# Oklahoma Department of Libraries 200 NE 18<sup>th</sup> Street, Second Floor South Conference Room Oklahoma City, Oklahoma

October 21, 2021 10:00 a.m.

#### **AGENDA**

Call to Order Roll Call

> Nicole Willard, Chair Melody A. Kellogg, Vice Chair and Secretary Ruthie Chicoine Ashley Crall Connie Taylor

Approval of Minutes of the Meeting of July 22, 2021 \* State Archives and Records Management Division Quarterly Report

Schedule of Meetings for 2022 – Approval of Proposed Dates\*

- o January 20, 2022
- o April 21, 2022
- o July 21, 2022
- o October 27, 2022

#### Open Meeting Act Statement.

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

Key to abbreviations used below:

[AMD] = Amendment to a Records Disposition Schedule

[NEW] = Records Disposition Schedule

[RDA] = Records Disposition Authorization

#### Consideration of Requests\*

82-18	[AMD]	Oklahoma Department of Wildlife
83-06 84-04	[AMD] [AMD]	Oklahoma Corporation Commission, Oil and Gas Conservation Division Oklahoma Corporation Commission, Administration Division
88-03	[AMD]	Oklahoma Department of Transportation
90-03	[AMD]	Oklahoma State Regents for Higher Education
92-13	[AMD]	Oklahoma Office of the State Auditor and Inspector
93-07	[AMD]	Oklahoma Municipal Power Authority

# Oklahoma Department of Libraries 200 NE 18<sup>th</sup> Street, Second Floor South Conference Room Oklahoma City, Oklahoma

October 21, 2021 10:00 a.m.

2007-01	[AMD}	Oklahoma Commission on Children and Youth
2017-01	[AMD]	Oklahoma Department of Career and Technology Education
82-37 87-04	[AMD] [AMD]	Oklahoma Department of Human Services, County Offices Oklahoma Department of Human Services, Programs Division
97-05	[AMD]	Oklahoma Department of Human Services, General Records
97-06	[AMD]	Oklahoma Department of Human Services, Inspector General's Office
2003-01	[AMD]	Oklahoma Department of Human Services, Office of Intergovernmental Relations and Policy
2003-03	[AMD]	Oklahoma Department of Human Services, Office of Client Advocacy
2005-01	[AMD]	Oklahoma Department of Human Services, Child Welfare Services
2006-03	[AMD]	Oklahoma Department of Human Services, Office of General Counsel
2021-06	[RDA]	Oklahoma Department of Libraries
2021-07	[RDA]	Oklahoma Department of Libraries
GRDS U&C	[AMD]	Oklahoma Department of Libraries

# Adjournment

\* Archives and Records Commission action required.

# Archives and Records Commission Minutes July 22, 2021

#### Call to Order:

Nicole Willard called the meeting to order at 10:01 a.m.

### **Members present were:**

Nicole Willard Chair

Melody A. Kellogg

Ashley Crall

Connie Taylor

Vice Chair and Secretary

Proxy for Lt. Governor

Proxy for State Treasurer

#### **Members absent were:**

Ruthie Chicoine Proxy for State Auditor

#### Also present were:

Ashton Poarch Office of the Attorney General

Jan DavisDepartment of LibrariesHolly HasenfratzDepartment of LibrariesAlyssa VaughnDepartment of Libraries

Ryan Freeman-Smith Oklahoma Health Care Authority
Mary Gail Foster Department of Human Services

#### **Posting of Meeting Agenda**

The agenda was posted on the window near the front door of the Oklahoma Department of Libraries building on July 8, 2021. The agenda was also posted on the agency's website on July 8, 2021.

#### **Approval of Minutes of the Meeting of April 22, 2021:**

Approval of the Minutes was moved by Crall and seconded by Willard.

Crall aye
Kellogg aye
Taylor aye
Willard aye

#### **Consideration of Requests:**

#### Amendment to Records Disposition Schedule 88-03, Department of Transportation

The Department of Transportation requested Records Disposition Schedule 88-03 be amended.

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Approval of the Amendment to Records Disposition Schedule 88-03 was moved by Kellogg and seconded by Crall.

Crall	aye
Kellogg	aye
Taylor	aye
Willard	aye

## Amendment to Records Disposition Schedule 89-01, Employment Security Commission

The Employment Security Commission requested Records Disposition Schedule 89-01 be amended.

Approval of the Amendment to Records Disposition Schedule 89-01 was moved by Crall and seconded by Kellogg.

Crall	aye
Kellogg	aye
Taylor	aye
Willard	aye

# <u>Amendment to Records Disposition Schedule 89-04, Department of Corrections,</u> Institutions

The Department of Corrections requested Records Disposition Schedule 89-04 be amended.

Approval of the Amendment to Records Disposition Schedule 89-04 was moved by Kellogg and seconded by Crall.

Crall	aye
Kellogg	aye
Taylor	aye
Willard	aye

#### Amendment to Records Disposition Schedule 92-13, State Auditor and Inspector

The Office of the State Auditor and Inspector requested Records Disposition Schedule 92-13 be amended.

Approval of the Amendment to Records Disposition Schedule 92-13 was moved by Kellogg and seconded by Crall.

Crall	aye
Kellogg	aye
Taylor	aye
Willard	aye

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

The Department of Environmental Quality requested Records Disposition Schedule 94-09 be amended.

Approval of the Amendment to Records Disposition Schedule 94-09 was moved by Crall and seconded by Willard.

Crall	aye
Kellogg	aye
Taylor	aye
Willard	aye

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

Davis introduced Ryan Freeman-Smith. 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 Crall and seconded by Willard.

Crall	aye
Kellogg	aye
Taylor	aye
Willard	aye

# **Amendment to Records Disposition Schedule 2017-01, Department of Career and Technology Education**

The Department of Career and Technology Education requested Records Disposition Schedule 2017-01 be amended.

Approval of the Amendment to Records Disposition Schedule 2017-01 was moved by Crall and seconded by Willard.

Crall	aye
Kellogg	aye
Taylor	aye
Willard	ave

# Amendment to Records Disposition Schedule 2003-02, Department of Health, Community and Family Health Services

The Department of Health requested Records Disposition Schedule 2003-02 be amended. Approval of the Amendment to Records Disposition Schedule 2003-02 was moved by Crall and seconded by Willard.

Crall	aye
Kellogg	aye
Taylor	aye
Willard	aye

# Amendment to Records Disposition Schedule 2001-04, Department of Human Services, Adult and Family Services

Davis introduced Mary Gail Foster. The Department of Human Services requested Records Disposition Schedule 2001-04 be amended.

Approval of the Amendment to Records Disposition Schedule 2001-04 was moved by Crall and seconded by Kellogg.

Crall	aye
Kellogg	aye
Taylor	aye
Willard	aye

# <u>Amendment to Records Disposition Schedule 2001-06, Department of Human Services,</u> Child Support Services

The Department of Human Services requested Records Disposition Schedule 2001-06 be amended.

Approval of the Amendment to Records Disposition Schedule 2001-06 was moved by Crall and seconded by Kellogg.

Crall	aye
Kellogg	aye
Taylor	aye
Willard	aye

# 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 Crall and seconded by Willard.

Crall	aye
Kellogg	aye
Taylor	aye
Willard	aye

# Records Disposition Authorization 2021-05, Department of Libraries

The Department of Libraries requested Records Disposition Authorization 2021-05 be approved.

Approval of Records Disposition Authorization 2021-05 was moved by Crall and seconded by Willard.

Crall	aye
Kellogg	aye
Taylor	aye
Willard	aye

#### **New Business:**

No new business was conducted at this time.

# Adjournment:

The meeting was adjourned at 10:17 a.m.

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

# Archives and Records Management Division Report – October 8, 2021

#### Archives

#### Staffing Update

• Jennifer Green joined the Archives team on September 13<sup>th</sup>. She previously worked for the City of Oklahoma City where she maintained the municipal records retention manual and provided records training for city staff. Jennifer also has experience with archives and manuscripts preservation and processing.

#### **Digital Projects**

 Several divisions at ODL are collaborating to promote ODL's digital collections and resources. Archives staff helped prepare promotional materials for the Oklahoma Postcards and Images of Oklahoma collections on Digital Prairie.

#### Outreach

- With the assistance of the Public Information Office, Archives staff have participated in three Archives Hashtag Parties on Twitter. The events, sponsored by the National Archives and Records Administration, generate considerable social media interaction for ODL. The themes were: signatures (July), athletes (August), and old school technology (September).
- In July, Jan Davis provided Records Management training to OUHSC Records Coordinators.
- In August, Jan Davis and Holly Hasenfratz participated in the Oklahoma Museum's Association Back to School Bash, handing out Images of Oklahoma bookmarks and posters to K-12 educators.

#### Interns

- Holly Hasenfratz completed supervising one undergraduate history major from the
  University of Oklahoma for an internship this summer. Their projects included indexing
  court files from Indian Territory and creating descriptive metadata for a postcard
  collection. This work supports our digitization and outreach efforts through
  contributions to Digital Prairie.
- Allie Baker, Langston University undergraduate student, completed her work in the State Archives this summer to digitize Langston yearbooks, course catalogs, and other publications, which will be included on the Images of Oklahoma collection on Digital Prairie.

#### **Records Center & Annex**

Recent transfers to the State Records Center include: Employment Security Commission, Attorney General, Office of Management and Enterprise Services, Department of Education and the Office of the State Auditor and Inspector.

Staff recently completed a surplus project with OMES to remove broken and unused equipment from the site. Staff have started conducting the annual inventory of the Records Center.

#### DEPARTMENT OF WILDLIFE CONSERVATION

Amendments to Records Disposition Schedule 82-18

\* October 21, 2021 \*

#### Summary

- 7-11 Agency requests series be added to its schedule.
- 9-3 Agency requests series be deleted from the schedule. This record is no longer created. There is no backlog of records.
- 9-4 Agency requests series be amended.
- 11-28 Agency requests series be added to its schedule.

Agency requests division title for Series 12, "Information and Education," be amended to "Communication and Education."

Series 12-1 is included as an example.

#### DEPARTMENT OF WILDLIFE CONSERVATION

Amendments to Records Disposition Schedule **82-18** 

\* October 21, 2021 \*

#### Law Enforcement Division

#### **7-11 Body Worn Camera Footage**

Description: File includes body worn camera footage created during routine patrol and

direct interactions with constituents.

<u>Disposition:</u> Routine Patrol Footage: Retain in office until no longer required for

administrative purposes, then destroy.

<u>Citations/Temporary License/Administrative Fine/Search Warrant: Retain in office for one (1) year or until final case disposition, including appeals,</u>

whichever is longer.

Custodial Arrest/Formal Complaint: Retain in office for three (3) years or

until final case disposition, including appeals, whichever is longer.

Use of Force/Pursuit/Hunter Incident Investigation: Retain in office

permanently.

Add to schedule, October 21, 2021

#### DEPARTMENT OF WILDLIFE CONSERVATION

Amendments to Records Disposition Schedule 82-18

\* October 21, 2021 \*

#### License Division

#### 9-3 License Refund Files (Dealers)

Description: Files consist of unsold licenses returned by dealers for refunds and

applicable correspondence and financial documentation.

Disposition: Retain In office five (5) years, then destroy provided all audits have been

completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated

retention requirements.

Delete from schedule, October 21, 2021

### 9-4 Cash License Dealer Commercial License Files

Description: Files consist of applications and supporting documents pertaining to the

issuance of commercial licenses. (Licenses are valid one (1) year.)

Volume: one (1) cubic foot per year

Disposition: Retain in office five (5) years, then destroy, provided all audits have been

completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated

retention requirements.

#### DEPARTMENT OF WILDLIFE CONSERVATION

Amendments to Records Disposition Schedule 82-18

\* October 21, 2021 \*

## Wildlife Division

#### 11-28 Land Acquisition Files

<u>Description:</u> File includes records relating to real property acquisition, through purchase

or donation, and may include deeds, abstracts, and related financial and procurement information. This disposition is longer than required by series 1-23 in the General Records Disposition Schedule due to federal

requirements for maintaining these records.

<u>Volume:</u> <u>one (1) cubic foot per year</u>

<u>Disposition:</u> Retain in office permanently.

Add to schedule, October 21, 2021

#### DEPARTMENT OF WILDLIFE CONSERVATION

Amendments to Records Disposition Schedule 82-18

\* October 21, 2021 \*

# Information Communication and Education

## 12-1 Hunter Education Certification Files (Confidential Record 51 O.S. §24A.23)

Description: Files contain the names of students who have successfully completed

voluntary courses in hunter education.

Volume: one (1) cubic foot per year

Disposition: Retain in office permanently.

# OKLAHOMA CORPORATION COMMISSION Oil and Gas Conservation Division

Amendments to Records Disposition Schedule 83-06

# \* October 21, 2021 \*

# Summary

16-1	Agency requests series be transferred from Schedule 84-04, Series 12-1
16-2	Agency requests series be transferred from Schedule 84-04, Series 12-2
16-3	Agency requests series be transferred from Schedule 84-04, Series 12-3
16-4	Agency requests series be transferred from Schedule 84-04, Series 12-4
16-5	Agency requests series be transferred from Schedule 84-04, Series 12-5
16-6	Agency requests series be transferred from Schedule 84-04, Series 12-6

# OKLAHOMA CORPORATION COMMISSION Oil and Gas Conservation Division

Amendments to Records Disposition Schedule **83-06** 

\* October 21, 2021 \*

## Mineral Owners Escrow Account

#### 16-1 **1081 Received Files (Active)** (Record Copy)

Description: Files relate to Mineral Owners Escrow Accounts (MOEA) established by

the Corporation Commission in accordance with 60 O.S. 658.1A, et seq. Under provisions of the law, when companies receive drilling permission and persons who may have ownership of mineral rights cannot be located, escrow accounts are established with the Corporation Commission (MOEA). The funds are deposited in a special revolving fund. Claims for payments are submitted by claimants to the Tax Commission and it issues warrants to persons whose claims are verified by the Corporation Commission. After payments have been made by the Tax Commission, it is reimbursed by the Corporation Commission. Files contain OCC Form 1081 (Mineral Owners Escrow Account Report), correspondence and copies of applicable pooling orders. Copies of Form 1081 are sent to the Estate and

<u>Unclaimed Property Division of the Tax Commission.</u>

Disposition: Retain in office and transfer Form 1081 and correspondence to Series 16-2

when files become inactive. Destroy copies of pooling orders when no

longer required for administrative purposes.

Transfer from schedule 84-04, Series 12-1, October 21, 2021

#### 16-2 **1081** Received File (Inactive)

Description: Contains Form 1081 and applicable correspondence as described in Series

<u>16-1.</u>

<u>Disposition:</u> Retain in office three (3) years, then destroy, provided all audits have been

completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention

requirements.

Transfer from schedule 84-04, Series 12-2, October 21, 2021

#### 16-3 Form 1081 Reference Copy

Description: Copy of Form 1081 made available to the public for its reference use.

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

Transfer from schedule 84-04, Series 12-3, October 21, 2021

# OKLAHOMA CORPORATION COMMISSION Oil and Gas Conservation Division

Amendments to Records Disposition Schedule **83-06** 

\* October 21, 2021 \*

#### Mineral Owners Escrow Account

#### 16-4 **Holder Reports** (Record Copy)

Description: Monthly report from OCC Finance Division listing the total amount of

money received for deposit into the Mineral Owners Escrow Account. This record is used to reconcile MOEA Division calculations with those of the

Finance Division.

Disposition: Retain in office until one (1) year after all audits have been completed and

all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending, destroy two (2) years after

exhaustion of all legal remedies.

Transfer from schedule 84-04, Series 12-4, October 21, 2021

#### 16-5 **Owner Reports**

Description: Division record created as part of reconciliation process noted in Series

16-4.

<u>Disposition:</u> Retain in office until one (1) year after all audits have been completed and

all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending, destroy two (2) years after

exhaustion of all legal remedies.

Transfer from schedule 84-04, Series 12-5, October 21, 2021

#### 16-6 Verification of Owners File

Description: File contains verification lists from the Tax Commission and related

materials. Each quarter, the Tax Commission Estate and Unclaimed Property Division forwards a list of claimants for escrow payments and MOEA staff compare it with its records and recommends approval or denial

of claims.

<u>Disposition:</u> Retain in office until no longer required for administrative purposes, then

destroy.

Transfer from schedule 84-04, Series 12-6, October 21, 2021

# OKLAHOMA CORPORATION COMMISSION

#### **Administration Division**

Amendments to Records Disposition Schedule 84-04

\* October 21, 2021 \*

#### Summary

Agency requests division name be amended to "Mineral Owners Escrow Account."

- 12-1 Agency requests series be amended and transferred to Schedule 83-06, Series 16-1.
- 12-2 Agency requests series be amended and transferred to Schedule 83-06, Series 16-2.
- 12-3 Agency requests series be amended and transferred to Schedule 83-06, Series 16-3.
- 12-4 Agency requests series be amended and transferred to Schedule 83-06, Series 16-4.
- 12-5 Agency requests series be amended and transferred to Schedule 83-06, Series 16-5.
- 12-6 Agency requests series be amended and transferred to Schedule 83-06, Series 16-6.

# OKLAHOMA CORPORATION COMMISSION

#### Administration Division

Amendments to Records Disposition Schedule 84-04

\* October 21, 2021 \*

#### Administration Division, Mineral Owners Escrow Account

#### 12-1 **1081 Received Files (Active)** (Record Copy)

Description: Files relate to Mineral Owners Escrow Accounts (MOEA) established by

the Corporation Commission in accordance with 60 O.S. 658.1A, et seq. Under provisions of the law, when companies receive drilling permission and persons who may have ownership of mineral rights cannot be located, escrow accounts are established with the Corporation Commission (MOEA). The funds are deposited in a special revolving fund. Claims for payments are submitted by claimants to the Tax Commission and it issues warrants to persons whose claims are verified by the Corporation Commission. After payments have been made by the Tax Commission, it is reimbursed by the Corporation Commission. Files contain OCC Form 1081 (Mineral Owners Escrow Account Report), correspondence and copies of applicable pooling orders. Copies of Form 1081 are sent to the Estate and

Unclaimed Property Division of the Tax Commission.

Volume: 2.5 cubic feet per year

Disposition: Retain in office and transfer Form 1081 and correspondence to Series 12-2

16-2 when files become inactive. Destroy copies of pooling orders when no

longer required for administrative purposes.

Amend and transfer to Schedule 83-06, Series 16-1, October 21, 2021

#### 12-2 **1081** Received File (Inactive)

Description: Contains Form 1081 and applicable correspondence as described in Series

<del>12-1</del> <u>16-1</u>.

Volume: 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 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 83-06, Series 16-2, October 21, 2021

#### OKLAHOMA CORPORATION COMMISSION

#### Administration Division

Amendments to Records Disposition Schedule 84-04

\* October 21, 2021 \*

#### Administration Division, Mineral Owners Escrow Account

#### 12-3 Form 1081 Reference Copy

Description: Pink Copy of Form 1081 made available to the public for its reference use.

Volume: 1.5 cubic feet per year

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

Amend and transfer to Schedule 83-06, Series 16-3, October 21, 2021

#### 12-4 **Holder Reports** (Record Copy)

Description: Monthly report from OCC Finance Division listing the total amount of

money received for deposit into the Mineral Owners Escrow Account. This record is used to reconcile MOEA Division calculations with those of the

Finance Division.

Volume: 1 cubic foot per year

Disposition: Retain in office until one (1) year after all audits have been completed and

all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending, destroy two (2) years after

exhaustion of all legal remedies.

Amend and transfer to Schedule 83-06, Series 16-4, October 21, 2021

### 12-5 **Owner Reports**

Description: Division record created as part of reconciliation process noted in Series 12-4

16-4.

Volume: 1 cubic foot per year

Disposition: Retain in office until one (1) year after all audits have been completed and

all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending, then destroy. If legal action is pending, destroy two (2) years after

exhaustion of all legal remedies.

Amend and transfer to schedule 83-06, Series 16-5, October 21, 2021

# OKLAHOMA CORPORATION COMMISSION

#### **Administration Division**

Amendments to Records Disposition Schedule 84-04

\* October 21, 2021 \*

#### Administration Division, Mineral Owners Escrow Account

#### 12-6 **Verification of Owners File**

Description: File contains verification lists from the Tax Commission and related

materials. Each quarter, the Tax Commission Estate and Unclaimed Property Division forwards a list of claimants for escrow payments and MOEA staff compare it with its records and recommends approval or denial

of claims.

Volume: less than 1 cubic foot per year

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

destroy.

Amend and transfer to Schedule 83-06, Series 16-6, October 21, 2021

# DEPARTMENT OF TRANSPORTATION

# Amendments to Records Disposition Schedule **88-03**

# \* October 21, 2021 \*

# Summary

10-1	Agency requests series be amended.
10-2	Agency requests series be deleted. This division does not maintain these records. There is no backlog of records.
10-3	Agency requests series be amended.
10-4	Agency requests series be amended.
10-5	Agency requests series be amended.
10-6	Agency requests series be amended.
10-7	Agency requests series be amended.
10-8	Agency requests series be amended.
10-9	Agency requests series be deleted. These records are convenience copies.
15-1	Agency requests series be amended.
15-3	Agency requests series be deleted. This record is no longer created. There is no backlog of records
15-5	Agency requests series be deleted. This record is no longer created. There is no backlog of records
15-6	Agency requests series be amended.
15-10	Agency requests series be amended to include series 15-11.
15-11	Agency requests series be transferred to series 15-10.
15-12	Agency requests series be deleted. These records are included in the General Records Disposition Schedule.
15-13	Agency requests series be deleted. These records are included in the General Records Disposition Schedule.
15-14	Agency requests series be deleted. These records are included in the General Records Disposition Schedule.
15-15	Agency requests series be deleted. These records are included in the General Records Disposition Schedule.
15-16	Agency requests series be deleted. These records are convenience copies.
15-17	Agency requests series be deleted. These records are convenience copies.

# DEPARTMENT OF TRANSPORTATION

# Amendments to Records Disposition Schedule **88-03**

# \* October 21, 2021 \*

15-18	Agency requests series be amended.
22-2	Agency requests series be amended.
22-3	Agency requests series be amended.
22-4	Agency requests series be amended.
22-5	Agency requests series be amended.
28-3	Agency requests series be amended and transferred from series 28-5
28-5	Agency requests series be transferred to series 28-3.
28-6	Agency requests series be amended.
28-9	Agency requests series be amended.
30-1	Agency requests series be amended.
30-2	Agency requests series be amended.
30-11	Agency requests series be amended.

#### DEPARTMENT OF TRANSPORTATION

Amendments to Records Disposition Schedule 88-03

\* October 21, 2021 \*

#### Land Acquisition - Right-of-Way Division

10-1 **Right-of-Way Project Files in Connection with Highway Construction** Essential Record (67 O.S., §203(e)) Record Copy

Description: Files consisting of right-of-way project file containing correspondence,

comparables, appraisals, <u>closed condemnation case files</u>, and computergenerated data <del>and allied papers. Operations Review and Evaluation</del> <del>Division is the state office of record (Departmental Inventory Report;</del>

Schedule 88-03, Series 11-2).

Volume: 17 cubic feet per year

Disposition: Retain permanently. in Records Center until two (2) years after final

payment by Federal Highway Administration, then store permanently in

agency off-site storage.

#### 10-2 LPA (Local Project Acquisition) Utility Relocation Files

Description: Records consist of LPA utility relocation files which contain

correspondence, proposals, contracts and relocation drawings in

connection with highway construction.

Volume: 6 cubic feet per year

Disposition: Retain in office until three (3) years after project is let, then destroy.

Delete from schedule, October 21, 2021

#### 10-3 Utility Permits (DOT Form M-4 and M4A)

Description: Records consist of files which contain approved copy of utility permit and

relocation drawing filed by utility company. Field Divisions are the office

of record, Schedule 88-05, Series 1-1.

Volume: 2 cubic feet per year

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

destroy.

#### DEPARTMENT OF TRANSPORTATION

Amendments to Records Disposition Schedule 88-03

#### \* October 21, 2021 \*

#### Land Acquisition - Right-of-Way Division

#### 10-4 Utility Relocation Files in Connection with Highway Construction (Essential Record)

Description: Records consist of files which contain correspondence, contracts,

proposals and relocation drawings from utility companies.

Volume: 15 cubic feet per year

Disposition: Retain in office five (5) years following completion of construction, then

destroy, transfer records to the State Archives for permanent preservation 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, transfer two (2) years after exhaustion of all legal remedies

provided records meet all stipulated retention requirements.

#### 10-5 **Project Deed Files** (Essential Record)

Description: Records consist of Right-of-Way Deed Project Files which contain the

original documents secured in obtaining the Right-of-Way needed for

highway construction.

Volume: 2 cubic feet per year

Disposition: Retain in Records Center permanently.

#### 10-6 **Mapping Project Files**

Description: The files contain original plot plans, deed form, ownership declaration,

correspondence, ownership data, Waiver of Lien form, and condemnation descriptions. Copies of the original plot plans, ownership declaration, and correspondence are transferred to Right-of-Way Project Files, Series 10-1. Copies of the deed forms, Waiver of Lien forms, and condemnation

descriptions are transferred to Project Deed Files, Series 10-5.

Volume: 4 cubic feet per year

Disposition: Retain original records in office until three (3) years after the project is

closed completion of project, then transfer to agency off-site storage.

Retain in agency off site storage ten (10) years, then destroy.

#### DEPARTMENT OF TRANSPORTATION

Amendments to Records Disposition Schedule 88-03

#### \* October 21, 2021 \*

#### Land Acquisition - Right-of-Way Division

#### 10-7 **Right-of-Way Plans** (Essential Record)

Description: Records consist of plans giving complete layout of the project showing

ownerships, total property insets, property lines, parcel numbers, etc.

Volume: 1 cubic foot per year

Disposition: Retain permanently in office and microfilm all documents on an annual

basis for security purposes. After microfilming deposit the master negative with the Records Management Division of the Oklahoma Department of Libraries upon certification that the microfilm meets all standards

established by the Archives and Records Commission.

#### 10-8 Condemnation Case Files

Description: File contains legal documents on cases for condemnation.

Volume: 2 cubic feet per year

Disposition: After case is closed, transfer records to appropriate Right-of-Way Project

Files, Series 10-1.

#### 10-9 **Legal Opinions**

Description: Records consist of copies of legal opinions research and issued by the

ODOT Legal Division. The General Counsel is the office of record, Series

<del>15-10.</del>

Volume: less than 1 cubic foot per year

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

<del>destroy.</del>

Delete from schedule, October 21, 2021

#### DEPARTMENT OF TRANSPORTATION

Amendments to Records Disposition Schedule 88-03

#### \* October 21, 2021 \*

#### General Counsel

#### 15-1 Current Litigation Files (Confidential Record, 5-O.S., §3 and 51 O.S., §24A.12)

Description: Records consist of may include pleadings, evidence, investigative reports,

and attorney-work product concerning pending litigation.

Volume: 1 cubic foot per year

Disposition: Retain in office ten (10) three (3) years after case is closed, then destroy,

provided no legal actions are pending. If legal action is pending, destroy

two (2) years after exhaustion of all legal remedies.

#### 15-3 Contractor Files Confidential Record 51 O.S., §24A.9

Description: Records consist of information concerning history and operations of

contractors.

Volume: 1 cubic foot per year

Disposition: Retain in office five (5) years after contractor ceases to do business with

the state, 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.

Delete from schedule, October 21, 2021

# 15-5 Advance Project Files

Description: Records consist of reference material concerning future projects of

significant scope.

Volume: less than 1 cubic foot per year

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

destroy.

Delete from schedule, October 21, 2021

#### **DEPARTMENT OF TRANSPORTATION**

Amendments to Records Disposition Schedule 88-03

\* October 21, 2021 \*

#### General Counsel

15-6 Current Claims Under Governmental Tort Claims Act Files (Confidential Record, 5-O.S., §3 and 51 O.S., §24A.12)

Description: Records consist of claims filed under in accordance with the Governmental

Tort Claims Act. Files may include claims and litigation documents and

defense information and investigations.

Volume: 1 cubic foot per year

Disposition: Retain in office two (2) years after final disposition (as set out in 51 O.S. §

157(B)) until closed, then destroy, provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies. transfer to Closed Claims and Closed Litigations File

(Governmental Tort Claims Act), Series 15-7.

15-10 Internal Legal Opinions Memoranda and Requests for Attorney General Opinions

Description: Records consist of files of internal opinions legal memoranda and requests

for Attorney General's Opinions from General Counsel to agency official.

Volume: less than 1 cubic foot per year

Disposition: Retain in office permanently until no longer required for administrative

purposes, then destroy.

