

City of Tulsa

Records Retention Schedule



Containing Updated Retention Change Requests
through October 11, 2021

Office of the City Clerk
Tulsa, Oklahoma

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Oklahoma Legislation

City of Tulsa Open Records Policy, Executive Order 95-04



INTRODUCTION

to

Records Retention Schedules

September 1, 2009

All offices and departments of the City of Tulsa produce records which document the rights of citizens, the actions of the government that serves them and the history of the community in which they live. Title 11, Okla. Statutes, § 22-131(A) prescribes retention periods for the destruction, sale or disposition of certain enumerated municipal records. Title 11, Okla. Statutes, § 22-131(B) provides that time limits for the destruction, sale or disposition of records, papers and documents which are not mentioned in Subsection A “may be determined and set by ordinance or resolution of the municipal governing body.”

These schedules were adopted by Resolution of the City Council on _____, 2009.

What is a Record?

A "**record**" is defined as any “document, book, paper, photograph, microfilm, computer tape, disk, record, sound recording, film recording, video record or other material, regardless of physical form or characteristics, made or received pursuant to law or ordinance or in connection with the transaction of official business the expenditure of public funds, or the administration of public property.”¹ This definition includes those records created, used and maintained in electronic form.

¹This definition is from the Oklahoma Records Management Act, 67 O.S. § 203. The Oklahoma Open Records Act, 51 O.S. §§ 24A.1, *et seq.*, also defines the term “record.” The definition for the purpose of this records retention/management policy is not intended to waive the confidential status of any record deemed confidential under the Oklahoma Open Records Act or any other State or Federal law.

Application of the proposed Records Retention Schedules

These schedules propose minimum retention periods and disposition for many of the administrative, fiscal and legal records common to most local governments. Retention periods should be based upon federal and state mandates, record surveys, business needs, and general knowledge as to how long records should be kept. Once approved, the schedules would continue to be subject to the following exceptions and limitations:

- A. Departments may retain any of their records beyond the proposed retention periods set by the schedule, as deemed necessary. The schedule proposes only a minimum period of retention. Before retaining a record longer than the minimum time required, however, the office should be certain that it has good reason to do so and should memorialize the retention period in writing. Unnecessary retention of records can be expensive in space and filing equipment and may expose the office to costly litigation and discovery requirements.
- B. These schedules, once approved, would not relieve departments of retention requirements mandated by other state and federal statutes and regulations. When such an obligation is known to exist, then the longer retention period takes precedence. If such statute or regulation is not referenced in these proposed schedules, please make a note in the appropriate section so it can be added during any future amendment process.
- C. These schedules generally reflect audit requirements in the prescribed retention periods, but audits are not always completed in a timely fashion. Therefore, any record required for an audit must be retained until completion of that audit, regardless of its stated retention period in the general schedule.
- D. These schedules do not authorize destruction of any records that could be deemed relevant to current or pending litigation and the Legal Hold Policy and Procedures will apply to such records.

Destruction of Records

The records classification and retention periods in this manual once approved are intended to provide legal authority for retention and disposal of official records.

The disposition of records should be recorded in a document. The record should include the description and quantity of each record series disposed of, manner of destruction, inclusive dates covered and the date on which destruction was accomplished.

The proposed retention schedules do not prescribe the method of destruction (shredding, burning, landfills, etc.); however, records with a disposition of *Destroy securely* contain confidential data and should be destroyed under the supervision of a competent person(s) designated (or appointed) to ensure that no records fall into unauthorized hands and that the data cannot be reconstructed.

A Note about Electronic Records

Permanent records that exist solely in electronic form (CDs, magnetic tape, floppy disks, hard drives, etc.) may be at risk of becoming inaccessible. Media decay, hardware and software obsolescence are real threats to the continued preservation and accessibility of essential records. Periodic migration and transfer to a stable preservation media should be implemented if departments are to fulfill their statutory responsibility for maintaining permanent records.

Modifications and Additions

There may be some retention periods and disposition requirements within this schedule that fail to account for all relevant factors and there may be some important record series not addressed here which need to be added. Proposed modifications and additions should be made to the Records Coordinator of the Department either through Microsoft Word 2003, using track changes, or on the hard copy. In either case, please identify the author and date of the proposed changes.

