4) The date the report was compiled.~~
- ~~(5) The name of the optical imaging system administrator.~~
- ~~(6) The schedules, records series numbers, and records series titles of all records with a retention period of ten (10) years or more maintained in optical imaging format.~~
- ~~(7) The name and signature of the person submitting the compliance report.~~

- (8) ~~The date the report was received by the State Records Administrator and the name of the person acknowledging receipt.~~
- (b) ~~The State Records Administrator shall notify the Archives and Records Commission of any agency, board, commission, or institution that fails to file an annual report.~~

SUBCHAPTER 11. SERVICE FEES

60:10-11-2. Archival microfilming service fees [REVOKED]

~~The Department of Libraries is authorized to provide microfilming services to state agencies or subdivisions of Oklahoma government and to be paid for these services on the basis of fee schedules established by the Archives and Records Commission [67 O.S., Section 301].~~

(1) ~~**Microfilm.** The following fees shall be charged for microfilm:~~

~~(A) **16mm microfilm.** Providing duplicates of 16mm film by photographic duplication of original: \$25.00 per 100 ft. roll; \$27.50 per 215 ft. roll.~~

~~(B) **35mm microfilm.** Providing duplicates of 35mm film: \$30.00 per 100 ft. roll.~~

~~(C) **105mm microfilm.** Providing duplicates of 105mm fiche: \$0.50 for first copy plus \$0.25 for additional copies of the same fiche.~~

(2) ~~**Security film storage.** There shall be no charge for storing master negatives of state agency and local government microfilm and microfiche in the Department of Libraries microform security vaults.~~

(3) ~~**Other micrographics services.** The fee for any services in addition to basic processing, duplicating and automatic-feed filming shall be \$15 per hour of staff time.~~

60:10-11-3. Charges for special equipment and supplies [REVOKED]

~~Rental charges for special equipment and costs of special supplies in addition to filming, processing and duplicating procedures will be paid by the agency for whom filming is being done. Before a filming project is begun, a maximum cost amount must be agreed to by the Records Management Division and the agency for whom the filming is being done.~~

**TITLE 60. ARCHIVES AND RECORDS COMMISSION
CHAPTER 10. MICROFILM**

Rule Impact Statement

1. Brief description of the purpose of the proposed rule

The Department proposes to revoke the following rules as they relate to activities and services no longer provided by the Oklahoma Department of Libraries: OAC 60:10-7-1, OAC 60:10-7-2, OAC 60:10-7-3, OAC 60:10-7-4, OAC 60:10-11-2, OAC 60:10-11-3. The Department proposes to revoke OAC 60:10-8-6 because this report is no longer necessary based on the current technology for electronic records management.

2. Classes of persons affected by the proposed rule changes

The staff working in state agencies who manage state agency records are the anticipated classes of persons who may be affected by these proposed rule changes.

3. Description of the classes of persons who will benefit from the proposed rules

The staff working in state agencies who manage state agency records are the anticipated classes of persons who may benefit from the proposed rule changes. With the approval to revoke OAC 60:10-8-6, agencies will no longer be required to file an annual optical imaging report.

4. Probable economic impact of the proposed rule upon affected classes of persons or political subdivisions

There will be no economic impact upon affected classes or political subdivisions with the approval to revoke these rules.

5. Probable costs and benefits to the agency and to any agency of the implementation and enforcement of the proposed rule, the source of revenue to be used for implementation and enforcement of the proposed rule, and any anticipated effect on state revenues, including a projected net loss or gain if it can be projected by the agency.

There are no costs or benefits to state agencies with the approval to revoke these rules.

There is no anticipated effect on state revenues with the approval to revoke these rules.

6. Determination of whether implementation of the proposed rule will have an economic impact on any political subdivisions or require their cooperation in implementing or enforcing the rule.

The proposed rule changes will have no economic impact on political subdivisions.

7. Determination of whether implementation of the proposed rule will have an adverse economic effect on small business

No adverse economic effect on small business is expected if proposed rule changes are implemented.

8. Explanation of the measures the agency has taken to minimize compliance costs and a determination of whether there are less costly or nonregulatory methods or less intrusive methods for achieving the purpose of the proposed rule

There are no expected compliance costs to implement the proposed rule changes. There were no less costly, nonregulatory, or less intrusive ways to achieve the purpose of providing clarifications to the rules.

9. Determination of the effect of the proposed rule on the public health, safety and environment and, if the proposed rule is designed to reduce significant risks to the public health, safety and environment

There is no anticipated effect on the public health, safety and environment. The proposed rule changes are not designed to reduce significant risks to the public health, safety and environment.

10. The rule impact statement was prepared on November 19, 2020.

BOARD OF TESTS FOR ALCOHOL AND DRUG INFLUENCE

NEW Records Disposition Schedule **2021-01**

*** February 25, 2021***

Summary

Agency requests new schedule be created.

1-1 Agency requests series be added to its schedule.

1-1A Agency requests series be added to its schedule.

1-2 Agency requests series be added to its schedule.

1-3 Agency requests series be added to its schedule.

1-3A Agency requests series be added to its schedule.

1-4 Agency requests series be added to its schedule.

1-5 Agency requests series be added to its schedule.

1-5A Agency requests series be added to its schedule.

1-6 Agency requests series be added to its schedule.

1-7 Agency requests series be added to its schedule.

1-8 Agency requests series be added to its schedule.

1-8A Agency requests series be added to its schedule.

1-9 Agency requests series be added to its schedule.

1-9A Agency requests series be added to its schedule.

1-9B Agency requests series be added to its schedule.

1-9C Agency requests series be added to its schedule.

1-10 Agency requests series be added to its schedule.

1-11 Agency requests series be added to its schedule.

ARCHIVES AND RECORDS COMMISSION

BOARD OF TESTS FOR ALCOHOL AND DRUG INFLUENCE

NEW Records Disposition Schedule 2021-01

*** February 25, 2021***

This records disposition schedule encompasses the original schedule approved by the Archives and Records Commission on February 25, 2021.

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.

In order to maintain individual record series in the most efficient and cost-effective format, the Board of Tests for Alcohol and Drug Influence 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.

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.

BOARD OF TESTS FOR ALCOHOL AND DRUG INFLUENCE

NEW Records Disposition Schedule **2021-01**

*** February 25, 2021***

1-1 Breath-Alcohol Operator Permits (Valid/Active)

Description: File includes applications for permit, references, transcripts, correspondence, re-instatements, test scores for currently permitted or certified breath-alcohol operators, and related information.

Volume: one (1) cubic foot per year

Disposition: Retain in office until expired, then transfer to series 1-1A.

1-1A Breath-Alcohol Operator Permits (Expired)

Description: File includes applications for permit, references, transcripts, correspondence, re-instatements, test scores for past permitted or certified breath-alcohol operators, and related information, for individuals that did not choose to renew and/or did not pay a renewal fee.

Volume: one (1) cubic foot per year

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

1-2 Breath-Alcohol Operator Permits (Revoked)

Description: File includes applications for permit, references, transcripts, correspondence, re-instatements, test scores for currently permitted or certified breath-alcohol operators, and related information, for individuals who have had their permit revoked.

Volume: less than one (1) cubic foot per year

Disposition: Retain in office permanently.

1-3 Licensed Ignition Interlock Service Center (Valid/Active)

Description: File includes applications for licensure, references, transcripts, correspondence, inspections for currently licensed service center, and related information.

Volume: less than one (1) cubic foot per year

Disposition: Retain in office until inactive or expired, then transfer to series 1-3A.

1-3A Licensed Ignition Interlock Service Center (Suspended/Inactive)

BOARD OF TESTS FOR ALCOHOL AND DRUG INFLUENCE

NEW Records Disposition Schedule **2021-01**

*** February 25, 2021***

Description: File includes applications for licensure, references, transcripts, correspondence, inspections for suspended or inactive licensed service center, and related information.