15-11 Legal Memoranda

Description: Records consist of internal legal memoranda concerning legal issues

relating to the Department of Transportation.

Volume: less than 1 cubic foot per year

Disposition: Retain in office permanently until no longer required for administrative

purposes, then destroy.

Amend and transfer to series 15-10, October 21, 2021

#### DEPARTMENT OF TRANSPORTATION

Amendments to Records Disposition Schedule 88-03

#### \* October 21, 2021 \*

#### General Counsel

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

Delete from schedule, October 21, 2021

15-13 Miscellaneous Claims and Invoices (Except OSF Form 14 and OSF Form 9) (Refer to

General Records Disposition Schedule, Series 2-12)

Delete from schedule, October 21, 2021

15-14 Professional Services Contracts File (Refer to General Records Disposition Schedule, Series

2-92

Delete from schedule, October 21, 2021

15-15 Reference File (Refer to General Records Disposition Schedule, Series 1-8)

Delete from schedule, October 21, 2021

15-16 Research Files

Description: Records consist of files concerning case law copied on various subject

matters relating to operation and litigation concerning operations of

litigation by this agency.

Volume: 3 cubic feet per year

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

destrov.

Delete from schedule, October 21, 2021

15-17 Miscellaneous Files

Description: Records consist of copies of Administrative Procedures Act, Alcohol

Control, Attorney General Opinion Digest, Prison Pick Up Crew Agreements, Contractor Claim Procedures, Encroachment Notices, Grievance Procedure, Letter of Credit Format, Overweight Crossing Agreements, Public Contracts Information File, Employee Death Release Form, Rest Area Vending Information, Risk Management Information,

Contract Forms and Old Merit Rules.

Volume: less than 1 cubic foot per year

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

destroy.

Delete from schedule, October 21, 2021

#### DEPARTMENT OF TRANSPORTATION

Amendments to Records Disposition Schedule 88-03

\* October 21, 2021 \*

#### General Counsel

#### 15-18 Incident Report Form (#OREGC-5)

Description: Records consist of forms filled out to report of theft, vandalism, burglary,

or missing items of involving state equipment or property.

Volume: 4 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 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.

#### DEPARTMENT OF TRANSPORTATION

Amendments to Records Disposition Schedule 88-03

#### \* October 21, 2021 \*

#### **Outdoor Advertising Control**

#### 22-2 Miscellaneous Correspondence

Description: Incoming and copies of outgoing miscellaneous Correspondence with sign

and junkyard owners and other interested parties.

Volume: less than 1 cubic foot per year

Disposition: Retain in office and review on an annual basis. Destroy duplicate and

ancillary materials as well as substantive materials three (3) or more years

old no longer required for administrative purposes. Retain in office three (3) years, then destroy.

22-3 Sign Company File

Description: Copies of Form ACP-302, Form ACP-201, Form ACP-307, and incoming

and copies of outgoing correspondence.

Volume: less than 1 cubic foot per year

Disposition: Retain in office until company ceases operation, the destroy.

22-4 **Junkyard File** 

Description: Computer printouts of Form JY-1 and Form JY-2, photo, aerial summary

of property, and incoming and copies of outgoing correspondence.

Volume: 7 cubic feet per year

Disposition: Retain in office permanently. until company ceases operation, then

microfilm. Destroy hard copy documents: (1) upon certification that the microfilm meets all standards established by the Archives and Records Commission, (2) after depositing the master negative with the Records Management Division of the Oklahoma Department of Libraries, and (3)

after retaining at least one (1) user copy in the agency.

#### DEPARTMENT OF TRANSPORTATION

Amendments to Records Disposition Schedule 88-03

\* October 21, 2021 \*

#### Outdoor Advertising Control

#### 22-5 Sign Files (Registered, Exempt and Illegal)

Description: Files include registration certificates, permits, permit application, land

use consents, photos, inventory information, incoming and outgoing correspondence, and related information. Files for illegal signs may

include correspondence to and from General Counsel's office.

Volume: 7 cubic feet per year

Disposition: Retain in office until sign/permit has been officially removed, cancelled

or dismissed, then destroy. Upon resolution, transfer records to 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. Store a back up copy of the records in an off site storage area that meets the manufacturer's

recommendations for temperature and humidity controls.

#### DEPARTMENT OF TRANSPORTATION

Amendments to Records Disposition Schedule 88-03

\* October 21, 2021 \*

#### Construction

#### 28-3 **Project Files (Working Files)**

Description: Working copies of construction projects undertaken as part of federal and

state funded programs, which may include but is not limited to, financial estimates and correspondence. DOT Finance Division, Schedule 81-06,

Series 1-12 is the state office of record.

Volume: <u>twenty (20)</u> cubic feet per year

Disposition: Retain in office until two (2) months after finalization of project, then

transfer to DOT Finance Division, Schedule 81-06, Series 1-12.

Amend and transfer from series 28-5, October 21, 2021

### 28-5 Correspondence File

Description: Incoming and copies of outgoing general correspondence and

correspondence relating to construction projects.

Volume: 1 cubic foot per year

Disposition: Retain in office and review on an annual basis. Destroy duplicate and

ancillary materials three (3) or more years old no longer required for administrative purposes. Retain substantive records in office five (5) years, then microfilm. Destroy substantive hard copy documents: (1) upon certification that the microfilm meets all standards established by the Archives and Records Commission, (2) after storing the master negative of the microfilm with the Records Management Division of the Oklahoma Department of Libraries, and (3) after retaining at least one

(1) user copy in the agency.

OR

Retain in office and transfer data to optical disks. Destroy hard copy documents, except those that cannot be reproduced in a legible and readable condition, (a) upon certification that all records have been successfully entered on disk; (b) after storing a back up copy of the disk in an off site storage area that meets the manufacturer's recommendations for temperature and humidity controls; or if no recommendations are provided by the manufacturer, store the back up disk in an off site storage area whose temperature is between 65° and 75° Fahrenheit and whose relative humidity is between 30% and 50%; and (c) after retaining at least one (1)

Transfer to series 28-3, October 21, 2021

user copy of the disk in the agency.

#### DEPARTMENT OF TRANSPORTATION

Amendments to Records Disposition Schedule 88-03

\* October 21, 2021 \*

#### Construction

#### 28-6 **Project Card Files**

Description: Card file giving information on each individual project.

Volume: less than 1 cubic foot per year

Disposition: Retain in office permanently.

#### 28-9 **Insurance Verification Records**

Description: Insurance verification forms of workers compensation and general liability

insurance for contractors working on federal and state funded construction

projects.

Volume: one (1) cubic foot per year

Disposition: Retain in office for three (3) years, then destroy, provided no legal

actions are pending. If legal actions are pending, destroy two (2) years after exhaustion of all legal remedies. and microfilm. Destroy applicable hard copy documents except those defined by Archives and Records Commission Rule 60:10-7-2(2) as below standards for microfilm (a) upon certification that the microfilm meets all standards established by the Archives and Records Commission, (b) after depositing the master negative of the microfilm with the Office of Archives and Records of the Oklahoma Department of Libraries, and (c) after retaining at least one

(1) user copy of the microfilm in the agency.

OR

Retain in office and transfer data to optical disks. Destroy hard copy documents, except those that cannot be reproduced in a legible and readable condition, (a) upon certification that all records have been successfully entered on disk; (b) after storing a back up copy of the disk in an off site storage area that meets the manufacturer's recommendations for temperature and humidity controls; or if no recommendations are provided by the manufacturer, store the back up disk in an off site storage area whose temperature is between 65° and 75° Fahrenheit and whose relative humidity is between 30% and 50%; and (c) after retaining at least one (1) user copy of the disk in the agency.

#### DEPARTMENT OF TRANSPORTATION

Amendments to Records Disposition Schedule 88-03

#### \* October 21, 2021 \*

#### Roadway Design Division

#### 30-1 General Correspondence

Description: Files contain correspondence relating to the overall function of the

Roadway Design Division, including a reading file.

Volume: 1 cubic foot per year

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

# 30-2 Roadway Design Project Files

Description: File includes records documenting roadway project development and

design, including administration of the project and correspondence. This file will also include history documentation, engineering records, and information pertaining to letting the project. The final plans (as-builts) are

maintained in Schedule 88-03, Series 2-12.

Volume: 8 cubic feet per year

Disposition: Retain in office seven (7) years after completion of project construction,

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.

#### **Project Files - Geometrics**

Description: Records documenting project development and design. Files include

correspondence, project administration records, project history documentation, engineering records, real property information, cost estimates, meeting notes, reports, reference policies, traffic analysis, soils

reports, alternate payouts, and work records.

Volume: 20 cubic feet per year

Disposition: Retain in office permanently.

# STATE REGENTS FOR HIGHER EDUCATION

Amendments to Records Disposition Schedule 90-03

\* October 21, 2021 \*

Summary

7-11 Agency requests series be amended.

#### STATE REGENTS FOR HIGHER EDUCATION

Amendments to Records Disposition Schedule 90-03

\* October 21, 2021 \*

#### Core/Legal

## 7-11 Student Services/Oklahoma Teacher Connection (OTC)

Description: This record contains internal memoranda, correspondence, and

publications addressing scholarships and grant programs. Also included in this record is documentation addressing teacher residency and teacher incentive programs, as well as the Minority Teacher Recruitment Program.

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

Disposition: Retain in office five (5) seven (7) 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.

# AUDITOR AND INSPECTOR

Amendments to Records Disposition Schedule **92-13** 

\* October 21, 2021 \*

# Summary

2-2 Agency requests series be amended.

#### AUDITOR AND INSPECTOR

Amendments to Records Disposition Schedule 92-13

\* October 21, 2021 \*

## State Board of Equalization

## 2-2 County Estimates of Needs and Financial Statements (Record Copy)

Description: Arranged chronologically by counties, these statements of revenue and

expenditures provide detailed data about fiscal operations of cities, towns, school districts, and other entities of local government. Data includes revenue derived from ad valorem and other taxes; money received from fees, the sale of property, bank interest, and vendor licenses; and expenditures for salaries, bonded indebtedness, capital outlays, insurance, and other operational needs, summary statements listing city-by-city and school-district-by-district real estate values, total homestead exemptions,

and public service values and the assessed values of sinking funds.

Volume: 15 cubic feet per year

Disposition: Retain in office two (2) years, then transfer to the State Records Center.

Destroy records when they become twenty (20) years old Retain twenty (20) years, then destroy, provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal

remedies provided records meet all stipulated retention requirements.

# OKLAHOMA MUNICIPAL POWER AUTHORITY

Amendments to Records Disposition Schedule 93-07

# \*October 21, 2021 \*

# Summary

Agency requests Introduction to schedule be amended.

1-1	Agency requests series be deleted. These records are included in the General Records Disposition Schedule for State Agencies, Boards, and Commissions.
1-2	Agency requests series be deleted. These records are included in the General Records Disposition Schedule for State Agencies, Boards, and Commissions.
1-3	Agency requests series be deleted. These records are included in the General Records Disposition Schedule for State Agencies, Boards, and Commissions.
1-4	Agency requests series be deleted. These records are included in the General Records Disposition Schedule for State Agencies, Boards, and Commissions.
1-5	Agency requests series be deleted. These records are included in the General Records Disposition Schedule for State Agencies, Boards, and Commissions.
1-6	Agency requests series be deleted. These records are included in the General Records Disposition Schedule for State Agencies, Boards, and Commissions.
1-7	Agency requests series be deleted. These records are included in the General Records Disposition Schedule for State Agencies, Boards, and Commissions.
1-8	Agency requests series be deleted. These records are included in the General Records Disposition Schedule for State Agencies, Boards, and Commissions.
1-10	Agency requests series be deleted. These records are included in the General Records Disposition Schedule for State Agencies, Boards, and Commissions.
1-11	Agency requests series be deleted. These records are included in the General Records Disposition Schedule for State Agencies, Boards, and Commissions.
1-12	Agency requests series be deleted. These records are included in the General Records Disposition Schedule for State Agencies, Boards, and Commissions.
1-13	Agency requests series be amended.
1-14	Agency requests series be amended.
1-15	Agency requests series be amended.
1-16	Agency requests series be deleted. These records are included in the General Records Disposition Schedule for State Agencies, Boards, and Commissions.

# OKLAHOMA MUNICIPAL POWER AUTHORITY

Amendments to Records Disposition Schedule 93-07

1-17	Agency requests series be deleted. These records are included in the General Records Disposition Schedule for State Agencies, Boards, and Commissions.				
1-18	Agency requests series be deleted. These records are included in the General Records Disposition Schedule for State Agencies, Boards, and Commissions.				
1-19	Agency requests series be deleted. These records are included in the General Records Disposition Schedule for State Agencies, Boards, and Commissions.				
1-20	Agency requests series be deleted. These records are included in the General Records Disposition Schedule for State Agencies, Boards, and Commissions.				
1-21	Agency requests series be deleted. These records are included in the General Records Disposition Schedule for State Agencies, Boards, and Commissions.				
1-22	Agency requests series be deleted. These records are included in the General Records Disposition Schedule for State Agencies, Boards, and Commissions.				
1-23	Agency requests series be added to its schedule.				
1-24	Agency requests series be added to its schedule.				
Agency requests division name, "Accounting," be amended to "Corporate Services."					
2-9	Agency requests series be deleted. These records are convenience copies.				
2-12	Agency request series be added to its schedule.				
2-13	Agency request series be added to its schedule.				
2-14	Agency request series be added to its schedule.				
Agency requests division name, "Personnel," be amended to "Human Resources."					
4-1	Agency requests series be deleted. These records are included in the General Records Disposition Schedule for State Agencies, Boards, and Commissions.				
4-2	Agency requests series be deleted. These records are included in the General Records Disposition Schedule for State Agencies, Boards, and Commissions.				
4-3	Agency requests series be deleted. These records are included in the General Records Disposition Schedule for State Agencies, Boards, and Commissions.				
4-4	Agency requests series be deleted. These records are included in the General Records Disposition Schedule for State Agencies, Boards, and Commissions.				

# OKLAHOMA MUNICIPAL POWER AUTHORITY

Amendments to Records Disposition Schedule 93-07

4-5	Agency requests series be deleted. These records are included in the General Records Disposition Schedule for State Agencies, Boards, and Commissions.
4-6	Agency requests series be deleted. These records are included in the General Records Disposition Schedule for State Agencies, Boards, and Commissions.
4-7	Agency requests series be deleted. These records are included in the General Records Disposition Schedule for State Agencies, Boards, and Commissions.
4-8	Agency requests series be deleted. These records are included in the General Records Disposition Schedule for State Agencies, Boards, and Commissions.
4-9	Agency requests series be deleted. These records are included in the General Records Disposition Schedule for State Agencies, Boards, and Commissions.
4-10	Agency requests series be deleted. These records are included in the General Records Disposition Schedule for State Agencies, Boards, and Commissions.
4-11	Agency requests series be deleted. These records are included in the General Records Disposition Schedule for State Agencies, Boards, and Commissions.
4-12	Agency requests series be deleted. These records are included in the General Records Disposition Schedule for State Agencies, Boards, and Commissions.
4-13	Agency requests series be deleted. These records are included in the General Records Disposition Schedule for State Agencies, Boards, and Commissions.
4-14	Agency requests series be deleted. These records are included in the General Records Disposition Schedule for State Agencies, Boards, and Commissions.
4-15	Agency requests series be deleted. These records are included in the General Records Disposition Schedule for State Agencies, Boards, and Commissions.
4-16	Agency requests series be deleted. These records are included in the General Records Disposition Schedule for State Agencies, Boards, and Commissions.
4-17	Agency requests series be deleted. These records are included in the General Records Disposition Schedule for State Agencies, Boards, and Commissions.
4-18	Agency requests series be deleted. These records are included in the General Records Disposition Schedule for State Agencies, Boards, and Commissions.
4-19	Agency requests series be deleted. These records are included in the General Records Disposition Schedule for State Agencies, Boards, and Commissions.
4-20	Agency requests series be deleted. These records are included in the General Records Disposition Schedule for State Agencies, Boards, and Commissions.

# OKLAHOMA MUNICIPAL POWER AUTHORITY

Amendments to Records Disposition Schedule 93-07

4-21	Agency requests series be deleted. These records are included in the General Records Disposition Schedule for State Agencies, Boards, and Commissions.
4-22	Agency requests series be deleted. These records are included in the General Records Disposition Schedule for State Agencies, Boards, and Commissions.
4-23	Agency requests series be deleted. These records are included in the General Records Disposition Schedule for State Agencies, Boards, and Commissions.
4-24	Agency requests series be deleted. These records are included in the General Records Disposition Schedule for State Agencies, Boards, and Commissions.
4-25	Agency requests series be deleted. These records are included in the General Records Disposition Schedule for State Agencies, Boards, and Commissions.
Agency r	equests division name, "Engineering and Operations," be amended to "Power Production."
5-3	Agency requests series be amended.
5-4	Agency requests series be amended.
5-9	Agency requests series be amended.
5-10	Agency requests series be amended.
Agency r	equests new division, "Environmental/Compliance" be created.
6-1	Agency requests series be added to its schedule.

#### OKLAHOMA MUNICIPAL POWER AUTHORITY

Amendments to Records Disposition Schedule **93-07** 

\*October 21, 2021 \*

This Consolidated Records Disposition Schedule encompasses the original disposition schedule approved by the Archives and Records Commission October 13, 1993; and subsequent amendments approved July 14, 1999, October 13, 1999, October 17, 2001, October 16, 2002 and April 24, 2008. 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

The retention of certain records of the Oklahoma Municipal Power 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.

# OKLAHOMA MUNICIPAL POWER AUTHORITY

Amendments to Records Disposition Schedule 93-07

# \*October 21, 2021 \*

# Administrative Records

<del>1-1</del>	Minutes-Official (Essential Record) (Refer to General Records Disposition Schedule, Serie 1-1) Delete from schedule, October 21, 2021
<del>1-2</del>	Minutes (Refer to General Records Disposition Schedule, Series 1-2) Delete from schedule, October 21, 2021
1-3	Correspondence (Refer to General Records Disposition Schedule, Series 1-3) Delete from schedule, October 21, 2021
1-4	Unpublished Annual or Biennial Reports (Refer to General Records Disposition Schedule Series 1-57) Delete from schedule, October 21, 2021
1-5	Records Inventory Reports (Refer to General Records Disposition Schedule, Series 1-16) Delete from schedule, October 21, 2021
<del>1-6</del>	Litigation Files (Refer to General Records Disposition Schedule, Series 1-21) Delete from schedule, October 21, 2021
<del>1-7</del>	Incident Reports (Refer to General Records Disposition Schedule, Series 1-26) Delete from schedule, October 21, 2021
1-8	Safety Correspondence (Refer to General Records Disposition Schedule, Series 1-28) Delete from schedule, October 21, 2021
<del>1-10</del>	Audit Reports (Refer to General Records Disposition Schedule, Series 1-42) Delete from schedule, October 21, 2021
1-11	Organizational Charts (Refer to General Records Disposition Schedule, Series 1-44) Delete from schedule, October 21, 2021
<del>1-12</del>	Attorney General Opinions (Refer to General Records Disposition Schedule, Series 1-49) Delete from schedule, October 21, 2021

#### OKLAHOMA MUNICIPAL POWER AUTHORITY

Amendments to Records Disposition Schedule **93-07** 

\*October 21, 2021 \*

## Administrative Records

#### 1-13 Contracts

Description: Record copies of contracts to which the agency is party.

Volume: one cubic foot per year

Disposition: Retain in office until four (4) seven (7) years after expiration or cancellation

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

provided records meet all stipulated retention requirements.

#### 1-14 Professional Services Contracts File

Description: File contains a copy of the contract; a record of the payments made to the

service provider; a copy of any evaluations required; and any books, records, documents, accounting procedures, practices or any other items of

the service provider relevant to the contract.

Volume: one cubic foot per year

Disposition: Retain in office until four (4) seven (7) years after expiration or cancellation

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

provided records meet all stipulated retention requirements.

# OKLAHOMA MUNICIPAL POWER AUTHORITY

Amendments to Records Disposition Schedule 93-07

\*October 21, 2021 \*

# Administrative Records

2 Karrinisti	attive records			
1-15	Reports to Federal Regulatory Agencies			
	Description: Copies of annual financial, operating, and statistical reports sent to federal regulatory agencies.			
	Volume: 2 cubic feet per year			
	Disposition:	Retain until receipt of FERC audit report or two (2) years after auditor's exit conference whichever occurs first. [18 CFR §125.3 (a)(1)] Retain in office five (5) years, then destroy.		
<del>1-16</del>	Records Disposition Schedules and Records Disposition Authorizations (Refer to General Records Disposition Schedule, Series 1-17) Delete from schedule, October 21, 2021			
1-17	Records Transfer Authorizations (Refer to General Records Disposition Schedule, Series 1-18) Delete from schedule, October 21, 2021			
1-18	Notices of Intent To Destroy Records (Refer to General Records Disposition Schedule, Series 1-19) Delete from schedule, October 21, 2021			
1-19	Microform Identification Declaration (Refer to General Records Disposition Schedule, Series 1-24) Delete from schedule, October 21, 2021			
1-20	State and Federal Guidelines (Refer to General Records Disposition Schedule, Series 1-43) Delete from schedule, October 21, 2021			
1-21	Quality Evaluation Forms (Refer to General Records Disposition Schedule, Series 1-53) Delete from schedule, October 21, 2021			
1-22	Insurance Policies (Refer to General Records Disposition Schedule, Series 1-65) Delete from schedule, October 21, 2021			

#### **OKLAHOMA MUNICIPAL POWER AUTHORITY**

Amendments to Records Disposition Schedule **93-07** 

\*October 21, 2021 \*

## Administrative Records

## 1-23 Vehicle Reports

<u>Description:</u> Report on each vehicle owned by the Oklahoma Municipal Power Authority

showing miles driven and other operating expenses.

<u>Disposition:</u> Retain in office seven (7) years, then destroy, provided 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.

Add to schedule, October 21, 2021

## 1-24 Grants File

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

This series is included in series 2-102 of the General Records Disposition Schedule. OMPA requires a longer retention period in order to meet internal

audit requirements.

<u>Disposition:</u> Retain in office seven (7) years, then destroy, provided 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.

## OKLAHOMA MUNICIPAL POWER AUTHORITY

Amendments to Records Disposition Schedule 93-07

\*October 21, 2021 \*

## **Accounting** Corporate Services

## 2-9 Miscellaneous Billing Data

Description: Copies of customer contracts. The record copies of billing documents are

found in Journal Vouchers, Series 2-3.

Volume: 2 cubic feet per year

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

destroy.

Delete from schedule, October 21, 2021

**<u>2-12</u> <u>Inventories</u>** 

Description: Records including purchase and sale documents and annual physical audits

to meet minimum documentation requirements established by law, policy, or

best practices for audit purposes.

<u>Disposition:</u> Retain in office seven (7) years, then destroy, provided 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.

#### **OKLAHOMA MUNICIPAL POWER AUTHORITY**

Amendments to Records Disposition Schedule **93-07** 

\*October 21, 2021 \*

## **Accounting Corporate Services**

## **2-13** Surplus Property File

<u>Description:</u> File contains memos, worksheets, and invitation to bid forms relating to

surplus property.

<u>Disposition:</u> Retain in office seven (7) years, then destroy, provided 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.

Add to schedule, October 21, 2021

2-14 Trip Tickets

Description: File includes mileage tickets and correspondence used in compiling vehicle

reports.

Disposition: Retain in office seven (7) years, then destroy, provided all audits have been

completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention

requirements.

## OKLAHOMA MUNICIPAL POWER AUTHORITY

Amendments to Records Disposition Schedule 93-07

\*October 21, 2021 \*

Personn	el-Human Resources
4-1	Personnel Records of Permanent State Employees (Active) (Refer to General Records Disposition Schedule, Series 3-1) Delete from schedule, October 21, 2021
4-2	Personnel Records of Permanent State Employees (Inactive)-Retirement System Members and Nonretirement Members (Refer to General Records Disposition Schedule, Series 3-1D)  Delete from schedule, October 21, 2021
4-3	Employment Applications and Interviews Records (Refer to General Records Disposition Schedule, Series 3-3 and 3-4) Delete from schedule, October 21, 2021
4-4	Classification/Salary Schedules (Refer to General Records Disposition Schedule, Series 3-13) Delete from schedule, October 21, 2021
4-5	W-2 Forms (Refer to General Records Disposition Schedule, Series 3-15) Delete from schedule, October 21, 2021
4-6	Insurance Enrollment Cards (Active) (Refer to General Records Disposition Schedule, Series 3-16) Delete from schedule, October 21, 2021
<del>4-7</del>	Insurance Enrollment Cards (Inactive) (Refer to General Records Disposition Schedule, Series 3-17) Delete from schedule, October 21, 2021
4-8	Employee Health Insurance Files Records (Except Colleges and Universities) (Refer to General Records Disposition Schedule, Series 3-16) Delete from schedule, October 21, 2021
4-9	Unemployment Compensation Claims Records (Refer to General Records Disposition Schedule, Series 3-20) Delete from schedule, October 21, 2021
4-10	Payroll Information Records (Refer to General Records Disposition Schedule, Series 3, 21)

Employee Attendance Records (Refer to General Records Disposition Schedule, Series 3-22)

Employee Leave Requests (Refer to General Records Disposition Schedule, Series 3-23)

Delete from schedule, October 21, 2021

Delete from schedule, October 21, 2021

Delete from schedule, October 21, 2021

4-11

4-12

# OKLAHOMA MUNICIPAL POWER AUTHORITY

Amendments to Records Disposition Schedule 93-07

Personr	vel-Human Resources
4-13	Retirement Enrollment Application (Refer to General Records Disposition Schedule, Series 3-25)
	Delete from schedule, October 21, 2021
4-14	Workers Compensation Quarterly Report (Refer to General Records Disposition Schedule, Series 3-26)
	Delete from schedule, October 21, 2021
4-15	Workers Compensation Accident Records (Refer to General Records Disposition Schedule, Series 3-27)
	Delete from schedule, October 21, 2021
4-16	Job Descriptions Merit (Refer to General Records Disposition Schedule, Series 3-28) Delete from schedule, October 21, 2021
4-17	Job Announcements Records (Refer to General Records Disposition Schedule, Series 3-30) Delete from schedule, October 21, 2021
4-18	Grievance Procedures Records (Refer to General Records Disposition Schedule, Series 3-31) Delete from schedule, October 21, 2021
4 <del>-19</del>	<b>Benefit Information</b> (Refer to General Records Disposition Schedule, Series 3-37) Delete from schedule, October 21, 2021
4-20	Notice of Right to Continued Coverage Records (Active) (Refer to General Records Disposition Schedule, Series 3-56) Delete from schedule, October 21, 2021
<del>4-21</del>	Change or Designation of Beneficiary Record (Refer to General Records Disposition Schedule, Series 3-58) Delete from schedule, October 21, 2021
4 <del>-22</del>	IRS Form 1099 (Refer to General Records Disposition Schedule, Series 3-64) Delete from schedule, October 21, 2021
4-23	State Insurance Payroll Fund Reports (Refer to General Records Disposition Schedule, Series 2-56) Delete from schedule, October 21, 2021
4-24	Payroll Working File (Refer to General Records Disposition Schedule, Series 2-32) Delete from schedule, October 21, 2021
4-25	Grievance Procedures (Refer to General Records Disposition Schedule, Series 3-31 & 3-36) Delete from schedule, October 21, 2021

#### OKLAHOMA MUNICIPAL POWER AUTHORITY

Amendments to Records Disposition Schedule 93-07

\*October 21, 2021 \*

## **Engineering and Operations** Power Production

## 5-3 Generation and Output Logs

Description: File includes logs related to fossil generation and output data, other than for

hydro-electric plants, including control room log book, clearance log book,

Unit No. 4 log book, Substation/Switch station log books.

Volume: Five (5) cubic feet per year

Disposition: Retain in office for the life of the plant six (6) years, then destroy, provided

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

stipulated retention requirements. [18 CFR §125.3 (13.1) (b)]

## 5-4 **Hydro Electric Reports**

Description: File includes logs related to Kaw hydro-electric generation and output data,

including control room log, clearance log and gauge reading reports for

dissolved oxygen and river flow data.

Volume: Five (5) cubic feet per year

Disposition: Retain dissolved oxygen report for the life of the plant, then destroy,

provided no legal actions are pending. If legal action is pending, destroy records two (2) years after exhaustion of all legal remedies, provided

records meet all stipulated retention requirements.