SCHEDULE NO. 1

BUILDING AND STRUCTURE RECORDS

General Description: Records generally relating to structures and buildings and the construction permit and inspection functions of the city. *The specified retention period applies to the information contained within the record, regardless of the physical format of the record (paper, microfilm, computer disk or tape, optical disk, etc.).*

Duplicate Copies: Provided that no retention period is specified for duplicate copies, retain those that are created for administrative purposes for 1 year, and retain those created for convenience or reference purposes until no longer needed or for 1 year, whichever is first. Duplicate copies should not be retained longer than the record copy.

1.10 Address History Files

Records maintained as address history files to provide a chronological record and running history of building-related activities for each address located within the city. These files may include records listed elsewhere in the retention schedules, such as building and demolition permits, gas connection records, certificates of occupancy, building inspection reports, unsafe building actions, variances granted, zoning certificates and utility taps.

Retention: Permanent files, *except* follow retention schedules for purging of nonpermanent records

1.20 Applications for Building Permits

Applications received by the city for the erection of new structures or modifications to existing structures.

Applications for Building Permits Issued

Retention: 180 days after completion

Applications for Building Permits Not Issued

Retention: 180 days

1.30 Building and Demolition Permits

Building Permits

Permits issued by the city to authorize and allow construction-related activities (such as construction, installation of plumbing, electrical or mechanical equipment, etc.) to proceed.

Retention: Permanent

Demolition Permits

Permits issued by the city to authorize and allow demolition of buildings or structures to proceed.

Retention: 10 years after demolition

Fence Permits

See *Schedule 12 Permit Records, Fence Permits.*

Floodplain Building Permits

Permits issued for construction within a floodplain area, including elevation certificates, applications, review records, and related documentation. See also *Schedule 11 Floodplain Records.*

Retention: 10 years after expiration, revocation or discontinuance of use

1.40 Building and Other Uniform Codes

See *Schedule 7 Code Book Records.*

1.50 Building Board Case Files

Records pertaining to cases or appeals heard by bodies such as the Fire Code Board of Appeals, Building Board of Adjustment or Building Board of Appeals, or similar boards charged with interpreting municipal code provisions relating to issues such as alternate building materials or methods of construction, and with review and decision-making authority regarding building, construction or similar matters.

Retention: 20 years

1.60 Certificates of Occupancy

Documents issued by the city after the permitted construction activity is completed as evidence that all minimum requirements have been met before the building or structure can be occupied and used.

Retention: Permanent

1.70 Communication Tower Structures

See Schedule 12 Permit Records.

1.80 Construction Drawings and Plans

Blueprints and specifications submitted for municipal review as supporting documentation by building contractors or owners when applying for a building permit.¹

Nonresidential

Approved drawings and plans (final or as-built) submitted by those applying for a building permit for public buildings, or commercial, industrial or apartment structures.

Retention: Permanent

Duplicate Copies: 1 year.

Not Approved – Drawings and plans submitted by those applying for a building permit that were not approved.

Retention: 2 years from the date of denial or the end of any appeals whichever is later.

Residential

Approved drawings and plans (final or as-built) submitted by those applying for a building permit for residential or modular structures.

Retention: 180 days after completion of the project or as directed by the adopted International Building Code.

Not Approved – Drawings and plans submitted by those applying for a building permit that were not approved.

Retention: 180 days after drawings and plans have been submitted or the end of any appeal whichever is later.

1.90 Contractor's Licenses

¹ Nonresidential structure drawings and plans are recommended for permanent retention because of the greater long-term liability risk related to inspection functions and the historical value of some of these documents.

See *Schedule 12 Licensing Records*.

1.100 Downtown Redevelopment Projects

See *Schedule 7 Project Files*.

1.110 Fees – Building Permit

Records relating to the collection of building permit fees, impact fees, parkland fees and other fees collected by the city at the time of application for building permits. See *Schedule 5 Accounts Receivable Records and Fee and Rate Schedules*.

1.120 Fence Permits

See *Schedule 12 Permit Records*.

1.130 Gas and Oil Drilling Structures

See *Schedule 11 Environmental Records*.