Volume: one (1) cubic foot per year

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

1-4 Licensed Ignition Interlock Service Center (Revoked)

Description: File includes applications for licensure, references, transcripts, correspondence, inspections for revoked licensed service center, and related information.

Volume: one (1) cubic foot per year

Disposition: Retain in office permanently.

1-5 Ignition Interlock Technician Permits (Valid/Active)

Description: File includes applications for permit, references, transcripts, correspondence, reinstatements, test scores for currently permitted or certified technician, and related information.

Volume: one (1) cubic foot per year

Disposition: Retain in office until expired, then transfer to series 1-5A.

1-5A Ignition Interlock Technician Permits (Expired)

Description: File includes applications for permit, references, transcripts, correspondence, reinstatements, test scores for past permit or certified technician, and related information, for individuals that did not choose to renew and/or did not pay a renewal fee.

Volume: one (1) cubic foot per year

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

1-6 Ignition Interlock Technician Permits (Revoked)

BOARD OF TESTS FOR ALCOHOL AND DRUG INFLUENCE

NEW Records Disposition Schedule **2021-01**

*** February 25, 2021***

Description: File includes applications for permit, references, transcripts, correspondence, reinstatements, test scores for past permit or certified technician, and related information, for individuals who have had their permit revoked.

Volume: less than one (1) cubic foot per year

Disposition: Retain in office permanently.

1-7 Evidential Testing Devices - Maintenance Records

Description: File includes information relating to maintenance of approved devices, consisting but not limited to service overview, certificate of calibration and operation, bench check report, technician notes or reports, gas certificates, wet bath solution certificates, mock subject tests and any analyses of gas or wet bath solutions.

Volume: three (3) cubic foot per year

Disposition: Retain in office until five (5) years after the instrument has been removed from the approved evidential devices list, then destroy.

1-8 Manufacturer Ignition Interlock Device Certification File

Description: File includes applications for device certification, references, transcripts, correspondence, user manuals, proof of insurance, compliance tests, and other related information.

Disposition: Retain in office one (1) year after the instrument has been removed from the approved devices list, then destroy.

1-8A Ignition Interlock Device Compliance Test

Description: File includes compliance tests conducted by authorized Board of Tests (BOT) staff.

Disposition: Retain in Manufacturer Ignition Interlock Device Certification File, Series 1-8, until no longer required for administrative purposes, then destroy.

BOARD OF TESTS FOR ALCOHOL AND DRUG INFLUENCE

NEW Records Disposition Schedule **2021-01**

*** February 25, 2021***

1-9 Interlock - Foreign Installation Applications

Description: File includes foreign installation applications submitted by out of state ignition interlock participants.

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

1-9A Interlock - Verified Violation Reports

Description: File includes violation reports received electronically and verified by BOT staff, then submitted to the Department of Public Safety.

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

1-9B Interlock - Installation Reports

Description: File includes installation verifications submitted electronically by manufacturers regarding interlock participants.

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

1-9C Interlock - Removal Reports

Description: File includes removal verifications submitted electronically by manufacturers regarding interlock participants.

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

1-10 Application for Interlock History

Description: File includes applications submitted by ignition interlock participants requesting interlock violation history.

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

BOARD OF TESTS FOR ALCOHOL AND DRUG INFLUENCE

NEW Records Disposition Schedule **2021-01**

*** February 25, 2021***

1-11 **Ignition Interlock Violation Affidavit**

Description: File includes violation report affidavit submitted by BOT staff regarding ignition interlock participants to the Department of Public Safety.

Disposition: Retain in office until no longer required for administrative purposes, then destroy, provided no legal actions are pending. If legal action is pending, destroy one (1) year after the exhaustion of all legal remedies, provided records meet all stipulated retention requirements.

ARCHIVES AND RECORDS COMMISSION

LANGSTON UNIVERSITY

Records Disposition Authorization 2021-01

*** February 25, 2021 ***

Summary

Langston University requests authorization for the destruction of the described records.

ARCHIVES AND RECORDS COMMISSION

LANGSTON UNIVERSITY

Records Disposition Authorization 2021-01

*** February 25, 2021 ***

Langston University requests authorization for the immediate destruction of the following records which were destroyed by water and mold in the fall of 2020.

Dates Included: Records created prior to January 2016.

Risk Management Coordinator Alicia Sumlin reported that the storage area had last been accessed by staff in 2016. No additional records have been stored in the area since that time.

Volume Estimate: Three hundred (300) cubic feet. The storage area includes 14,364 cubic feet and 1,026 square feet.

Records were stored in a basement level storage area that has leaked over many years. The Records Coordinator reported that the storage area is now uninhabitable due to poor ventilation and air quality.

The Records Coordinator met with the Director of Facilities who reported that the storage area had been inspected by Blackmon Mooring BMS CAT, a disaster recovery company with mold remediation expertise, October 2020. The report provided by the company stated that all records were likely affected by mold due to the water damage to the records and air circulation in the area.

Records were shelved within the room by division, such as Business Office, Accounting, Accounts Payable, Registrar's Office and Human Resources. Many of the boxes and records stored in the area were disintegrating. Many boxes were not labeled. Some labels were no longer readable. Staff from all divisions reported that records created prior to 2016 had not been added to this area. More recent inactive records are currently stored in different storage areas.

While no log or index exists of the records stored in the area, staff are unaware of any audit or legal requirements that would involve the records. The primary concern of staff was the possibility that some inactive personnel records were stored in the area.

ARCHIVES AND RECORDS COMMISSION

LANGSTON UNIVERSITY

Records Disposition Authorization 2021-01

* February 25, 2021 *



ARCHIVES AND RECORDS COMMISSION

DEPARTMENT OF CORRECTIONS
Amendments to Records Disposition Schedule **81-14**

*** February 25, 2021 ***

Summary

- 4-16 Agency requests series be transferred from Schedule 88-13, Series 15-2.
- 4-17 Agency requests series be added to its schedule.
- 7-1 Agency requests series be deleted. The Treatment Alternatives to Street Crime (TASC) program was discontinued in the early 2000s. There is no backlog of records.
- 7-5 Agency requests series be deleted. The Treatment Alternatives to Street Crime (TASC) program was discontinued in the early 2000s. There is no backlog of records.
- 7-7 Agency requests series be deleted. The Treatment Alternatives to Street Crime (TASC) program was discontinued in the early 2000s. There is no backlog of records.
- 7-8 Agency requests series be deleted. The Treatment Alternatives to Street Crime (TASC) program was discontinued in the early 2000s. There is no backlog of records.

ARCHIVES AND RECORDS COMMISSION

DEPARTMENT OF CORRECTIONS
Amendments to Records Disposition Schedule 81-14

* February 25, 2021 *

Accounting Office

4-16 **Inmate Trust Fund Files** Confidential Record 51 O.S. 24A.5(2)

Description: These records pertain to inmate trust funds at all facilities and community corrections centers. The files include trust fund ledger cards and inmate disbursement requests (requests for money).

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

Transfer from Schedule 88-13, series 15-2, February 25, 2021

4-17 **Receipts for Canteen Purchases**

Description: File consists of receipts for purchases made by inmates from facility canteens.

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

Add to schedule, February 25, 2021

ARCHIVES AND RECORDS COMMISSION

DEPARTMENT OF CORRECTIONS
Amendments to Records Disposition Schedule 81-14

* February 25, 2021 *

Treatment Alternatives to Street Crime (TASC)

~~7-1~~ **TASC Monthly Screening Reports** ~~Confidential Record~~

~~Description:~~ Agency copies of Monthly Screening Reports concerning the number of persons interviewed for participation in the TASC program, the number of clients who enrolled in the program, and the number of persons who were interested but not eligible. These are used to monitor and evaluate the TASC program and for comparison with other sentencing procedures. The forms are coded, except for the names of the clients. This data is placed in the Department of Corrections computer, with a copy of the report kept in the respective field offices.