Retain all other reports in office seven (7) twenty-five (25) years, then destroy, provided no legal actions are pending. If legal action is pending, destroy records two (2) years after exhaustion of all legal remedies,

provided records meet all stipulated retention requirements. [18 CFR

§125.3 (13.1) (c) (1)]

#### **OKLAHOMA MUNICIPAL POWER AUTHORITY**

Amendments to Records Disposition Schedule 93-07

\*October 21, 2021 \*

## **Engineering and Operations** Power Production

## 5-9 Equipment History and Inspection Records

Description: File includes information related to the operations of agency equipment,

including transformer design data and drawings, transformer testing reports (oil, doble, TTR, etc.), substation inspection reports, transmission line drawings and design data, substation drawings and design data, power plant equipment drawings and design data, and power plant equipment inspection

and testing reports.

Volume: Two (2) cubic feet per year

Disposition: Retain in office for the life of the equipment, then destroy, provided no legal

actions are pending. If legal action is pending, destroy records two (2) years after exhaustion of all legal remedies, provided records meet all stipulated

retention requirements.

## 5-10 Maintenance Work Orders

Description: File includes information related to maintenance work orders for the power

plants.

Volume: Two (2) cubic feet per year

Disposition: Retain in office and transfer to an electronic format, then destroy. Retain

records for the life of the power plant, until the facilities are permanently removed from utility service, all removal and restoration activities are completed, and all costs are retired from the accounting records, then destroy, provided no legal actions are pending. If legal action is pending, destroy records two (2) years after exhaustion of all legal remedies,

provided records meet all stipulated retention requirements.

## OKLAHOMA MUNICIPAL POWER AUTHORITY

Amendments to Records Disposition Schedule 93-07

\*October 21, 2021 \*

## Environmental/Compliance

## 6-1 FERC/NERC Submittals

<u>Description:</u> <u>Misoperations reporting, self-certifications, GADS submittals, Section 1600</u>

Data Requests, annual FERC submittals for Kaw Hydro.

<u>Description:</u> Retain in office for six (6) years, then destroy, provided no legal actions are

pending. If legal action is pending, destroy records two (2) years after exhaustion of all legal remedies, provided records meet all stipulated

retention requirements.

# COMMISSION ON CHILDREN AND YOUTH

Amendments to Records Disposition Schedule 2007-01

\* October 21, 2021 \*

# Summary

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

## **COMMISSION ON CHILDREN AND YOUTH**

Amendments to Records Disposition Schedule 2007-01

\* October 21, 2021 \*

## Oversight Records

## **<u>2-6</u>** Child Death Review Board Case Files (Confidential Record 10 O.S. § 1150.2)

Description: Files include death certificates, autopsies, law enforcement reports, and child

welfare reports. Files may also include fire department records, medical and

mental health records, and court transcripts.

<u>Disposition:</u> Retain in office permanently.

## OKLAHOMA DEPARTMENT OF CAREER AND TECHNOLOGY EDUCATION

Amendments to Records Disposition Schedule 2017-01

## \* October 21, 2021 \*

# Summary 5-4 Agency requests series be amended to include series 36-2. 5-9 Agency requests series be transferred from series 36-1. 5-10 Agency requests series be transferred from series 36-3. 36-1 Agency requests series be transferred to series 5-9. 36-2 Agency requests series be transferred to series 5-4. 36-3 Agency requests series be transferred to series 5-10. 36-4 Agency requests series be deleted from schedule. These records are included in General Records Disposition Schedule, Series 2-102.

### OKLAHOMA DEPARTMENT OF CAREER AND TECHNOLOGY EDUCATION

Amendments to Records Disposition Schedule 2017-01

#### \* October 21, 2021 \*

## **Administration Division**

## 5-4 Administrative Historical File (Essential Record 67 O.S. § 203(e))

Description: File contains historical information including Francis Tuttle, Big 3 Video,

Texas County Annexation, biographical information and the Bartlett Dedication. File includes strategic plans, special reports, and other

information considered to be of historical value to the agency.

Volume: one (1) cubic foot per year

Disposition: Retain in office permanently.

Transfer from series 36-2, October 21, 2021

## 5-9 Working Files

Description: File includes reports, agreements, legislation proposals, correspondence,

special projects information, copies of financial records, and other

materials or resources used for reference or convenience.

Volume: one (1) cubic foot per year

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

destroy.

Transfer from series 36-1, October 21, 2021

## 5-10 **Program Files**

Description: File includes information related to comprehensive schools, technology

centers, or Skills Centers concerning class codes, probation, funding,

enrollment, certification, requests and approval of requests.

<u>Volume:</u> <u>one (1) cubic foot per year</u>

<u>Disposition:</u> <u>Retain in office five (5) years, then destroy.</u>

Transfer from series 36-3, October 21, 2021

#### OKLAHOMA DEPARTMENT OF CAREER AND TECHNOLOGY EDUCATION

Amendments to Records Disposition Schedule 2017-01

## \* October 21, 2021 \*

### Agency Administrators

36-1 Working Files

Description: File includes reports, agreements, legislation proposals, correspondence,

special projects information, copies of financial records, and other

materials or resources used for reference or convenience.

Volume: one (1) cubic foot per year

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

destroy.

Transfer to series 5-9, October 21, 2021

36-2 Historical Files

Description: File includes strategic plans, special reports, and other information

considered to be of historical value to the agency.

Volume: one (1) cubic foot per year

Disposition: Retain in office permanently.

Transfer to series 5-4, October 21, 2021

36-3 **Program Files** 

Description: File includes information related to comprehensive schools, technology

centers, or Skills Centers concerning class codes, probation, funding,

enrollment, certification, requests and approval of requests.

Volume: one (1) cubic foot per year

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

Transfer to series 5-10, October 21, 2021

36-4 Grants Files

Description: File includes local school Request for Proposal grants, letters, and

guidelines. The Finance Division is the office of record.

Volume: one (1) cubic foot per year

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

Delete from schedule, October 21, 2021

## DEPARTMENT OF HUMAN SERVICES County Offices

Amendments to Records Disposition Schedule 82-37

#### \* October 21, 2021 \*

## Summary

- 2-15 Agency requests series be amended and transferred to Schedule 2005-01, Series 1-14.
- 2-26A Agency requests series be amended and transferred to Schedule 2005-01, Series 8-3.
- 2-26B Agency requests series be deleted. This record is a convenience copy.
- 2-26C Agency requests series be amended and transferred to Schedule 2005-01, Series 8-4.
- 2-27 Agency requests series be deleted from schedule. These records are included in Series 2-28.
- 2-28 Agency requests series be amended.

Agency requests Introduction to schedule be amended.

- 2-29 Agency requests series be amended.
- 2-30 Agency requests series be amended.
- 2-31 Agency requests series be deleted from schedule. These records are included in Series 2-32.
- 2-32 Agency requests series be amended.
- 2-33 Agency requests series be amended.
- 2-34 Agency requests series be amended.
- 2-35 Agency requests series be amended.
- 2-36 Agency requests series be amended.
- 2-37 Agency requests series be amended.
- 2-38 Agency requests series be amended.
- 2-39 Agency requests series be amended.
- 2-41 Agency requests series be amended.
- 2-44 Agency requests series be amended.
- 2-45 Agency requests series be amended and transferred to Schedule 2005-01, Series 8-5.
- 2-46 Agency requests series be amended.
- 2-47 Agency requests series be amended.

# DEPARTMENT OF HUMAN SERVICES County Offices

Amendments to Records Disposition Schedule **82-37** 

\* October 21, 2021 \*

This consolidated records disposition schedule encompasses the original schedule approved by the Archives and Records Commission May 11, 1983; subsequent amendments approved July 13, 1983, March 5, 1986, July 15, 1987, January 18, 1989, July 12, 1989, July 11, 1990, April 17, 1991, October 16, 1991, January 15, 1992, April 15, 1992, July 15, 1992; April 14, 1993; July 13, 1994; January 18, 1995, April 17, 1996, July 16, 1997, January 12, 2000, January 17, 2001, July 18, 2001, January 22, 2003, April 24, 2003, October 23, 2003, July 22, 2004, January 27, 2005, October 27, 2005, January 26, 2006, July 27, 2006, January 19, 2012, October 18, 2012, and October 27, 2016; and an Archives and Records Commission resolution dated April 15, 1987.

On April 14, 1993, records series were renumbered to streamline schedule revisions and to reflect the system that will be incorporated into all subsequent schedules approved for the Department of Human Services. Previous records series numbers are listed in brackets immediately following the dispositions of individual records series. Brackets around records series numbers indicate series previously deleted, or transferred to another records series that are listed and assigned new records series numbers to provide historical schedule development information.

Section titles were changed April 14, 1993 to reflect an administrative reorganization within the Department of Human Services: the records on the schedule were divided into Administrative Records, Client Records, and Personnel Records. 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.

## 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.

# DEPARTMENT OF HUMAN SERVICES County Offices

Amendments to Records Disposition Schedule **82-37** 

\* October 21, 2021 \*

<u>Department of Human Services records may be in a variety of formats including paper, electronic, or microfilm.</u>

## DEPARTMENT OF HUMAN SERVICES County Offices

Amendments to Records Disposition Schedule **82-37** 

\* October 21, 2021 \*

## Client Records

2-15 Child Welfare Services (CWS) Random Moment Time Study (Form F-RMTS-1) Record Copy

Description: Form used to record File contains data relative to "Random Moment

Time" studies of Child Welfare Services employees. These forms are used by the OKDHS Finance Division Financial Services to compile

reports related to cost allocation.

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 action is

pending and permission to destroy the records has been received from the OKDHS Finance Division Financial Services and 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 2005-01, Series 1-14, October 21, 2021

## DEPARTMENT OF HUMAN SERVICES County Offices

Amendments to Records Disposition Schedule 82-37

\* October 21, 2021 \*

# 2-26A Child Welfare Case Records (Confidential Record <del>10 O.S. § 7005-1,1 through 7005-1.5; §7107 and §7111</del> 10A O.S. §1-6-101 and 1-2-108)

Description:

Files include File contains all legal and court documents; birth verifications; Social Security cards; Report to District Attorney; Child Protective Services Family Assessment Report; grievance forms; psychological evaluations; medical information from providers; Placement Agreement for Out-of-Home Care; appropriate child support forms; Eligibility Determination; Placement Provider Information Report; Placement Plan Report; Treatment Plan; Individualized Service Plan (ISP); Pre-adjudication Court Report; Court Report; ISP Progress Report; ISP Dispositional Report; Medical and Social History Report for Adoption; Independent Living Life Skills Assessment; Child Profile Assessment for Adoption; Affidavit of Information Disclosure for Adoption; Placement Recommendation Worksheet; and any other forms or data pertinent to the Child Welfare case record, such as Child Welfare staff notes, letters, police reports, Department of Corrections reports, and similar documents.

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

Volume:

twelve hundred (1200) cubic feet per year

Disposition:

Retain in office and destroy duplicate and ancillary materials. Retain in county office until either the youngest child in the case reaches age 18 and no longer receives services, or there has been no activity on the case for at least two (2) years, then transfer to records storage for permanent preservation.

<del>OR</del>

Retain in office and transfer records to an electronic format, except photographs and audio and/or videotapes. Destroy hard copy documents, except those that cannot be reproduced in a legible and readable condition, upon certification that all records have been successfully entered into an electronic format. Maintain a backup copy in a storage area that meets the manufacturer's recommendations for temperature and humidity controls.

Retain permanently.

Amend and transfer to Schedule 2005-01, Series 8-3, October 21, 2021

# DEPARTMENT OF HUMAN SERVICES County Offices

Amendments to Records Disposition Schedule **82-37** 

\* October 21, 2021 \*

## Client Records

## 2-26B Child Welfare Case Records (Convenience Copy)

Description: Copies of case files used in the field for reference.

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

then destroy.

Delete from schedule, October 21, 2021

## 2-26C Child Welfare Case Records (Audio or Video Tapes)

(Confidential Record 10 O.S. § 7005-1.1B)

Description: File contains photographs and audio or video recordings of oral

statements of the child(ren) regarding abuse or neglect.

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

microfilm.

Disposition: Retain in office permanently in an environment where: (a) the

temperature is constantly maintained between 50° to 72° Fahrenheit and the humidity does not exceed 50%; (b) the tape is rewound and stored in a vertical position; and (e) the tape is transposed to a new tape every ten

years to assure preservation.

Amend and transfer to Schedule 2005-01, Series 8-4, October 21, 2021

## 2-27 Day Care Center Licensing Files (Active) (Record Copy)

Description: Files pertain to the licensing of day care centers and contains applications

for license; requests for license renewals; two and three star applications; information sheets listing data about day care center staff (e.g., educational backgrounds); 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 per county office

Disposition: Retain in office and destroy outdated staff information sheets annually.

Transfer individual files to Day Care Licensing Files (Inactive), Series

2-28 to 2-30 when they become inactive. Delete from schedule, October 21, 2021

# DEPARTMENT OF HUMAN SERVICES County Offices

Amendments to Records Disposition Schedule **82-37** 

\* October 21, 2021 \*

## Client Records

## 2-28 Child Care Center Licensing Files (Inactive-Voluntarily Closed) (Record Copy)

Description: Files pertain File contains information pertaining to the licensing of

child care centers, including part-day child care programs and school-age child care programs. and contain Information includes applications for license; requests for license renewals; two and three star applications; information sheets listing data about day care center staff (e.g., educational backgrounds); copies of any applicable articles of

incorporation; copies of facility health and fire safety inspection reports; visitation reports compiled by DHS staff; and correspondence, office of

records is the Day Care Facilities.

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, 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.

# 2-29 Child Care Center Licensing Files (Inactive-Voluntarily Closed and Designated as a Do Not Destroy File) (Record Copy)

Description: Files pertain File contains information pertaining to day care centers,

including part-day child care programs and school-age child care programs, that close voluntarily and are classified as a "Do Not Destroy" file as defined in OAC 340:110-1-11(c), or the same rule if renumbered with no changes in text or in Instructions to Staff. File contains applications for license; requests for license renewals; two and three star applications; information sheets listing data about day care center staff (e.g., educational backgrounds); copies of any applicable articles of incorporation; copies of facility health and fire safety inspection reports;

visitation reports compiled by DHS staff; and correspondence.

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

microfilm.

Volume: one (1) cubic foot per year per county office

Disposition: Retain in office ten (10) years then transfer to the State Records Center.

Retain in the State Records Center until requested to return records to DHS for imaging. If not returned for imaging, destroy records when they become fifty (50) years old Retain fifty (50) years, then destroy,

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## DEPARTMENT OF HUMAN SERVICES County Offices

Amendments to Records Disposition Schedule 82-37

\* October 21, 2021 \*

## Client Records

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 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.

#### OR

Retain in office ten (10) years, then transfer data to optical disks. Destroy hard copy documents (a) upon certification that all records have been successfully entered on disk; (b) after storing a back up copy of the disk in an off site storage area that meets the manufacturer's recommendations for temperature and humidity controls; or if no recommendations are provided by the manufacturer, after storing the back up disk in an off site storage area whose temperature is between 65° and 75° Fahrenheit and whose relative humidity is between 30% and 50%; (c) after retaining at least one (1) user copy in the agency. Destroy optical disks and all below standard hard copies when they become fifty (50) years old provided: all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and 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.

#### OR

If record is retained in rewritable disks, delete records when they become fifty (50) years old provided: (a) 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 periods.

#### OR

In the case of WORM disks, destroy individual disks when they become fifty (50) years old provided: all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention periods.

# DEPARTMENT OF HUMAN SERVICES County Offices

Amendments to Records Disposition Schedule 82-37

\* October 21, 2021 \*

## Client Records

## 2-30 Child Care Center Licensing Files (Inactive-Revoked or Rejected)

Description: Files pertain to day File contains information pertaining to child care

centers, including part-day child care programs and school-age child care programs, whose licenses are revoked or whose applications for renewal are rejected by DHS. File contains Information includes applications for license; requests for license renewals; two and three star applications; information sheets listing data about day care center staff (e.g., educational backgrounds); copies of any applicable articles of incorporation; copies of facility health and fire safety inspection reports; visitation reports compiled by DHS staff; and correspondence. Office of Record is Division of Child

Care (Schedule 2000-02, Series 1-15.)

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

microfilm.

Volume: one (1) cubic foot per year per county office

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

destroy.

## 2-31 Family Day Care Home Licensing Files (Active) (Record Copy)

Description: Files pertain to the licensing of Family Day Care Homes (seven (7)

children or less) and contain applications for license; requests for license renewals; visitation reports compiled by DHS staff; and correspondence.

Volume: 2 cubic feet per year per county office

Disposition: Retain in office and transfer individual files to Family Day Care Home

Licensing Files (Inactive) Series 2-32 and 2-34 when they become

inactive.

Delete from schedule, October 21, 2021

# DEPARTMENT OF HUMAN SERVICES County Offices

Amendments to Records Disposition Schedule 82-37

\* October 21, 2021 \*

## Client Records

# 2-32 Family Child Care Home Licensing Files (Inactive Voluntarily Closed) (Record Copy)

Description: Files pertain File contains information pertaining to the licensing of

Family Day Care Homes (twelve (12) children or less) and contain Information includes applications for license; requests for license renewals; visitation reports compiled by DHS staff; and correspondence.

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 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 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.

# 2-33 Family Child Care Home Licensing Files (Inactive—Voluntarily Closed and Designated as a Do Not Destroy File) (Record Copy)

Description: Files pertain File contains information pertaining to the licensing of

Family Day Child Care Homes (twelve (12) children or less) that voluntarily fail to renew their license and are classified as a "Do Not Destroy" file as defined in OAC 340:110-1-11(c), or the same rule if renumbered with no changes in text or in Instructions to Staff. File contains applications for license; requests for license renewals; visitation

reports compiled by DHS staff; and correspondence.

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

microfilm.

Volume: one (1) cubic foot per year per county office

Disposition: Retain in office ten (10) years then transfer to the State Records Center.

Retain in the State Records Center. Destroy records when they become fifty (50) years old Retain fifty (50) 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 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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## DEPARTMENT OF HUMAN SERVICES County Offices

Amendments to Records Disposition Schedule 82-37

\* October 21, 2021 \*

## Client Records

OR

Retain in office ten (10) years, then transfer data to optical disks. Destroy hard copy documents (a) upon certification that all records have been successfully entered on disk; (b) after storing a back up copy of the disk in an off site storage area that meets the manufacturer's recommendations for temperature and humidity controls; or if no recommendations are provided by the manufacturer, after storing the back up disk in an off site storage area whose temperature is between 65° and 75° Fahrenheit and whose relative humidity is between 30% and 50%; (c) after retaining at least one (1) user copy in the agency, destroy or purge optical disks when they become fifty (50) years old, provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and 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.

<del>OR</del>

If record is retained in rewritable disks, delete records when they become fifty (50) years old provided: all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies provided: records meet all stipulated retention periods.

OR

If record is retained in WORM disks, destroy individual disks when they become fifty (50) years old provided: all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies provided: records meet all stipulated retention periods.

## DEPARTMENT OF HUMAN SERVICES County Offices

Amendments to Records Disposition Schedule **82-37** 

\* October 21, 2021 \*

## Client Records

## 2-34 Family Child Care Home Licensing Files (Inactive-Revoked or Rejected)

Description: Files pertain File contains information pertaining to the licensing of Family

<del>Day</del> <u>Child</u> Care Homes (twelve (12) children or less) whose licenses are revoked or whose application for renewal are rejected by DHS. —File contains <u>Information includes</u> applications for license; requests for license renewals; visitation reports compiled by DHS staff; and correspondence. The Office of Record is the <del>Division of Child Care</del> Office of Child Care

Services (Schedule 2000-02, Series 1-20).

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

microfilm.

Volume: one (1) cubic foot per year per county office

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

#### 2-35 Adult Day Services Case File

Description: File contains applications, age waivers, information relating to income

sources, notifications of adverse actions, predeterminations of eligibility, documents relating to overpayments and errors, and termination of

authorizations.

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

microfilm.

Volume: <u>eighty-four (84)</u> cubic feet 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 Retain three (3) years after closure, as defined in the Department of Human Services Rule 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 (e) approval to destroy documents has been received from the State Records Administrator or his/her designee. 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 or his/her designee.

# DEPARTMENT OF HUMAN SERVICES County Offices

Amendments to Records Disposition Schedule 82-37

\* October 21, 2021 \*

## Client Records

2-36 Adult Protective Services Case Record Confidential Record (43 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.

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

microfilm.

Volume: <u>eighty-four (84)</u> cubic feet per year

Disposition: Retain in office, review on an annual basis. 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 Department of Human Services Rule OAC 340: 105-3-37,

Closure 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 (e) approval to destroy documents has been received from the State Records Administrator or his/her designee. 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 or his/her designee.

## DEPARTMENT OF HUMAN SERVICES County Offices

Amendments to Records Disposition Schedule 82-37

\* October 21, 2021 \*

## Client Records

## 2-37 Adult Protective Services Intake and Resolution Log

Description: File includes File contains Adult Protective Services Intake and Resolution

Logs, (DHS Form APS-1-A) listing Information includes client's names, case numbers, type of referrals, living arrangements, dates reports received, dates of home visits, results; dates Report of Protective Investigation (DHS Form APS-2) were completed, dates cases closed.

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

microfilm.

Volume: <u>eighty-four (84)</u> 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 (e) approval to destroy documents has been received from the State Records Administrator or his/her designee. 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

or his/her designee.

2-38 **Adult Protective Services Report of County Investigations** Confidential Record (43A O.S. §10-110) Record Copy

Description: File contains Report of Protective Services Investigation (DHS Form APS-

2) Adult Protective Services Report of Investigation, submitted to the

Aging Services Division.

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

microfilm.

Volume: <u>eighty-four (84)</u> 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 (e) approval to destroy documents has been received from the State Records Administrator or his/her designee. 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

or his/her designee.

## DEPARTMENT OF HUMAN SERVICES County Offices

Amendments to Records Disposition Schedule 82-37

\* October 21, 2021 \*

## Client Records

#### 2-39 In-Home Personal Care Record

Description: Files contain personal care records of In-Home Personal Care

including completed applications, evidence of certifications and recertifications, progress reports, as well as incoming and copies of

outgoing correspondence and memoranda.

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

microfilm.

Volume: <u>one hundred twenty (120)</u> cubic feet 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 Retain 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 (e) approval to destroy documents has been received from the State Records Administrator or his/her designee. 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 or his/her designee.

OR

Retain substantive records in office six (6) months, then transfer to the DHS Records Center. Transfer monthly from the DHS Records Center to the State Records Center. Retain in the State Records Center and destroy individual records when they become three (3) years old 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 or his/her designee. 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 or his/her designee.

## DEPARTMENT OF HUMAN SERVICES County Offices

Amendments to Records Disposition Schedule **82-37** 

\* October 21, 2021 \*

## Client Records

## 2-41 Adult and Family Services Benefit Case Records (Confidential Record 56 O.S. §183 and 45 CFR §205.50)

Description:

File contains Adult and Family Services (AFS) case records relating to State Supplemental Payment (SSP) and Temporary Assistance to Needy Families (TANF) cash assistance programs, Child Care Subsidy program, Supplemental Nutrition Assistance Program, Sooner Care (Medicaid) program, Low Income Home Energy Assistance Program (LIHEAP), and Refugee Resettlement Program.

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

Disposition:

Review the case file annually, purge and destroy historical information eight (8) years after creation, provided there is not an open overpayment claim, as determined by AFS Benefit Integrity and Recovery staff, or legal action pending related to the case. Transfer open overpayment cases to series 2-44.

Retain the case file in office for three (3) years after all AFS benefits included in the case close, then destroy, provided there is no open overpayment claim, as determined by AFS Benefit and Recovery staff, 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 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 delete records has been received from the State Records Administrator.

## DEPARTMENT OF HUMAN SERVICES County Offices

Amendments to Records Disposition Schedule **82-37** 

\* October 21, 2021 \*

## Client Records

2-44 Adult and Family Services Benefit Case Records—Overpayment or Restitution Balance Due (Confidential Record 56 O.S. §183 and 45 CFR §205.50)

Description:

File contains information relating to an Adult and Family Services (AFS) overpayment balance due or restitution owed to the Department of Human Services by a client or the estate of a deceased client in a case that is otherwise deemed closed and eligible for destruction per series 2-41, Adult and Family Services Benefit Case Records. An overpayment that is no longer "open" is defined as three (3) years past fulfilment of fiscal obligations through liquidation or administrative actions.

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

Disposition:

Retain records until a destruction verification from the AFS Benefit Integrity and Recovery staff has been received, 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 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.

If the case file has not been converted to an electronic format, transfer entire file to records storage, Schedule 98-02, series 12-18.

## DEPARTMENT OF HUMAN SERVICES County Offices

Amendments to Records Disposition Schedule 82-37

\* October 21, 2021 \*

## Client Records

#### 2-45 Foster Home Records

(Confidential Record <del>10 O.S. § 7005-1.1 to 7005-1.5; 10 O.S. § 7107 & 10 O.S. § 7111</del> <u>10A</u> O.S. § 1-06-101 through 1-6-103; 1-6-107; 1-2-108)

Description:

Files include, but are File contains but is not limited to, out-of-home placement agreement, house assessment, resource family financial assessment, resource family assessment application, medical report, trainer's worksheet, family network diagram, genogram, copy of paycheck stub, eco-map, resource family reference letters, child needs information list, resource family assessment reference letter for mental health professionals, child's mental health reference letter, copy of divorce decree, copy of marriage license, notice to foster parent applicant, records check, criminal background checks, written plan of compliance, verification of receipt of Oklahoma Department of Human Services rules, certificate of release of discharge from active military duty, statement of health from physician for children in the home (not the foster child), immunization record for children in the home (not the foster child), previous home assessments or evaluations, copy of certificate of degree of Indian blood card, copy of tribal membership card, automobile insurance verification, copy of Social Security card, copy of driver license, and pet vaccination record.

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

Volume:

ninety (90) cubic feet per year

Disposition:

Destroy duplicate and ancillary materials when no longer required for administrative purposes. Retain substantive records in office for five (5) years after closure as defined by OAC 340:75-7, then transfer to records storage. Retain records in records storage until they become Retain fifty (50) years old, 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. Amend and transfer to Schedule 2005-01, Series 8-5, October 21, 2021

## DEPARTMENT OF HUMAN SERVICES County Offices

Amendments to Records Disposition Schedule 82-37

\* October 21, 2021 \*

## Client Records

2-46 **Criminal and Driving Records** Confidential Records (10A O.S. § 1-9-106; 10A O.S. § 1-7-111A; 10A O.S. § 1-4-806A; 30 O.S. § 2-101; 74 O.S. § 150.9.B1)

Description: File contains reports received from the Oklahoma State Bureau of

Investigation (OSBI) and other law enforcement agencies as criminal background checks for potential foster parents, adoptive parents, volunteers, trial home reunification, guardianship of a minor child, and

OKDHS employees.

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

microfilm.

Volume: twelve (12) cubic feet per year

Disposition: Refer to the Oklahoma Department of Human Services' General Records

Disposition Schedule 97-05, Series 1-47.

2-47 **Finger-print Based Background Checks** Confidential Records (10A O.S. § 1-9-106; 10A O.S. § 1-7-111.A; 10A O.S. § 1-4-806A; 30 O.S. § 2-101; 74 O.S. § 150.9.B1)

Description: File contains national criminal history records search based upon

submission of fingerprints for any adult residing in the home as required by the Oklahoma Child Care Facilities Licensing Act, the Oklahoma Children's Code, Oklahoma Statutes Title 30 for Guardianships, Oklahoma Statutes Title 74 for OKDHS employee needing "access and review approval," and Oklahoma Statutes Title 10A for Trial Home Reunifications. Only OKDHS employees with "access and review

approval" may process these records.

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

microfilm.

Volume: twelve (12) cubic feet per year

Disposition: Refer to the Oklahoma Department of Human Services' General Records

Disposition Schedule 97-05, Series 1-48.

## DEPARTMENT OF HUMAN SERVICES

## **Programs Division**

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

## \* October 21, 2021 \*

## Summary

Agency requests Introduction be amended.

35-1	Agency requests series be deleted from schedule. These records are no created. There is no backlog of records.
35-2	Agency requests series be deleted from schedule. These records are no created. There is no backlog of records.
35-9	Agency requests series be deleted from schedule. This record is a convenience copy.
35-11	Agency requests series be amended and transferred to Schedule 2005-01, Series 1-11.
35-12	Agency requests series be amended and transferred to Schedule 2005-01, Series 1-12.
36-1	Agency requests series be deleted from schedule. This record is a convenience copy.
36-2	Agency requests series be deleted from schedule. This record is a convenience copy.
37-1	Agency requests series be amended and transferred to Schedule 2005-01, Series 7-7.
37-2	Agency requests series be amended and transferred to Schedule 2005-01, Series 7-5.
37-3	Agency requests series be deleted from schedule. This record is a convenience copy.
37-4	Agency requests series be deleted from schedule. This record is a convenience copy.
37-5	Agency requests series be deleted from schedule. This record is a convenience copy.
37-6	Agency requests series be deleted from schedule. This record is a convenience copy.
37-7	Agency requests series be deleted from schedule. This record is a convenience copy.
37-8	Agency requests series be amended and transferred to Schedule 2005-01, Series 7-7.
37-9	Agency requests series be amended and transferred to Schedule 2005-01, Series 7-11.
44-1	Agency requests series be amended and transferred to Schedule 2005-01, Series 8-1.
44-2	Agency requests series be deleted from schedule. These records are convenience copies.
44-3	Agency requests series be transferred to Schedule 2005-01, Series 8-2.
44-4	Agency requests series be deleted from schedule. These records are convenience copies.