1.140 Housing Rehabilitation Projects

See *Schedule 5 Grant Records and Schedule 7 Project Files*.

1.150 Inspection Records

Building Inspection Reports

Records of final on-site inspections done by the city or by its agents to determine the compliance of building construction, electrical, plumbing, mechanical and other systems with building, fire, plumbing, mechanical requirements of the city, uniform codes and all other adopted model building standards adopted by the city.

Retention: Permanent

Inspection Agencies

See *Schedule 7* for applicable records, such as *Agreements and Contracts*.

Soil Condition Reports

Records of inspections of soil conditions, including nature, distribution and supporting ability of soils and rocks on building sites prior to issuance of building permits or approval of development proposals.

Retention: 20 years + current

Trailer/Mobile Home Inspection Reports

Records of inspections by the city or its agents of mobile home installations, anchoring, utility connections, etc.

Retention: 1 year + current

Unsafe Buildings

Documentation of complaints, inspections, notifications corrective actions, closure and boarding, demolition and related actions relating to buildings and structures determined to be unsafe.

Retention: 5 years after final action

1.160 Landmark and Historic Designations

Records relating to local, state or federal historic designations for buildings, structures or districts within the city and preservation of historic structures.

Retention: Permanent

1.170 Mobile Home Standards

See Schedule 7 Regulations and Standards.

1.180 Policies and Procedures

See Schedule 7 Policies and Procedures Documentation.

1.190 Registers and Ledgers

Record books, ledgers or computer printouts that are kept to provide a listing of all issued building permits. The permit register may be the only record of the issuance of older building permits.

Retention: 2 years + current, *except* retain permanently if the register or ledger is the only record of building permits issued

1.200 Regulations – Building

See Schedule 7 Regulations and Standards.

1.210 Reports – Building Activity

Summary housing reports and statistical compilations tracking building activity on a monthly or annual basis, including reports compiled for the U.S. Census Bureau, used to monitor growth and track building trends. See also *Schedule 1 Inspection Records*; *Schedule 7 Reports*; and *Schedule 11 Census and Population Records*.

Annual Reports and Compilations

Retention: Permanent

Monthly Reports

Retention: 1 year + current

1.220 Signs – Construction and Installation

Records documenting permits for installations of billboards, signs and banners. For sign code, see *Schedule 7 Code Book Records* and *Regulations and Standards*.

Retention: 2 years + current

1.230 Standards – Building

See *Schedule 7 Regulations and Standards*.

1.240 Street Address and House Number Records

Records pertaining to street dedications, street closings, the assignment and alteration of street names and house numbers, and similar records providing official control of the naming and numbering of municipal streets and addresses.

Retention: Permanent

1.250 Violations – Building Code

Documentation of cases heard by building review boards related to violations of building and other uniform codes, including hearing records, notices of violations and compliance information. See also *Schedule 1 Building Board Case Files* and *Schedule 14 Case Files*.

Retention: 20 years + current

SCHEDULE NO. 2

CEMETERY RECORDS

General Description: Records relating to the administration, management and operation of municipally owned cemeteries. *The specified retention period applies to the information contained within the record, regardless of the physical format of the record (paper, microfilm, computer disk or tape, optical disk, etc.).*

Duplicate Copies: Provided that no retention period is specified for duplicate copies, retain those that are created for administrative purposes for 1 year, and retain those created for convenience or reference purposes until no longer needed or for 1 year, whichever is first. Duplicate copies should not be retained longer than the record copy.

2.10 Burial Records

Records documenting burials, such as burial permits and stubs, burial permit register, death certificates, deceased persons book, final disposition records, physician's report, and records of interment.

Retention: Permanent

2.20 Cemetery Boundary and Lot Records

Records pertaining to the location, layout and ownership of the cemetery and individual cemetery lots or mausoleums, including abandonment records, block books, cemetery maps, foundation order books, indexes (alphabetical and location), plat books, and records of deeds issued and stubs.

Retention: Permanent

2.30 Cemetery Financial Records

Records of financial transactions for the cemetery needed to document perpetual care arrangements and lot ownership or burials, including accounts receivable ledger, cashbook and receipts. See also *Schedule 5 Financial Records*.

