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Management of Office Records	ACA Standards: 2-CO-1E-01		
Joe M. Allbaugh, Director Oklahoma Department of Corrections		Signature on File	

Management of Office Records

The Oklahoma Department of Corrections (ODOC) maintains an active, continuing program for the economical and efficient management of public records in accordance with state statute (67 O.S. § 202). (2-CO-1E-01)

I. Definitions

A. Record

1. Any book, paper, map, photograph, microfilm, computer tape, disk, sound or video recording, or other material or any copy of it; whatever physical form or characteristic created or received by the agency, its officers, or employees concerning the transaction of official business, the expenditure of public funds, or the administering of public

property; and retained by the agency or its successor as evidence of its activities or functions (67 O.S. § 203).

2. Information created, received, and maintained as evidence by an organization or person in the transaction of business, or in the pursuance of legal obligations, regardless of media format.

B. Archives and Records Commission

1. The Archives and Records Commission (ARC) is a five member statutory board (67 O.S., § 305). With certain exceptions, it has the sole, entire and exclusive authority for the disposition of all public records and archives of state officers, departments, boards, commissions, agencies, and institutions.
2. In most cases by law, records created or received in the transaction of official business cannot be destroyed by a state agency without prior authorization from the Commission.

C. Records Disposition Schedules

A records disposition schedule specifies the length of time and the manner in which records are to be retained or disposed.

Introduction of a new record series, format changes, administrative reorganization, or the elimination of a record may require modification to a schedule. Periodic review of a records disposition schedule requires a close review of the way records are created, maintained, and organized. ODOC records will be maintained in accordance with the General Records Disposition Schedule (GRDS) and the Agency Records Disposition Schedule (ARDS).

1. General Records Disposition Schedule (GRDS)

The ARC periodically issues general records disposition schedules that apply to records common to several agencies. The GRDS normally covers financial, personnel and administrative records. The GRDS allows for uniformity in disposition across state government, identifies record copies, and clarifies agency responsibility for meeting legal and audit requirements for these records relieving other agencies of the burden of maintaining duplicate records.

- a. The dispositions on these schedules supersede all previous dispositions for such records.
- b. The GRDS is available on the Oklahoma Department of Libraries (ODL) website at:
<http://www.odl.state.ok.us>

2. Agency Records Disposition Schedule (ARDS)

Records unique to ODOC, or otherwise not covered by the GRDS, are addressed by the agency records disposition schedule.

- a. Changes, additions, or deletions of a record or series are developed from records inventories and submitted for approval to the Archives and Records Commission through the agency records coordinator.
- b. The ARDS is available on the agency's web site at:
http://doc.ok.gov/Websites/doc/images/Documents/Administration/General%20Services/Agency_Schedules.pdf

D. Record Series

Documents, volumes, folders, reels, or other units of the same record title arranged under a single filing system or kept together as a unit because they relate to a particular subject, result from the same activity, or have a particular format.

E. Records Management

A program designed to provide maximum economy and efficiency in the creation, organization, use, maintenance, or disposition of records to ensure records are retained as long as needed and unneeded records are not created or retained beyond their usefulness.

F. Convenience Records

Copies of records created for the user's convenience.

G. Imaged Records

Records that have been scanned and retained in an electronic format such as microfilm or optical imaging that prevent modification.

II. Ownership of Records

The agency retains sole ownership of its records. Employees who create records have no ownership over them and must turn them over intact to successors. All ODOC records are subject to the provisions of this procedure.

III. Establishment of Control

Centralized control over retention and disposition of all records will be in accordance with this procedure and state statutes. However, agency records will remain decentralized to ensure the people who work with them have access to them.

IV. Maintenance of Records

A. Physical Records

All agency records maintained in a physical form (e.g., paper, photographs, tapes, etc.) are to remain accessible to authorized staff and protected from unauthorized access or damage.

1. This includes all storage containers, to include but not limited to, fireproof file cabinets, restricted access from inmates/offenders as required and located in dry and pest-free areas.
2. Each location is responsible for the maintenance of physical records in a safe and secure manner.

B. Damaged Records

Within 24 hours of the discovery that agency records have been damaged, the agency records coordinator and the state records administrator at the Oklahoma Department of Libraries must be notified by the division/facility/district/unit head or designee.

C. Imaged Records

1. Imaged records are maintained the same length of time as the original records and require authorization before being disposed of in either physical or electronic format. Each location is responsible for addressing accessibility and off-site storage of back-up disks.
2. For records that are to be retained ten years or longer, standards for imaging will be in accordance with Oklahoma Administrative Rules, Title 60, Chapter 10, Subchapter 7, entitled "Microfilm", and Subchapter 8 entitled "Optical Imaging" and Subchapter 10 entitled "Video Tapes and Audio Recordings," of the Oklahoma Archives and Records Commission.