## **DEPARTMENT OF HUMAN SERVICES**

Programs Division
Amendments to Records Disposition Schedule 87-04

## \* October 21, 2021 \*

44-7	Agency requests series be deleted from schedule. These records are convenience copies.
45-2	Agency requests series be deleted from schedule. These records are no created. There is no backlog of records.
46-2	Agency requests series be deleted from schedule. This record is included in Schedule 2005-01, Series 1-1, 1-2, and 1-3.
46-3	Agency requests series be amended and transferred to Schedule 2005-01, Series 7-9.
46-4	Agency requests series be amended and transferred to Schedule 2005-01, Series 7-8.
46-5	Agency requests series be deleted from schedule. This record is a convenience copy.
46-6	Agency requests series be amended and transferred to Schedule 2005-01, Series 7-10.
46-7	Agency requests series be deleted from schedule. This record is a convenience copy.
46-8	Agency requests series be deleted from schedule. This record is a convenience copy.
52-2	Agency requests series be deleted from schedule. This record is included in Schedule 2005-01, Series 2-4.
52-5	Agency requests series be deleted from schedule. This record is a convenience copy.
52-6	Agency requests series be deleted from schedule. This record is a convenience copy.

## DEPARTMENT OF HUMAN SERVICES Programs Division

Amendments to Records Disposition Schedule 87-04

\* October 21, 2021 \*

This consolidated Records Disposition Schedule encompasses the original schedule approved January 14, 1987; subsequent amendments approved April 15, 1987, July 13, 1988, October 12, 1988, April 12, 1989, October 11, 1989, April 17, 1991, October 16, 1991, January 15, 1992, April 15, 1992, July 15, 1992, October 14, 1992, January 13, 1993, April 14, 1993, July 14, 1993, October 13, 1993, July 13, 1994, October 12, 1994, January 18, 1995, July 12, 1995, January 17, 1996, April 17, 1996, October 16, 1996, January 15, 1997, April 16, 1997, October 15, 1997, July 15, 1998, October 14, 1998, October 13, 1999, October 11, 2000, January 17, 2001, July 18, 2001, October 17, 2001, January 22, 2003, April 24, 2003, July 22, 2004, October 27, 2005, January 26, 2006, July 27, 2006, January 27, 2011, January 19, 2012, October 18, 2012, and February 25, 2021.

On October 16, 1992, records series were renumbered to streamline schedule revisions and to reflect the system that will be incorporated into all subsequent schedules approved for the Department of Human Services. Previous records series numbers are listed in brackets immediately following the dispositions of individual records series. Brackets around records series numbers indicate series previously deleted, or transferred to another records series that are listed and assigned new records series numbers to provide historical schedule development information.

On November 23, 1992, the following section titles were revised to reflect administrative reorganization within the Department of Human Services: Medical Services was changed to Medical Services Division [Section 1 through Section 16]; Family Support Services was changed to Family Support Services Division [Section 19 through 26]; Development Disability Services was changed to Developmental Disabilities Services Division [Section 27 through Section 32].

Also, on November 23, 1992, the following records were moved from previous units to reflect administrative changes in records keeping within the Department of Human Services: Series 16-1 [Non-Technical Medical Claims Programming Folders] has been moved to Medical Services Division/Medical Information Systems Unit/Support Systems Unit (while remaining Series 16-1); Series 41-1 [AWOL and Utilization Reports], Series 41-2 [Institutional Population Reports], and Series 41-3 [Contracting Agency Correspondence File] have been moved from Division of Children, Youth, and Family Services/Court Related Community Services to Division of Children, Youth, and Family Services Unit. Series 43-1 [School Lunch Program Files], Series 43-2 [ACA Files (Standards)], Series 43-3 [Subject Files (ACA)] have been moved to Section 41. Series 74-1 and Series 74-2 [Arrearage Documents] have been moved to Series 65-3A and Series 65-3B in order to correct a duplication and Series 75-1A and 75-1B [Federal Parent Locator Service Reports] have been moved to Series 66-3A and Series 66-3B in order to correct a duplication. Also, Series 76-1A and Series 76-1B [Intercept Records] have been moved to Series 67-1A and 67-1B in order to correct a duplication. On January 17, 2001 Series 56-1 through 64-8 were deleted. Records Disposition Schedule 2001-01 approved by the Archives and Records Commission on January 17, 2001 is derived from the records in Series 56-1 through 64-3.

## DEPARTMENT OF HUMAN SERVICES

#### **Programs Division**

Amendments to Records Disposition Schedule 87-04

#### \* October 21, 2021 \*

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.

#### 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.

<u>Department of Human Services records may be in a variety of formats including paper, electronic, or microfilm.</u>

#### DEPARTMENT OF HUMAN SERVICES

## **Programs Division**

Amendments to Records Disposition Schedule 87-04

## \* October 21, 2021 \*

## 35-1 Responsibilities, Duties, and Assignments (Record Copy)

Description: File contains information and data in regard to DCYS' responsibilities, duties

and assignments within DHS as they relate to other agencies, public and private.

Volume: 5 cubic feet per year

Disposition: Retain in office and review on an annual basis. Destroy duplicate and ancillary

materials. Retain substantive materials until two (2) years after superseded,

then destroy.

Delete from schedule, October 21, 2021

## 35-2 Units Responsibilities, Duties and Assignments

Description: File contains information and data in regard to each unit and juvenile

institution's responsibilities, duties and assignments within the Division of

Children and Youth Services.

Volume: 3 cubic feet per year

Disposition: Retain in office and review on an annual basis. Destroy duplicate and ancillary

materials. Retain substantive materials until two (2) years after superseded.

then destroy.

Delete from schedule, October 21, 2021

## 35-9 Subject Files

Description: File contains Intra Agency documents concerning Departmental policies and

procedures. Office of record is Executive Office.

Disposition: Retain in office until superseded, then destroy.

## DEPARTMENT OF HUMAN SERVICES

#### **Programs Division**

Amendments to Records Disposition Schedule 87-04

#### \* October 21, 2021 \*

## Division of Children, Youth and Family Services/Executive Unit

#### 35-11 Child Welfare Services Numbered Memos (Record Copy)

Description: Files consist of directives submitted to Administrative/Supervisory staff

regarding immediate program/procedure changes or instructions.

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 until two (2) years after superseded, then destroy provided no

legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention

requirements. Retain permanently.

Amend and transfer to Schedule 2005-01, Series 1-11, October 21, 2021

## 35-12 Council on Accreditation of Services for Children, Youth and Families (COA) Accreditation Self-Study of the DHS Division of Children and Family Services

Description: File contains a self-study evaluation of the Child Welfare program conducted

every four years by DHS staff as part of the COA Accreditation. <u>File</u> includes, but is not limited to, information on the program overall, administrative procedures, personnel policies, affirmative action program, quality assurance methods, fiscal management, facilities and equipment, client rights and protection, intake, assessment and service planning, and protective services for

children.

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

microfilm.

Volume: 1.5 cubic feet per year

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

transfer to the DHS Records Center. Retain in the DHS Records Center until records become Retain eight (8) years old, then transfer to the State Archives,

with authority to weed, for permanent preservation.

Amend and transfer to Schedule 2005-01, Series 1-12, October 21, 2021

## **DEPARTMENT OF HUMAN SERVICES**

#### **Programs Division**

Amendments to Records Disposition Schedule 87-04

## \* October 21, 2021 \*

## Division of Children, Youth and Family Services/Management Support Unit

## 36-1 Responsibilities, Duties, and Assignments

Description: File contains information and data regarding each Section's responsibilities,

duties, and assignments within the Administrative Services Unit. The agency Office of Record is Division of Children, Youth and Family Services (Series

<del>35-2)</del>

Volume: less than 1 cubic foot per year

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

destroy.

Delete from schedule, October 21, 2021

## 36-2 Division of Children and Youth Services Responsibilities, Duties, and Assignments

Description: File contains information and data regarding each Unit's responsibilities, duties,

and assignments within the Division of Children and Youth Services. Office of

record is Executive Unit (Series 35-2).

Volume: less than 1 cubic foot per year

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

destroy.

## DEPARTMENT OF HUMAN SERVICES

#### **Programs Division**

Amendments to Records Disposition Schedule 87-04

## \* October 21, 2021 \*

## Division of Children, Youth and Family Services/Management Support Unit/Operations

#### 37-1 Not Covered Grant Claims

Description: File contains reference copies of claims on Federal grant money usage that were

not part of a contract. Office of record is Facilities and Central Services/Finance Division/Federal Accounting (Schedule 87-05, Series 10-20).

Financial Services, Schedule 2014-02, Series 4-1 and 4-3.

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

microfilm.

Volume: less than 1 cubic foot per year

Disposition: Retain in office until three (3) years after expiration, then destroy, provided all

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

requirements.

Amend and transfer to Schedule 2005-01, Series 7-7, October 21, 2021

#### 37-2 Expired Ledgers

Description: File contains ledger sheets of all claims from expired contracts, award of

contracts and any modifications pertaining to length of contract or change in contract amount. Office of record is Finance Division (Schedule 87-05, Series

11-15). Financial Services, Schedule 2014-02, Series 9-1.

Volume: less than <u>one (1)</u> cubic foot per year

Disposition: Retain in office until three (3) years after expiration, then destroy, provided all

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

requirements.

Amend and transfer to Schedule 2005-01, Series 7-5, October 21, 2021

#### DEPARTMENT OF HUMAN SERVICES

#### **Programs Division**

Amendments to Records Disposition Schedule 87-04

#### \* October 21, 2021 \*

Division of Children, Youth and Family Services/Management Support Unit/Operations (continued)

#### 37-3 Division of Children and Youth Services Ledgers

Description: Contains ledger sheets of claims, copies of award of contracts and any

modifications pertaining to length of contract or change in contract amount. Office of record is Facilities and Central Services/Finance Division/Federal

Accounting (Schedule 87-05, Series 11-10).

Volume: less than 1 cubic foot per year

Disposition: Retain in office until expiration, then transfer to Expired Ledgers (Series 37-2).

Delete from schedule, October 21, 2021

## 37-4 Division of Children and Youth Services Claims Files - Expired Contracts

Description: Reference copies of all claims and documenting information for all third party

contractors with Division of Children and Youth Services which have expired. Contracts Division/Facilities Unit is the agency office of record (Schedule

87-05, Series 31-1).

Volume: less than 1 cubic foot per year

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

destroy.

Delete from schedule, October 21, 2021

## 37-5 Division of Children and Youth Services Claims Files - Current

Description: Reference copies of all claims and documenting information for all current third

party contractors with Division of Children and Youth Services. Office of record is Facilities and Central Services/Finance Division/Federal Accounting

(Schedule 87-05, Series 10-20).

Volume: 1 cubic foot per year

Disposition: Retain in office until expiration, then transfer to Division of Children and Youth

Services Claims Files - Expired Contracts (Series 37-4).

## **DEPARTMENT OF HUMAN SERVICES**

#### **Programs Division**

Amendments to Records Disposition Schedule 87-04

## \* October 21, 2021 \*

Division of Children, Youth and Family Services/Management Support Unit/Operations (continued)

## 37-6 Division of Children and Youth Services Contract Files - Expired

Description: File contains reference copies of contracts, correspondence, and possible fiscal

audit reports for all third party contractors with Division of Children and Youth Services which have expired. Contracts Division/Facilities Unit (Schedule 87-05, Series 31-1)is the agency office of record for contracts. Audit and Review/Administrative Review Unit is the agency office of record for audit reports (Schedule 87-05, Series 25-4) and General Records Disposition

Schedule (Series 1-46).

Volume: less than 1 cubic foot per year

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

<del>destroy.</del>

Delete from schedule, October 21, 2021

#### 37-7 Division of Children and Youth Services Contract Files - Current

Description: File contains copies of contracts, correspondence and possible fiscal audit

reports for all current third party contractors with Division of Children and Youth Services. Office of record for contracts is Contracts Division/Facilities Unit (Schedule 87-05, Series 31-1). The office of record for audit reports is Audit and Review/Administrative Review Unit (Schedule 87-05, Series 25-4)

and the General Records Disposition Schedule (Series 1 46).

Volume: less than 1 cubic foot per year

Disposition: Retain in office until expiration, then transfer to Division of Children and Youth

Services Contracts File-Expired (Series 37-6).

## **DEPARTMENT OF HUMAN SERVICES**

#### **Programs Division**

Amendments to Records Disposition Schedule 87-04

## \* October 21, 2021 \*

## Division of Children, Youth and Family Services/Management Support Unit/Operations

#### 37-8 Grant Files

Description: File contains copies of Federal grants correspondence and reports awarded to

Program Services Unit.

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

microfilm.

Disposition: Retain in office until three (3) years after expiration, then destroy, provided all

audits have been completed, and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies, and provided no legal actions are pending, 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.

Amend and transfer to Schedule 2005-01, Series 7-7, October 21, 2021

37-9 **Remittance Statement of Medicaid Claims Paid** Confidential Record 10 O.S., §7005-1.1 through 7005-1.8

Description: File contains State of Oklahoma Medicaid Management Information

System report, OKMM 2790, Remittance Statement of Medicaid Claims

Paid for DHS-Child Welfare; and M2790R04, Targeted Case

Management, Monthly Statement.

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

microfilm.

Volume: <u>two (2)</u> cubic feet per year

Disposition: Retain in office six (6) months, then transfer to the DHS Records Center.

Destroy records when 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, and approval to destroy records has been received

from the State Records Administrator.

Amend and transfer to Schedule 2005-01, Series 7-11, October 21, 2021

## DEPARTMENT OF HUMAN SERVICES

#### **Programs Division**

Amendments to Records Disposition Schedule 87-04

\* October 21, 2021 \*

## Division of Children, Youth and Family Services/Child Welfare Services Unit

## 44-1 Adoption Records—Child Records Confidential Record 10 O.S., §60.17 and §60.29

Description:

File pertains File contains information pertaining to Independent Adoption Cases and Adoption Cases involving children in the custody of the Department of Human Services. Documents include, Information includes, but are is not limited to, applications; background reports; medical histories and staff working notes; copies of marriage certificate and divorce court orders and petitions; psychological evaluations; court orders and petitions; divorce case orders; social security benefit information; financial statements; clothing requisitions; foster home agreements; DHS staff legal opinions; copies of medical records; and correspondence. These records are transferred to the state office of the Department of Human Services (Division of Children and Family Services) by county office when the adoption process has been finalized.

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

Volume:

one hundred fifty (150) cubic feet per year

Disposition:

Retain <u>permanently</u>. in office and microfilm. Destroy hard copy documents except those defined by Archives and Records Commission Rule 60:10-7-2(2) as below standards for microfilm (1) upon certification that the microfilm meets all standards established by the Archives and Records Commission, (2) after storing the master negative in an off site storage facility that meets Archives and Records Commission standards for the storage of permanent microfilm, and (3) after retaining at least one (1) user copy in the agency.

OR

Disposition:

Retain in office and transfer data to optical disks. Destroy hard documents (a) upon certification that all records have been successfully entered on disk; (b) after storing a back up copy of the disk in an off site storage area that meets the manufacturer's recommendations for temperature and humidity controls; or if no recommendations are provided by the manufacturer, after storing the back up disk in an off site storage area whose temperature is between 65° and 75° Fahrenheit and whose relative humidity is between 30% and 50%; and (c) after retaining at least one (1) user copy of the disk in the agency.

Amend and transfer to Schedule 2005-01, Series 8-1, October 21, 2021

## DEPARTMENT OF HUMAN SERVICES

#### **Programs Division**

Amendments to Records Disposition Schedule 87-04

## \* October 21, 2021 \*

## Division of Children, Youth and Family Services/Child Welfare Services Unit

## 44-2 Adoption Records - Child Records - Copies

Description: Contains the same types of documents as series 44.1 but are copies used by the

staff of the Central Office as working documents. (Copies are provided by DHS

county level employees.)

Disposition: Retain in office and destroy copies pertaining to individual cases when original

record is received from applicable county office.

Delete from schedule, October 21, 2021

## 44-3 Adoption Records—Family Records—Confidential Record 10 O.S., §60.17 and §60.29 (Record Copy)

Description:

Files pertain to Independent Adoption Cases and Adoption Cases involving children in the custody of the Department of Human Services. Documents include, but are not limited to, applications; background data reports, medical histories; social security benefit information; financial statements; copies of marriage and divorce records; and correspondence. These are "record copies" the Central Office (Division of Children and Family Services) provides copies of these documents to DHS county offices for use as working files, see: series 44-4.

Volume: 75 cubic feet per year

Disposition A:

Approved Records: Retain in office and microfilm. Destroy hard copy documents except those defined by Archives and Records Commission Rule 60:10-7-2(2) as below standards for microfilm (1) upon certification that the microfilm meets all standards established by the Archives and Records Commission, (2) after storing the master negative in an off site storage facility that meets Archives and Records Commission standards for the storage of permanent microfilm, and (3) after retaining at least one (1) user copy in the agency.

OR

Retain in office and transfer data to optical disks. Destroy hard copy documents (a) upon certification that all records have been successfully entered on disk; (b) after storing a back up copy of the disk in an off site storage area that meets the manufacturer's recommendations for temperature and humidity controls; or if no recommendations are provided by the manufacturer, after storing the back up disk in an off site storage area whose temperature is between 65° and 75° Fahrenheit and whose relative humidity is between 30% and 50%; and (c) after retaining at least one (1) user copy of the disk in the agency.

Disposition B: For Records pertaining to withdrawn requests or those that were denied:

Transfer all applicable documents to the Central Files Section of the Department of Human Services. Retain in Central Files seven (7) years, then 91

#### DEPARTMENT OF HUMAN SERVICES

#### **Programs Division**

Amendments to Records Disposition Schedule 87-04

#### \* October 21, 2021 \*

## Division of Children and Family Services/Child Welfare Services Unit

#### 44-3 Adoption Records--Family Records, continued

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.

OR

Disposition; continued

Retain in office, then transfer data to optical disks. Destroy hard copy documents (a) upon certification that all records have been successfully entered on disk; (b) after storing a back up copy of the disk in an off site storage area that meets the manufacturer's recommendations for temperature and humidity controls; or if no recommendations are provided by the manufacturer, after storing the back up disk in an off site storage area whose temperature is between 65° and 75° Fahrenheit and whose relative humidity is between 30% and 50%; and (c) after retaining at least one (1) user copy in the agency. In the case of rewritable disks, delete records when they become seven (7) years old provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention requirements. In the case of WORM disks, destroy individual disks when they become seven (7) years old provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention periods.

amended October 16, 1996

Transfer to Schedule 2005-01, Series 8-2, October 21, 2021

## 44-4 Adoption Records—Family Records (Copies)

Description: Contains the same types of documents and information as Series 44-3. These

are copies provided by the Central Office to county staff members as working documents that are returned when the case is closed. The copies are forwarded to the Central Office (Division of Children and Family Services) when the adoption process has been finalized or the case has been closed because the family has withdrawn its request or the Department has denied the request.

Disposition: Retain in office and destroy when case has been closed.

## **DEPARTMENT OF HUMAN SERVICES**

## **Programs Division**

Amendments to Records Disposition Schedule 87-04

## \* October 21, 2021 \*

## Division of Children, Youth and Family Services/Child Welfare Services Unit

## 44-7 Responsibilities, Duties, and Assignments

Description: File contains information and data regarding each section's responsibilities,

duties, and assignments with Child Welfare Services Unit. Office of record is Division of Children, Youth, & Family Services/Executive Unit (Series 35-2).

Volume; less than 1 cubic foot per year

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

destroy.

## **DEPARTMENT OF HUMAN SERVICES**

## **Programs Division**

Amendments to Records Disposition Schedule 87-04

## \* October 21, 2021 \*

Division of Children, Youth and Family Services/Child Welfare Services Unit/Child Abuse and Neglect

## 45-2 Responsibilities, Duties, and Assignments File

Description: File contains information and data regarding responsibilities, duties, and

assignments within Child Abuse/Neglect Section.

Volume: less than 1 cubic foot per year

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

destroy.

#### DEPARTMENT OF HUMAN SERVICES

#### **Programs Division**

Amendments to Records Disposition Schedule 87-04

## \* October 21, 2021 \*

## Division of Children, Youth and Family Services/Child Welfare Services Unit/Foster Care Section

## 46-2 General Correspondence

Description: File contains incoming and copies of outgoing general correspondence.

Volume: 1 cubic foot per year

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

Delete from schedule, October 21, 2021

## 46-3 Custody Children/Foster Home Printouts Reports

Description: Files contain the following File contains various statistical reports: Six Months

Report, Children in Foster Care by County of Service, Custody Children Living in State Schools, Permanent Custody Children, Custody Children by Age Group/County of Service, Alphabetical Listing of Custody Children, Children in Shelters/Purchased Institutional Care, Indian Custody Children, Foster Home

Studies, and Indian Foster Homes.

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

microfilm.

Volume: ten (10) cubic feet per year

Disposition: Retain in office two (2) years, then destroy, provided no legal actions are

pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements. Amend and transfer to Schedule 2005-01, Series 7-9, October 21, 2021

#### 46-4 Child Support Printouts Financial Reports

Description: Computer printouts containing File contains Balance Sheet, Transaction

Register, Balance Sheet with Transactions, Voucher Register, and Interest Printouts from Finance Division Financial Services showing child support payments received for CWS custody children and disbursement of the payments. Office of record is Facilities and Central Services/Finance Division/Claims Processing (Schedule 87-05, Series 11-10). Financial Services,

Schedule 2014-02, Series 7-6, 7-25, and 7-28.

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

microfilm.

Volume: <u>two (2)</u> cubic feet per year

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

Amend and transfer to Schedule 2005-01, Series 7-8, October 21, 2021

## **DEPARTMENT OF HUMAN SERVICES**

#### **Programs Division**

Amendments to Records Disposition Schedule 87-04

## \* October 21, 2021 \*

## Division of Children, Youth and Family Services/Child Welfare Services Unit/Foster Care Section

## 46-5 **Child Support Transmittals**

Description: File consists of (I-7's) transmittals from Finance Division listing child support

received on deprived custody children. Office of record is Facilities and Central Services/Revenue Processing Unit and Trust Accounts Unit (Schedule 87-05,

Series 16-9).

Volume: less than 1 cubic foot per year

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.

Delete from schedule, October 21, 2021

## 46-6 Private Agencies—Private Agency/Foster Care Review Confidential Record 10 O.S., §57

Description: File contains information regarding minor children placed in the custody of

private agencies, along with progress/placement reports, as well as legal status and dates adoption finalized. Also contains a list of existing private agencies and liaisons. File contains a list of existing private agencies and liaisons; information regarding minor children placed in the custody of private agencies; progress/placement reports; legal status; and dates the adoption was finalized.

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 five (5) years after closure of the private agency, 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.

Amend and transfer to Schedule 2005-01, Series 7-10, October 21, 2021

#### **DEPARTMENT OF HUMAN SERVICES**

#### **Programs Division**

Amendments to Records Disposition Schedule 87-04

## \* October 21, 2021 \*

## Division of Children, Youth and Family Services/Child Welfare Services Unit/Foster Care Section

## 46-7 **Permanent Custody File** Confidential Record 10 O.S., §57

Description: File contains information regarding all DCYS permanent custody children.

Contains the following types of materials: legal documents; data and place of birth; family history; case narrative and medical information; mental, psychological, psychiatric, and health histories; behavioral history; type of abuse (neglect or sexual); perspective permanent placements (fast/adopt, adoptive families, relative, etc.). Office of record is Child Welfare (Series

<del>44-1).</del>

Volume: 10 cubic feet per year

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

destroy.

Delete from schedule, October 21, 2021

## 46-8 Children's Subject File

Description: Consists of copies of all correspondence received and sent by benefit clerk and

other pertinent records maintained for reference.

Volume: less than 1 cubic foot per year

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

<del>destroy.</del>

#### **DEPARTMENT OF HUMAN SERVICES**

## **Programs Division**

Amendments to Records Disposition Schedule 87-04

## \* October 21, 2021 \*

## Division of Children and Youth Services/Monitoring and Review Unit

## 52-2 Child Welfare Section

Description: File contains survey instruments, interview questionnaires, final reports by

MRU per county, Waiver of Revocations and related material. Information is

incorporated into annual report.

Volume: 1 cubic foot per year

Disposition: Retain in office until annual report is issued, then destroy.

Delete from schedule, October 21, 2021

## 52-5 Placement Worksheets

Description: Copies of placement worksheets used to monitor placement. Office of record is

Placement Section (Series 38).

Volume: 2 cubic feet per year

Disposition: Retain in office and destroy quarterly.

Delete from schedule, October 21, 2021

## 52-6 General Information File

Description: File contains general reference materials used in conducting day to day

business.

Volume: 2 cubic feet per year

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

destroy.

## DEPARTMENT OF HUMAN SERVICES General Records

Amendments to Records Disposition Schedule 97-05

\* October 21, 2021 \*

## Summary

1-51 Agency requests series be transferred from Schedule 2003-01, Series 3-9.

## DEPARTMENT OF HUMAN SERVICES General Records

Amendments to Records Disposition Schedule 97-05

\* October 21, 2021 \*

## 1-51 Numbered Division Memos (Record Copy)

<u>Description:</u> File contains directives signed by the Division Administrator and submitted to

Administrative/Supervisory staff. Memos relate to immediate program/procedure changes or instructions; existing rules and other information on procedures to be followed by employees; and general announcements or

information applicable to employees of the division.

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

microfilm.

<u>Volume:</u> <u>less than one cubic foot per year</u>

<u>Disposition:</u> Retain permanently.

Transfer from Schedule 2003-01, Series 3-9, October 21, 2021

## DEPARTMENT OF HUMAN SERVICES Inspector General's Office

Amendments to Records Disposition Schedule 97-06

## \* October 21, 2021 \*

## Summary

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.
2-2	Agency requests series be amended.
2-4	Agency requests series be amended.
2-5	Agency requests series be amended.
2-6	Agency requests series be amended.
3-4	Agency requests series be amended.
3-5	Agency requests series be amended.
3-6	Agency requests series be amended.
4-1	Agency requests series be amended.
4-2A	Agency requests series be amended.
4-3	Agency requests series be amended.

## DEPARTMENT OF HUMAN SERVICES Inspector General's Office

Amendments to Records Disposition Schedule 97-06

#### \* October 21, 2021 \*

## Inspector General's Office/Administrative Review Unit

## 1-4 Child Care Quality Control Case Files Confidential Record 56 O.S. § 183

Description: File contains data sheets, worksheet and supporting materials pertaining to

Day Child Care recipients' entitlements.

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

microfilm.

Volume: nine (9) cubic feet per year

Disposition: Retain five (5) federal fiscal years, then destroy, provided all audits have

been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated

retention requirements.

## 1-5 Child Care Audit Work Papers

Description: File includes contains audit work papers generated during audits of child

care center claims or grants.

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

microfilm.

Volume: sixteen (16) cubic feet per year

Disposition: Retain seven (7) years, then destroy, provided 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, and permission to destroy records has been

received from the State Records Administrator.

## DEPARTMENT OF HUMAN SERVICES Inspector General's Office

Amendments to Records Disposition Schedule 97-06

\* October 21, 2021 \*

## Inspector General's Office/Administrative Review Unit

## 1-6 Public Assistance Reporting Information System (PARIS) Sample List

Description: File includes contains quarterly reports relating to Supplemental

Nutritional Assistance Program cases with Federal match to possible duplicate participation. Reports list data pertaining to payments and are used to select case files to be audited by Administrative Review Unit

(ARU).

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

microfilm.

Volume: eighteen (18) cubic feet per year

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

## 1-7 Public Assistance Reporting Information System (PARIS) Case Files

Description: File includes contains working papers generated during audits of possible

duplicate participation.

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

microfilm.

Volume: sixteen (16) cubic feet per year

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

## DEPARTMENT OF HUMAN SERVICES Inspector General's Office

Amendments to Records Disposition Schedule 97-06

#### \* October 21, 2021 \*

## Inspector General's Office/Investigations Unit

## 2-2 Criminal and Driving Records

Description: File includes contains reports received from the OSBI, the FBI, and other

law enforcement agencies. Information includes criminal arrest and

adjudication information and driving records.