Retention: Permanent

2.40 Policies and Procedures

See *Schedule 7 Policies and Procedures Documentation*.

2.50 Regulations and Standards

See Schedule 7 Regulations and Standards.

2.60 Rules – Cemetery

See Schedule 7 Regulations and Standards.

2.70 Vandalism Records

Records and summary reports of vandalism at cemeteries.

Retention: 2 years + current

SCHEDULE NO. 3

ELECTION RECORDS¹

General Description: Records documenting the administration of municipal elections. *The specified retention periods apply to the information contained within the record, regardless of the physical format of the record (paper, microfilm, computer disk or tape, optical disk, etc.).*

Duplicate Copies: Provided that no retention period is specified for duplicate copies, retain those that are created for administrative purposes for 1 year, and retain those created for convenience or reference purposes until no longer needed or for 1 year, whichever is first. Duplicate copies should not be retained longer than the record copy.

3.10 Ballots

The official list showing all candidates, ballot issues and ballot questions upon which an eligible elector is entitled to vote at an election, including ballots that are unused, voted, absentee, defective, spoiled, replacement, or mailed and returned by post office as undeliverable to inactive voters in mail ballot elections.

Retention: Retain one copy of each type of sample ballot permanently in master election file and dispose of other sample ballots immediately after election

3.20 CAMPAIGN REPORTS AND STATEMENTS

Reports and statements regarding campaign committees, contributions and expenditures, required by the provisions of Oklahoma law.

Contribution and Expenditure Report/Inactivity Reports

Reports of contributions and expenditures required under the provisions of 51 O.S.A. §§ 301 *et seq.* for elected and defeated candidates, independent expenditures, and issues committees.

¹ Title 240 of the Oklahoma Administrative Code provides for record retention requirements for elections conducted by the County Election Board. Okla. Admin. Code 230:10-7-47 requires the County Election Board to keep results of its elections permanently. Title 11, Okla.Stat. § 22-131(A)(3.) requires a municipality to preserve special, primary and general election payrolls; election tabulations and returns for 5 years. Title 11, Okla.Stat. §§ 15-101 *et seq.* & §§ 16-101 *et seq.* provide no specific retention periods for municipal elections. The Records Management Act, 67 O.S.A. §§ 201 *et seq.*, provides no specific retention periods for local elections.

Reports of candidates and organized candidate committees required by 51 O.S.A. §§ 301 *et seq.*

Retention: 1 year after elected candidate leaves office or 2 years from receipt whichever is longer.²

Candidate (Unsuccessful) Committee Reports

Reports of candidates and organized candidate committees required by 51 O.S.A. §§ 301 *et seq.*

Retention: 2 years from date of filing of report. [51 O.S.A. §305(5.)]

3.30 Certifications of Election

Certificates of Votes Cast

Certificates of election judges showing the votes cast for candidate by office.

Retention: 6 months after election

Certified Statement and Determination of Persons Elected

Certification of the municipal election results prepared by the City Clerk.

Retention: Permanent

Expense Statements

Statement of expenses of election judges and supporting documentation such as receipts.

Retention: Until audited

Lists of Election Judges

Listings prepared by the City Clerk of election judges and alternates names, addresses and telephone numbers.

Retention: 6 months, *except* retain one copy of list for use at next election

² Title 51, Okla.Stat. § 305.5 provides a retention schedule for the State Ethics Commission which can be used as a guide as intended by the Records Management Act, 67 O.S.A. § 207.

Oaths – Election Judges

See *Schedule 3 Oaths and Affidavits*.

3.40 Maps – Election

Maps showing precinct and ward or district designations and boundaries for municipal elections. See also *Schedule 7 Maps and Drawings*.

Retention: Permanent³

3.50 Notices of Election

Copies of notices required to be posted, published or mailed regarding the municipal election.

Retention: 6 months after election, except retain one copy permanently in master election file

3.60 Petitions – Election

Certifications of Petitions

Certifications prepared by the City Clerk regarding the sufficiency or insufficiency of election petitions.

Retention: Permanent

Charter Initiative Petitions

Petitions submitted by citizens to place initiated Charter amendments on a municipal election ballot.