D. Convenience Records

Convenience records may be discarded once their administrative purpose is served. It is not necessary to request approval for destruction of convenience copies of records. Access restrictions, if any, apply to copies and originals alike.

V. Personnel and Responsibility

The records management system consists of two levels of personnel responsible for records management.

A. Agency Records Coordinator

The administrator of General Services will designate an agency records coordinator whose responsibilities will include:

1. Overseeing compliance with agency records management policies and procedures;
2. Providing records management assistance and coordination for agency personnel;
3. Ensuring agency disposition schedules are updated on an ongoing basis;
4. Advising division/facility/district/unit records coordinators on changing procedures and appropriate records disposition schedule updates;
5. Acting as liaison between the agency and the Department of Libraries/Archives and Records Commission;
6. Developing and instructing records management curricula; and
7. Conducting training as needed on the management of office records for records coordinators in accordance with [OP-100101](#) entitled "Employee Development."

B. Records Coordinators

Each division/facility/district/unit head will designate individual(s) to coordinate management of office records and to serve as the records coordinator for that location. The "Records Coordinator Appointment" ([Attachment A](#), attached) will be completed and forwarded to the agency records coordinator annually (January) or when the local records coordinator changes.

Local records coordinators' responsibilities include:

1. Acting as liaison between the agency records coordinator and their respective location;
2. Overseeing the creation, maintenance, and disposal of files according to agency policy and procedures and the respective approved records disposition schedules;
3. Advising the division/facility/district/unit of any changes in approved disposition schedules for their respective locations;

4. Ensuring a review of all records at their respective locations is conducted annually and these procedures are followed to ensure proper disposition of records;
5. Ensuring records inventories are completed on new and revised records; and
6. Recommending necessary procedural changes to the agency records coordinator.

VI. Requesting a Schedule Revision

A. Records Inventory

1. To update a disposition schedule, an inventory of any records or records series created, changed, or deleted is completed using the "Records Inventory Report" ([RMD Form 1](#)). A separate inventory sheet should be completed for each record series or those stored in more than one location.
2. Once completed, the "Records Inventory Report" is to be forwarded to the agency records coordinator by the local records coordinator. After review and approval by the agency director, the agency records coordinator will forward the "Records Inventory Report" to the Department of Libraries.

B. Approval

1. The Department of Libraries will review the "Records Inventory Report." Any changes made by the Department of Libraries are discussed with the agency records coordinator. After an agreement is reached, the amended schedule is submitted to the Archives and Records Commission for consideration at its next scheduled meeting.
2. Upon notification of approval of the amended schedule by the Archives and Records Commission, the agency records coordinator will update the schedule on the agency's web site.

VII. Records Destruction

In accordance with 67 O.S. § 209, no records will be willfully destroyed except as outlined below. Any violation may result in disciplinary action.

A. Conditions Governing Destruction

To legally destroy records, the records must be scheduled on the general records disposition schedule or the agency records disposition schedule and approved by the Archives and Records Commission using one of the

following forms. Any records to be destroyed that are not listed on either schedule must be added to the appropriate disposition schedule.

1. [ARC Form 4](#) - "Agency Notice of Intent to Destroy Records" for records in a physical format.
2. [ARC Form 5](#) - "Agency Notice of Intent to Destroy Records that Have Been Microfilmed" and [ARC Form 5A](#) - "Microfilm Quality Evaluation Report" for records that have been microfilmed or optically imaged.
3. [ARC Form 6](#) - "Agency Notice of Intent to Destroy Microform Records for records maintained on microfilm.
4. [ARC Form 12](#) - "Agency Notice of Intent to Destroy Imaged Records" for physical records that have been imaged.
5. [ARC Form 13](#) - "Notice of Intent to Destroy Optical Disks" to destroy optical disks containing imaged records.
6. [ARC Form 14](#) - "Notice of Intent to Delete Information from Rewritable Optical Disks" for individual records on a rewritable disk.