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

microfilm.

Volume: three (3) cubic feet per year

Disposition: Transfer records to Investigative Case Files, Series 2-4 or 2-5. Destroy

records not used for inclusion in case files when no longer required for

administrative purposes.

## 2-4 Investigative Case Files - Not Prosecuted Confidential Record <u>56 O.S. § 183</u>

Description: Files consist of correspondence; forms and reports on investigative actions,

pertaining to allegations of welfare fraud or other crimes committed against DHS or any programs administered by DHS, undertaken by the Investigations and Internal Audit Unit and not accepted for prosecution by the district attorney. See: DHS Policy: 2-7-1, or equivalent and all subsequent revisions, for determining cases which are and are not prosecuted. File contains reports, forms, and information obtained by the OIG Investigations or Internal Audit Unit during the course of audits or investigations. The subjects of these investigations were not prosecuted in

a court of appropriate jurisdiction.

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

microfilm.

Volume: five (5) cubic feet per year

Disposition: Retain five (5) years after all legal action is resolved and the case is closed,

then destroy, provided permission to destroy records has been received

from the State Records administrator.

## DEPARTMENT OF HUMAN SERVICES Inspector General's Office

Amendments to Records Disposition Schedule 97-06

\* October 21, 2021 \*

## Inspector General's Office/Investigations Unit

## 2-5 **Investigative Case Files - Prosecuted** Confidential Record <u>56 O.S. § 183</u>

Description:

File includes correspondence, forms, and reports on investigative actions pertaining to allegations of welfare fraud or other crimes committed against DHS, or any programs administered by DHS, undertaken by the Investigations and Internal Audit Unit and accepted for prosecution by the district attorney. See: DHS Policy: 2-7-1, or equivalent and all subsequent revisions, for determining cases which are and are not prosecuted. File contains reports, forms, documents, and information obtained by the OIG Investigations or Internal Audit Unit during the course of audits or investigations. The subjects of these investigations were prosecuted in a court of appropriate jurisdiction.

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

Disposition:

Transfer original record to the district attorney for prosecution. Retain agency copy five (5) years after the case is closed and all legal action is resolved, then destroy, provided permission to destroy records has been received from the State Records administrator.

See: OAC 340:2-7-5(c), or equivalent and all subsequent revisions, for determining cases which are and are not prosecuted.

## 2-6 Investigative Case Files – Internal Affairs Investigations Confidential Record 51 O.S. § 24A.7

Description:

File <u>includes contains</u> reports, forms, documents, and <u>other evidence information</u> obtained by the OIG Investigations or Internal Audit Unit during the course of internal affairs personnel investigations where the subjects of the investigations were DHS employees.

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

Disposition:

Retain five (5) years after all personnel or legal action is resolved and the case is closed, then destroy, provided permission to destroy records has been received from the State Records administrator.

## DEPARTMENT OF HUMAN SERVICES Inspector General's Office

Amendments to Records Disposition Schedule 97-06

#### \* October 21, 2021 \*

## Inspector General's Office/Internal Audit Unit

## 3-4 Audit Reports—Private Auditing Firm

Description: File includes contains reports of audits conducted by private auditing firms

under contract with the State of Oklahoma.

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

microfilm.

Disposition: Transfer one (1) copy to the State Archives for permanent preservation.

Retain agency copy five (5) years, then destroy, provided permission to destroy records has been received from the State Records Administrator.

## 3-5 Audit Reports—Office of the State Auditor and Inspector

Description: File includes contains reports of audits conducted by the Office of the

State Auditor and Inspector. The state office of record is the State Auditor

and Inspector, Schedule 92-13, Series 1-20.

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

microfilm.

Disposition: Retain five (5) years, then destroy, provided permission to destroy records

has been received from the State Records Administrator.

## 3-6 Audit Reports—DHS Audits

Description: File includes contains reports of audits conducted by the DHS Inspector

General's Office/Internal Audit Unit. Audit reports are prepared from

Audit Work Papers, Series 3-1.

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

microfilm.

Disposition: Transfer one (1) copy of the audit report to the State Auditor and

Inspector. Retain agency copy seven (7) years, then destroy, provided 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 and permission to destroy records has been received from the State Records Administrator.

## DEPARTMENT OF HUMAN SERVICES Inspector General's Office

Amendments to Records Disposition Schedule 97-06

\* October 21, 2021 \*

## Inspector General's Office

## 4-1 Correspondence (Office of the Inspector General Administration)

Description: File includes contains correspondence, memos and reports, including

electronic correspondence (i.e. e-mail, fax transmissions, and any other electronic system), of the Office of Inspector General's 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 five (5) years, then destroy, provided no legal actions are pending

and approval to destroy records has been received from the State Records Administrator. If legal action is pending, destroy two (2) years

after exhaustion of all legal remedies, provided records meet all

stipulated retention requirements.

# 4-2A Correspondence (<u>Office of Inspector General Managers and Supervisors</u>) [Hard Copy Records]

Description: File includes contains correspondence, memos and reports including

electronic correspondence (i.e. e-mail, fax transmissions, and any other electronic system), of the Office of Inspector General's <u>managers</u>, supervisors and other persons acting in the role of a <u>manager or</u>

supervisor.

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

microfilm.

Disposition: 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.

## DEPARTMENT OF HUMAN SERVICES Inspector General's Office

Amendments to Records Disposition Schedule 97-06

\* October 21, 2021 \*

## Inspector General's Office

## 4-3 Correspondence (other Office of Inspector General employees)

Description: File includes contains correspondence, memos and reports, including

electronic correspondence (i.e. e-mail, fax transmissions, and any other electronic system), of the Office of Inspector General's employees not

acting in the roles of administration, manager, or supervision.

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

microfilm.

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

## **DEPARTMENT OF HUMAN SERVICES**

Office of Intergovernmental Relations and Policy Amendments to Records Disposition Schedule **2003-01** 

## \* October 21, 2021 \*

## Summary

	y
1-1	Agency requests series be amended and transferred to Schedule 2006-03, Series 6-1.
1-2	Agency requests series be deleted. These records are included in Series 1-1.
1-3	Agency requests series be deleted. These records are included in Series 1-1.
3-1	Agency requests series be amended and transferred to Schedule 2006-03, Series 6-2.
3-2	Agency requests series be amended and transferred to Schedule 2006-03, Series 6-3.
3-3	Agency requests series be amended and transferred to Schedule 2006-03, Series 6-4.
3-4	Agency requests series be amended and transferred to Schedule 2006-03, Series 6-5.
3-7	Agency requests series be amended and transferred to Schedule 2006-03, Series 6-7.
3-8	Agency requests series be amended and transferred to Schedule 2006-03, Series 6-8.
3-9	Agency requests series be amended and transferred to Schedule 97-05, Series 1-51.
3-10	Agency requests series be amended and transferred to Schedule 2006-03, Series 6-9.
3-11	Agency requests series be amended and transferred to Schedule 2006-03, Series 6-10
3-12	Agency requests series be amended and transferred to Schedule 2006-03, Series 6-11

#### **DEPARTMENT OF HUMAN SERVICES**

Office of Intergovernmental Relations and Policy Amendments to Records Disposition Schedule **2003-01** 

\* October 21, 2021 \*

### Administrative Records

## 1-1 Correspondence (Office of Intergovernmental Relations and Policy Administration)

Description: Files consist of outgoing and incoming correspondence, memos and reports

including electronic correspondence (i.e. e-mail, fax transmissions, and any other electronic system), of the Office of Intergovernmental Relations and Policy Administrator and other persons acting in the role of administration (including

programs managers and programs administrators).

File contains correspondence, memos and reports including electronic

correspondence pertaining to Rules, Policy, Rates and Standards.

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 when no longer required for administrative purposes. Destroy substantive materials 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, destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated

retention requirements.

Retain five (5) years, then destroy, provided no legal actions are pending and

approval to destroy records has been received from the State Records

Administrator. If legal action is pending, destroy two (2) years after exhaustion

of all legal remedies, provided records meet all other stipulated retention

requirements.

Amend and transfer to Schedule 2006-03, Series 6-1, October 21, 2021

#### **DEPARTMENT OF HUMAN SERVICES**

Office of Intergovernmental Relations and Policy Amendments to Records Disposition Schedule **2003-01** 

\* October 21, 2021 \*

#### Administrative Records

## 1-2 Correspondence (Office of Intergovernmental Relations and Policy Supervisors)

Description: Files consist of outgoing and incoming correspondence, memos and reports,

including electronic correspondence (i.e. e-mail, fax transmissions, and any other electronic system), of the Office of Intergovernmental Relations and Policy

supervisors and other persons acting in the role of a supervisor.

Volume: Less than (1) cubic foot per year

Disposition: Retain in office and review on an annual basis. Destroy duplicate and ancillary

materials when no longer required for administrative purposes. Destroy substantive materials when they become three (3) years old, 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.

Delete from schedule, October 21, 2021

#### 1-3 Correspondence (Other Office of Intergovernmental Relations and Policy Employees)

Description: Files consist of outgoing and incoming correspondence, memos and reports

including electronic correspondence (i.e. e mail, fax transmissions, and any other electronic system), of the Office of Intergovernmental Relations and Policy

employees not acting in the roles of administration or supervision.

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

Disposition: Retain in office until no longer required for administrative purposes and then

<del>destroy.</del>

Delete from schedule, October 21, 2021

#### **DEPARTMENT OF HUMAN SERVICES**

Office of Intergovernmental Relations and Policy Amendments to Records Disposition Schedule **2003-01** 

\* October 21, 2021 \*

## Policy Management

Administrative Procedures Act Rule-making and Oklahoma Administrative Code File (Record Copy) Essential Record (75 O.S. §302(B) and 67 O.S. §203(e)

Description:

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

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

Volume: thirty (36) cubic feet per year

Disposition: Retain in office three (3) years, then transfer to records storage. Retain in records storage permanently.

OR

Retain in office three (3) years, then transfer 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. Retain electronic records permanently.

OR

For records previously microfilmed: retain in office permanently. Amend and transfer to Schedule 2006-03, Series 6-2, October 21, 2021

#### DEPARTMENT OF HUMAN SERVICES

Office of Intergovernmental Relations and Policy Amendments to Records Disposition Schedule **2003-01** 

\* October 21, 2021 \*

#### Policy Management

## 3-2 Administrative Procedures Act Rule-making and Oklahoma Administrative Code File (Tapes)

Description: Audiotapes File contains audio recordings made during public hearings.

Disposition: Retain in office until transcribed, then erase. Transfer transcription of tape

to Administrative Procedures Act Rule Making and Oklahoma

Administrative Code File, Series 3-1.

Retain two (2) 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 other stipulated

retention requirements.

Amend and transfer to Schedule 2006-03, Series 6-3, October 21, 2021

## 3-3 Administrative Procedures Act Rule-making and Oklahoma Administrative Code File Working Papers

Description: File included contains working papers, drafts, convenience or reference

copies of Administrative Procedures Act Rulemaking and Oklahoma

Administrative Code File records found in Series 3-1.

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. Retain five (5) years, then destroy, provided no legal actions are pending and approval to destroy records has been received from the State Records Administrator. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all other stipulated

retention requirements.

Amend and transfer to Schedule 2006-03, Series 6-4, October 21, 2021

#### **DEPARTMENT OF HUMAN SERVICES**

Office of Intergovernmental Relations and Policy Amendments to Records Disposition Schedule **2003-01** 

\* October 21, 2021 \*

#### Policy Management

### 3-4 Administrative Procedures Act: Proposed Rules Commission Book

Description: File contains agenda, summary of rule, cost impact statement, justification,

effective date, authority and proposed text for each administrative rule presented to the Oklahoma Commission for Human Services for approval.

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

microfilm

Volume: three (3) cubic feet per year

Disposition: Retain in office two (2) years, then transfer one copy to the State Archives

for permanent preservation. Retain one copy in the agency permanently

fifteen (15) years, then destroy.

OR

Retain in office two (2) years, then transfer to an electronic format. Transfer hard copy documents to the State Archives for permanent preservation (a) upon certification that all records have been successfully entered into an electronic format; (b) after storing an electronic backup copy in an off site storage area that meets the manufacturer's recommendations for temperature and humidity controls; (c) after retaining at least one (1) user copy in the agency permanently.

Amend and transfer to Schedule 2006-03, Series 6-5, October 21, 2021

#### DEPARTMENT OF HUMAN SERVICES

Office of Intergovernmental Relations and Policy Amendments to Records Disposition Schedule **2003-01** 

\* October 21, 2021 \*

#### Policy Management

#### 3-7 Non-Administrative Procedures Act or Non-Commission Items Work Folders

Description: File contains descriptions of procedures, other than those listed in

Administrative Procedures Act, Series 3–1 6-2, and other material used in the OKDHS Policy and Procedures Manual to create OKDHS

Regulations.

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

microfilm.

Volume: one cubic foot per year

Disposition: Retain in office three (3) years, then transfer to records storage. Retain in

records storage until they become twenty-five (25) years old, then destroy, provided no legal actions are pending and approval to destroy documents records has been received from the State Records Administrator and no legal action is pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all other

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 twenty five (25) 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.

Amend and transfer to Schedule 2006-03, Series 6-7, October 21, 2021

#### **DEPARTMENT OF HUMAN SERVICES**

Office of Intergovernmental Relations and Policy Amendments to Records Disposition Schedule **2003-01** 

\* October 21, 2021 \*

#### Policy Management

### 3-8 Numbered Administrative Memos (Record Copy)

Description: Files consist of File contains administrative memoranda to agency

employees dealing with agency administrative concerns.

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

microfilm.

Volume: less than one cubic foot per year

Disposition: Records previously microfilmed: retain in office permanently.

Retain in office two (2) years, then transfer to the State Archives for permanent preservation. Retain one (1) copy in the agency permanently.

OR

Retain in office two (2) years, then transfer to an electronic format. Transfer hard copy documents to the State Archives for permanent preservation (a) upon certification that all records have been successfully entered into an electronic format; (b) after storing an electronic backup copy in an off site storage area that meets the manufacturer's recommendations for temperature and humidity controls; (c) after retaining one user copy in the agency.

Amend and transfer to Schedule 2006-03, Series 6-8, October 21, 2021

#### DEPARTMENT OF HUMAN SERVICES

Office of Intergovernmental Relations and Policy Amendments to Records Disposition Schedule **2003-01** 

\* October 21, 2021 \*

#### Policy Management

### 3-9 Numbered Division Memos (Record Copy)

Description: Files consist of memoranda File contains directives signed by the Division

Administrator and submitted to Administrative/Supervisory staff. Memos relate relating to immediate program/procedure changes or instructions; existing rules and other information on procedures to be followed by employees (e.g. how to fill out forms, enter information on computer), and general announcements or information applicable to employees of the

division.

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

microfilm.

Volume: less than one cubic foot per year

Disposition: Records previously microfilmed: retain in office permanently.

Retain permanently in office two (2) years, then transfer to State Archives

for permanent preservation.

OR

Retain in office two (2) years, then transfer to an electronic format. Transfer hard copy documents to the State Archives for permanent preservation (a) upon certification that all records have been successfully entered into an electronic format; (b) after storing an electronic backup copy in an off site storage area that meets the manufacturer's recommendations for temperature and humidity controls; (c) after retaining one user copy in the agency.

Amend and transfer to Schedule 97-05, Series 1-51, October 21, 2021

#### **DEPARTMENT OF HUMAN SERVICES**

Office of Intergovernmental Relations and Policy Amendments to Records Disposition Schedule **2003-01** 

\* October 21, 2021 \*

## Policy Management

## 3-10 Numbered State Office Memos (Record Copy)

Description: Files consist of File contains executive memoranda to agency employees

dealing with agency wide concerns.

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

microfilm.

Volume: less than one cubic foot per year

Disposition: Records previously microfilmed: retain in office permanently.

Retain in office two (2) years, then transfer to the State Archives for permanent preservation. Retain one (1) copy in the agency permanently.

OR

Retain in office two (2) years, then transfer to an electronic format. Transfer hard copy documents to the State Archives for permanent preservation (a) upon certification that all records have been successfully entered into an electronic format; (b) after storing an electronic backup copy in an off site storage area that meets the manufacturer's recommendations for temperature and humidity controls; (c) after retaining one user copy in the agency.

Amend and transfer to Schedule 2006-03, Series 6-9, October 21, 2021

#### **DEPARTMENT OF HUMAN SERVICES**

Office of Intergovernmental Relations and Policy Amendments to Records Disposition Schedule **2003-01** 

\* October 21, 2021 \*

#### Policy Management

## 3-11 Policy Transmittals and Policy Manuals Transmittals (Record Copy)

Description: Files consist of record copy of File contains agency policy and transmittal

memoranda sent to all Department of Human Services offices regarding new or revised policies, to be included in the Policy Manual, as approved in accordance with the Administrative Procedures Act. Information includes date, transmittal number, handbook material subject, explanation of changes and those parts of the policy handbook to be removed and

replaced or new items to be inserted.

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

microfilm.

Volume: less than one cubic foot per year

Disposition: Transfer one (1) copy of the Policy Manual to the State Archives for

permanent preservation and retain one (1) copy in office permanently. Transfer one (1) copy of any updates to the agency policies manuals to the State Archives for permanent preservation and retain one (1) copy of updates in office permanently. After publication, transfer one (1) copy of the transmittal memos and policy updates to the State Archives for

permanent preservation.

copy in the agency.

OR

Retain in office, then transfer to an electronic format. Transfer hard copy documents to the State Archives for permanent preservation (a) upon certification that all records have been successfully entered into an electronic format; (b) after storing an electronic backup copy in an off site storage area that meets the manufacturer's recommendations for temperature and humidity controls (c) after retaining at least one (1) user

Amend and transfer to Schedule 2006-03, Series 6-10, October 21, 2021

#### **DEPARTMENT OF HUMAN SERVICES**

Office of Intergovernmental Relations and Policy Amendments to Records Disposition Schedule **2003-01** 

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#### Policy Management

### 3-12 Rates and Standards Documentation File

Description: Files contain lists of Rate/Standards and Service Levels for service

provider contracts. Information includes agenda, 30-day notices, public notices, correspondence, minutes of meetings, program outlines, cost reports, audits, comparisons with other states contract services, and

vendors.

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

microfilm.

Volume: twenty-four (24) cubic feet per year

Disposition: Records previously microfilmed: retain in office permanently.

Retain in office three (3) years, then transfer to records storage. Retain in records storage permanently. Retain twenty-five (25) years, then destroy.

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. Retain electronic format permanently.

Amend and transfer to Schedule 2006-03, Series 6-11, October 21, 2021

## DEPARTMENT OF HUMAN SERVICES OFFICE OF CLIENT ADVOCACY

Amendments to Records Disposition Schedule 2003-03

## \* October 21, 2021 \*

#### Summary

Agency requests Introduction to schedule be amended.

- 1-1A Agency requests series be amended.
- 1-1B Agency requests series be deleted from schedule. These records are convenience copies.
- 1-1C Agency requests series be transferred to series 1-1.
- 1-2A Agency requests series be amended.
- 1-2B Agency requests series be deleted from schedule. These records are convenience copies.
- 1-2C Agency requests series be transferred to series 1-2.
- 1-3A Agency requests series be amended.
- 1-3B Agency requests series be deleted from schedule. These records are convenience copies.
- 1-3C Agency requests series be transferred to series 1-3.
- 1-4 Agency requests series be transferred to series 1-5.
- 1-5 Agency requests series be amended to include series 1-4.
- 1-6 Agency requests series be transferred to series 1-7.
- 1-7 Agency requests series be amended to include series 1-6 and 1-8.
- 1-8 Agency requests series be transferred to series 1-7.
- 1-9 Agency requests series be amended.
- 1-10 Agency requests series be transferred to series 1-11 and 1-12.
- 1-11 Agency requests series be amended to include series 1-10 and 1-13.
- 1-12 Agency requests series be amended and transferred from series 1-10.
- 1-13 Agency requests series be transferred to series 1-11.
- 1-14 Agency requests series be deleted. This record is no longer created. There is no backlog of records.

## DEPARTMENT OF HUMAN SERVICES OFFICE OF CLIENT ADVOCACY

Amendments to Records Disposition Schedule 2003-03

\* October 21, 2021 \*

1-15 Agency requests series be deleted. This record is no longer created. There is no backlog of records.

## DEPARTMENT OF HUMAN SERVICES OFFICE OF CLIENT ADVOCACY

Amendments to Records Disposition Schedule 2003-03

\* October 21, 2021 \*

This Records Disposition Schedule encompasses the new schedule approved by the Archives and Records Commission on April 24, 2003 and subsequent amendments on October 26, 2006.

## 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, 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.

<u>Department of Human Services records may be in a variety of formats including paper</u>, electronic, or microfilm.

## DEPARTMENT OF HUMAN SERVICES OFFICE OF CLIENT ADVOCACY

Amendments to Records Disposition Schedule 2003-03

\* October 21, 2021 \*

## 1-1A Correspondence (Office of Client Advocacy Administration) (Hard Copy Records)

Description: Files consist of hard copies, including fax transmissions of outgoing and

incoming File contains correspondence, memos and reports of the Office of Client Advocacy administrator (the Advocate General) and other persons acting in the role of administration (including programs

managers and programs administrators).

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

microfilm.

Volume: six (6) 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 when they become five (5) years old provided they are no longer required for administrative purposes and no legal actions are pending. Retain five (5) years, then destroy, provided no legal actions are pending and approval to destroy records has been received from the State Records Administrator. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided

records meet all stipulated retention requirements.

### 1-1B Correspondence (Administration) (Convenience Copies)

Description: Convenience and reference copies of records in Series 1-1A.

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Disposition: Retain in office until no longer required for administrative purposes, and

then destroy.

Delete from schedule, October 21, 2021

## DEPARTMENT OF HUMAN SERVICES OFFICE OF CLIENT ADVOCACY

Amendments to Records Disposition Schedule 2003-03

\* October 21, 2021 \*

## 1-1C Correspondence (Administration) (Records Maintained in Electronic Mail Systems or Electronic Records Keeping System)

Description:

Files consist of outgoing and incoming correspondence, including fax transmissions, memos and reports of the Office of Client Advocacy administrator (the Advocate General), and other persons acting in the role of administration, maintained in the Department's electronic mail system or other electronic records keeping system.

**Disposition:** 

Retain in office and delete duplicate and ancillary records when no longer required for administrative purposes. Review records on an annual basis. After completing the review, print out and transfer all substantive records, including applicable receipt and transmission data, directory information, distribution lists, and acknowledgments of receipt, one (1) year old or older and no longer required for administrative purposes to Series 1-1A (Correspondence [Hard Copy Records]). Delete applicable records from the electronic mail system or electronic records keeping system (magnetic tape, hard disks, floppy diskettes, mainframe computer system, or optical imaging systems).

OR

Retain in an electronic format and review semi-annually. After completing the review, delete duplicate and ancillary records. Annually, store all substantive records to a DHS server, magnetic tape, hard disks, floppy diskettes, or to optical disks and delete from the electronic mail system. Delete applicable records from the electronic records keeping system (DHS server, magnetic tapes, hard disks, floppy diskettes or optical disks) when they become five (5) years old provided they are no longer required for administrative purposes and no legal actions are pending. If legal action is pending, delete two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements.

Transfer to series 1-1, October 21, 2021

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## DEPARTMENT OF HUMAN SERVICES OFFICE OF CLIENT ADVOCACY

Amendments to Records Disposition Schedule 2003-03

\* October 21, 2021 \*

## 1-2A Correspondence (<u>Office of Client Advocacy Managers and Supervisors</u>) (Hard Copy Records)

Description: Files consist of hard copies, including fax transmissions, of outgoing and

incoming File contains correspondence, memos and reports of the Office of Client Advocacy's managers, supervisors and other persons acting in

the role of a manager or supervisor.

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

microfilm.

Volume: twenty-eight (28) 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 when they become three (3) years old provided they are no longer required for administrative purposes and no legal actions are pending. 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.

### 1-2B Correspondence (Supervisors) (Convenience Copies)

Description: Convenience and reference copies of records in series 1-2A.

Disposition: Retain in office until no longer required for administrative purposes, and

then destroy.

Delete from schedule, October 21, 2021

## DEPARTMENT OF HUMAN SERVICES OFFICE OF CLIENT ADVOCACY

Amendments to Records Disposition Schedule 2003-03

\* October 21, 2021 \*

## 1-2C Correspondence (Supervisors) (Records Maintained in Electronic Mail Systems or Electronic Records Keeping System)

#### Description:

Files consist of outgoing and incoming correspondence, including fax transmissions, memos and reports of the Office of Client Advocacy supervisors and other persons acting in the role of a supervisor, maintained in the Department's electronic mail system or other electronic records keeping system.

#### Disposition:

Retain in office and delete duplicate and ancillary records when no longer required for administrative purposes. Review records on an annual basis. After completing the review, print out and transfer all substantive records, including applicable receipt and transmission data, directory information, distribution lists, and acknowledgments of receipt, one (1) year old or older and no longer required for administrative purposes to Series 1-2A (Correspondence [Hard Copy Records]). Delete applicable records from the electronic mail system or electronic records keeping system (magnetic tape, hard disks, floppy diskettes, mainframe computer system, or optical imaging systems).

#### OR

Retain in an electronic format and review semi-annually. After completing the review, delete duplicate and ancillary records. Annually, store all substantive records to a DHS server, magnetic tape, hard disks, floppy diskettes, or to optical disks and delete from the electronic mail system. Delete applicable records from the electronic records keeping system (DHS server, magnetic tapes, hard disks, floppy diskettes or optical disks) when they become three (3) years old provided they are no longer required for administrative purposes 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 to series 1-2, October 21, 2021

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## DEPARTMENT OF HUMAN SERVICES OFFICE OF CLIENT ADVOCACY

Amendments to Records Disposition Schedule 2003-03

\* October 21, 2021 \*

## 1-3A Correspondence (All Other Office of Client Advocacy Employees) (Hard Copy Records)

Description: Files consist of hard copies, including fax transmissions, of outgoing and

incoming File contains correspondence, memos and reports (except those in series 1-1, 1-2 and 1-5) of the Office of Client Advocacy employees not acting in the roles of administration, or supervision managers or

supervisors.

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

microfilm.

Volume: eighty (80) cubic feet per year

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

destroy.

## 1-3B Correspondence (All Other Office of Client Advocacy Employees) (Convenience Copies)

Description: Convenience and reference copies of records in Series 1-3A.

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

then destroy.

Delete from schedule, October 21, 2021

## DEPARTMENT OF HUMAN SERVICES OFFICE OF CLIENT ADVOCACY

Amendments to Records Disposition Schedule 2003-03

\* October 21, 2021 \*

# 1-3C Correspondence (All Other Office of Client Advocacy Employees) (Records Maintained in Electronic Mail Systems or Electronic Records Keeping System)

Description: Files consist of outgoing and incoming correspondence, including fax

transmissions, memos and reports of the Office of Client Advocacy employees not acting in the role of administrator or supervision, maintained in the Department's electronic mail system or other

electronic records keeping system.

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

delete applicable records from the electronic mail system or electronic records keeping system (magnetic tape, hard disks, floppy diskettes, mainframe computer system, or optical imaging systems); or archive to a DHS server and delete when no longer required for administrative

purposes.

Transfer to series 1-3, October 21, 2021

1-4 Grievance and Review Files Microfilm (Records Prior to July 1996 under Schedule 87-06, Series 6-1) (Confidential 10 O.S. § 7101-7105)

Description: Materials concerning grievances filed by or on behalf of DHS

clients, processing of grievances for resolution, and any review by

the Grievance and Abuse Review Committee.

Volume: one cubic foot per year

Disposition: Destroy all microfilm copies and all below standard documents

retained in accordance with Archives and Records Commission Rule and Regulation 60:10-7-2(2) three (3) years after resolution in the agency 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 to series 1-5, October 21, 2021

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## DEPARTMENT OF HUMAN SERVICES OFFICE OF CLIENT ADVOCACY

Amendments to Records Disposition Schedule 2003-03

\* October 21, 2021 \*

## 1-5 Grievance and Review Files Hard Copy Records

(Confidential 10 O.S. § 7101-7105 Confidential Record 10A O.S. § 1-6-101 – 108; 10A O.S. § 1-9-112)

Description: File contains materials concerning grievances filed by or on behalf of

DHS clients, processing of grievances for resolution, and any review

by the Grievance and Abuse Review Committee.

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

or microfilm.

Volume:  $\underline{\text{ten } (10)}$  cubic foot per year

Disposition: Retain in office and review after two (2) years. Destroy duplicate and

ancillary materials no longer required for administrative purposes. Transfer substantive material to the State Records Center. Retain in the State Records Center until Retain three (3) years after resolution in the agency, 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.