~~Disposition:~~ Retain in office five (5) years, then destroy.
Delete from schedule, February 25, 2021

~~7-5~~ **Monthly Client Report** ~~Confidential Record~~

~~Description:~~ This report serves as a primary source for the monitoring and evaluation of the TASC program. The activities and movements of all clients for each month are recorded, in code, on the reports. They are prepared by the case managers to provide information concerning both their clients and their case loads.

~~Disposition:~~ Retain in office five (5) years, then destroy.
Delete from schedule, February 25, 2021

~~7-7~~ **Quarterly Reports**

~~Description:~~ These Quarterly Reports contain the financial and narrative reports to the Oklahoma Crime Commission concerning grant funding, the implementation of the grants, and the results and benefits expected and derived. They are a statistical and narrative summary of all sectional work. Two copies of this report are sent to LEAA, one is retained at the Oklahoma Crime Commission, and one copy is kept at the TASC office.

~~Disposition:~~ Retain in office for the duration of the grant, plus ten (10) years, then destroy.
Delete from schedule, February 25, 2021

ARCHIVES AND RECORDS COMMISSION

DEPARTMENT OF CORRECTIONS
Amendments to Records Disposition Schedule 81-14

* February 25, 2021 *

Treatment Alternatives to Street Crime (TASC)

7-8 **Grant Correspondence**

Description: ~~These files contain correspondence to and from the LEAA, concerning grant management, requests for modifications in grants, and major budget revisions.~~

Disposition: ~~Retain in office for the duration of the grant, plus ten (10) years, then destroy.~~
Delete from schedule, February 25, 2021

ARCHIVES AND RECORDS COMMISSION

DEPARTMENT OF CORRECTIONS
Community Treatment Centers
Amendments to Records Disposition Schedule **88-13**

*** February 25, 2021 ***

Summary

15-2 Agency requests series be amended and transferred to Schedule 81-14, Series 4-16.

ARCHIVES AND RECORDS COMMISSION

DEPARTMENT OF CORRECTIONS
Community Treatment Centers
Amendments to Records Disposition Schedule 88-13

* February 25, 2021 *

Accountant Files

15-2 ~~CCC Trust Fund Records~~ Confidential Record

~~Description: These records pertain to inmate trust funds at Community Correctional Centers and include trust fund ledger cards and inmate disbursement requests (requests for money).~~

~~Disposition: Retain in office until one (1) year after case is closed and all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then transfer to the State Records Center. If legal action is pending transfer two (2) years after exhaustion of all legal remedies. Destroy records when the case has been closed five (5) years.~~
Retain in office seven (7) years, then destroy, provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies.

Amend and transfer to Schedule 81-14, Series 4-16, February 25, 2021

ARCHIVES AND RECORDS COMMISSION

GRAND RIVER DAM AUTHORITY
Amendments to Records Disposition Schedule **89-13**

*** February 25, 2021 ***

Summary

Agency requests Introduction to Schedule be amended.

1-3 Agency requests series be amended.

ARCHIVES AND RECORDS COMMISSION

GRAND RIVER DAM AUTHORITY
Amendments to Records Disposition Schedule **89-13**

*** February 25, 2021 ***

This Consolidated Records Disposition Schedule encompasses the original schedule approved by the Archives and Records Commission October 11, 1989, and amendments approved on January 22, 2003, and July 25, 2019. 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.

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.

Federal Regulations Governing Records Retention

~~Certain records of the Grand River Dam Authority are governed by 18 C.F.R. §125.~~

The retention of certain records of the Grand River Dam Authority are governed by 18 C.F.R. §§ 125.1-125.3 (Preservation of Records of Public Utilities and Licensees).

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.

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.

GRAND RIVER DAM AUTHORITY
Amendments to Records Disposition Schedule **89-13**

*** February 25, 2021 ***

Administrative Records

1-3 **Correspondence** (~~Refer to General Records Disposition Schedule, Series 1-3, and 1-4~~)

Compliance Department

Description: Files consist of correspondence, memos, and reports, including electronic correspondence (i.e. e-mail, fax transmissions, and any other electronic system), of the employees in the Compliance Department.

Disposition: Retain for seven (7) years, then destroy, provided they are no longer required for administrative purposes, 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.

Human Resources Department

Description: Files consist of general correspondence, memos, and reports, including electronic correspondence (i.e. e-mail, fax transmissions, and any other electronic system), of the employees in the Human Resources Department.

Disposition: Retain seven (7) years, then destroy, provided they are no longer required for administrative purposes, 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.

Management Staff

Description: Files consist of general correspondence, memos, and reports, including electronic correspondence (i.e. e-mail, fax transmissions, and any other electronic system), of the Executive and Senior Management staff, except for the employees in the Finance, Compliance, or Human Resources Departments.

Disposition: Retain five (5) years, then destroy, provided they are no longer required for administrative purposes, 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.

GRAND RIVER DAM AUTHORITY
Amendments to Records Disposition Schedule **89-13**

*** February 25, 2021 ***

Administrative Records

Supervisors

Description: Files consist of general correspondence, memos, and reports, including electronic correspondence (i.e. e-mail, fax transmissions, and any other electronic system), of Supervisors who are not included in Executive or Senior Management Staff or the Finance, Compliance, or Human Resources Departments.

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

Other Employees

Description: Files consist of general correspondence, memos and reports including electronic correspondence (i.e. e-mail, fax transmissions, and any other electronic system), of the employees who do not perform in the roles of Executive and Senior Management staff, or in the Finance, Compliance, or Human Resources Departments.

Disposition: Retain two (2) years, then destroy, provided they are no longer required for administrative purposes, 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.

For all other correspondence, refer to General Records Disposition Schedule, Series 1-3, and 1-4.

ARCHIVES AND RECORDS COMMISSION

OFFICE OF THE GOVERNOR
Amendments to Records Disposition Schedule **86-27**

*** February 25, 2021 ***

Summary

- 1-2 Agency requests series be amended.
- 1-2A Agency requests series be added to its schedule.

OFFICE OF THE GOVERNOR
Amendments to Records Disposition Schedule **86-27**

*** February 25, 2021 ***

1-2 **Appointment Files**

Description: File includes information related to appointees, usually arranged chronologically and by name of appointee and agency. These files may include job resumes and correspondence. See Series 1-2A for judicial appointment files.

Disposition: Retain in office until no longer required for administrative purposes, then transfer to the State Archives for permanent preservation, with authority to weed duplicate and ancillary materials.

1-2A **Judicial Nominating Commission (Records may be confidential, subject to 51 O.S. §24A.7, 74 O.S. §150.5, and 1997 OK AG 16.)**

Description: File includes Applications for Judicial Vacancy (Application) and personal information filed by the applicants with the chairperson of the Judicial Nominating Commission (JNC) at the office of the Administrative Director of the Courts. The Administrator or his/her appointee compiles a confidential investigation of the judicial candidates which can include lawyer and judicial complaints/disciplinary records, criminal history reports, background investigation reports of the Oklahoma State Bureau of Investigation, credit history reports, educational records, tax records, records of the Oklahoma Bar Association and Oklahoma Board of Bar Examiners, records of civil or criminal litigation, records of the Oklahoma Ethics Commission, and any correspondence regarding the candidates.

The chairperson of the JNC or his/her appointee delivers to the Governor a copy of the Application and all other documents related to the confidential investigation for the three candidates selected by the JNC for potential appointment (Supreme Court Records Disposition Schedule 80-44, Series 1-13).

Disposition: Appointed candidates: Retain Application in office ten (10) years, then destroy. Retain all other documents relating to the confidential investigation of the appointee until appointee is sworn in, then destroy. Candidates not appointed: Retain Applications and all other documents until appointee is sworn in, then destroy.

Add to schedule, February 25, 2021

ARCHIVES AND RECORDS COMMISSION

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

*** February 25, 2021 ***

Summary

7-27 Agency requests series be added to its schedule.

