



POLICY AND PROCEDURE STATEMENT

ADM – 8.1.1 Record Keeping

Purpose: This Policy and Procedure Statement outlines the types of files retained by BOT as well as the manner, location and method for retention. Record retention periods are also addressed by this Policy and Procedure Statement.

Effective Date: July 1, 2015

Superseded Policy: N/A

References: 47 O.S. 759, 40 O.A.C. 1-1-3

Related Forms: None

Approved By: Kevin Behrens

1. The focus of the record keeping functions at BOT is accuracy, completeness, accessibility, and clarity.
 - a. BOT employs a central filing system. Files maintained in offices should be kept to a minimum. Specifically, only current working files should be maintained in individual offices. Once a project is completed, any individual working files should be archived in the central file related to that project.
2. Table 1 describes the filing structure maintained by BOT.
3. The Office Manager will maintain an accurate index of the files maintained at the BOT office, and those moved to storage. Likewise, the Office Manager will maintain a listing of records submitted to the Oklahoma Department of Libraries, if any.
4. BOT will retain records in accordance with the Archives and Records Commission’s “Consolidated General Records Disposition Schedule”.
5. Every effort will be made to convert paper files to electronic formats and to create and store future records electronically.

TABLE 1

| Document Family | File Type | Filed By |
|-----------------|---------------------|--|
| Administrative | Accounts Receivable | Alphabetical by name of Agency or Individual |
| Administrative | Correspondence | Chronologically from earliest to latest (This includes any correspondence to or from the Board, whether copies are filed for other purposes or not). |
| Administrative | Board Meetings | Chronologically from earliest to latest (Each meeting file will contain the Notice and Agenda, the Minutes once approved by the Board, and any supporting documentation reviewed by the Board or available to the public.) The Director will maintain sealed minutes of any Executive Session. |
| Administrative | Rule Promulgation | Chronologically from earliest to latest/then by Rule Number (In addition to the records retained for Board |

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| | | meetings, any correspondence with the Secretary of State will be retained with regard to rule promulgation.) |
| Administrative | Open Records Requests | By response date – chronologically from earliest to latest (The original request, documents produced, and BOT response will be retained for each request.) |
| Administrative | Interagency Records Requests | By response date – chronologically from earliest to latest (The original request, documents produced, and BOT response will be retained for each request.) |
| Administrative | Ethics Commission Filings | Chronologically from earliest to latest – then alphabetically by filer’s last name |
| Administrative | Human Capital Management (HCM) – Payroll | Chronologically from earliest to latest – then alphabetically by employee’s last name |
| Administrative | HCM – Leave Accrual | Chronologically from earliest to latest – then alphabetically by employee’s last name |
| Administrative | Personnel files (Personnel files will be retained by the Director) | Alphabetical by employee’s last name (These should include performance evaluations, changes to payroll, benefits, or deductions, training certificates, letters of commendation, disciplinary records, and other miscellaneous personnel matters.) An employee may review or copy their personnel file upon request to the Director. |
| Administrative | Personnel file auxiliary (These files will be retained by the Director in a separate location from Personnel files) | Alphabetical by employee’s last name (These include all documents that are required to be retained separately from the personnel file, including FMLA requests and I-9’s.) An employee may review or copy their personnel file auxiliary upon request to the Director. |
| Administrative | Agency Business Services (ABS) – Procurement | Chronologically from earliest to latest, then alphabetically by vendor name (These files should contain all documentation related to a particular purchase.) |
| Administrative | ABS – P-Card | Chronologically by month from earliest to latest (These files will contain all required documentation for compliance with the State’s P-card regulations.) |
| Administrative | ABS – Budget | Chronologically from earliest to latest |
| Administrative | OMES - Inventory | Chronologically from earliest to latest |
| Testing | Class Records | By class number, then alphabetically by Student’s last name (Class records will include the class roster, test score sheets, record of completion of practical exercises, and course evaluations.) |
| Testing | Instrument Maintenance | By instrument serial number, then chronologically from earliest to latest (All records related to the instrument will be maintained in the instrument’s maintenance file. For more information, see the maintenance procedures for the Intoxilyzer 8000.) |

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| Testing | Reference Materials | Alphabetical by Title (This includes any scholarly article, book, pamphlet, or publication that may be used as a technical reference.) |
| Interlock | Foreign Installations | Alphabetically by applicant's last name. |
| Interlock | Service Center Records | Numerically by Manufacturer, then numerically by Service Center, then alphabetically by Technician's last name. |
| Interlock | Installation Verification Decals | Chronologically from earliest to latest. |
| Interlock | Installation Decal Logs | Chronologically from earliest to latest. |
| Interlock | Device Certification Records | Alphabetically by Manufacturer's name, then chronologically from earliest to latest. |

END OF POLICY AND PROCEDURE STATEMENT