<del>OR</del>

Retain in office and review after two (2) years. Destroy duplicate and ancillary materials no longer required for administrative purposes. Transfer substantive material to optical disks. Destroy hard copy documents (a) upon certification that all records have been successfully entered on disk; (b) after storing a back up copy of the disk in an off site storage area that meets the manufacturer's recommendations for temperature and humidity controls; or if no recommendations are provided by the manufacturer, after storing the back up disk in an off site storage area whose temperature is between 65° and 75° Fahrenheit and whose relative humidity is between 30% and 50%; and (c) after retaining at least one (1) user copy in the agency.

In the case of rewritable disks, delete records three (3) years after resolution in the agency provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention periods.

## DEPARTMENT OF HUMAN SERVICES OFFICE OF CLIENT ADVOCACY

Amendments to Records Disposition Schedule 2003-03

\* October 21, 2021 \*

In the case of WORM disks, destroy individual disks three (3) years after resolution in the agency provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies provided: records meet all stipulated retention periods. Amend and transfer from series 1-4, October 21, 2021

## 1-6 Investigative Files Microfilm (Records Prior to July 1996 under Schedule 87-06, Series 6-3) (Confidential Record 10 O.S. § 7101-7105)

#### Description:

Files consist of referrals to the Office of Client Advocacy (OCA) of allegations of client maltreatment (abuse, neglect, financial exploitation, caretaker misconduct, and verbal abuse) and other types of investigations conducted by OCA (10 O.S. § 7004-3.4(B)(2)). They include any action taken by OCA in response, including investigation reports, reviews by the Grievance and Abuse Review Committee, and processing for the Community Services Worker Registry (56 O.S. § 1025.3).

## **Disposition:**

Destroy all microfilm copies and all below standard documents retained in accordance with Archives and Records Commission Rule and Regulation 60:10-7-2(2) twenty five (25) years after resolution in the agency 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 to series 1-7, October 21, 2021

## DEPARTMENT OF HUMAN SERVICES OFFICE OF CLIENT ADVOCACY

Amendments to Records Disposition Schedule 2003-03

\* October 21, 2021 \*

## 1-7 **Investigative Files—Hard Copy** (Confidential Record 10 O.S. § 7101-7105) (Confidential Record 10A O.S. § 1-6-101 – 108; 10A O.S. § 1-9-112)

Description:

Files consist of File contains referrals to the Office of Client Advocacy (OCA) of allegations of client maltreatment (abuse, neglect, financial exploitation and caretaker misconduct, and verbal abuse) and other types of investigations conducted by OCA (10 O.S. § 7004-3.4(B)(2)) (10A O.S. § 1-9-112). They include any action taken by OCA in response, including investigation reports, reviews by the Grievance and Abuse Review Committee, and processing for the Community Services Worker Registry (56 O.S. § 1025.3).

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

Volume:

twenty (20) cubic feet per year

Disposition:

Retain in office and review after two (2) years. Destroy duplicate and ancillary materials when no longer required for administrative purposes. Transfer substantive material to the State Records Center. Retain in the State Records Center until requested to return records to DHS for imaging. If not returned for imaging, destroy records when they become twenty five (25) years old Retain twenty-five (25) 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 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.

OR

Retain in office and review after two (2) years. Destroy duplicate and ancillary materials no longer required for administrative purposes, then transfer substantive data to optical disks. Destroy hard copy documents (a) upon certification that all records have been successfully entered on disk; (b) after storing a back up copy of the disk in an off site storage area that meets the manufacturer's recommendations for temperature and humidity controls; or

## DEPARTMENT OF HUMAN SERVICES OFFICE OF CLIENT ADVOCACY

Amendments to Records Disposition Schedule 2003-03

\* October 21, 2021 \*

if no recommendations are provided by the manufacturer, after storing the back up disk in an off site storage area whose temperature is between 65° and 75° Fahrenheit and whose relative humidity is between 30% and 50%; (c) after retaining at least one (1) user copy in the agency. Destroy optical disks when they become twenty five years (25) old provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention periods.

In the case of rewritable disks, delete records when they become twenty (25) years old provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention periods.

In the case of WORM disks, destroy individual disks when they become twenty (25) years old provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention periods.

Amend and transfer from series 1-6 and 1-8, October 21, 2021

## DEPARTMENT OF HUMAN SERVICES OFFICE OF CLIENT ADVOCACY

Amendments to Records Disposition Schedule 2003-03

\* October 21, 2021 \*

## 1-8 Investigative Files Electronic Records Keeping System (Confidential Record 10 O.S. § 7101-7105)

Description:

Files maintained in an electronic records keeping system (database) for recording referrals received by OCA regarding allegations of client maltreatment (abuse, neglect, financial exploitation, caretaker misconduct, and verbal abuse) and other types of investigations conducted by OCA (10 O.S. § 7004-3.4(B)(2)). This database includes information regarding action taken by OCA in response and the results of any OCA investigation, mistreatment review, or caretaker conduct review, and information regarding any review by the Grievance and Abuse Committee. The data is entered and stored on a DHS server.

**Disposition:** 

Back up data weekly to a DHS server. Delete backup file after five (5) months provided the original data on the server is intact.

Delete data from the original database when it becomes twenty (25) years old provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and no legal actions are pending. If legal action is pending destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention periods.

Transfer to series 1-7, October 21, 2021

## DEPARTMENT OF HUMAN SERVICES OFFICE OF CLIENT ADVOCACY

Amendments to Records Disposition Schedule 2003-03

\* October 21, 2021 \*

## 1-9 Investigative Records (Cassette Tapes Recordings) (Confidential Record 10 O.S. § 7101-7105) (Confidential Record 10A O.S. § 1-6-101 – 108; 10A O.S. § 1-9-112)

Description: File contains Tape recordings of interviews conducted by

investigators during an Office of Client Advocacy (OCA) investigation of allegations of client maltreatment (abuse, neglect, financial exploitation, and caretaker misconduct and verbal abuse) and other types of investigations conducted by OCA (10 O.S. §

7004-3.4(B)(2) (10A O.S. § 1-9-112)).

Records may be in a variety of formats including paper,

electronic, or microfilm.

Volume: two (2) cubic feet per year

Disposition: Destroy or erase and reuse tapes when they become two (2) years

eld Retain two (2) 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 tapes two (2) years after exhaustion of all legal remedies,

provided records meet all stipulated retention periods.

## 1-10 Ombudsman Program Files Microfilm (Records Prior to July 1996 under Schedule 87-06, Series 6-4) (Confidential Record 10 O.S. § 7101-7105)

Description: Transfer to series 1-11: Materials reflect advocacy activities,

including informal problem resolution and grievances, provided on behalf of residents of the Northern Oklahoma Resource Center, the Southern Oklahoma Resource Center, the Greer Center and

Transfer to series 1-12: the plaintiff class in Homeward Bound, et. al. v. The Hissom Memorial Center, et. al., United States District Court for the Northern District of Oklahoma, Case no. 85-C-437-

E.

Disposition: Destroy all microfilm copies and all below standard documents

retained in accordance with Archives and Records Commission Rule and Regulation 60:10-7-2(2) three (3) years after resolution in the agency 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 to series 1-11 and 1-12, October 21, 2021

## DEPARTMENT OF HUMAN SERVICES OFFICE OF CLIENT ADVOCACY

Amendments to Records Disposition Schedule 2003-03

\* October 21, 2021 \*

## 1-11 Ombudsman Program Files—Hard Copy Records

(Confidential Record 10 O.S. § 7101-7105 10A O.S. § 1-6-101 – 108; 10A O.S. § 1-9-112; 43A O.S. 10-110)

Description: Materials reflect File contains advocacy activities, including informal

problem resolution and grievances, provided on behalf of residents of the Northern Oklahoma Resource Center, the Southern Oklahoma Resource Center, and the Greer Center and the Laura Dester

Children's Center also known as SHIELD.

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

or microfilm.

Volume: sixteen (16) 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 three (3) years after resolution in the agency provided they are no longer required for administrative purposes and no legal actions are pending. Retain three (3) years after resolution in the agency, 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.

Transfer from series 1-10 and 1-13, October 21, 2021

## DEPARTMENT OF HUMAN SERVICES OFFICE OF CLIENT ADVOCACY

Amendments to Records Disposition Schedule 2003-03

\* October 21, 2021 \*

1-12 **Ombudsman Program Files, Hissom Memorial Center Clients Hard Copy Records** (Confidential Record 10 O.S. § 7101-7105 10A O.S. § 1-6-101 – 108; 10A
O.S. § 1-9-112; 43A O.S. 10-110; 56 O.S. 530.6)

Description: Materials reflect File contains advocacy activities, including informal

problem resolution and grievances, provided on behalf of the plaintiff class in Homeward Bound, et. al. v. The Hissom Memorial Center, et. al., United States District Court for the Northern District of Oklahoma,

Case no. 85-C-437-E.

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

or microfilm.

Volume: forty (40) 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 two (2) years after resolution in the agency provided they are no longer required for administrative purposes and no legal actions are pending. Retain seven (7) years after resolution in the agency, 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 seven (7) years after exhaustion of all legal remedies, provided records meet all stipulated retention

requirements.

OR

Retain in office and review on an annual basis. Destroy duplicate and ancillary materials when no longer required for administrative purposes. Transfer substantive materials when they become two (2) years old and are no longer needed for administrative purposes to the State Records Center. Retain in State Records Center and destroy seven (7) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements.

Amend and transfer from series 1-10, October 21, 2021

## DEPARTMENT OF HUMAN SERVICES OFFICE OF CLIENT ADVOCACY

Amendments to Records Disposition Schedule 2003-03

\* October 21, 2021 \*

## 1-13 Ombudsman Program Files (Confidential Record 10 O.S. § 7101-7105) (Electronic Record)

#### Description:

Files maintained in The Office of Client Advocacy (OCA) electronic records keeping system (database). Data is entered from Contact Sheets and Service Reviews documenting advocacy activities, including informal problem resolution and grievances, provided on behalf of residents of the Northern Oklahoma Resource Center, the Southern Oklahoma Resource Center, The Greer Center and the plaintiff class in Homeward Bound, et al. v. The Hissom Memorial Center, et al., United States District Court for the Northern District of Oklahoma, Case no. 85 C 437 E.

#### **Disposition:**

Back-up data weekly to a DHS local office server. Delete backup file after five (5) months provided the original data on the server is intact.

Delete data from the database when it becomes twenty five (25) years old provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies; and no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies provided records meet all stipulated retention periods.

Transfer to series 1-11, October 21, 2021

## DEPARTMENT OF HUMAN SERVICES OFFICE OF CLIENT ADVOCACY

Amendments to Records Disposition Schedule 2003-03

\* October 21, 2021 \*

1-14 OCA Digital Camera Surveillance Database at the Northern Oklahoma Resource Center at Enid (Digital Video Recording System (DVRS))
(Confidential 10 O.S. § 7101-7105)

Description: Images captured by digital surveillance cameras and transmitted to a

DHS computer server dedicated to this purpose. Information collected is used only for OCA Investigation of client maltreatment

only. Any other use of recorded information is prohibited.

Volume: Visual data from sixteen (16) cameras

Disposition: Record data on hard drive of DVRS system and upload 24 hours of

data to an AIT tape for storage. Retain each tape for 31 days, and then reuse tape provided no legal actions are pending. If a client maltreatment event occurs that is recorded on a tape, the tape segment related to that event is bookmarked. Bookmarked data is not overwritten when the tape is reused. Retain bookmarked segments for two (2) years after resolution of all legal remedies, and then overwrite, provided records meet all stipulated retention

periods.

Delete from schedule, October 21, 2021

## DEPARTMENT OF HUMAN SERVICES OFFICE OF CLIENT ADVOCACY

Amendments to Records Disposition Schedule 2003-03

\* October 21, 2021 \*

## 1-15 OCA Digital Camera Surveillance Database at the Southern Oklahoma Resource Center at Pauls Valley (Confidential 10 O.S. § 7101-7105)

Description: Images captured by digital surveillance cameras and transmitted to a

DHS computer server dedicated to this purpose. Information collected is used only for OCA Investigation of client maltreatment

only. Any other use of recorded information is prohibited.

Volume: Visual data from sixteen (16) cameras

Disposition: Record data on hard drive of DVRS system and upload 24 hours of

data to an AIT tape for storage. Retain each tape for 31 days, and then reuse tape provided no legal actions are pending. If a client maltreatment event occurs that is recorded on a tape, the tape segment related to that event is bookmarked. Bookmarked data is not overwritten when the tape is reused. Retain bookmarked segments for two (2) years after resolution of all legal remedies, and then overwrite, provided records meet all stipulated retention

<del>periods.</del>

Delete from schedule, October 21, 2021

### DEPARTMENT OF HUMAN SERVICES

### **Child Welfare Services**

Amendments to Records Disposition Schedule **2005-01** 

## \* October 21, 2021 \*

#### Summary

Agency request	<b>Introduction</b>	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.
- 1-10 Agency requests series be amended.
- 1-11 Agency requests series be transferred from Schedule 87-04, Series 35-11.
- 1-12 Agency requests series be transferred from Schedule 87-04, Series 35-12.
- 1-13 Agency requests series be added to schedule.
- 1-14 Agency requests series be transferred from Schedule 82-37, Series 2-15.
- 2-1 Agency requests series be amended.
- 2-2 Agency requests series be amended.
- 2-3 Agency requests series be amended.
- 2-4 Agency requests series be amended.
- 2-5 Agency requests series be amended.
- 2-6 Agency requests series be amended.
- 2-7 Agency requests series be amended.
- 2-8 Agency requests series be added to its schedule.
- 3-1 Agency requests series be amended.
- 3-2 Agency requests series be amended.
- 3-3 Agency requests series be amended.
- 3-4 Agency requests series be amended.
- 3-5 Agency requests series be amended.
- 3-6 Agency requests series be amended.
- 3-7 Agency requests series be amended.

## **DEPARTMENT OF HUMAN SERVICES**

## **Child Welfare Services**

Amendments to Records Disposition Schedule 2005-01

## \* October 21, 2021 \*

3-8	Agency requests series be amended.
4-1	Agency requests series be amended.
4-2	Agency requests series be amended.
4-3	Agency requests series be amended.
4-4	Agency requests series be amended.
4-5	Agency requests series be amended.
4-6	Agency requests series be amended.
4-7	Agency requests series be deleted from its schedule. These records are no longer created.
4-8	Agency requests series be amended.
5-2	Agency requests series be amended.
5-3	Agency requests series be amended.
5-4	Agency requests series be amended.
6-1	Agency requests series be amended.
6-2	Agency requests series be amended.
6-3	Agency requests series be amended.
6-4	Agency requests series be amended.
6-5	Agency requests series be amended.
6-6	Agency requests series be amended.
6-7	Agency requests series be amended.
6-8	Agency requests series be amended.
6-9	Agency requests series be amended.
6-10	Agency requests series be amended.
7-1	Agency requests series be amended.
7-2	Agency requests series be amended.
7-3	Agency requests series be amended.
7-4	Agency requests series be amended.
7-5	Agency requests series be transferred from Schedule 87-04, Series 37-2.
7-6	Agency requests series be transferred from Schedule 87-04, Series 37-1.
7-7	Agency requests series be transferred from Schedule 87-04, Series 37-1 and 37-8.
7-8	Agency requests series be transferred from Schedule 87-04, Series 46-4.
7-9	Agency requests series be transferred from Schedule 87-04, Series 46-3.
7-10	Agency requests series be transferred from Schedule 87-04, Series 46-6.

## **DEPARTMENT OF HUMAN SERVICES**

## **Child Welfare Services**

Amendments to Records Disposition Schedule 2005-01

## \* October 21, 2021 \*

7-11	Agency requests series be transferred from Schedule 87-04, Series 37-9.
3-1	Agency requests series be transferred from Schedule 87-04, Series 44-1.
3-2	Agency requests series be transferred from Schedule 87-04, Series 44-3B.
3-3	Agency requests series be transferred from Schedule 82-37, Series 2-26A.
3-4	Agency requests series be transferred from Schedule 82-37, Series 2-26C.
3-5	Agency requests series be transferred from Schedule 82-37, Series 2-45.
8-6	Agency requests series be added to its schedule.
R-7	Agency requests series be added to its schedule.

#### DEPARTMENT OF HUMAN SERVICES

### **Child Welfare Services**

Amendments to Records Disposition Schedule 2005-01

\* October 21, 2021 \*

This Records Disposition Schedule was approved by the Archives and Records Commission on July 28, 2005 and subsequent amendments approved by the Archives and Records Commission on October 27, 2005, January 26, 2006, April 27, 2006, October 30, 2008, January 27, 2011, January 19, 2012, October 18, 2012, April 18, 2013, July 17, 2014, July 16, 2015, October 24, 2019, January 23, 2020, and April 16, 2020.

## Confidentiality of Records

Confidentiality of agency records is addressed in DHS Policy 340:1-1-20. Records of the Child Welfare Services Division may be considered confidential pursuant to state and federal statutes and regulations, including the Oklahoma Adoption Code (10 O.S. Section 7505-1.1 and 7510-1.5).

## 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.

<u>Department of Human Services records may be in a variety of formats including paper,</u> electronic, or microfilm.

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.

## DEPARTMENT OF HUMAN SERVICES

# **Child Welfare Services**

Amendments to Records Disposition Schedule 2005-01

\* October 21, 2021 \*

# 1-1 Correspondence (Child Welfare Services Administration)

Description: Files consist of outgoing and incoming File consists of correspondence, memos

and reports, including electronic correspondence (i.e. e-mail, fax transmissions, and any other electronic system), of the Child Welfare Services Administrator and other persons acting in the role of administration (including program

managers and programs administrators).

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

Volume: two (2) 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 when they become five (5) years old, Retain five (5) years, then destroy, provided no legal actions are pending, and approval to destroy records has been received from the State Records Administrator. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements and approval to destroy records

has been received from the State Records Administrator.

# 1-2 Correspondence (Child Welfare Services Managers and Supervisors)

Description: Files consist of outgoing and incoming File consists of correspondence, memos

and reports, including electronic correspondence (i.e. e-mail, fax transmissions, and any other electronic system), of the Child Welfare Services <u>managers and</u> supervisors and other persons acting in the role of a <u>manager or</u> supervisor.

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

Volume: six (6) 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 when they become three (3) years old, Retain three (3) years, then destroy, provided no legal actions are pending, and approval to destroy records has been received from the State Records Administrator. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements and approval to

destroy records has been received from the State Records Administrator.

## DEPARTMENT OF HUMAN SERVICES

# **Child Welfare Services**

Amendments to Records Disposition Schedule 2005-01

\* October 21, 2021 \*

## 1-3 Correspondence (all other Child Welfare Services employees)

Description: Files consist of outgoing and incoming File consists of correspondence, memos

and reports not included in Series 1-1 and 1-2, including all electronic correspondence (i.e. e-mail, fax transmissions, and any other electronic system), of the Child Welfare Services employees not acting in the role of administration

or supervision.

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

Volume: six (6) cubic feet per year

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

destroy.

# 1-4 Statewide Automated Child Welfare Information System (SACWIS known as KIDS) (Confidential Record 10A O.S. §§ 1-101 1-6-101 through 1-6-103, 1-6-107, and 1-2-108)

Description: Files include but are File consists of, but is not limited to, Child Welfare client

demographic, case management, abuse and neglect referral, placement, treatment service, resource, training, financial management, and staff organization. Also contains reporting information such as referral information report, report to district attorney, individualized service plan, placement plan, and court report. KIDS interfaces with Child Support Enforcement Division, Family Support Services Division, Juvenile Justice Information System (JOLTS), and Child Care

data systems.

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

Disposition: Retain records permanently.

## DEPARTMENT OF HUMAN SERVICES

# **Child Welfare Services**

Amendments to Records Disposition Schedule 2005-01

\* October 21, 2021 \*

# 1-5 Masters in Social Work Contracts with OKDHS Employees

Description: Files include but are File consists of, but is not limited to, contracts between the

Oklahoma Department of Human Services (OKDHS) and OKDHS employees who received Masters in Social Work scholarships to the University of Oklahoma School of Social Work. OKDHS employees are in the Child Welfare

Professional Enhancement Program.

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 for one (1) year after expiration of the contract and then

transfer to records storage. Retain in records storage Retain until ten (10) years after the expiration of the contract, then destroy, provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal

remedies, provided records meet all stipulated retention requirements.

# 1-6 Social Work Students' Contracts

Description: Files include but are File consists of, but is not limited to, contracts between the

Oklahoma Department of Human Services (OKDHS), Oklahoma Schools of Social Work, and students in the Child Welfare Professional Enhancement Program. Students are not OKDHS employees at the time of contract signing.

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 for one (1) year after expiration of the contract and then

transfer to records storage. Retain in records storage until Retain ten (10) years after the expiration of the contract then destroy, provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal

remedies, provided records meet all stipulated retention requirements.

## DEPARTMENT OF HUMAN SERVICES

# **Child Welfare Services**

Amendments to Records Disposition Schedule 2005-01

\* October 21, 2021 \*

# 1-7 Child Welfare Services (CSW CWS) Education and Training Materials

Description: Files contains File contains training and educational materials, sign-in sheet,

evaluations, manuals, copies of transcripts, incoming and copies of outgoing

correspondence, copies of professional service contracts and required documentation, and other classroom materials for training <del>CSW</del> CWS (Child

Welfare Services) client providers or staff. The office of record for professional service contracts is Support Services Division, 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: four (4) cubic feet per year

Disposition: Retain in office three (3) years after superseded or made obsolete, then destroy,

provided approval to destroy documents has been received from the State Records Administrator and no legal action is pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all

stipulated retention requirements.

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 three (3) years after they become superseded, 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.

## DEPARTMENT OF HUMAN SERVICES

# **Child Welfare Services**

Amendments to Records Disposition Schedule 2005-01

\* October 21, 2021 \*

1-8 **Criminal and Driving Records** Confidential Records (10A O.S. § 1-9-106; 10A O.S. § 1-7-111A; 10A O.S. § 1-4-806A; 30 O.S. § 2-101; 74 O.S. § 150.9.B1)

Description: File contains reports received from the Oklahoma State Bureau of Investigation

(OSBI) and other law enforcement agencies as criminal background checks for potential foster parents, adoptive parents, volunteers, trial home reunification,

guardianship of a minor child, and OKDHS employees.

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

Volume: twelve (12) cubic feet per year

Disposition: Refer to the Oklahoma Department of Human Services' General Records

Disposition Schedule 97-05, Series 1-47.

1-9 **Finger-print Based Background Checks** Confidential Records (10A O.S. § 1-9-106; 10A O.S. § 1-7-111A; 10A O.S. § 1-4-806A; 30 O.S. § 2-101; 74 O.S. § 150.9.B1)

Description: File contains national criminal history records search based upon submission of

fingerprints for any adult residing in the home as required by the Oklahoma Child Care Facilities Licensing Act, the Oklahoma Children's Code, Oklahoma Statutes Title 30 for Guardianships, Oklahoma Statutes Title 74 for OKDHS employee needing "access and review approval," and Oklahoma Statutes Title 10A for Trial Home Reunifications. Only OKDHS employees with "access and review

approval" may process these records.

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

Volume: twelve (12) cubic feet per year

Disposition: Refer to the Oklahoma Department of Human Services' General Records

Disposition Schedule 97-05, Series 1-48.

## DEPARTMENT OF HUMAN SERVICES

# **Child Welfare Services**

Amendments to Records Disposition Schedule 2005-01

\* October 21, 2021 \*

### 1-10 Child Welfare Certification

Description: File contains documentation of mock interviews, training recordings related to

the certification process, grading sheets, graded assessment of child safety, and KIDS (Statewide Automated Child Welfare Information System (SACWIS), known as KIDS, Schedule 2005-01, Series 1-4) documentation used as part of the child welfare CORE (Child Welfare Specialist Development Plan, known as CORE) training. Files also contain sign-in sheets for graders, actors, and

workers.

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

Volume: five (5) cubic feet per year

Disposition: Training recordings and self-assessment tools: Review file upon completion of

training and destroy employee self-assessment tools and recordings used for

coaching and skill development.

Retain remaining records in office three (3) years, then destroy, provided no legal actions are pending, and approval to destroy records has been received from the State Records Administrator. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements, and approval to destroy records has been received from the State Records Administrator.

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.

Delete electronic records and destroy all below standard documents when they become three (3) years old, no legal actions are pending, and approval to delete or 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.

## DEPARTMENT OF HUMAN SERVICES

## **Child Welfare Services**

Amendments to Records Disposition Schedule 2005-01

\* October 21, 2021 \*

## 1-11 Child Welfare Services Numbered Memos (Record Copy)

Description: File contains directives submitted to Administrative/Supervisory staff regarding

immediate program/procedure changes or instructions.

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

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

Disposition: Retain permanently.

Transfer from Schedule 87-04, Series 35-11, October 21, 2021

# 1-12 Council on Accreditation of Services for Children, Youth and Families (COA) Accreditation Self-Study of the DHS Child Welfare Services

<u>Description:</u> File contains a self-study evaluation of the Child Welfare program conducted every

four years by DHS staff as part of the COA Accreditation. File includes, but is not limited to, information on the program overall, administrative procedures, personnel policies, affirmative action program, quality assurance methods, fiscal management, facilities and equipment, client rights and protection, intake,

assessment and service planning, and protective services for children.

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

Volume: 1.5 cubic feet per year

Disposition: Retain eight (8) years then transfer to the State Archives, with authority to weed,

for permanent preservation.

Transfer from Schedule 87-04, Series 35-12, October 21, 2021

# DEPARTMENT OF HUMAN SERVICES

## **Child Welfare Services**

Amendments to Records Disposition Schedule 2005-01

\* October 21, 2021 \*

## 1-13 Information, Reference Materials, and Subject Files

Description: File contains general information, reference materials, and subject matter

documents used for conducting Child Welfare Services business, including policy

and procedures, day-to-day activities, and reports.

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

<u>Volume:</u> <u>less than one (1) cubic foot per year</u>

<u>Disposition:</u> Retain until no longer required for administrative purposes, then destroy.

Add to schedule, October 21, 2021

# 1-14 Child Welfare Services (CWS) Random Moment Time Study (Form F-RMTS-1) Record Copy

Description: File contains data relative to "Random Moment Time" studies of Child Welfare

Services employees. These forms are used by the OKDHS Financial Services to

compile reports related to cost allocation.

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

Disposition: Retain five (5) years, then destroy, provided no legal action is pending and

permission to destroy the records has been received from Financial Services and 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 82-37, Series 2-15, October 21, 2021

## DEPARTMENT OF HUMAN SERVICES

# **Child Welfare Services**

Amendments to Records Disposition Schedule 2005-01

\* October 21, 2021 \*

## Protection and Permanency Services Unit

# 2-1 Appeal of Child Welfare Investigation Findings (Confidential Records 10A O.S. §§ 1-101 1-6-101 through 1-6-103, 1-6-107, and 1-2-108)

Description: Files contains accepted and denied requests for appeals regarding

Child Welfare investigations dealing with abuse and neglect of children. File includes, but is not limited to, the Request for Appeal and related documents; correspondence to and from the appellant and/or appellant's attorney; and

original photographs, or black and white copies of photographs.

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

Volume: eight (8) 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. Retain

substantive records in agency permanently.

Retain permanently.

# 2-2 Child Death and Near Death Records (Essential Record 67 O.S. § 203 (e)) (Confidential Record 10A O.S. §§ 1–101 1-6-101 through 1-6-103, 1-6-107, and 1-2-108)

Description: Files include but are File contains, but is not limited to, information related to

child deaths and near deaths that are subject to media release and require administrative action. File also includes courtesy copies of reports for release, medical examiner's reports, correspondence, media articles, contacts, and critical incident committee records. Report referral information and report to the district attorney, is entered into the Statewide Automated Child Welfare Information System (KIDS), Series 1-4. Demographic information for indexing purposes is

maintained electronically.

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

Volume: two (2) cubic feet per year

Disposition: Destroy duplicate and ancillary materials when no longer required for

administrative purposes. Retain substantive materials in office for three (3)

years, then transfer to records storage for permanent preservation.

Retain permanently.

## DEPARTMENT OF HUMAN SERVICES

# **Child Welfare Services**

Amendments to Records Disposition Schedule 2005-01

\* October 21, 2021 \*

## Protection and Permanency Services Unit

# 2-3 Child Death and Near Death Records Index (Confidential Record 10A O.S. §§ 1-101 1-6-101 through 1-6-103, 1-6-107, and 1-2-108)

Description: Electronic File contains an index of demographic information pertaining to Child

Death and Near Death Records, described in Series 2-2, used as a finding aid.