Retention: 3 years after submission, *except* retain one copy of representative pages permanently for historical purposes in master election file.

Initiative Petitions

Petitions submitted by citizens in accordance with legal requirements regarding the placement of citizen-initiated measures on the municipal election ballot.

³ Election maps have historical value for election analysis, as evidence of evolution and growth of the community and as documentation of precinct and Ward/District boundary changes.

Retention: 3 years after submission, *except* retain one copy of representative pages for historical purposes in permanent election file.⁴

Insufficient Petitions

These are petitions that have been determined by the City Clerk, or the courts, as being not complete in meeting the municipal and/or statutory requirements for submitting petitions.

Retention: 2 years after all appeals have been closed *except* retain one copy of representative pages permanently for historical purposes.

Protest Records – Petitions

Records relating to protests submitted to the City Clerk, protest process and hearings and findings of the City Clerk regarding the protest.

Retention: Follow retention period for the specific type of petition

Recall Petitions

Petitions submitted in accordance with legal requirements by citizens demanding the removal of an elected municipal official from office.

Retention: 2 years after submission, *except* retain one copy of representative pages for historical purposes in permanent election file, and *except* that unsuccessful petitions may be returned to petition representatives after the City Clerk's certification that the petition is insufficient.

Referendum Petitions

Petitions submitted by citizens in accordance with legal requirements requesting that legislation previously adopted by the governing body be repealed or placed on a municipal election ballot for consideration by the voters.

Retention: 2 years after submission, *except* retain one copy of representative pages for historical purposes in permanent election file.⁵

⁴ Title 11, Okla.Stat. §22-131(2.) provides that petitions submitted to the governing body be retained 2 years. Title 34, Okla.Stat. § 2 provides that initiative petitions are to be addressed to the Mayor. Title 11, Okla.Stat. § 15-108 provides that the Mayor shall present the petition to the governing body.

⁵Title 11, Okla.Stat. §22-131(2.) provides that petitions submitted to the governing body be retained 2 years. Title 34, Okla.Stat. § 2 provides that petitions for referendum are to be addressed to the Mayor.

3.70 Canvass of Returns

Retention: 5 years after election

SCHEDULE NO. 4

ENTITIES APPOINTED BY MUNICIPALITY¹

General Description: Records regarding the composition, operation, proceedings and enactments of the boards, commissions, committees, authorities, task forces and similar bodies appointed by the governing body or municipal officials. *The specified retention period applies to the information contained within the record, regardless of the physical format of the record (paper, microfilm, computer disk or tape, optical disk, etc.).* See *Schedule 7 Committees – Internal* for records of staff and other internal committees and *Schedule 7 External Groups and Agencies* for records kept by the city of outside groups and entities not appointed by the city.

Duplicate Copies: Provided that no retention period is specified for duplicate copies, retain those that are created for administrative purposes for 1 year, and retain those created for convenience or reference purposes until no longer needed or for 1 year, whichever is first. Duplicate copies should not be retained longer than the record copy.

4.10 Agendas

Listings showing date, time and locations of official meetings and items to be discussed by committee members at regularly scheduled, special, and emergency public meetings.

Retention: Permanent

4.20 Appointments and Resignations

Records of appointments to and resignations from the entity, including applications, recruitment information, etc.

Retention: 1 year + current after end of service

4.30 Building Board Case Files

See *Schedule 1 Building Board Case Files*.

4.40 Bylaws

¹ Note regarding records of other agencies and entities: Records provided to the City for informational purposes by entities that are not a part of the municipal government are in general not to be treated as municipal records for retention purposes. For example, the minutes of the board of directors of an agency not appointed by the city would be a record of that entity and would need to be retained by the city only until the information is no longer needed for municipal purposes.

Documents adopted by entities to set out guidelines regarding the operation of the entity's governing board.

Retention: Permanent

4.50 Goals

Formally adopted strategic plans, work plans or policy agendas established by the entity.

Retention: Permanent

4.55 Member Lists

Retention: Retain for 10 years unless needed for historical reasons.

4.60 Minutes and Supporting Documentation

The official record of proceedings of regular, special and emergency meetings and all supporting documentation such as exhibits or other material referenced in the minutes.

