



Record Retention for University Departments Policy

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Approved by:

Date Approved: 5/10/19

RECORD RETENTION FOR UNIVERSITY DEPARTMENTS

Introduction

The General Records Disposition Schedule for State Universities and Colleges, and its index can be found at www.old.state.ok.us/oar/recordsmgt/grds-education.htm. They have 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 Rogers State University. The authorized dispositions listed in this Schedule supersede all previously approved retention periods established for the records listed.

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: All sponsored programs are regulated by OMB Circular A-110. In many cases, the retention periods are longer than the State’s policy. Please consult this circular for information related to retention for sponsored programs.**

The records listed in the 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, Budget and Accounting is the Office of Record for many financial/accounting records, invoices, travel claims, and the Bursar’s Office is the Office of Record for such records as Cash Receipts. As such, these offices are required to keep the record series for the required retention period. Many records are duplicates and can be destroyed when superseded or no longer required for administrative purposes. The Document Management Coordinator can help you determine what records for which your department is the “Office of Record.”

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, records should be sent to the Document Management Coordinator in Pershing Hall for destruction.

Departments may destroy convenience or duplicate copies of the records listed herein when superseded or no longer required for administrative purposes.

Document Management Coordinator

The Executive Vice President for Administration and Finance's designee serves as the Document Management Coordinator for the University. All general questions pertaining to the disposition of records should be addressed to the Document Management Coordinator at (918) 343-7738.

Optical Disk Record Retention

Specific guidelines must be followed for records in optical disk format. Hard copies of documents can be destroyed upon certification that all records have been successfully entered on disk and after storing a backup copy of the disk in an offsite 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 backup disk in an offsite 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 offsite 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 Executive Vice President for Administration and Finance and the State Records Administrator, or his/her designee (*Archives and Records Commission Rule 201.1*).

The Department completed disposition forms are to be forwarded to the Document Management Coordinator, Pershing Hall, Claremore, OK, for review and transmittal to the Executive Vice President for Administration and Finance for approval. Upon approval by the Executive Vice President for Administration and Finance, the University's Document Management Coordinator will forward the request to the State Records Administrator for approval. After receiving approval from the State Records Administrator, a copy of the approved form will be returned to the originating department by the Document 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 sixty-six (66) 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 Document Management Coordinator at 918-343-7738. The department of origin is responsible for coordination of the physical transfer of permanent records to the University Archives. Both control and custody of permanent records will be transferred to the Document Management Coordinator 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. The University has supplied several departments with shredders to destroy confidential material to be recycled. Shredders used in departments shall be crosscut models to adhere to meeting the legal requirements for shredders.
2. For larger quantities to be destroyed and recycled, each department is responsible for getting the papers to Pershing Hall in a confidential manner.

If the above procedures do not meet a department's needs, contact the Document Management Coordinator, the University's designee for the institution's recycling program, in Pershing Hall at 918-343-7738.

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.