



POLICY AND PROCEDURE STATEMENT ADM – 8.1.4 Records Retention Policy

Purpose: This Policy and Procedure Statement supplements the types of files retained by BOT as well as the manner and method for retention or destruction. Agency specific record retention periods are addressed by this Policy and Procedure Statement.

Effective Date: March 8, 2021

Superseded Policy: 8.1.3

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

Related Forms: Consolidated General Records Disposition Schedule;
BOT Disposition Schedule 2021-01

Approved By: Joshua Smith

BOT will retain and destroy records in accordance with the Archives and Records Commission's "Consolidated General Records Disposition Schedule" and the "BOT Disposition Schedule 2021-01". Records not appearing within the General Schedule or BOT Schedule will be discussed with the Director prior to any action to destroy.

ARCHIVES AND RECORDS COMMISSION

BOARD OF TESTS FOR ALCOHOL AND DRUG INFLUENCE

Consolidated Records Disposition Schedule **2021-01**

*** February 25, 2021***

This records disposition schedule encompasses the original schedule approved by the Archives and Records Commission on February 25, 2021.

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.

In order to maintain individual record series in the most efficient and cost-effective format, the Board of Tests for Alcohol and Drug Influence maintains most agency records in electronic format. Records not initially created in electronic format may be converted to that format by creating a digital image of the original record or by entering data from the original record. After this process is complete and verified, the original record will be destroyed. Electronic backup copies of records are stored in an off-site storage area operated and managed by the Office of Management and Enterprise Services.

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.

1-1 **Breath-Alcohol Operator Permits (Valid/Active)**

Description: File includes applications for permit, references, transcripts, correspondence, re-instatements, test scores for currently permitted or certified breath-alcohol operators, and related information.

Volume: one (1) cubic foot per year

Disposition: Retain in office until expired, then transfer to series 1-1A.

1-1A **Breath-Alcohol Operator Permits (Expired)**

Description: File includes applications for permit, references, transcripts, correspondence, re-instatements, test scores for past permitted or certified breath-alcohol operators, and related information, for individuals that did not choose to renew and/or did not pay a renewal fee.

Volume: one (1) cubic foot per year

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

1-2 **Breath-Alcohol Operator Permits (Revoked)**

Description: File includes applications for permit, references, transcripts, correspondence, re-instatements, test scores for currently permitted or certified breath-alcohol operators, and related information, for individuals who have had their permit revoked.

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

Disposition: Retain in office permanently.

1-3 **Licensed Ignition Interlock Service Center (Valid/Active)**

Description: File includes applications for licensure, references, transcripts, correspondence, inspections for currently licensed service center, and related information.

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

Disposition: Retain in office until inactive or expired, then transfer to series 1-3A.

1-3A **Licensed Ignition Interlock Service Center (Suspended/Inactive)**

Description: File includes applications for licensure, references, transcripts, correspondence, inspections for suspended or inactive licensed service center, and related information.

Volume: one (1) cubic foot per year

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

1-4 **Licensed Ignition Interlock Service Center (Revoked)**

Description: File includes applications for licensure, references, transcripts, correspondence, inspections for revoked licensed service center, and related information.

Volume: one (1) cubic foot per year

Disposition: Retain in office permanently.

1-5 **Ignition Interlock Technician Permits (Valid/Active)**

Description: File includes applications for permit, references, transcripts, correspondence, reinstatements, test scores for currently permitted or certified technician, and related information.

Volume: one (1) cubic foot per year

Disposition: Retain in office until expired, then transfer to series 1-5A.

1-5A **Ignition Interlock Technician Permits (Expired)**

Description: File includes applications for permit, references, transcripts, correspondence, reinstatements, test scores for past permit or certified technician, and related information, for individuals that did not choose to renew and/or did not pay a renewal fee.

Volume: one (1) cubic foot per year

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

1-6 **Ignition Interlock Technician Permits (Revoked)**

Description: File includes applications for permit, references, transcripts, correspondence, reinstatements, test scores for past permit or certified technician, and related information, for individuals who have had their permit revoked.

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

Disposition: Retain in office permanently.

1-7 **Evidential Testing Devices - Maintenance Records**

Description: File includes information relating to maintenance of approved devices, consisting but not limited to service overview, certificate of calibration and operation, bench check report, technician notes or reports, gas certificates, wet bath solution certificates, mock subject tests and any analyses of gas or wet bath solutions.

Volume: three (3) cubic foot per year

Disposition: Retain in office until five (5) years after the instrument has been removed from the approved evidential devices list, then destroy.

1-8 **Manufacturer Ignition Interlock Device Certification File**

Description: File includes applications for device certification, references, transcripts, correspondence, user manuals, proof of insurance, compliance tests, and other related information.

Disposition: Retain in office one (1) year after the instrument has been removed from the approved devices list, then destroy.

1-8A **Ignition Interlock Device Compliance Test**

Description: File includes compliance tests conducted by authorized Board of Tests (BOT) staff.

Disposition: Retain in Manufacturer Ignition Interlock Device Certification File, Series 1-8, until no longer required for administrative purposes, then destroy.

1-9 **Interlock - Foreign Installation Applications**

Description: File includes foreign installation applications submitted by out of state ignition interlock participants.

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

1-9A **Interlock - Verified Violation Reports**

Description: File includes violation reports received electronically and verified by BOT staff, then submitted to the Department of Public Safety.

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

1-9B **Interlock - Installation Reports**

Description: File includes installation verifications submitted electronically by manufacturers regarding interlock participants.

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

1-9C **Interlock - Removal Reports**

Description: File includes removal verifications submitted electronically by manufacturers regarding interlock participants.

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

1-10 **Application for Interlock History**

Description: File includes applications submitted by ignition interlock participants requesting interlock violation history.

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

1-11 **Ignition Interlock Violation Affidavit**

Description: File includes violation report affidavit submitted by BOT staff regarding ignition interlock participants to the Department of Public Safety.

Disposition: Retain in office until no longer required for administrative purposes, then destroy, provided no legal actions are pending. If legal action is pending, destroy one (1) year after the exhaustion of all legal remedies, provided records meet all stipulated retention requirements.

END OF POLICY AND PROCEDURE STATEMENT