Retention: Permanent

4.70 Notices – Meetings

Documentation of compliance with laws requiring posting and distribution of notices of public meetings.

Retention: 1 year + current

4.80 Oaths of Office

Oaths taken by appointed officials upon taking office.

Retention: Term of office + 1 year

4.90 Packets Distributed to Appointed Entities

Batches of information periodically distributed to members of the board, commission or entity for informational purposes, typically including copies of correspondence, minutes for review, agenda material, staff memos, etc.

Retention: 3 years + current

4.100 Recommendations

Written recommendations to the governing body or other entities rendered in an advisory or decision-making capacity.

Retention: 2 years + current, *except* retain recommendations that have enduring historical or policy value permanently

4.110 Reports

Written reports regarding the operations or activities of the appointed entity.

Annual Reports

Retention: Permanent

Monthly Reports

Retention: 1 year + current, provided information is incorporated into annual report

Quarterly Reports

Retention: 2 years + current, provided information is incorporated into annual report

4.120 Tapes of Meetings

Audio or video recordings of official meetings typically made for use in preparing the minutes or transcripts of the meeting.

Executive Sessions

Retention: 90 days after meeting

Open Meetings

Retention: 6 months after approval of the minutes

Study Sessions

Retention: 6 months after meeting.

SCHEDULE NO. 5

FINANCIAL RECORDS

General Description: Records documenting and ensuring accountability for the receipt and expenditure of public funds. *The specified retention period applies to the information contained within the record, regardless of the physical format of the record (paper, microfilm, computer disk or tape, optical disk, etc.).*

Duplicate Copies: Provided that no retention period is specified for duplicate copies, retain those that are created for administrative purposes for 1 year, and retain those created for convenience or reference purposes until no longer needed or for 1 year, whichever is first. Duplicate copies should not be retained longer than the record copy.

5.10 ACCOUNTS PAYABLE RECORDS

Records that serve as the basis for payment of bills by the city, including copies of bills paid, copies of checks, invoices, purchase orders and receiving reports, and correspondence with vendors.

Accounts Payable Records in General

Retention: 6 years + current

Balance Sheets

Retention: Until updated

Bills Paid

Retention: 6 years + current

Invoices and Statements

Retention: 6 years + current

Publication of Bills Paid

See *Schedule 7 Affidavits of Publication.*

Reports of Bills Allowed

Listings of bills presented to the governing body or other authority for payment authorization.

Retention: 6 years + current

Charge Slips and Credit Card Statements

Documentation of charges for items such as printing and meals or credit card transactions.

Retention: 2 years + current ***Credit Card Records***

Records of credit cards issued to the city for municipal use.

Retention: 1 year + current after cancellation

Expense Records

Records maintained to document travel, mileage, claims for reimbursement and other expenses of municipal officials while on municipal business, including requests, authorizations, reimbursements and other similar transactions.

Retention: 2 years, provided audit has been completed

Form 1099

Sent to vendors such as contractors when the vendor's charges for services exceed \$600 for the year.

Retention: 4 years

Petty Cash Records

Records of petty cash fund account and requests for petty cash for various purposes.

Retention: 1 year + current

Purchasing Records

See *Schedule 5 Purchasing Records*.

Vendor Files

Files maintained as a unit to track accounts payable activity for specific vendors, including information such as Federal Taxpayer Identification Number, name and address, correspondence, copies of checks, etc.

Retention: 6 years + current

5.20 ACCOUNTS RECEIVABLE RECORDS

Records that serve as the basis for collection of amounts owed by vendors, organizations and citizens having accounts with the city, and documentation of billing and collection of monies. See also *Schedule 2.30 Cemetery Records*.

Accounts Receivable Records in General

Retention: 2 years + current

Balance Sheets

Retention: Until updated

Cash Books, Receipts and Reports

Cash book showing receipts, cash account pre-edit listing, daily cash reports and other documentation of receipt of monies for fees, parking tickets, rentals, registrations, etc. for the general fund, street and alley fund, any bond fund, sinking fund or trust funds that have been audited.

Retention: 10 years + current [11 O.S.A. § 22-131(4.)]

Utility cash receipts ledger or register

Retention: 2 years + current [11 O.S.A. § 22-131(2.)]

