

RECORD RETENTION FOR UNIVERSITY DEPARTMENTS

Introduction

The General Records Disposition Schedule for State Universities and Colleges, and its index can be found at www.odl.state.ok.us/oar/recordsmgt/grds-education.htm. It has been prepared by the State Archives and Records Commission - Records Management Division. The authorized dispositions listed in the Records Disposition Schedule prescribe the minimum retention requirements for the records of the University of Oklahoma. The authorized dispositions listed in this Schedule supersede all previously approved retention periods established for the records listed. A Quick Reference to Common University Records is attached for your use.

In cases where 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 specify retention periods longer than those listed in this Records Disposition Schedule or specify that records must be retained in hard copy or any other format, the applicable statutes, court decisions, CFR, or other state and federal rules and regulations shall govern the disposition of the records. **NOTE: Please contact Research Services or Outreach Sponsored Programs for information related to retention for sponsored programs.**

The records listed in this Records Disposition Schedule are subject to the Oklahoma Open Records Act (51 O.S. §24A.1 et seq.) and the Buckley Amendment (20 U.S.C. §1232g).

Departmental Responsibilities

Departments within the University vary tremendously in size and complexity, and the annual accumulation of each record series varies from department to department. For this reason, it is difficult to determine which formats are the most practical or cost effective for the record series listed in this Records Disposition Schedule. Therefore, each department is charged with the responsibility to maintain and store each record series in the most practical and cost effective format (*such as original records, microform or machine-readable records, and/or optical disk records*) for its specific circumstances and with assurance that it will meet all disposition requirements outlined in this schedule.

The department must first determine if their office is the office that should retain the records for the required retention period ("*the Office of Record*"). **Only the Office of Record must retain the original record for the required retention period.** For example, Financial Services is the office of record for many financial/accounting records, invoices, travel claims. As such, they are required to keep the record series for the required retention period. All departments are required to keep the originals of any procurement card purchases and daily attendance records (*hourly time sheets and monthly certifications*). Many records are duplicates and can be destroyed when superseded or no longer required for administrative purposes. The Records Management Coordinator can help you determine what records your department is the "Office of Record" for.

Refer to the Quick Reference to Common University Records for commonly used records and their retention requirements.

Once all retention requirements outlined in the schedule have been met, departments are encouraged to request approval to dispose of said records. However, each department must determine whether their specific circumstances warrant the retention of records in excess of required retention periods. Once approval to dispose of records is approved, departments are responsible for the destruction of any such records.

Departments may destroy convenience or duplicate copies of the records listed herein when superseded or no longer required for administrative purposes.

Records Management Coordinator

The Office of the Vice President for Administration and Finance's designee serves as the General Records Management Coordinator for the University. All general questions pertaining to the disposition of records should be addressed to the Records Management Coordinator Designee (*Becky Watson*), 1816 W. Lindsey, Suite 100, Norman, Oklahoma 73069 — Phone: (405)-325-6041 — FAX: (405)-701-2385 or email rwatson@ou.edu.

Optical Disk Record Retention

Specific guidelines must be followed for records in optical disk format. Hard copies of documents can be destroyed after one full year has passed and upon certification that all records have been successfully entered on disk and 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 degrees and 75 degrees Fahrenheit and whose relative humidity is between 30% and 50%; or in lieu of a back up disk, all data is being maintained on permanent microfilm being stored in an off site location that meets all standards for authenticity, photographic quality, and bibliographic integrity required by Commission Rule 60:10-7-2.

Disposition of Records

No records listed in this schedule may be destroyed until a Notice of Intent to Destroy Records has been submitted to and approved by the University's Records Management Coordinator or his/her designee, and the State Records Administrator, or his/her designee (*Archives and Records Commission Rule 201.1*).

The Records Management Coordinator Designee will prepare and transmit the required form to the State Records Administrator. The department should provide the records series name and number, years to be destroyed and cubic feet to be destroyed (Coordinator Designee can help with this information). Upon approval by the University's General Records Coordinator

Designee and the State Records Administrator, a copy of the approved form will be returned to the originating department by the Records Management Coordinator evidencing the department's authority to destroy the subject records.

Disposition of Permanent Records

Records that possess continuing value because they document the University, functions, policies, decisions, procedures, and essential transactions of the University, or protect the legal and financial rights of the University and persons directly affected by them must be retained permanently. There are approximately seventy (70) records included in this schedule that have been deemed by the Archives and Records Commission to warrant permanent preservation. See **Permanent Records** section in the Schedule for a list of those records that have been deemed permanent.

Permanent records should be transferred to the University Archives. To arrange for the transfer of these records, contact the University Archivist at the Western History Collections, 325-3641. The department of origin is responsible for the physical transfer of permanent records to the University Archives. Both control and custody of permanent records will be transferred to the University Archives when the shipment is received.

Disposition of Confidential Papers

The University's recycling program has incorporated the following procedures into the recycling policy for confidential papers.

1. Departments will be provided with a closable bin(s) in which papers can be placed for pickup. The paper should be sorted in a manner consistent with the regular paper-recycling program. A representative of the department can seal the bin or it can be sealed by a representative of the University's recycling program.
2. The sealed bin will be kept in a locked, secure area at all times after leaving the department and will remain there until the University's recycling vendor takes possession of the bin. The vendor will then recycle the paper as a part of the normal recycling process.

The current recycling vendor maintains the following security procedures to assure confidentiality:

1. Restricting access to a totally enclosed, non-public access, processing facility;
2. Hiring of bonded employees who have passed OSBI background checks prior to employment; and
3. Utilization of a twenty-four hour security system.

If the above procedures do not meet a department's needs, contact The Refuse and Recycling Office to discuss available alternatives.

Conclusion

As noted previously, departments within the University vary tremendously in size and complexity, and the annual accumulation of each record series varies from department to department. Therefore, each department must identify records for which they are responsible, maintain and store said records in a practical and cost effective format, ensure that all disposition requirements outlined in this schedule are met, identify and maintain critical records, and ensure that records that have met all applicable retention requirements are disposed of in accordance with this schedule. Each department must also determine whether their specific circumstances warrant the retention of records in excess of required retention periods.