Disposition: Maintain in office until superseded, then delete.

## 2-4 Child Welfare Statistical File

Description: Files include but are File contains, but is not limited to, statistical information,

regardless of format, related to historical child welfare activities. Includes statistics on child abuse and neglect, permanency planning, appeals, training, and

independent living.

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

Volume: one (1) cubic foot per year

Disposition: Retain records permanently.

Retain ten (10) 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.

# DEPARTMENT OF HUMAN SERVICES

# **Child Welfare Services**

Amendments to Records Disposition Schedule 2005-01

\* October 21, 2021 \*

# Protection and Permanency Services Unit

2-5 Protective Services Alerts (Essential Record 67 O.S. § 203 (e)) (Confidential 10A O.S. §§ 1-101 1-6-101 through 1-6-103, 1-6-107, and 1-2-108)

Description: Files include but are File contains, but is not limited to, requests for in-state and

out-of-state alerts concerning the safety of children. Includes information provided by counties or states regarding the circumstances of safety risks to children and responses generated as a result of the request. Demographic information is entered and stored in the Statewide Automated Child Welfare

Information System (KIDS), Series 1-4.

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

Volume: one (1) cubic foot per year

Disposition: Retain in office and review on an annual basis. Destroy duplicate and ancillary

materials when no longer required for administrative purposes. Destroy substantive materials when they become two (2) years old Retain two (2) years, then destroy, provided no legal actions are pending and approval to destroy records has been received from the State Records Administrator. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements and approval to destroy records

has been received from the State Records Administrator.

## DEPARTMENT OF HUMAN SERVICES

# **Child Welfare Services**

Amendments to Records Disposition Schedule 2005-01

\* October 21, 2021 \*

## Protection and Permanency Services Unit

# 2-6 Protection and Permanency Service Contracts

Description:

Files contains File contains copies of claims, invoices, contracts, correspondence, applicable fiscal audit reports, and pertinent information concerning third party contractors with the Protection and Permanency Services Unit. Contracts include Oklahoma Children's Services, Child Abuse Multidisciplinary Account, Parent Aide, Parents' Assistance, Sexual Abuse Treatment, Child Welfare Training, Independent Living, and contracts to carry out responsibilities under the Child Abuse Prevention and Treatment Act. The office of record is "Office Support Services Division" (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 after contract has expired, 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 and approval to destroy records has been received from the State Records Administrator.

2-7 **Child Abuse and Neglect Hotline Reports** (Confidential Record 10A O.S. §§ 1–101 1-6-101 through 1-6-103, 1-6-107, and 1-2-108)

Description:

Files contains File contains digital audio recordings of each referral received by the Child Abuse and Neglect Hotline. Information includes, but is not limited to, the reporter's name, address, and phone number; the reporter's relationship to the child and the child's family; the reason for reporting; the identity and location of the child, and any unsafe conditions in the home. Information from the report is entered into the Statewide Automated Child Welfare Information System (KIDS), series 1-4.

Disposition:

Retain the recordings as an encryption file on a recording server for one (1) year, then overwrite the file, provided no legal action is pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements and approval to destroy records has been received from the State Records Administrator.

# **DEPARTMENT OF HUMAN SERVICES**

# **Child Welfare Services**

Amendments to Records Disposition Schedule 2005-01

\* October 21, 2021 \*

# Protection and Permanency Services Unit

# 2-8 Child Abuse Multidisciplinary Account

Description: File contains, but is not limited to, quarterly and final reports, documentation of

funds spent, correspondence, applicable fiscal audit reports, and pertinent

information concerning the Child Abuse Multidisciplinary Account.

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

Volume: two (2) cubic feet per year

<u>Disposition:</u> Retain seven (7) 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, October 21, 2021

## DEPARTMENT OF HUMAN SERVICES

# **Child Welfare Services**

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\* October 21, 2021 \*

## Continuous Quality Improvement Unit

# 3-1 Child and Family Services Reviews Annual Report (Confidential 10A O.S. §§ 1–101 1-6–101 through 1-6–103, 1-6–107, and 1-2–108)

Description: Files include but are File contains, but is not limited to, a compilation of

information gathered during the annual Child and Family Service Review (CFSR) described in Series 3-2 and entered into the Child and Family Services

Reviews Database as described in Series 3-3.

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

Volume: one (1) cubic foot per year

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, 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.

# 3-2 Child and Family Services Reviews (Confidential 10A O.S. §§ 1–101 1-6-101 through 1-6-103, 1-6-107, and 1-2-108)

Description: Files include but are File contains, but is not limited to, correspondence,

instruments, interview questionnaires, and reports for annual Child and Family Services Reviews (CFSR). Provides statistical data for determination of the Oklahoma Department of Human Services' progress and compliance with Administration on Children and Families (ACF) requirements pertaining to

safety, permanency, and well-being.

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

Volume: twelve (12) cubic feet per year

Disposition: Retain in office one (1) year after annual CFSR is completed, 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.

## DEPARTMENT OF HUMAN SERVICES

# **Child Welfare Services**

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\* October 21, 2021 \*

# Continuous Quality Improvement Unit

# 3-3 Child and Family Services Reviews Database (Confidential 10A O.S. §§ 1–101 1-6–101 through 1-6–103, 1-6–107, and 1-2–108)

Description: File contains an electronic database of statistical information pertaining to

Children and Family Service Reviews, described in Series 3-2. Data is incorporated into the annual Child and Family Services review and entered into the Statewide Automated Child Welfare Information System (KIDS), Series 1-4.

Disposition: Maintain in office until superseded, then delete.

# 3-4 Contract Performance Reviews Instruments (Confidential 10A O.S. § 1–101 1-6-101 through 1-6-103, 1-6-107, and 1-2-108)

Description: Files include but are File contains, but is not limited to, correspondence, outcome

assessments tools and interview questionnaires for contract performance reviews, focused reviews, and administrative inquiries of agencies that contract with the Oklahoma Department of Human Services (OKDHS) to provide services and placement of children in OKDHS custody. Contracting agencies provide services for Levels B, C, D+ and E group home care, therapeutic foster care, psychiatric acute and residential treatment center services, specialized community homes, intensive treatment services, diagnostic and evaluation

services, emergency shelter care, and maternity/infant group homes.

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

Volume: six (6) cubic feet per year

Disposition: Destroy duplicate and ancillary materials when no longer required for

administrative purposes. Retain substantive materials in office for one (1) year, then transfer to records storage. Retain records in storage until they become seven (7) years old, Retain seven (7) 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.

## DEPARTMENT OF HUMAN SERVICES

# **Child Welfare Services**

Amendments to Records Disposition Schedule 2005-01

\* October 21, 2021 \*

# Continuous Quality Improvement Unit

# 3-5 Contract Performance Review Database (Confidential 10A O.S. §§ 1-101 1-6-101 through 1-6-103, 1-6-107, and 1-2-108)

Description: File contains an electronic database of statistical information pertaining to

Contract Performance Review Reports, described in Series 3-6.

Disposition: Maintain in office until superseded, then delete.

# 3-6 Contract Performance Review Reports (Confidential 10A O.S. § 1-101 1-6-101 through 1-6-103, 1-6-107, and 1-2-108)

Description: Files include but are File contains, but is not limited to, reports generated from

annual contract review, focused contract reviews, and administrative inquires of agencies that contract with the Oklahoma Department of Human Services (OKDHS) to provide services and placement of children in OKDHS custody. Reports contain information related to issues of non-compliance with contract

requirements.

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

Volume: one (1) cubic foot per year

Disposition: Destroy duplicate and ancillary materials when no longer required for

administrative purposes. Retain substantive materials in office for one (1) year, then transfer to records storage. Retain records in storage until they become seven (7) years old, Retain seven (7) 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.

## DEPARTMENT OF HUMAN SERVICES

# **Child Welfare Services**

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\* October 21, 2021 \*

# Continuous Quality Improvement Unit

#### 3-7 Restrictive Procedures Reports (Record copy) (Confidential 10A O.S. §§ <del>1-101</del> 1-6-101 through 1-6-103, 1-6-107, and 1-2-108)

Description:

Files include but are File contains, but is not limited to, monthly reports of occurrences of physical holds, seclusion, and mechanical and physical restraints by agencies contracting with the Oklahoma Department of Human Services (OKDHS) to provide Levels D+ and E and psychiatric services to children in OKDHS custody. Reports contain the names of children at the facility and their respective admit and discharge dates; frequency of use of restrictive procedures; number of restraints used by agencies; and comparison of use, type, and restrictive procedures by agencies.

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

Volume: one (1) cubic foot per year

Disposition: Destroy duplicate and ancillary materials when no longer required for

> administrative purposes. Retain substantive materials in office for one (1) year, then transfer to records storage. Retain records in storage until they become seven (7) years old, Retain seven (7) years, then destroy, provided no legal actions are pending. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention

requirements.

#### 3-8 **Restrictive Procedures Report Database** (Confidential 10A O.S. §§ <del>1-101</del> 1-6-101 through 1-6-103, 1-6-107, and 1-2-108)

Description: File contains an electronic database of statistical information pertaining to

Restrictive Procedures Reports, described in Series 3-7.

Disposition: Retain in office until superseded, then delete.

## DEPARTMENT OF HUMAN SERVICES

# **Child Welfare Services**

Amendments to Records Disposition Schedule 2005-01

\* October 21, 2021 \*

# Adoptions, Research and Technology Unit

# 4-1 Child Abuse/Neglect Information System Searches (Confidential 10A O.S. §§ 1–101 1-6–101 through 1-6–103, 1-6–107, and 1-2–108)

Description: Files contains Summary letters of Child Abuse/Neglect Information

System (CANIS) searches for private adoption and guardianship applicants. Includes but not limited to Statewide Automated Child Welfare Information System (KIDS) screen prints, Information Management System (IMS) screen prints, reports to the district attorney, requests for CANIS searches, and related

copies of correspondence, including e-mail.

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

Volume: two (2) cubic feet per year

Disposition: Destroy duplicate and ancillary materials when no longer required for

administrative purposes. Retain substantive materials in office for two (2) years,

then transfer to records storage for permanent preservation.

Retain ten (10) 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.

## DEPARTMENT OF HUMAN SERVICES

# **Child Welfare Services**

Amendments to Records Disposition Schedule 2005-01

\* October 21, 2021 \*

# Adoptions, Research and Technology Unit

# 4-2 Adoption Assistance

(Confidential Record 10A O.S. §§ <del>1-101</del> <u>1-6-101</u> through 1-6-103, 1-6-107, and 1-2-108 and 10 O.S. § 7510-1.5)

Description:

Files consist of File contains adoption assistance application packets, adoption assistance agreements, legal packets, finalization legal packets, marriage licenses, divorce decrees, death certificates, birth certificates, Social Security cards, medical applications, annual review forms, correspondence, modifications, letters of request for modifications, modification forms, letters of response, and overpayments as mandated by the Adoption Assistance Program 10 O.S. § 7510-1.1.

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

Volume:

six (6) cubic feet per year

Disposition:

Retain in office and transfer records to an electronic format. Destroy hard copy documents upon certification that all records have been successfully transferred and after storing a back up copy in an off site storage area and after obtaining approval from the State Records Administrator to destroy the hard copy documents.

Destroy electronic records and all below standard documents when they become twenty two (22) years old Retain twenty-two (22) 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 has been received from the State Records Administrator to delete electronic records. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention periods and approval to delete electronic records has been received from the State Records Administrator.

## DEPARTMENT OF HUMAN SERVICES

# **Child Welfare Services**

Amendments to Records Disposition Schedule 2005-01

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# Adoptions, Research and Technology Unit

# 4-3 Adoption Authorization Packets

(Confidential Record 10A O.S. §§ <del>1-101</del> 1-6-101 through 1-6-103, 1-6-107, and 1-2-108 and 10 O.S. § 7510-1.5)

Description: Files consists of File contains authorization packets used to recommend and

request adoptive placement for children in OKDHS custody that are reviewed by the Adoptive Placement Authorization Committee for approval. Includes placement recommendation worksheets, and copies of: home assessments, background checks, Oklahoma Department of Human Services records checks,

child profiles, and criteria staffings.

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

Volume: ten (10) cubic feet per year

Disposition: Retain in office six (6) months after finalization of the adoption, then destroy

duplicate and ancillary materials and transfer substantive records to an electronic format. Destroy hard copy documents upon certification that all records have been successfully transferred and after storing a back up copy in an off site storage area and after obtaining approval from the State Records Administrator to destroy the

hard copy documents. Retain electronic records permanently.

Retain permanently.

# 4-4 Confidential Intermediary Search Program

(Confidential Record 10A O.S. §§ <del>1-101</del> <u>1-6-101</u> through 1-6-103, 1-6-107, and 1-2-108 and 10 O.S. §§ 7510-1.5 and 7508-1.3)

Description: Files contains letters to the Confidential Intermediary documenting

assignment of the search, requests for confidential intermediary search, confidential intermediary search document checklists, copies of all correspondence from the search, results reports from the searcher, signed

consents to disclosure, and reunion narratives.

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

Volume: two (2) cubic feet per year

Disposition: Retain in office twenty-two (22) 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 and approval to destroy

records has been received from the State Records Administrator.

Adoptions, Research and Technology Unit

## DEPARTMENT OF HUMAN SERVICES

# **Child Welfare Services**

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# 4-5 Mutual Consent Voluntary Registry (Confidential Record 10A O.S. §§ 1-101 1-6-101 through 1-6-103, 1-6-107, and 1-2-108 and 10 O.S. §§ 7510-1.5 and 7508-1.3)

Description: Files consist of File contains letters and Oklahoma Mutual Consent Voluntary

Registry forms from adult adoptees or birth family members requesting placement on the Oklahoma Mutual Consent Voluntary Registry, and copies of appropriate adoption records if the adoptee was adopted through Oklahoma Department of Human Services and requests non-identifying information.

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

Volume: two (2) cubic feet per year

Disposition: Retain in office twenty-two (22) 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 and approval to destroy

records has been received from the State Records Administrator.

# 4-6 Paternity Registry (Confidential 10A O.S. §§ 1-101 1-6-101 through 1-6-103, 1-6-107, and 1-2-108 and 10 O.S. §§ 7510-1.5 and 7508-1.3, and 10A O.S. §§ 7506-1.1 and 7506-6.2)

Description: Files consist of File contains letters from child placing agencies and attorneys

requesting registry checks and copies of letters from Oklahoma Department of

Human Services indicating applicable findings.

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

Volume: two (2) cubic feet per year

Disposition: Retain in office twenty-two (22) 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 and approval to destroy records has been received from the State Records

Administrator.

## DEPARTMENT OF HUMAN SERVICES

# **Child Welfare Services**

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# Adoptions, Research and Technology Unit

# 4-7 Statewide Staffing Notes

(Confidential Record 10A O.S. §§ 1-101 through 1-6-103, 1-6-107, and 1-2-108 and 10 O.S. §§ 7510-1.5 and 7508-1.3)

Description: Files consist of lists of children with a goal of adoption staffed at a statewide

monthly meeting of adoption specialists. Files also include but are not limited to

child profiles and resource family recommendation sheets.

Volume: two (2) cubic feet per year

Disposition: Retain in office one (1) year, then destroy duplicate and ancillary materials and

transfer substantive records to an electronic format. Destroy hard copy documents upon certification that all records have been successfully transferred and after storing a back up copy in an off site storage area and after obtaining approval from

the State Records Administrator to destroy the hard copy documents.

Destroy electronic records and all below standard documents when they become twenty two (22) years old provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and no legal actions are pending, and approval has been received from the State Records Administrator to delete electronic records. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention periods, and approval to delete electronic records has been received from the State Records Administrator.

Delete from schedule, October 21, 2021

## DEPARTMENT OF HUMAN SERVICES

# **Child Welfare Services**

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\* October 21, 2021 \*

# Adoptions, Research and Technology Unit

4-8 Interstate Compact on the Placement of Children: Adoption Files (Confidential Record 10A O.S. §§ 1–101 1-6-101 through 1-6-103, 1-6-107, and 1-2-108 and 10 O.S. §§ 7510-1.5 and 7508-1.3)

Description: Files pertain File contains information pertaining to the adoption of Oklahoma

children by persons in other states and the adoption of children from other states by persons living in Oklahoma in accordance with the Interstate Compact on the Placement of Children. Documents include, but are not limited to, background reports; staff notes; medical records; OKDHS staff legal opinions; psychological

evaluations; and correspondence.

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 the adoption is finalized, then transfer to records storage.

Retain in records storage permanently.

OR

Transfer records to an electronic format and retain permanently. 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. Retain imaged copy permanently.

Retain permanently.

## DEPARTMENT OF HUMAN SERVICES

# **Child Welfare Services**

Amendments to Records Disposition Schedule 2005-01

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## Residential/Placement/Behavioral Health Services

# 5-1 Group Home or Specialized Community Home Placement Request (Confidential Record 10A O.S. §§ 1-101 1-6-101 through 1-6-103, 1-6-107, and 1-2-108)

Description: File contains placement worksheets for children in Oklahoma Department of

Human Services custody, e-mail, correspondence, psychological and psychiatric evaluations, and hospital notes submitted by OKDHS Child Welfare staff to

request placement in a group or specialized community home.

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

Volume: six (6) cubic feet per year

Disposition: Review annually and destroy duplicate and ancillary materials when no longer

required for administrative purposes. Retain substantive materials in office until the end of the calendar year in which the child turns eighteen (18), then destroy, provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies, provided no legal actions are pending and approval to destroy documents has been received from the State Records Administrator. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements and approval to destroy records has

been received from the State Records Administrator.

# 5-2 Residential/Placement/Behavioral Health Services Financial Claims

Description: Files contains File contains medical claims, authority to purchase forms, travel

authorizations, allowance claim letters, and information for current providers for the Child Welfare Services, Residential/Placement/Behavioral Health Services Unit. The office of records is the OKDHS Finance Division, Schedule 87 05, Series 12 10 Miscellaneous Claims and Invoices Financial Services, Schedule

2014-02, Series 4-3.

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

Volume: one (1) cubic foot per year

Disposition: Retain in office for one (1) year after current year's contract is expired, cancelled,

or terminated, 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

# **Child Welfare Services**

Amendments to Records Disposition Schedule 2005-01

\* October 21, 2021 \*

## Residential/Placement/Behavioral Health Services

## 5-3 Residential/Placement/Behavioral Health Services Contracts

Description:

Files contains File contains copies of contracts, contract modifications, e-mails, letters, other correspondence, and, if applicable, fiscal audit reports for current vendors that provide group home, specialized community home, diagnostic and evaluation, intensive treatment, shelter, free standing and hospital-based psychiatric acute and residential treatment center care for children in Oklahoma Department of Human Services custody. The state office of record for contracts is the OKDHS Office Support Services Division/Contracts Unit, schedule 98-02, Series 3-1. The state office of record for audit reports is the OKDHS Inspector General's Office, schedule 97-06, Series 3-3.

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

Volume:

one (1) cubic foot per year

Disposition:

Review annually and destroy duplicate and ancillary materials when no longer required for administrative purposes. Retain substantive materials in office for five (5) years after contract is expired, cancelled or terminated, 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

# **Child Welfare Services**

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## Residential/Placement/Behavioral Health Services

# 5-4 Residential/Placement/Behavioral Health Services Placement Statistical Reports (Confidential Record 10A O.S. §§ 1-101 1-6-101 through 1-6-103, 1-6-107, and 1-2-108)

Description: Files contains monthly reports for group and specialized community

homes, spreadsheets for psychiatric facilities with number and name of children in care, 100% state dollar spreadsheets for inpatient care, spreadsheets of transportation costs by county, Office of Client Advocacy referral spreadsheets, and monthly liaison reports. Report reflects overview of placements and

discharges made each month.

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

Volume: one (1) cubic foot per year

Disposition: Review annually and destroy duplicate and ancillary materials when no longer

required for administrative purposes. Retain substantive materials in office until five (5) years after cancellation or termination of the group home, specialized community home, and inpatient facilities contracts, 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 and approval to destroy records has been received from the State

Records Administrator.

## DEPARTMENT OF HUMAN SERVICES

# **Child Welfare Services**

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# Resource Unit

# 6-1 Promoting Safe and Stable Families Program Files

Description: File contains Promoting Safe and Stable Families Program (PSSF) semi-annual

progress reports, financial reports, program funding, and other related

communications from tribes relating to this program.

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

Volume: eight (8) cubic feet per year

Disposition: Retain in office three (3) years after the PSSF grant year, 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 and approval to destroy records has been received from the State

Records Administrator.

# 6-2 Tribal/State Agreements

Description: Files consist of File contains annual Tribal/State Agreements between the

Oklahoma Department of Human Services and Oklahoma Indian Tribes. The Tribal/State Agreement outlines the contractual arrangement for foster care and

related services of Indian children in both OKDHS and tribal custody.

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

Volume: less than <u>one (1)</u> cubic <del>feet</del> <u>foot</u> per year

Disposition: Retain in office three (3) years, then transfer to records storage. Retain in records

storage records until they become ten (10) years old, Retain ten (10) 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 and approval to destroy records has been received from the

State Records Administrator.

## DEPARTMENT OF HUMAN SERVICES

# **Child Welfare Services**

Amendments to Records Disposition Schedule 2005-01

\* October 21, 2021 \*

# Resource Unit

# 6-3 Tribal Foster Home Resources (Confidential 10A O.S. §§ 1–101 1–6–101 through 1–6–103, 1–6–107, and 1–2–108)

Description: Files contains File contains home studies of resource families completed by Tribal

staff. Home studies include social, medical, family background, and educational information, as well as information obtained from references utilized in assessing

families regarding their ability to provide care for children in tribal custody.

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

Volume: less than <u>one (1)</u> cubic <del>feet</del> <u>foot</u> per year

Disposition: Retain in office three (3) years after closure of the Tribal Foster Home Resource

program, 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 and approval to destroy records has been

received from the State Records Administrator.

# 6-4 Interstate Compact on the Placement of Children (ICPC): Placement Case Records (Confidential Record 10 O.S. §7505-1 and §7510-1.5)

Description: File contains ICPC records of parent or relative placements, Foster Care

placements, institutional placements, private placements, and Residential Treatment Facilities placements for children placed across state lines. Information includes medical and social history, legal, home evaluations, and placement status.

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

Volume: twenty five (25) cubic feet per year

Disposition: Retain in office until one (1) year after closure as defined by OAC 340: 75-1-86,

and then destroy, provide 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.

## DEPARTMENT OF HUMAN SERVICES

## **Child Welfare Services**

Amendments to Records Disposition Schedule 2005-01

\* October 21, 2021 \*

# Resource Unit

# 6-5 Interstate Compact on the Placement of Children Statistical Reports

Description: File contains monthly reports, weekly reports (Group Home and Specialized

Community Homes), Daily Institutional Reports (Population) and annual Statistical Reports. Information includes: available bed space, possible new bed space, and movement of juveniles. Monthly reports reflect overall view of placements made.

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

Volume: less than <u>one (1)</u> cubic foot per year

Disposition: Retain in office five (5) years, and 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.

# 6-6 Foster Care and Kinship Foster Care Contracts

Description: File contains the specifications for the goods or service procured, evaluation and

award documents, work plan, modifications, change orders, service contract

evaluation forms and any other documentation relevant to the contract.

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

Disposition: Refer to Support Services Division/Contracts and Purchasing Unit Schedule 98-02,

Series 3-1, Contracts. Requests for the approval of destruction of these records must be requested by the Support Services Division/Contracts and Purchasing

Unit.

Refer to Financial Services/Contracts, Schedule 2014-02, Series 9-1: Contracts. Destruction of these records must be approved by Financial Services/Contracts.

## DEPARTMENT OF HUMAN SERVICES

# **Child Welfare Services**

Amendments to Records Disposition Schedule 2005-01

\* October 21, 2021 \*

# Resource Unit

# 6-7 Foster Care and Bridge Resource Curriculum and Training Materials

Description:

File contains training and educational materials, sign-in sheets, evaluations, manuals, incoming and copies of outgoing and correspondence used in preparing families (foster, kinship, and adoptive) to care for children not born to them and to understand OKDHS policy requirements.

Disposition:

Retain in office until three (3) years after superseded or made obsolete, then destroy, provided no legal actions are pending, and approval has been received from the State Records Administrator to destroy records. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention periods.

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 three (3) years after they become superseded, provided no legal actions are pending, and approval to delete or 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.

## DEPARTMENT OF HUMAN SERVICES

## **Child Welfare Services**

Amendments to Records Disposition Schedule 2005-01

\* October 21, 2021 \*

# Resource Unit

# 6-8 American Public Human Services (APHSA) Interstate Compact on the Placement of Children (ICPC) Databases

Description:

<u>File contains</u> databases used to track all incoming and outgoing ICPC requests. Separate databases track public child welfare cases and private/independent adoption cases. Information includes, but is not limited to, name of subject child, name of prospective placement, type of placement, disposition on each placement request, dates of importance (approval or denial dates, placement dates, progress report dates, closure dates), and information as to how each closed record is stored/archived.

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

Disposition:

Retain in an electronic format. Destroy records five (5) years after a client's case is closed as defined in OAC 340:75-1-86: Interstate Compact on the Placement of Children, or equivalent, 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.

# 6-9 American Public Human Services (APHSA) Interstate Compact on the Placement of Children (ICPC) Data Entry Documents

Description:

File contains information from ICPC requests for processing to other states, or requests from other states processing into Oklahoma. Information becomes part of the ICPC Case files, series 6-4, Interstate Compact on the Placement of Children Placement Case Records.

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

Disposition:

Transfer to series 6-4 <u>Destroy</u> after information is entered into American Public Human Services (APHSA) <u>or the</u> Interstate Compact on the Placement of Children (ICPC) databases, Series 6-8.

# **DEPARTMENT OF HUMAN SERVICES**

# **Child Welfare Services**

Amendments to Records Disposition Schedule 2005-01

\* October 21, 2021 \*

# 6-10 Interstate Compact on the Placement of Children (ICPC) Tracking Reports

Description: File contains monthly reports generated from the ICPC databases that list

pending requests and progress reports due.

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.

## DEPARTMENT OF HUMAN SERVICES

## **Child Welfare Services**

Amendments to Records Disposition Schedule 2005-01

\* October 21, 2021 \*

## Child Welfare Services/Administrative Services Unit

# 7-1 **Benefit Award Letter File** (Confidential Record 10A O.S. § 1-6-101 to 1-6-103)

Description: File contains award letters and other notices generated by the Social Security

Administration, Veterans Administration, and other agencies pertaining to children eligible for benefits, revised benefit amounts, payee changes, etc., for Child

Welfare custody children.

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

Volume: twelve (12) cubic feet per year

Description: Retain in office until end of current fiscal year after account closes and OKDHS is

no longer payee, then transfer to records storage. Retain records until they become twenty five (25) years old, Retain twenty-five (25) 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.

# 7-2 **Benefit Printouts Reports** (Confidential Record 10A O.S. § 1-6-101 to 1-6-103)

Description: Printouts File contains reports generated by the OKDHS Finance Division

consisting of Balance Sheet, Transaction Register, Balance Sheet with Transactions, Voucher Register, and Interest printouts showing Social Security Number, State Supplemental Income, and Veterans Administration benefits for Child Welfare custody children and disbursement of the payments. Office of record is OKDHS Finance Division Financial Services/ Cost Accounting and Revenue Enhancements (Schedule 87-05, Series 11-10 Schedule 2014-02, Series

<u>7-35</u>).

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

Volume: twelve (12) cubic feet per year

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

## DEPARTMENT OF HUMAN SERVICES

# **Child Welfare Services**

Amendments to Records Disposition Schedule 2005-01

\* October 21, 2021 \*

## Child Welfare Services/Administrative Services Unit

7-3 Tax Award Letter (Confidential Record 10A O.S. § 1-6-101 to 1-6-103)

Description: File contains individual Social Security Administration letters detailing the current

year's benefit each beneficiary received.

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 end of 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.

7-4 **Federal IV-E Foster Care Audit Work Papers** (Confidential Record 10A O.S. § 1-6-101 to 1-6-103)

Description: File includes File contains audit work papers related to the Federal IV-E Foster

Care Audit. Files include copies of documents reviewed during the audit, including child welfare case files, copies of judicial records and orders, custody specialist eligibility files, and foster care resource files. Record copies of the Child Welfare case records are maintained in Schedule 82-37, Series 2-26. Record copies of the

Foster Home records are maintained in Schedule 82-37, Series 2-45.

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

Volume: Seventy-five (75) cubic foot per year

Disposition: Retain in office until audit is completed, then transfer to records storage. Retain

for twenty-two (22) 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.