Cash Register Validation Tape

Retention: 1 year + current

Fee Receipts

See *Cash Books, Receipts and Reports* above.

Invoices and Statements Issued by Municipality

Billings by the city to outside companies or institutions for damages, supplies, services or repairs, etc.

Retention: 6 years + current

Utility Billing Records

See *Schedule 5 Utility Billing*.

5.30 AGREEMENTS AND CONTRACTS - FINANCIAL

See *Schedule 7 Agreements and Contracts*.

5.40 AUDIT RECORDS

Records documenting external audits of the financial position of the city.

Agreements – Audit Services

See *Schedule 7 Agreements and Contracts*.

Audit Reports

Annual or special reports prepared by external auditors examining and verifying the City's financial activities or the financial activities of a fund, department or other component of the municipal government.

Retention: Permanent

Audit Work Papers

Documentation consisting of routine correspondence with auditors and copies of municipal records compiled for use by auditors in performing an audit.

Retention: 2 years + current after completion of audit

5.50 BANK RECORDS

Records documenting the current status and transaction activity of municipal funds held at banks.

Bank Records – In General

Retention: 2 years + current

Bank Statements

Monthly statements showing the amount of money on deposit to the credit of the city.

Retention: 6 years + current

Check Records

Cancelled Checks

Retention: 6 years + current

Duplicate Copies of Checks

Carbon copies or photocopies of checks issued and maintained solely as a quick reference source.

Retention: 1 year + current

Register – Check

Chronological listing of check entries.

Retention: 6 years + current

Stubs – Check

Retention: 1 year + current

Voided Checks

Retention: 1 year + current

Certificates of Deposit

See *Schedule 5 Investment Records*.

Deposit Pass Books

Records of municipal savings account deposits, withdrawals and balances.

Retention: 6 years + current

Deposit Slips

Bank cashiers' slips showing amount and date of deposit of monies into municipal accounts.

Retention: 1 year + current

Money Market Certificates

See *Schedule 5 Investment Records*.

Reconciliations

Retention: 6 years + current

Savings Bond Records

See *Schedule 5 Investment Records*.

Trial Balances

Retention: 2 years + current

5.55 BANKRUPTCY AND FORECLOSURE RECORDS

Records documenting bankruptcies and foreclosures in which the city has some kind of a financial interest due to liens, unpaid assessments, unpaid fees or bills, etc.

Retention: 6 years + current after the city recovers money owed or has no further interest in the proceeding.

5.60 BIDS

See *Schedule 5 Purchasing Records*.

5.70 BILLING RECORDS

See *Schedule 5 Accounts Receivable Records* and *Utility Billing*.

5.80 BOND ISSUE RECORDS

Bond Issue Files

Records that document the authorization to finance municipal improvements through bonded indebtedness and implementation of municipal bond issues, including bond anticipation notes, industrial development revenue bonds, general obligation bonds, revenue and refunding bonds, water bonds and special improvement bonds; usually include correspondence and general documentation, authorizations supporting financial arrangements, bond ratings, contracts or sales agreements, and sample copies or specimens of bonds sold as evidence of municipal indebtedness.

Retention: 2 years after final payment

Bond Issue Proceedings Books

Certified record of proceedings relating to a bond issue, containing specimen (usually original) documents related to the approval process and issuance of bonds typically compiled in book form for presentation to the city by the bond agent or bond counsel.

Retention: Permanent

Bonds, Notes and Coupons Paid

Canceled or redeemed bonds and coupons received from paying agents throughout the lifetime of the bond issue; cancelled upon receipt.

Retention: 5 years [11 O.S.A. § 22-131A.3.]

Bond Registers and Ledgers

Used to document the redemption of coupons for municipal bonds. Bond registration and redemption transactions may be handled by a bond registration or paying agent for some municipalities.

Retention: Permanent

5.90 BONDS - PUBLIC OFFICIALS

See Schedule 15 Bonds.

5.100 BUDGET RECORDS

Budget – Final Adopted

Final financial plan for the budget period established by the city as approved by the governing body for the allocation and budgeting of all expenditures of the city.