ARCHIVES AND RECORDS COMMISSION

STATE REGENTS FOR HIGHER EDUCATION

Amendments to Records Disposition Schedule 90-03

* February 25, 2021 *

Core/Legal

7-27 **Oklahoma Teacher Connection (OTC) 70 OS § 698.3, Confidential Record 20 U.S.C. § 1232**

Description: File contains Teacher Shortage Employment Incentive Program (TSEIP) Application, Oklahoma Teacher Retirement Contact Information, Official Transcripts, Copy of State of Oklahoma Teaching Certificate, Notarized TESIP Employment Compliance Form, Notarized Affidavit of Agreement for Repayment of School Loans, Applicant Information Update Form and Disbursement of program benefits to qualifying participants for eligible student loans.

Volume: one (1) cubic foot per year

Disposition: Retain in office twenty-five (25) 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, February 25, 2021

ARCHIVES AND RECORDS COMMISSION

OKLAHOMA STATE DEPARTMENT of HEALTH
Commissioner of Health
Amendments to Records Disposition Schedule **2002-01**

*** February 25, 2021 ***

Summary

13-1 Agency requests series be amended.

ARCHIVES AND RECORDS COMMISSION

OKLAHOMA STATE DEPARTMENT of HEALTH
Commissioner of Health
Amendments to Records Disposition Schedule **2002-01**

*** February 25, 2021 ***

Office of Administrative Hearings

13-1 Administrative Hearings (Confidential Record 51 O.S. §24A.7)

Description: This file consists of recordings and documents related to individual hearings of the agency's Administrative Law Judge.

Volume: four (4) cubic feet per year.

Disposition: Retain in office ~~permanently~~ three (3) years after the exhaustion of all legal remedies, then destroy, provided approval to destroy records has been received from the State Records Administrator.

ARCHIVES AND RECORDS COMMISSION

DEPARTMENT OF HUMAN SERVICES

Programs Division

Amendments to Records Disposition Schedule **87-04**

*** February 25, 2021 ***

Summary

- 71-1 Agency requests series be deleted. These records are included in Schedule 2000-02, Series 1-20 and Schedule 82-37, Series 2-32.
- 71-2 Agency requests series be deleted. These records are included in Schedule 2000-02, Series 1-20 and Schedule 82-37, Series 2-32.
- 72-1 Agency requests series be amended and transferred to Schedule 2001-01, Series 13-5.

ARCHIVES AND RECORDS COMMISSION

DEPARTMENT OF HUMAN SERVICES

Programs Division

Amendments to Records Disposition Schedule 87-04

* February 25, 2021 *

Field Operations/Licensing

71-1 ~~Family Day Care Home Licensing Files (Active) (Regional Offices) (Record Copy)~~

~~Description: Files pertain to the licensing of Family Day Care Homes (five (5) children or less) and contain applications for license; requests for license renewals; information sheets listing data about day care home staff (e.g., educational backgrounds); T.B. test results and other medical information about day care home staff; copies of any applicable articles of incorporation; copies of facility health and fire safety inspection reports; visitation reports compiled by DHS staff; and correspondence.~~

~~Volume: 2 cubic feet per year~~

~~Disposition: Retain in office and transfer individual files to Series 71-2 when applicable facility voluntarily fails to renew its license. For facilities whose licenses are revoked or whose applications for renewal are rejected by DHS, retain files in office permanently.~~

~~Delete from schedule, February 25, 2021~~

~~These records are included in Schedule 2000-02, Series 1-20 and Schedule 82-37, Series 2-32.~~

71-2 ~~Family Day Care Home Licensing Files (Inactive) (Regional Offices) (Record Copy)~~

~~Description: Contains the same types of documents and information as Series 71-1.~~

~~Volume: 2 cubic feet per year~~

~~Disposition: Retain in Inactive Files three (3) years, then destroy provided that no legal actions are pending. If legal action is pending destroy two (2) years after the exhaustion of all legal remedies.~~

~~Delete from schedule, February 25, 2021~~

~~These records are included in Schedule 2000-02, Series 1-20 and Schedule 82-37, Series 2-32~~

ARCHIVES AND RECORDS COMMISSION

DEPARTMENT OF HUMAN SERVICES

Programs Division

Amendments to Records Disposition Schedule 87-04

* February 25, 2021 *

Field Operations/ACIS

72-1 ~~KW Case Type~~/AIDS Coordinator Information Service (ACIS) Case Record Confidential Record (43A O.S., §10-110)

Description: ~~Files contain client intake records (i.e., psycho social), progress notes, service codings, release of information documentation.~~

File contains client intake (i.e. psycho social), disability, medical and insurance records; progress notes; service codings; and release of information documentation.

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

Volume: ~~5 cubic feet per year~~

Disposition: ~~Retain in office and destroy three (3) years after closing of case file~~ three (3) years after the case is closed, by the client's death, out-of-state move, or personal request, 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 2001-01, Series 13-5, February 25, 2021

ARCHIVES AND RECORDS COMMISSION

DEPARTMENT OF HUMAN SERVICES

General Records

Amendments to Records Disposition Schedule 97-05

* February 25, 2021 *

Summary

- 1-31 Agency requests series be amended.
- 1-35 Agency requests series be amended.
- 1-42 Agency requests series be amended.
- 1-43 Agency requests series be amended.
- 2-15 Agency requests series be amended.
- 3-3 Agency requests series be amended.

ARCHIVES AND RECORDS COMMISSION

DEPARTMENT OF HUMAN SERVICES

General Records

Amendments to Records Disposition Schedule 97-05

* February 25, 2021 *

1-31 **Open Records Request**

Description: File contains requests for information from local offices, available under provisions of the Oklahoma Open Records Act (51 O.S., § 24A.1 *et seq.*), and may include DHS Form 23RM023E, ~~Certification for Inspection of Warrant Registers and Open Records Request~~ Request to Review and/or Copy Records, or equivalent, correspondence, copying fee information and allied information. Each County Office is the office of record for its requests (Schedule 82-37, Series 2-12).

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

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

1-35 **Survey Response Sheets**

Description: File contains responses to various questionnaires. Data is compiled for statistical analysis and used to ensure that quality services are provided by the agency.

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

Disposition: Retain one (1) year after the date the survey was mailed, 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.~~

1-42 **Identification Badge Data Base**

Description: File contains the Identification Badge database containing name, division, unit and badge number of persons issued an Identification Badge, and information relative to badges that have been returned, or lost or stolen.

Volume: less than one (1) cubic foot per year

Disposition: Retain ~~in office~~ and update as needed.

ARCHIVES AND RECORDS COMMISSION

DEPARTMENT OF HUMAN SERVICES

General Records

Amendments to Records Disposition Schedule 97-05

* February 25, 2021 *

1-43 **Identification Badge Electronic Log**

Description: File contains electronically generated log containing identification code of persons accessing OKDHS facilities after normal business hours and the date and time of entry.

Disposition: Retain on-line and download monthly to magnetic disks. Retain individual disks one hundred eighty (180) days, then erase and reuse or destroy provided: no legal actions are pending, and approval to erase and reuse or destroy disks has been received from the State Records Administrator. If legal action is pending erase and reuse or destroy applicable disk two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements ~~and approval to erase and reuse or destroy disk has been received from the State Records Administrator.~~

2-15 **Equipment Warranty File**

Description: File contains warranties for equipment purchased.

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

Volume: one (1) cubic foot per year

Disposition: Retain until equipment is sold, surplus, or otherwise removed from service, 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.~~

DEPARTMENT OF HUMAN SERVICES

General Records

Amendments to Records Disposition Schedule **97-05**

*** February 25, 2021 ***

3-3 **Employment Applications and Interview Records—Applicants Not Hired**

Records are subject to 51 O.S., §24A.7

Description: File contains supervisory copy of applications for employment, supporting documentation such as transcripts, resumes, and letters of recommendation; interview questions to summarize interviews and interviewer comments; notes and other records pertaining to employment applications and job interviews pertaining to applicants not hired.