## DEPARTMENT OF HUMAN SERVICES

## **Child Welfare Services**

Amendments to Records Disposition Schedule 2005-01

\* October 21, 2021 \*

# 7-5 Expired Ledgers

<u>Description:</u> File contains ledger sheets of all claims from expired contracts, award of contracts

and any modifications pertaining to length of contract or change in contract amount. Office of record is 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

<u>Disposition:</u> Retain three (3) years after expiration, 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.

Transfer from Schedule 87-04, Series 37-2, October 21, 2021

# **7-6 Federal Grant Claims**

Description: File contains reference copies of claims on Federal grant money usage that were

not part of a contract. Office of record is Financial Services, Schedule 2014-02,

Series 4-1 and 4-3.

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

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

Disposition: Retain three (3) years after expiration, 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.

Transfer from Schedule 87-04, Series 37-1, October 21, 2021

## DEPARTMENT OF HUMAN SERVICES

## **Child Welfare Services**

Amendments to Records Disposition Schedule 2005-01

\* October 21, 2021 \*

## Child Welfare Services/Administrative Services Unit

# **7-7** Federal & State Grant Files

Description: File contains copies of Federal and State grants correspondence and reports

awarded to Program Services Unit.

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

Disposition: Retain three (3) years after expiration, 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.

Transfer from Schedule 87-04, Series 37-1 and 37-8, October 21, 2021

# 7-8 Child Support Financial Reports

Description: File contains Balance Sheet, Transaction Register, Balance Sheet with

Transactions, Voucher Register, and Interest Printouts from Financial Services showing child support payments received for CWS custody children and disbursement of the payments. Office of record is Financial Services, Schedule

2014-02, Series 7-6, 7-25, and 7-28.

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

Volume: two (2) cubic feet per year

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

Transfer from Schedule 87-04, Series 46-4, October 21, 2021

### DEPARTMENT OF HUMAN SERVICES

### **Child Welfare Services**

Amendments to Records Disposition Schedule 2005-01

\* October 21, 2021 \*

### Child Welfare Services/Administrative Services Unit

## **7-9 Custody Children/Foster Home Reports**

Description: File contains various statistical reports: Six Months Report, Children in Foster

Care by County of Service, Custody Children Living in State Schools, Permanent Custody Children, Custody Children by Age Group/County of Service, Alphabetical Listing of Custody Children, Children in Shelters/Purchased Institutional Care, Indian Custody Children, Foster Home Studies, and Indian

Foster Homes.

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

<u>Volume:</u> <u>ten (10) cubic feet per year</u>

<u>Disposition:</u> Retain two (2) years, then destroy, provided no legal actions are pending. If legal

action is pending, destroy two (2) years after exhaustion of all legal remedies,

<u>provided records meet all stipulated retention requirements.</u> Transfer from Schedule 87-04, Series 46-3, October 21, 2021

## 7-10 Private Agency/Foster Care Review

Description: File contains a list of existing private agencies and liaisons; information regarding

minor children placed in the custody of private agencies; progress/placement

reports; legal status; and dates the adoption was finalized.

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

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

Disposition: Retain five (5) years after closure of the private agency, 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.

Transfer from Schedule 87-04, Series 46-6, October 21, 2021

## DEPARTMENT OF HUMAN SERVICES

## **Child Welfare Services**

Amendments to Records Disposition Schedule 2005-01

\* October 21, 2021 \*

### Child Welfare Services/Administrative Services Unit

# 7-11 Remittance Statement of Medicaid Claims Paid Confidential Record 10 O.S., §7005-1.1 through 7005-1.8

<u>Description:</u> <u>File contains State of Oklahoma Medicaid Management Information System</u>

report, OKMM 2790, Remittance Statement of Medicaid Claims Paid for DHS-Child Welfare; and M2790R04, Targeted Case Management, Monthly Statement.

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

<u>Volume:</u> <u>two (2) cubic feet per year</u>

<u>Disposition:</u> Retain 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; 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 87-04, Series 37-9, October 21, 2021

### DEPARTMENT OF HUMAN SERVICES

### **Child Welfare Services**

Amendments to Records Disposition Schedule 2005-01

\* October 21, 2021 \*

## Client Records

## 8-1 Adoption Records Confidential Record 10 O.S., §60.17 and §60.29

<u>Description:</u> File contains information pertaining to Independent Adoption Cases and Adoption

Cases involving children in the custody of the Department of Human Services. Information includes, but is not limited to, applications, background reports, medical histories and staff working notes; copies of marriage certificate and divorce court orders and petitions; psychological evaluations; social security benefit information; financial statements; clothing requisitions; foster home agreements; DHS staff legal opinions; copies of medical records; and

correspondence.

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

Volume: one hundred fifty (150) cubic feet per year

<u>Disposition:</u> <u>Retain permanently.</u>

Transfer from Schedule 87-04, Series 44-1, October 21, 2021

## 8-2 Adoption Records—Withdrawn or Denied Confidential Record 10 O.S., §60.17 and §60.29 (Record Copy)

<u>Description:</u> File contains information pertaining to Independent Adoption Cases and Adoption

Cases involving children in the custody of the Department of Human Services. File includes, but is not limited to, applications; background reports; staff working notes; copies of marriage and divorce court orders and petitions; psychological evaluations; clothing requisitions; foster home agreements; DHS staff legal

opinions; copies of medical records; and correspondence.

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

<u>Disposition:</u> Retain seven (7) 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. Transfer from Schedule 87-04, Series 44-3B, October 21, 2021

### DEPARTMENT OF HUMAN SERVICES

### **Child Welfare Services**

Amendments to Records Disposition Schedule 2005-01

\* October 21, 2021 \*

## Client Records

## 8-3 Child Welfare Case Records (Confidential Record (10A O.S. § 1-2-108; § 1-6-101; and § 1-6-107)

<u>Description:</u> File contains all legal and court documents; birth verifications; Social Security

cards; Report to District Attorney; Child Protective Services Family Assessment Report; grievance forms; psychological evaluations; medical information from providers; Placement Agreement for Out-of-Home Care; appropriate child support forms; Eligibility Determination; Placement Provider Information Report; Placement Plan Report; Treatment Plan; Individualized Service Plan (ISP); Pre-adjudication Court Report; Court Report; ISP Progress Report; ISP Dispositional Report; Medical and Social History Report for Adoption; Independent Living Life Skills Assessment; Child Profile Assessment for Adoption; Affidavit of Information Disclosure for Adoption; Placement

Recommendation Worksheet; and any other forms or data pertinent to the Child Welfare case record, such as Child Welfare staff notes, letters, police reports,

Department of Corrections reports, and similar documents.

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

<u>Volume:</u> <u>twelve hundred (1200) cubic feet per year</u>

<u>Disposition:</u> <u>Retain permanently.</u>

Transfer from Schedule 82-37, Series 2-26A, October 21, 2021

## 8-4 Child Welfare Case Records (Audio or Video Tapes) (Confidential Record 10A O.S. § 1-6-101)

Description: File contains photographs, and audio, video or digitized recordings, of oral

statements of the child(ren) regarding abuse or neglect.

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

Disposition: Retain permanently in an environment where the temperature is constantly

maintained between 50° to 72° Fahrenheit and the humidity does not exceed 50%; the tape is rewound and stored in a vertical position; and the tape is transposed to a

new tape every ten years to assure preservation.

Transfer from Schedule 82-37, Series 2-26C, October 21, 2021

### DEPARTMENT OF HUMAN SERVICES

### **Child Welfare Services**

Amendments to Records Disposition Schedule 2005-01

\* October 21, 2021 \*

## Client Records

<u>8-5</u> <u>Foster Home Records</u> (Confidential Record 10A O.S. §§ 1-6-101 through 1-6-103; 1-6-107 and 1-2-108)

**Description:** 

File contains, but is not limited to, out-of-home placement agreement, house assessment, resource family financial assessment, resource family assessment application, medical report, trainer's worksheet, family network diagram, genogram, copy of paycheck stub, eco-map, resource family reference letters, child needs information list, resource family assessment reference letter for mental health professionals, child's mental health reference letter, copy of divorce decree, copy of marriage license, notice to foster parent applicant, records check, criminal background checks, written plan of compliance, verification of receipt of Oklahoma Department of Human Services rules, certificate of release of discharge from active military duty, statement of health from physician for children in the home (not the foster child), immunization record for children in the home (not the foster child), previous home assessments or evaluations, copy of certificate of degree of Indian blood card, copy of tribal membership card, automobile insurance verification, copy of Social Security card, copy of driver license, and pet vaccination record.

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

<u>Volume:</u> <u>ninety (90) cubic feet per year</u>

<u>Disposition:</u> Retain fifty (50) years, then destroy, provided no legal actions are pending. If legal

action is pending, destroy two (2) years after exhaustion of all legal remedies,

<u>provided records meet all stipulated retention requirements.</u> Transfer from Schedule 82-37, Series 2-45, October 21, 2021

### **DEPARTMENT OF HUMAN SERVICES**

### **Child Welfare Services**

Amendments to Records Disposition Schedule 2005-01

\* October 21, 2021 \*

## Client Records

8-6 Foster Home Records—Withdrawn or Denied (Confidential Record 10A O.S. §§ 1-6-101 through 1-6-103; 1-6-107 and 1-2-108)

## Description:

File contains foster home requests that were withdrawn or denied. Information includes but is not limited to, out-of-home placement agreement, house assessment, resource family financial assessment, resource family assessment application, medical report, trainer's worksheet, family network diagram, genogram, copy of paycheck stub, eco-map, resource family reference letters, child needs information list, resource family assessment reference letter for mental health professionals, child's mental health reference letter, copy of divorce decree, copy of marriage license, notice to foster parent applicant, records check, criminal background checks, written plan of compliance, verification of receipt of Oklahoma Department of Human Services rules, certificate of release of discharge from active military duty, statement of health from physician for children in the home (not the foster child), immunization record for children in the home (not the foster child), previous home assessments or evaluations, copy of certificate of degree of Indian blood card, copy of tribal membership card, automobile insurance verification, copy of Social Security card, copy of driver license, and pet vaccination record.

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

## **Disposition:**

Retain seven (7) 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, October 21, 2021

## DEPARTMENT OF HUMAN SERVICES

## **Child Welfare Services**

Amendments to Records Disposition Schedule 2005-01

\* October 21, 2021 \*

## Client Records

## 8-7 Child Welfare Information and Referral Files Confidential Record (56 O.S., §183)

Description: File contains one-time-only services or referrals for individuals and families who

do not have case records established for receipt of benefits or services. Record includes form K-1 with clients identifying information and dates of service. File may also include narrative and/or incidental documentation such as copies of

letters, notices, and ID's.

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

<u>Disposition:</u> 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 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, October 21, 2021

# DEPARTMENT OF HUMAN SERVICES Office of General Counsel Legal Services

Amendments to Records Disposition Schedule 2006-03

## \* October 21, 2021 \*

## Summary

Agency requests division name be changed to Legal Services.

- 3-1 Agency requests series be amended.
- 3-2 Agency requests series be amended and transferred to series 3-3.
- 3-3 Agency requests series be transferred from series 3-2.
- 3-4 Agency requests series be added to its schedule.
- 4-16 Agency requests series be added to its schedule.
- 4-17 Agency requests series be added to its schedule.
- 6-1 Agency requests series be transferred from Schedule 2003-01, Series 1-1.
- 6-2 Agency requests series be transferred from Schedule 2003-01, Series 3-1.
- 6-3 Agency requests series be transferred from Schedule 2003-01, Series 3-2.
- 6-4 Agency requests series be transferred from Schedule 2003-01, Series 3-3.
- 6-5 Agency requests series be transferred from Schedule 2003-01, Series 3-4.
- 6-6 Agency requests series be added to its schedule.
- 6-7 Agency requests series be transferred from Schedule 2003-01, Series 3-7.
- 6-8 Agency requests series be transferred from Schedule 2003-01, Series 3-8.
- 6-9 Agency requests series be transferred from Schedule 2003-01, Series 3-10.
- 6-10 Agency requests series be transferred from Schedule 2003-01, Series 3-11.
- 6-11 Agency requests series be transferred from Schedule 2003-01, Series 3-12.

## DEPARTMENT OF HUMAN SERVICES Office of General Counsel Legal Services

Amendments to Records Disposition Schedule 2006-03

\* October 21, 2021 \*

## Office of Administrative Hearings

# 3-1 Child Support Administrative Hearing Records (Confidential Record 56 O.S. § 183 and 237)

Description:

File includes evidence required to establish paternity, including petitions, court and agency notices, pleadings, proof of services, court exhibits, and court orders. Information includes child support notice of delinquency, notice of support debt, computation sheets, record of payments, judgment amounts, and payments on judgment amounts. Administrative court file includes documents or other items used to establish paternity, current child support obligations, and past due child support arrearage obligations. Information includes, but is not limited to, pleadings and motions, notices, responsive documents, proofs of service, exhibits, court orders, and documents filed in conjunction with an appeal.

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

Volume:

fifty-five (55) four (4) cubic feet per year

Disposition:

Destroy all microfilm copies and all below standard documents retained in accordance with Archives and Records Commission Rule and Regulation 60:10-7-2(2) when the child becomes nineteen (19) years old, provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies, no legal actions are pending; and approval to destroy microforms has been received from the State Records Administrator. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided and records meet all stipulated retention requirements, and approval to destroy has been received from the State Records Administrator.

OR

Retain in office three (3) years, then transfer to records storage. Retain in records storage until the child becomes nineteen (19) years, old then destroy, provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies, Retain fifty (50) years, then destroy, provided no legal actions are pending and approval to destroy records has been received from the State Records Administrator. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements, and approval to destroy records has been received from the State Records Administrator.

OR

Transfer records to an electronic format. Destroy hard copy documents one year

## DEPARTMENT OF HUMAN SERVICES Office of General Counsel Legal Services

Amendments to Records Disposition Schedule 2006-03

\* October 21, 2021 \*

## Office of Administrative Hearings

after they have been transferred to an electronic format, 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 the child becomes nineteen (19) years old, provided all audits have been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies, 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.

3-2 **Recordings of Child Support Administrative Hearings**—Not Appealed (Confidential Record 56 O.S. § 183 and 237)

Description: File consists of File contains digital recordings, audio, or video tapes made of

child support administrative hearings that were not appealed.

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

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

exhaustion of all legal remedies, then destroy, provided no legal actions are pending and approval to destroy recordings 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 series 3-3, October 21, 2021

## DEPARTMENT OF HUMAN SERVICES Office of General Counsel Legal Services

Amendments to Records Disposition Schedule 2006-03

\* October 21, 2021 \*

## Office of Administrative Hearings

3-3 Recordings of Child Support Administrative Hearings—Appealed (Confidential Record 56 O.S. § 183 and 237)

Description: File consists of contains digital recordings, audio, or video tapes made of child

support administrative hearings that were appealed.

Volume: less than one cubic foot per year

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

destroy, provided approval to destroy recordings has been received from the State

Records Administrator.

Transfer from series 3-2, October 21, 2021

3-4 <u>Child Support Administrative Hearings—Miscellaneous Records</u> (Confidential Record 56 O.S. § 183 and 237)

Description: File contains unfiled extraneous information relating to any Child Support

Administrative Hearing Record.

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

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

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, 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 other stipulated retention requirements.

Add to schedule, October 21, 2021

# DEPARTMENT OF HUMAN SERVICES Office of General Counsel Legal Services

Amendments to Records Disposition Schedule 2006-03

\* October 21, 2021 \*

## **Legal Division**

## 4-16 Child Care Providers' Garnishment

<u>Description:</u> <u>File contains correspondence, requests for warrants, and judicial filings used for</u>

child care provider garnishments.

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

<u>Disposition:</u> Retain seven (7) years after notification of payment or final release of obligation

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 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 other stipulated retention requirements.

Add to schedule, October 21, 2021

## 4-17 Child Care Providers' IRS Levies Records (Confidential Record 26 U.S.C. § 6103)

Description: File contains notices of levies issued by the Internal Revenue Service requiring

deductions from child care providers' self-employment taxable earning records

for the payment of taxes owed to the federal government.

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

Disposition: Retain seven (7) years after notification of payment or final release of of

obligation, 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 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 other stipulated retention requirements.

Add to schedule, October 21, 2021

## DEPARTMENT OF HUMAN SERVICES Office of General Counsel Legal Services

Amendments to Records Disposition Schedule 2006-03

\* October 21, 2021 \*

## Rules, Policy, Rates and Standards

## 6-1 Correspondence

Description: File contains correspondence, memos and reports including electronic

correspondence pertaining to Rules, Policy, Rates and Standards.

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

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

Disposition: Retain five (5) years, then destroy, provided no legal actions are pending and

approval to destroy records has been received from the State Records Administrator. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all other stipulated retention

requirements.

Transfer from Schedule 2003-01, Series 1-1, October 21, 2021

## <u>Administrative Procedures Act Rulemaking and Oklahoma Administrative Code File</u> (Record Copy) Essential Record (75 O.S. §302(B) and 67 O.S. §203(e))

<u>Description:</u> File contains emergency, permanent and preemptive rules and revocations of rules

proposed in accordance with 75 O.S., §250 et seq. Documents include notice documents, rule documents, proposed rules, rule revocations, and other submissions for publication in the Oklahoma Register and the Oklahoma Administrative Code; written statements and petitions received during the comment period or during public hearings; stenographic notes; transcriptions of audio tapes made during public hearings; petitions for exceptions to rules; summary statements of public hearings prepared by the agency, copies of attestations, liaison verifications, rule impact statements, transmittal letters to the governor and the legislature; notices of gubernatorial and legislative approval/disapproval; and other records required by the Administrative Procedures Act (75 O.S., §250 et seq.) and the Administrative Rules on Rule Making.

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

<u>Volume:</u> thirty (36) cubic feet per year

Disposition: Retain permanently.

Transfer from Schedule 2003-01, Series 3-1, October 21, 2021

## DEPARTMENT OF HUMAN SERVICES Office of General Counsel Legal Services

Amendments to Records Disposition Schedule 2006-03

\* October 21, 2021 \*

#### Rules, Policy, Rates and Standards

## 6-3 Administrative Procedures Act Rulemaking and Oklahoma Administrative Code File (Tapes)

<u>Description:</u> File contains audio recordings made during public hearings.

Disposition: Retain two (2) 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 other stipulated retention

requirements.

Transfer from Schedule 2003-01, Series 3-2, October 21, 2021

# 6-4 Administrative Procedures Act Rulemaking and Oklahoma Administrative Code File Working Papers

Description: File contains working papers, drafts, convenience or reference copies of

Administrative Procedures Act Rulemaking and Oklahoma Administrative Code

File.

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

Disposition: Retain five (5) years, then destroy, provided no legal actions are pending and

approval to destroy records has been received from the State Records Administrator. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all other stipulated retention

requirements.

Transfer from Schedule 2003-01, Series 3-3, October 21, 2021

## DEPARTMENT OF HUMAN SERVICES Office of General Counsel Legal Services

Amendments to Records Disposition Schedule 2006-03

\* October 21, 2021 \*

## Rules, Policy, Rates and Standards

## 6-5 Administrative Procedures Act: Proposed Rules Commission Book

Description: File contains agenda, summary of rule, cost impact statement, justification,

effective date, authority and proposed text for each administrative rule presented to

the Oklahoma Commission for Human Services for approval.

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

Volume: three (3) cubic feet per year

Disposition: Retain two (2) years, then transfer one copy to the State Archives for permanent

preservation. Retain one copy in the agency fifteen (15) years, then destroy.

Transfer from Schedule 2003-01, Series 3-4, October 21, 2021

## 6-6 Commission Proceedings Book

Refer to DHS Records Schedule 97-05, Series 1-9.

Add to schedule, October 21, 2021

## 6-7 Non-Administrative Procedures Act or Non-Commission Items Work Folders

Description: File contains descriptions of procedures, other than those listed in Administrative

Procedures Act, Series 6-2, and other material used to create OKDHS Regulations.

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

Volume: one (1) cubic foot per year

Disposition: Retain twenty-five (25) 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 other stipulated retention

requirements.

Transfer from Schedule 2003-01, Series 3-7, October 21, 2021

## DEPARTMENT OF HUMAN SERVICES Office of General Counsel Legal Services

Amendments to Records Disposition Schedule 2006-03

\* October 21, 2021 \*

## Rules, Policy, Rates and Standards

## 6-8 Numbered Administrative Memos (Record Copy)

Description: File contains administrative memoranda to agency employees dealing with agency

administrative concerns.

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

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

<u>Disposition:</u> Retain two (2) years, then transfer to the State Archives for permanent

preservation. Retain one (1) copy in the agency permanently. Transfer from Schedule 2003-01, Series 3-8, October 21, 2021

## 6-9 **Numbered State Office Memos** (Record Copy)

<u>Description:</u> File contains executive memoranda to agency employees dealing with agency wide

concerns.

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 transfer to the State Archives for permanent

preservation. Retain one (1) copy in the agency permanently. Transfer from Schedule 2003-01, Series 3-10, October 21, 2021

## 6-10 Policy and Policy Transmittals (Record Copy)

Description: File contains agency policy and transmittal memoranda regarding new or revised

policies as approved in accordance with the Administrative Procedures Act. Information includes date, transmittal number, material subject, explanation of

changes and those parts of the policy.

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

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

Disposition: After publication, transfer one (1) copy of the transmittal memos and policy

updates to the State Archives for permanent preservation.

Transfer from Schedule 2003-01, Series 3-11, October 21, 2021

# DEPARTMENT OF HUMAN SERVICES Office of General Counsel Legal Services

Amendments to Records Disposition Schedule 2006-03

\* October 21, 2021 \*

## Rules, Policy, Rates and Standards

## 6-11 Rates and Standards Documentation File

Description: Files contain lists of Rate/Standards and Service Levels for service provider

contracts. Information includes agenda, 30-day notices, public notices, correspondence, minutes of meetings, program outlines, cost reports, audits,

comparisons with other states contract services, and vendors.

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

<u>Volume:</u> <u>twenty-four (24) cubic feet per year</u>

<u>Disposition:</u> Retain twenty-five (25) years, then destroy.

Transfer from Schedule 2003-01, Series 3-12, October 21, 2021

## OKLAHOMA DEPARTMENT OF LIBRARIES

Records Disposition Authorization 2021-06

\* October 21, 2021 \*

## Summary

The Oklahoma Department of Libraries requests approval for the described records.

### OKLAHOMA DEPARTMENT OF LIBRARIES

Records Disposition Authorization 2021-06

\* October 21, 2021 \*

The Oklahoma Department of Libraries requests authorization for the immediate destruction of the following records which are currently housed in the State Records Center.

## **Constituency Files**

Dates Included: January 13, 2003 – December 31, 2008

Volume: Approximately 36 cubic feet

These records include correspondence from members of the public addressed to Governor Brad Henry. The records were transferred to the State Archives following the end of his term. Governor Henry took office on January 13, 2003 and left office on January 10, 2011.

Records Disposition Schedule 86-27 for the Office of the Governor provides the following description and retention period:

## 1-14 Constituency Files

A. Description: Files contain incoming correspondence addressed to the Governor

from residents of the State of Oklahoma requesting that the Governor direct attention toward a concern of personal or local

interest which is of importance to the correspondent.

Disposition: Retain in office for three months, then destroy.

B. Description: Files contain electronic copies of outgoing correspondence to

residents of the State of Oklahoma who have written to the Governor requesting that attention be given toward a concern of

personal or local interest.

Disposition: Retain in office until one (1) year old, then delete or destroy.

## OKLAHOMA DEPARTMENT OF LIBRARIES

Records Disposition Authorization 2021-07

\* October 21, 2021 \*

## Summary

The Oklahoma Department of Libraries requests approval for the described records.

### OKLAHOMA DEPARTMENT OF LIBRARIES

Records Disposition Authorization 2021-07

\* October 21, 2021 \*

The Oklahoma Department of Libraries requests authorization for the immediate destruction of the following records which are currently housed in the State Records Center.

# Miscellaneous Claims and Invoices (Except OSF Form 14, OSF Form 3 (when used for payroll withholdings) and OSF Form 9)

Dates Included: January 1, 1994 – June 30, 2006

Volume: Approximately 8 cubic feet

These records include miscellaneous claims and invoices from the offices of Lt. Governor Jack Mildren (1991-1995) and Lt. Governor Mary Fallin (1995-2007). The records were transferred to the State Archives following the end of Fallin's term as Lt. Governor. Mary Fallin took office on January 9, 1995 and left office on January 2, 2007.

Records Disposition Schedule 86-28 for the Office of the Lieutenant Governor provides the following description and retention period from the General Records Disposition Schedule:

# 2-12 Miscellaneous Claims and Invoices (Except OSF Form 14, OSF Form 3 (when used for payroll withholdings) and OSF Form 9)

A. Description: Copies of OSF Form 3, "Notarized Claim Voucher and Disbursement

of Payroll Withholdings"; OSF Form 15A, "Claim Jacket Form"; OSF Form 15B, "Inter/Intra Payment"; OSF Form 19, "Travel Voucher"; OSF Form 18, "Actual and Necessary Expense Travel Voucher"; Affidavit - Actual and Necessary Unreceipted Travel Expenses; and OSF Form 19A, Travel Voucher Attachment submitted to the Office of State Finance for payment of financial obligations other than payrolls. The Office of State Finance is the state office of record

(Schedule 91-08, Series 2-64).

Disposition: Retain in office until one (1) year after all audits have been completed

and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies, provided no legal actions are pending, then destroy. If legal action is pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all

stipulated retention requirements.

## STATE UNIVERSITIES AND COLLEGES

Consolidated General Records Disposition Schedule

## \* October 21, 2021 \*

## Summary

- 8-1 Agency requests series be amended.
- 15-3 Agency requests series be added to its schedule.
- 19-1 Agency requests series be amended.

### STATE UNIVERSITIES AND COLLEGES

Consolidated General Records Disposition Schedule

\* October 21, 2021 \*

## Medical Clinic/Dispensary/Wellness Center

## 8-1 Medical Records File (Confidential Record 43A O.S. §3-422)

Description: File includes individual student, faculty and staff, and dependent's medical

health records. File may include x-ray reports, doctor's orders or copies of

prescriptions, office visit reports, and all other medical records.

Disposition:

Retain in office for five (5) years after the date the patient was last seen or date of last medical contact or a minimum of three (3) years after the date of patient's death, then destroy provided no legal actions are pending. Retain records of newborns or minors for three (3) years past the age of majority, 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.

<u>For Adult Patients</u>: Retain in office ten (10) years from the last time the patient was seen, then destroy, provided no legal actions are pending.

<u>For Deceased Patients</u>: Retain in office six (6) years past date of death, then destroy, provided no legal actions are pending.

For Minor Patients who are not at least twenty-one (21): Retain in office until the patient reaches 21 or ten (10) years from the last date of services, whichever is longer, then destroy, provided no legal actions are pending. If legal actions are pending, destroy two (2) years after exhaustion of all legal remedies, provided records meet all stipulated retention requirements. This retention period is modeled after the Medical Records Retention information provided by the Oklahoma Board of Medical Licensure and Supervision.

 $\underline{https://www.okmedicalboard.org/download/522/Medical\_Records\_Retentio} \\ \underline{n.pdf}$ 

## OR

Retain in office until three (3) years after last visit, then microfilm all records except chest x ray films. Destroy hard copy documents except chest x-ray films: (1) upon certification that the microfilm meets all standards established by the Archives and Records Commission, (2) after depositing the master negative with the Oklahoma Department of Libraries, and (3) after retaining at least one (1) user copy in the agency. Destroy all microfilm copies, chest x-ray films and all below standard documents five (5) years after the date the patient was last seen or date of last medical contact or a minimum of three (3) years after the date of patient's death, provided no legal actions are pending. Retain records of newborns or minors for three (3) years past the age of majority, 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.

## STATE UNIVERSITIES AND COLLEGES

Consolidated General Records Disposition Schedule

\* October 21, 2021 \*

## Legal Counsel

## 15-3 Third-Party Subpoenas

Description: File includes third-party subpoenas issued to an institution to obtain

records in lawsuits to which the institution is not a party. An example includes third-party subpoenas for payroll records in collection actions

against employees.

<u>Disposition:</u> Retain in office two (2) years, then destroy.

Add to schedule, October 21, 2021

## STATE UNIVERSITIES AND COLLEGES

Consolidated General Records Disposition Schedule

\* October 21, 2021 \*

## Miscellaneous Operations

## 19-1 Golf Course Membership Files

Description: File includes membership agreements, such as for health or golf clubs,

contact information for members, and information regarding annual dues or

fees.

Disposition: Retain in office for three (3) years, then destroy, provided all audits have

been completed and all applicable audit reports have been accepted and resolved by all applicable federal and state agencies and provided no legal actions are pending. If legal action is pending, destroy two (2) years after

exhaustion of all legal remedies.