B. Procedures for Obtaining Approval to Destroy

1. No records are to be destroyed until approval is obtained from ARC. The appropriate above listed form must be submitted at least 30 days in advance of the planned destruction date and approval to destroy must be received from the Archives and Records Commission before such records are destroyed.
2. All sections of the forms are self-explanatory, and the information concerning schedule number, series number, and series title must be the same as on the approved general records disposition schedule or agency records disposition schedule. The inclusive dates and quantity columns should reflect the actual dates and number of cubic feet of records the agency is requesting permission to destroy.
3. The local records coordinator must certify that "all state and federal audits have been completed, all applicable audit reports have been accepted and resolved by all applicable federal and state agencies, and no legal actions are pending."
4. The form is to be forwarded by the local records coordinator to the agency records coordinator for review.
5. Upon review, the agency records coordinator will forward the form to the agency director for approval then to the state records administrator for consideration.

6. After the state records administrator approves or denies a request, the yellow copy of the ARC Form 4, 5, 6 or 12 is returned to the local records coordinator through the agency records coordinator. If a request is denied in whole or in part, an explanation for the denial should be included.
7. If approved, destruction of the records will occur in accordance with agency policy, procedure and state law.

VIII. References

Policy Statement No. P-020100 entitled "Management of Oklahoma Department of Corrections Information"

OP-100101 entitled "Employee Development"

Oklahoma Administrative Code Title 60-Chapters 8-10 entitled "Archives and Records"

62 O.S. § 41.5a-4

67 O.S. § 201 et. seq.

67 O.S. § 305-310

<http://doc.ok.gov/records-disposition>

<http://www.odl.state.ok.us>

IX. Action

Division heads are responsible for compliance with this procedure.

The director of General Services is responsible for the annual review and revisions.

Any exceptions to this procedure will require prior written approval from the agency director.

This policy is effective as indicated.

Replaced: Operations Memorandum No. OP-020202 entitled "Management of Office Records" dated November 17, 2016

Distribution: Policy and Operations Manual
Agency Website

<u>Referenced Forms</u>	<u>Title</u>	<u>Location</u>
RMD Form 1	“Records Inventory Report”	<a href="http://www.odl.state.ok.us/oar/reco
rdsmgt/forms/rtf/RTF-RMD-Form-
1.rtf">http://www.odl.state.ok.us/oar/reco rdsmgt/forms/rtf/RTF-RMD-Form- 1.rtf
ARC Form 4	“Agency Notice of Intent To Destroy Records”	<a href="http://www.odl.state.ok.us/oar/reco
rdsmgt/forms/rtf/RTF-ARC-Form-
4.rtf">http://www.odl.state.ok.us/oar/reco rdsmgt/forms/rtf/RTF-ARC-Form- 4.rtf
ARC Form 5	“Agency Notice of Intent to Destroy Records That Have Been Microfilmed”	<a href="http://www.odl.state.ok.us/oar/reco
rdsmgt/forms/rtf/RTF-ARC-Form-
5.rtf">http://www.odl.state.ok.us/oar/reco rdsmgt/forms/rtf/RTF-ARC-Form- 5.rtf
ARC Form 5A	“Microfilm Quality Evaluation Report”	<a href="http://www.odl.state.ok.us/oar/reco
rdsmgt/forms/rtf/RTF-ARC-Form-
5A.rtf">http://www.odl.state.ok.us/oar/reco rdsmgt/forms/rtf/RTF-ARC-Form- 5A.rtf
ARC Form 6	“Agency Notice of Intent to Destroy Microforms”	<a href="http://www.odl.state.ok.us/oar/reco
rdsmgt/forms/rtf/RTF-ARC-Form-
6.rtf">http://www.odl.state.ok.us/oar/reco rdsmgt/forms/rtf/RTF-ARC-Form- 6.rtf
ARC Form 12	“Agency Notice of Intent to Destroy Records That Have Been Imaged”	<a href="http://www.odl.state.ok.us/oar/reco
rdsmgt/forms/rtf/RTF-ARC-Form-
12.rtf">http://www.odl.state.ok.us/oar/reco rdsmgt/forms/rtf/RTF-ARC-Form- 12.rtf
ARC Form 13	“Notice of Intent to Destroy Optical Disks”	<a href="http://www.odl.state.ok.us/oar/reco
rdsmgt/forms/rtf/RTF-ARC-Form-
13.rtf">http://www.odl.state.ok.us/oar/reco rdsmgt/forms/rtf/RTF-ARC-Form- 13.rtf
ARC Form 14	“Notice of Intent to Delete Information from Rewritable Optical Disks”	<a href="http://www.odl.state.ok.us/oar/reco
rdsmgt/forms/rtf/RTF-ARC-Form-
14.rtf">http://www.odl.state.ok.us/oar/reco rdsmgt/forms/rtf/RTF-ARC-Form- 14.rtf
Attachment A	“Records Coordinator Appointment”	Attached