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

Disposition: Retain two (2) years after making of the records or the personnel action involved, whichever occurred later, then destroy provided no legal action is pending, and permission 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 permission to destroy records has been received from the State Records Administrator.~~
(29 CFR, § 1602.31)

ARCHIVES AND RECORDS COMMISSION
DEPARTMENT OF HUMAN SERVICES
Aging Services ~~Division~~
Amendments to Records Disposition Schedule 2001-01

* February 25, 2021 *

Summary

Agency requests division name be changed.

Agency requests Introduction to schedule be amended.

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. 1-9

Agency requests series be amended. 2-1

Agency requests series be amended. 5-1

Agency requests series be amended.

5-2 Agency requests series be added to its schedule. 6-

1 Agency requests series be amended.

6-3 Agency requests series be amended. 7-

1 Agency requests series be amended. 7-2

Agency requests series be amended. 7-4

Agency requests series be amended. 7-5

Agency requests series be amended. 7-7

Agency requests series be amended.

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7-8 Agency requests series be amended. 7-
9 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 deleted. These records are no longer created. There is no backlog of records.

8-6 Agency requests series be deleted. These records are no longer created. There is no backlog of records.

9-1 Agency requests series be amended. 9-

2 Agency requests series be amended. 9-3

Agency requests series be amended. 9-4

Agency requests series be amended. 10-1

Agency requests series be amended.

11-1 Agency requests series be deleted from schedule. These records are no longer created. There is no backlog of records.

12-1 Agency requests series be amended.

12-2 Agency requests series be amended.

13-1 Agency requests series be added to schedule.

13-2 Agency requests series be added to schedule.

13-3 Agency requests series be added to schedule.

13-4 Agency requests series be transferred from Schedule 2001-04, Series 2-1.

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- 13-5 Agency requests series be transferred from Schedule 87-04, Series 72-1.
- 13-6 Agency requests series be transferred from Schedule 2001-04, Series 2-5.

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This Records Disposition Schedule, approved January 17, 2001, and subsequent amendments approved on July 18, 2001, April 17, 2002, July 17, 2002, April 24, 2003, July 22, 2004, October 26, 2006, April 26, 2007, July 31, 2008, January 22, 2009, October 29, 2009, January 19, 2012, April 19, 2012, and July 17, 2014 is derived from records in Series 56-1 through 64-3, Records Disposition Schedule 87-04 approved by the Archives and Records Commission on January 14, 1987.

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.

All records scheduled for records storage, including temporary and permanent records, may be stored at the DHS Records Center, the Oklahoma Department of Libraries' State Records Center, or an off-site commercial records storage facility contracted with the Department of Human Services.

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

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1-1 **Correspondence (Aging Services ~~Division~~ Administration)**

Description: ~~Files consist of outgoing and incoming~~ File contains correspondence, memos and reports including electronic correspondence (~~i.e. e-mail, fax transmissions, and any other electronic system~~), of the Aging Services ~~Division~~ 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.

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 in office five (5) years, then destroy, provided they are no longer required for administrative purposes, 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.

1-2 **Correspondence (Aging Services ~~Division~~ Managers and Supervisors)**

Description: ~~Files consist of outgoing and incoming~~ File contains correspondence, memos and reports including electronic correspondence (~~i.e. e-mail, fax transmissions, and any other electronic system~~), of the Aging Services ~~Division~~ managers and supervisors and other persons acting in the role of a supervisor.

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

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 they are no longer required for administrative purposes, 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

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retention requirements.

1-3 Correspondence (all other Aging Services ~~Division~~ employees) [~~Hard Copy Records~~]

Description: ~~Files consist of outgoing and incoming~~ File contains correspondence, memos and reports including electronic correspondence (~~i.e. e-mail, fax transmissions, and any other electronic system~~), of the Aging Services ~~Division~~ employees not acting in the roles of administration or supervision.

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

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

1-4 Advisory Council to Commission For Human Services (51 O.S. §24A.1-24A.18)

Description: ~~File includes Division/unit~~ contains reference copies of agenda items and minutes of Council Proceedings, listing all material presented to the Council for consideration. The Advisory Council to the Commission For Human Services, Series 2-1, is the state office of record.

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

Volume: two (2) cubic feet per year

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

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1-5 Budget and U.S. Administration on Aging Files

Description: File contains copies of general budget work programs, position reports, etc., ~~as well as incoming and copies of outgoing~~ and correspondence from the Administration on Aging in Dallas, Texas, and Washington, DC.

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

Volume: less than one (1) cubic foot per year

Disposition: Retain ~~in-office~~ three (3) years then destroy provided: ~~(a)~~ all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies; ~~(b)~~ no legal actions are pending; and ~~(c)~~ 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.

1-6 Program Grant Files - Expired

Description: File contains copies of federal grants, audit reports, financial reports, approved contracts and correspondence. The agency office of record is ~~Office Support Services Division, Contracts and Purchasing Unit/Contracts, Schedule 98-02, Series 3-1~~ Financial Services, Schedule 2014-02, Series 9-1.

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

Volume: two (2) cubic feet per year

Disposition: Retain ~~in-office~~ three (3) years then destroy provided: ~~(a)~~ all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies; ~~(b)~~ no legal actions are pending; and ~~(c)~~ 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.

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1-7 State Conferences on Aging

Description: ~~Records and exhibits of prior State Conferences on Aging, including photos and award winners. Photographs are used for publicity purposes. File contains records used to develop conferences and workshops conducted or co-sponsored by Aging Services with other state agencies or community organizations. Information includes surveys, correspondence, conference materials and handouts, documents used in the planning process, speaker information, location information, vendor bids for services, refreshments/menus, and registration lists.~~

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

Volume: ~~two (2) cubic feet~~ one (1) cubic foot per year

Disposition: ~~Retain in office permanently.~~
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.

1-8 Aging Services Division Reference Files

Description: File contains books, pamphlets, copies of reports, ~~incoming non-administrative~~ correspondence, memoranda, and other miscellaneous reference materials used by the various programs of ~~the~~ Aging Services Division.

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

Volume: five (5) cubic feet per year

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

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1-9 **Aging Services Division Education and Training Materials**

Description: File ~~includes~~ contains training and education materials, manuals, handouts and information sheets used for new employee or supervisor orientation and continuing education requirements.

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~~ five (5) years after superseded, 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.

OR

~~Transfer records to an electronic format. Destroy hard copy documents, except those that cannot be reproduced in a legible and readable condition, upon certification that all records have been successfully entered into an electronic format and after obtaining approval from the State Records Administrator to destroy the hard copy documents. Store an electronic backup copy in an off-site storage area that meets manufacturer's recommendations for temperature and humidity controls.~~

~~Delete electronic records and destroy all below standard documents five (5) years after superseded, provided no legal actions are pending, and approval to destroy records has been received from the State Records Administrator. If legal action is pending, delete or destroy records two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements.~~

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Oklahoma State Council on Aging

2-1 **Advisory Council to Commission For Human Services** 41 CFR 105 §71.142

Description: File ~~includes~~ contains agenda items and minutes of Council Proceedings, listing all material presented to the Council for consideration.

Volume: two (2) cubic feet per year

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

~~OR~~

~~Transfer records to an electronic format. Transfer official hard copy documents to the State Archives for permanent preservation.~~

~~Delete electronic records when they become 3 years old, provided all audits have been completed, all applicable audit reports have been accepted and resolved by all applicable federal and state agencies, no legal actions are pending, and approval to destroy records has been received from the State Records Administrator. If legal action is pending, delete two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements.~~

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Legal Services Unit

5-1 **Legal Services** (Title VII, Subtitle A, Chapter 4 of the Older Americans Act)

Description: ~~Files include~~ File contains activity reports received, ~~all incoming and copies of outgoing~~ and correspondence for improving the quality and quantity of legal and advocacy assistance for individuals age 60 or older.

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

Volume: less than one (1) cubic feet 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 provided they are: (a) five (5) years old, (b) no longer required for administrative purposes, (c)~~
Retain five (5) years, then destroy, provided no legal actions are pending, and ~~(d)~~ 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.

5-2 **Oklahoma Silver Haired Legislature (OSHL) and Oklahoma Silver Haired Legislature Alumni Association (OSHLAA) Working File**

Description: File contains technical assistance documents, procedure and By-Law interpretations, legislative process education documents, draft copies for suggested legislation, review of website update information, publication drafts and other reference copies pertaining to the OSHL or OSHLAA information. The record copy is maintained by the OSHL and OSHLAA.

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

Volume: four (4) cubic feet per year

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

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Ombudsman, State Long Term Care

6-1 **Long-term Care Ombudsman Area Agency on Aging (AAA) Records** Confidential Subject to 63 O.S. § 1-2216

Description: ~~Files contain~~ File contains Ombudsman Volunteer Certification and Decertification notices, Volunteer applications, and Conflict of Interest Assurances, AAA Ombudsman operational documentation, State Ombudsman Office (OSLTCO) correspondence, OSLTCO assessments, and AAA Ombudsman report and budgets.

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

Volume: one (1) cubic foot per year

Disposition: ~~Retain in office, review on an annual basis and destroy duplicate and ancillary materials no longer required for administrative purposes. Retain substantive records in office ten (10) years, then destroy provided:~~ (a) all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies; (b) no legal actions are pending; and (c) 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.

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Ombudsman, State Long Term Care

6-3 **Long-Term Care (LTC) Ombudsman/Facility Files** Confidential Record (42 USC §3027 (A) (12))

Description: ~~Files contain~~ File contains copies of inspection and complaint reports from the State Department of Health, Oklahoma Department of Human Services, Long-Term Investigations Unit of Adult Protective Services, and Long-Term Care Ombudsman Program, correspondence and penalty documentation pertaining to nursing facilities, assisted living facilities and residential care facilities.

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

Volume: ten (10) cubic feet per year

Disposition: Retain ~~in office~~ fifteen (15) years, then destroy provided: ~~(a)~~ all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies; ~~(b)~~ no legal actions are pending; and ~~(c)~~ 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.

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Special Unit on Aging

7-1 AAA Subgrantee Audits

Description: ~~Files contain~~ File contains Area Agency on Aging (AAA) subgrantee audits. Audits are generally active for two (2) years to resolve exceptions and to support AAA audits. Audits in subsequent years may necessitate re-opening an audit from one or more previous years. Audits are reviewed during Federal and State fiscal monitoring.

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

Volume: one (1) cubic foot per year

Disposition: Retain ~~in-office~~ five (5) years after expiration, then destroy provided: ~~(a)~~ all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies; ~~(b)~~ no legal actions are pending; and ~~(c)~~ 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.

7-2 AAA Subgrantee Grants for Multipurpose Senior Center Construction, Renovation or Acquisition

Description: ~~Microfiche records of~~ File contains Area Agency on Aging subgrantee grants for the acquisition, renovation and construction of multipurpose senior centers. The Special Unit on Aging (SUOA) and AAA's are required to monitor the utilization of these facilities for a five, ten, or twenty-year span as multipurpose senior centers. These records are used when there is a dispute regarding the operation of the respective facility.

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

Volume: less than one (1) cubic foot per year

Disposition: Retain ~~in-office~~ twenty (20) years, then destroy provided: ~~(a)~~ all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies; ~~(b)~~ no legal actions are pending; and ~~(c)~~ approval to destroy documents has been received from the State Records Administrator. If legal action is pending,

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destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.

Special Unit on Aging

7-4 Area Agency on Aging (AAA) Central Records File (OAC 580:16-5-9)

Description: File contains AAA contracts, current AAA subgrantee grants, AAA operational documentation, SUOA/AAA correspondences, SUOA/AAA Assessments and AAA budgets.

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

Volume: five (5) cubic feet per year

Disposition: Retain in office seven (7) years after expiration, then destroy provided: ~~(a)~~ all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies; ~~(b)~~ no legal actions are pending; and ~~(c)~~ 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.

7-5 Area Agency on Aging Financial Reports

Description: File contains Area Agency on Aging Financial Reports submitted monthly to the Special Unit on Aging (SUOA).

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

Volume: sixteen (16) cubic feet per year

Disposition: Retain in office five (5) years, then destroy provided: ~~(a)~~ all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies; ~~(b)~~ no legal actions are pending; and ~~(c)~~ 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.

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Special Unit on Aging

7-7 **National Family Caregiver Support Program**
(Titles IV, III, Part E, of the Older Americans Act)

Description: ~~Files includes~~ File contains activity reports received, meeting minutes, contracts, annual assessments, claims for payments, quarterly statistics, and annual nominations for outstanding volunteer awards.

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

Volume: less than one (1) cubic feet per year

Disposition: Retain ~~in office~~ three (3) years then destroy provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies, 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.

7-8 **Project Menu Plan—Nutrition Program for the Elderly**

Description: File contains quarterly menus prepared by nutrition project contract dieticians for use at Older Americans Act (OAA) noon meal sites and sent to the Area Agencies on Aging (AAA) for monitoring purposes. The menu includes the entrée, side dishes, and dessert for the month.

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

Volume: two (2) cubic feet per year

Disposition: Retain ~~in office~~ three (3) years, then destroy, provided all audits have been completed, all applicable audit reports have been accepted and resolved by all applicable federal and state agencies, 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

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exhaustion of all legal remedies, provided records meet all stipulated retention requirements.

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7-9 Dietary Consultants' Report

Description: File contains monthly activity reports prepared by nutrition project contract dietitians at Older Americans Act (OAA) noon meal sites. The report contains the project name, names of the project director and site manager, number of hours spent at each site, checklist of topics to be discussed, in-service training provided to staff, nutrition education provided to participants, and recommendations to improve service delivery.

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

Volume: two (2) cubic feet per year

Disposition: Retain ~~in office~~ three (3) years, then destroy, provided all audits have been completed, all applicable audit reports have been accepted and resolved by all applicable federal and state agencies, 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.

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Support Services Unit

8-1 Adult Day Services Case File

Description: File contains applications, age waivers, income sources, notifications of adverse actions, redeterminations of eligibility, overpayments and errors, and terminations of authorization.
Records may be in a variety of formats including paper, electronic, or microfilm.

Volume: less than one (1) cubic foot per year

Disposition: ~~Retain in office, review on an annual basis and destroy duplicate and ancillary materials no longer required for administrative purposes. Retain substantive records in office~~ Retain three (3) years after closure, as defined in the DHS Policy Manual section: OAC 340: 105-7-4 Termination of Authorization, or equivalent and all subsequent revisions; then destroy provided: ~~(a)~~ all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies; ~~(b)~~ no legal actions are pending; and ~~(c)~~ 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.

8-2 Adult Day Services Monitoring Reports (Record Copy)

Description: File ~~consists of~~ contains quarterly monitoring reports and yearly onsite evaluations compiled by DHS members to assure that approved adult day services providers are fulfilling their contractual obligations. The agency office of records is ~~Office Support Services Division, Contracts and Related Documents, (Schedule 98-02, Series 3-1)~~ Financial Services, Schedule 2014-02, Series 9-1.

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

Volume: less than one (1) cubic foot per year

Disposition: ~~Retain in office~~ seven (7) years then destroy provided: ~~(a)~~ all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies; ~~(b)~~ no legal actions are pending; and ~~(c)~~ approval to destroy documents has been received from the State Records Administrator. If legal action is pending, destroy two (2)

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years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.

Support Services Unit

8-3 Adult Day Services Proposals-Approved

Description: File contains approved proposals submitted by individuals and organizations seeking to be approved as providers of adult day services. Proposals list applicant names, addresses, qualifications, and types of services they will provide.

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

Volume: less than one (1) cubic foot per year

Disposition: Retain ~~approved proposals and copies of contracts until~~ two (2) years after expiration of ~~any applicable contracts for services~~, then destroy, provided: ~~(a)~~ all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies; ~~(b)~~ no legal actions are pending; and ~~(c)~~ 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.

8-4 Adult Day Services Care Proposals-Rejected

Description: File contains rejected proposals submitted by individuals and organizations seeking to be approved as providers of adult day services. ~~Proposals list~~ Information includes applicant names, addresses, qualifications, and types of services they will provide.

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

Volume: less than one (1) cubic foot per year

Disposition: Retain in office two (2) years then destroy provided: ~~(a)~~ no legal actions are pending; and ~~(b)~~ 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.

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Support Services Unit

8-5 ~~Transportation for the Elderly & Persons with Disabilities, Confidential Record (53 USC § 5310)~~

~~Description: Files include applications for assistance, programs of projects, budget implementation plans, records of approved and rejected requests, annual certifications and assures, contractors' applications, contracts, contracts for vehicle purchases, and vehicle utilization monthly monitoring reports.~~

~~Volume: 1.5 cubic feet per year~~

~~Disposition: Retain in office until vehicles are removed from service then destroy provided: (a) all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies; (b) no legal actions are pending; and (c) 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.
Delete from schedule, February 25, 2021~~

8-6 ~~Community Relations/Volunteer Programs/Credit Bank
(Titles IV, III, Part E, of the Older Americans Act)~~

~~Description: Files includes activity reports received, meeting minutes, copies of contracts, annual assessments, claims for payments, quarterly statistics, and annual nominations for outstanding volunteer awards.~~

~~Volume: less than one (1) cubic feet per year~~

~~Disposition: Retain in office three (3) years then destroy provided: (a) all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies; (b) no legal actions are pending; and (c) 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.
Delete from schedule, February 25, 2021~~

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Advantage Administration Unit

9-1 Advantage Consumer Files-Inactive or Deceased (~~Confidential~~ Confidential Record 21 O.S. §590)

Description: ~~Files include~~ File contains service plans with member name, Social Security Number, Medicaid Number; Uniform Comprehensive Assessment Tools; nurses evaluation; copy of claims submitted; and various other Advantage forms and OKDHS documents.

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

Volume: two hundred (200) cubic feet per year

Disposition: ~~Retain current year in office, then transfer to records storage. Retain in records storage until they become seven (7) years old, Retain seven (7) years, then destroy provided: (a) all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies; (b) no legal actions are pending; and (c) 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.~~

OR

~~Transfer records to an electronic format. Destroy hard copy documents, except those that cannot be reproduced in a legible and readable condition, upon certification that all records have been successfully entered into an electronic format, after storing an electronic backup copy in an off-site storage area that meets manufacturer's recommendations for temperature and humidity controls, and after obtaining approval from the State Records Administrator to destroy the hard copy documents.~~

~~Delete electronic records and destroy all below standard documents when they become seven (7) years old, provided all audits have been completed, all applicable audit reports have been accepted and resolved by all applicable federal and state agencies, no legal actions are pending, and approval to destroy records has been received from the State Records Administrator. If legal action is pending, delete or destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements.~~

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Advantage Administration Unit

9-2 **Claims Reading Files (~~Confidential~~ Confidential Record 21 O.S. §590)**

Description: ~~Files include~~ File contains agency names and provider numbers; consumer's name, Medicaid Number, and Social Security Number; service codes and date of service; and diagnosis codes.

Volume: ten (10) cubic feet per year

Disposition: Retain current year in office, then transfer to records storage. Retain in records storage until they become seven (7) years old, then destroy provided: ~~(a)~~ all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies; ~~(b)~~ no legal actions are pending; and ~~(c)~~ 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.

OR

~~Transfer records to an electronic format. Destroy hard copy documents, except those that cannot be reproduced in a legible and readable condition, upon certification that all records have been successfully entered into an electronic format, after storing an electronic backup copy in an off-site storage area that meets manufacturer's recommendations for temperature and humidity controls, and after obtaining approval from the State Records Administrator to destroy the hard copy documents.~~

~~Delete electronic records and destroy all below standard documents when they become seven (7) years old, provided all audits have been completed, all applicable audit reports have been accepted and resolved by all applicable federal and state agencies, no legal actions are pending, and approval to destroy records has been received from the State Records Administrator. If legal action is pending, delete or destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements.~~

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Advantage Administration Unit

**9-3 Durable Medical Equipment (DME) Medical Provider Records
(Confidential Record 21 O.S. §590)**

Description: ~~Files contain~~ File contains DME provider names and numbers; consumer's name and Medicaid number; and services provided.

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

Volume: five (5) cubic feet per year

Disposition: ~~Retain current year in office, then transfer to records storage. Retain in records storage until they become~~ Retain seven (7) years old, then destroy provided: ~~(a)~~ all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies; ~~(b)~~ no legal actions are pending; and ~~(c)~~ 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.

OR

~~Transfer records to an electronic format. Destroy hard copy documents, except those that cannot be reproduced in a legible and readable condition, upon certification that all records have been successfully entered into an electronic format, after storing an electronic backup copy in an off-site storage area that meets manufacturer's recommendations for temperature and humidity controls, and after obtaining approval from the State Records Administrator to destroy the hard copy documents.~~

~~Delete electronic records and destroy all below standard documents when they become seven (7) years old, provided all audits have been completed, all applicable audit reports have been accepted and resolved by all applicable federal and state agencies, no legal actions are pending, and approval to destroy records has been received from the State Records Administrator. If legal action is pending, delete or destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements.~~

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Advantage Administration Unit

9-4 **Advantage Provider Agency Member Records** (Confidential Record 21 O.S. §590)

Description: ~~Files contain~~ File contains various Advantage forms used by case managers and home care agencies for approval and provision of member services. Forms include, but are not limited to, Uniform Comprehensive Assessment; Nursing Assessment/Monitoring Form; Service Plan Goals; Request for Environmental Modifications; Member Change of Provider Form; Discharge Evaluation; Eligibility/Claim Resolution; and Designation of Authorized Representative.

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

Volume: Four hundred-sixty (460) cubic feet per year

Disposition: ~~Retain current year in office, then transfer to records storage. Retain in records storage until they become~~ Retain seven (7) years old, then destroy provided: (a) all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies; (b) no legal actions are pending; and (c) 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.

OR

~~Transfer records to an electronic format. Destroy hard copy documents, except those that cannot be reproduced in a legible and readable condition, upon certification that all records have been successfully entered into an electronic format, after storing an electronic backup copy in an off-site storage area that meets manufacturer's recommendations for temperature and humidity controls, and after obtaining approval from the State Records Administrator to destroy the hard copy documents.~~

~~Delete electronic records and destroy all below standard documents when they become seven (7) years old, provided all audits have been completed, all applicable audit reports have been accepted and resolved by all applicable federal and state agencies, no legal actions are pending, and approval to destroy records has been received from the State Records Administrator. If legal action is pending, delete or destroy two (2) years~~

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~~after exhaustion of all legal remedies, provided records meet all stipulated retention requirements.~~

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Personal Care Services

10-1 **Personal Care Program Development Files**

Description: ~~Files contain~~ File contains information documenting the creation and operation of In-Home Personal Care services (formerly known as the Non-Technical Medical Care Program). Includes but is not limited to program training materials, policy development documentation, and appropriations requests.

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

Volume: three (3) cubic feet per year

Disposition: ~~Retain records in office one (1) year, then transfer to records storage. Retain records in storage until they become five (5) years old, Retain five (5) years,~~ then destroy provided: ~~(a)~~ all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies; ~~(b)~~ no legal actions are pending and ~~(c)~~ permission 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.

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Information Technology

~~11-1~~ **Pharmacy Connection Council Report**

~~Description: Annual report to the Governor listing number of persons served, number of prescriptions provided, annualized retail cost (savings) provided, and future directions for the Pharmacy Connection Council.~~

~~Volume: less than one (1) cubic foot per year~~

~~Disposition: Retain in office three (3) years, then destroy, provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and 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.~~

Delete from schedule, February 25, 2021

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Home and Community Based Unit

**12-1 Community Service Worker Abuse Registry Requests
(Confidential Record 74 O.S. § 3113)**

Description: File contains pre-employment screening requests from home health care agencies on personal care assistants. Information includes the personal care assistant applicant's name, social security number, date of birth and agency's name requesting the information.

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

Volume: three (3) cubic feet per year

Disposition: ~~Retain in office one (1) year, then transfer to records storage. Retain in records storage until they become five (5) years old,~~ Retain five (5) years, 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.

~~OR~~

~~Retain record in an electronic format. Maintain a backup copy in a storage area that meets the manufacturer's recommendations for temperature and humidity controls. Delete electronic records when they become five (5) years old, provided no legal actions are pending, and approval to destroy records has been received from the State Records Administrator. If legal action is pending, delete two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements.~~

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Home and Community Based Unit

12-2 Home and Community Based Services Quality Assurance Audits

Description: File contains audit reports from home health and case management agencies, including sign in sheets with the signature of personnel who participated in the audit, worksheets used by the auditors, plans of corrections and progress reports completed by these agencies.

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

Volume: five (5) cubic feet per year

Disposition: ~~Retain in office until the end of the current fiscal year, then transfer to records storage. Retain records until they become seven (7) years old,~~ Retain seven (7) years, then destroy, provided all audits have been completed, all applicable audit reports have been accepted and resolved by all applicable federal and state agencies, no legal actions are pending, and permission 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.

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* February 25, 2021 *

Adult Protective Services

13-1 Correspondence (Adult Protective Services Administration)

Description: File contains correspondence, memos and reports including electronic correspondence of the Adult Protective Services director, administrators and other persons acting in the role of administration (including directors, program managers and program administrators).

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

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

Add to schedule, February 25, 2021

13-2 Correspondence (Adult Protective Services Supervisors and Managers)

Description: Files contains correspondence, memos and reports including electronic correspondence of Adult Protective Services' supervisors, managers and other persons acting in the role of supervisor.

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

Disposition: Retain in office three (3) years, then destroy, provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements.

Add to schedule, February 25, 2021

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Amendments to Records Disposition Schedule 2001-01

* February 25, 2021 *

Adult Protective Services

13-3 Correspondence (Adult Protective Services Employees)

Description: Files contains correspondence, memos and reports including electronic correspondence (except those in Series 1-1 and 1-2) of Adult Protective Services employees not acting in the roles of administration, supervision, or management.

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

Disposition: Retain until no longer required for administrative purposes, then destroy. Add to schedule, February 25, 2021

13-4 Adult Protective Services Case Record (Confidential Record 43A O.S. §10-110)

Description: File contains documentation pertaining to Adult Protective Services investigations, follow up and service provisions for specific clients or family units. Information includes Report of Protective Services Investigation, Adult Protective Services Report of Investigation (DHS Form 09APS002E).

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

Disposition: Destroy records three (3) years after closure, as defined in the DHS Policy Manual section: OAC 340: 5-5-7, Termination of Adult Protective Services, or equivalent and all subsequent revisions; provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies; 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.
Transfer from Schedule 2001-04, Series 2-1, February 25, 2021

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Amendments to Records Disposition Schedule 2001-01

* February 25, 2021 *

Adult Protective Services

13-5 **AIDS Coordinator Information Services (ACIS) Case Record Confidential Record (43A O.S., §10-110)**

Description: File contains client intake (i.e. psycho social), disability, medical and insurance records; progress notes; service codings; and release of information documentation.

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

Disposition: Retain three (3) years after the case is closed, by the client's death, out-of-state move, or personal request), then destroy, 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.

Transfer from Schedule 87-04, Series 72-1, February 25, 2021

13-6 **Nursing Home Investigation Records**

Description: File contains Nursing Home Investigation Reports conducted by the Special Unit on Aging.

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

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

Transfer from Schedule 2001-04, Series 2-5, February 25, 2021

ARCHIVES AND RECORDS COMMISSION

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Amendments to Records Disposition Schedule **2001-04**

*** February 25, 2021 ***

Summary

- 2-1 Agency requests series be amended and transferred to Schedule 2001-01, Series 13-4.
- 2-2 Agency requests series be deleted from schedule. These records are copies and are no longer required. There is no backlog of records.
- 2-3 Agency requests series be deleted from schedule. These records are copies and are no longer required. There is no backlog of records
- 2-4 Agency requests series be deleted. This information is included in Schedule 2001-01, Series 13-4.
- 2-5 Agency requests series be amended and transferred to Schedule 2001-01, Series 13-6.

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Amendments to Records Disposition Schedule 2001-04

* February 25, 2021 *

Adult Protective Services Unit

2-1 **Adult Protective Services Case Record (Confidential Record 43A O.S. §10-110)**

Description: ~~Files contain documentation pertaining to Adult Protective Services investigations, follow up and service provisions for specific clients or family units.~~

File contains documentation pertaining to Adult Protective Services investigations, follow up and service provisions for specific clients or family units. Information includes Report of Protective Services Investigation Adult Protective Services Report of Investigation. (DHS Form 09APS002E).

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

Volume: ~~less than one (1) cubic foot per year~~

Disposition: ~~Retain in office and review on an annual basis. Destroy duplicate and ancillary materials no longer required for administrative purposes. Retain substantive records in office three (3) years after closure, as defined in the DHS Policy Manual section: OAC 340: 5-5-7, Termination of Adult Protective Services, or equivalent and all subsequent revisions; then destroy provided: (a) all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies; (b) no legal actions are pending, and (c) 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.~~

Destroy records three (3) years after closure, as defined in the DHS Policy Manual section: OAC 340: 5-5-7, Termination of Adult Protective Services, or equivalent and all subsequent revisions; provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies; 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.

Amend and transfer to Schedule 2001-01, Series 13-4, February 25, 2021

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Amendments to Records Disposition Schedule 2001-04

* February 25, 2021 *

Adult Protective Services Unit

2-2 **Adult Protective Services Intake and Resolution Log**
(Confidential Record 43A O.S. §10-110)

Description: ~~File includes copies of, Adult Protective Services Intake and Resolution Log (DHS Form APS 1 A), listing client names, case numbers, types of referrals, living arrangements, dates reports received, dates of home visits, results, dates Adult Protective Services Report (DHS Form APS-2) were completed, and dates cases were closed. The state office of records is County Offices, Adult Protective Services Case Record, (Schedule 82-37, Series 2-30).~~

Volume: less than one (1) cubic foot per year

Disposition: ~~Retain in office three (3) years then destroy provided: all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies; and 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.~~

Delete from schedule, February 25, 2021

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* February 25, 2021 *

Adult Protective Services Unit

2-3 **Reports of County Investigations** (~~Confidential Record 43A O.S. 10-110~~)

~~Description: Copies of Adult Protective Services Report of Investigation (DHS Form APS 2) submitted by various county offices as the forms are completed. The state office of record is County Offices, Adult Protective Services Report of County Investigations, (Schedule 82-37, Series 2-32).~~

~~Volume: eight (8) cubic feet per year~~

~~Disposition: Retain in office three (3) years then destroy provided: all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies; and 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.~~

Delete from schedule, February 25, 2021

2-4 **Adult Protective Services Lines** (~~Record Copy~~)
(~~Confidential Record 43A O.S. §10-110~~)

~~Description: Files contain Computer Listing of Monthly Services to Adult Protective Services Clients (Form WS458).~~

~~Volume: two (2) cubic feet per year~~

~~Disposition: Retain in office three (3) years, then destroy provided: all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies; and 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.~~

Delete from schedule, February 25, 2021

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* February 25, 2021 *

Adult Protective Services Unit

2-5 **Nursing Home Investigation Records**

Description: ~~Nursing Home Investigation Reports conducted by the Special Unit on Aging.~~
File contains Nursing Home Investigation Reports conducted by the Special Unit on Aging.

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

Volume: ten (10) cubic feet per year

Disposition: ~~Retain in office five (5) years, then destroy provided: all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies; and no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements.~~
Retain 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 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 2001-01, Series 13-6, February 25, 2021