Retention: Permanent

Duplicate Copies: Until superseded

Budget – Preliminary

Draft version of the budget presented for public inspection and review prior to consideration of the budget by the governing body.

Retention: 1 year after adoption of final budget

Duplicate Copies: Until final budget is adopted

Budget Reports

Monthly or Quarterly Reports

Periodic reports regarding the status of receipts and disbursements in comparison to the adopted budget.

Retention: 2 years + current

Year-End Reports

Summary annual budget reports compiled at year-end.

Retention: 6 years + current

Budget Work Papers

Papers used to assist in the preparation and review and decision-making processes for department budget requests, including reports, budget instructions, worksheets, spending plans, budget proposals, financial forecasting reports and similar records.

Retention: 1 year + current

5.110 CEMETERY FINANCIAL RECORDS

See Schedule 2 Cemetery Financial Records.

5.120 COUNTY REVENUE PROGRAMS

See Schedule 5 Government Revenue Programs.

5.130 EXPENSE RECORDS

See Schedule 5 Accounts Payable Records.

5.140 FEDERAL REVENUE PROGRAMS

See Schedule 5 Government Revenue Programs.

5.150 FEE AND RATE SCHEDULES

Written documentation of fees and rates collected by the city for various services. See also *Schedule 5 Accounts Receivable Records* for fee collection records.

Retention: Retain current and previous schedules

5.160 FINANCIAL GUARANTEES

Records relating to the acquisition and release of various forms of financial guarantee -- including escrow accounts, letters of credit, liens, promissory notes — required by the city from other parties to ensure performance, payments or the completion of certain specified actions, such as the completion of projects, required improvements or the payment of delinquent bills or assessments.

Retention: 1 year after expiration, completion of guaranteed project (if applicable) or release of the guarantee by the city

5.170 FINANCIAL REPORTS

See Schedule 5 Reports – Financial.

5.180 FIXED ASSET RECORDS

Inventories and listings kept to track and control the fixed assets of the city, including buildings, real estate, office equipment, tools, machinery and other equipment.

Acquisitions

See Schedule 16 Acquisition Records.

Annual Reports

Worksheets compiled for annual reports listing totals of all fixed assets, purchases and disposition of assets.

Retention: Until superseded

Auction Records

Summary reports and other records of municipal property sold at public auction.

Retention: 2 years + current

Depreciation Detail

Retention: 3 years + current

Disposition Records

Records of disposal of municipal property (nonreal estate) and unclaimed, abandoned or confiscated property such as bicycles and vehicles by competitive bidding or destruction, including date, department name, description of item, value, disposition, method and reason for disposition, condition, value and approvals.

Retention: 3 years + current after disposition of property

Fixed Asset Files

Listings of all municipal property (buildings and real estate), vehicles, equipment and furniture. Includes description, cost, date purchased, location, name of vendor and depreciation.

Retention: 10 years

Inventories – Fixed Assets

Listings of expendable and nonexpendable property of the city, including buildings, real estate, vehicles, furniture, equipment, supplies and other items owned or administered by the city.

Retention: Until revised

Surplus Property Records

Documentation of the sale of surplus real property, including invitations, bids, acceptances, lists of materials, evidence of sales and related correspondence. See also *Schedule 16 Sale or Transfer of Property Records*.

Retention: 6 years after final payment

5.190 FRANCHISE RECORDS

Records pertaining to the award, operation or termination of a license or franchise granting to any person or entity the right or privilege to erect, construct, operate or maintain upon, over or across the streets or alleys of the city, a street railway, electric light plant or system, gasworks, gas plant or system, geothermal system, solar system, or telegraph or telephone

system, or other similar services and the collection of franchise fees or occupation taxes from franchise holders.

Retention: 6 years + current after expiration of franchise and completion of all terms and conditions of the franchise, *except* retain register or other listings of franchises permanently

5.200 FUND RECORDS

See also *Schedule 5 Accounts Receivable Records* and *Accounts Payable Records* for fund receipts and expenditures.

Fund Establishment

Records pertaining to the creation and purposes of special funds that are separate from the General Fund.

Retention: Permanent

Trust Fund Records

Documentation of bequests to the city.

Retention: 2 years after trust fund closed

5.210 GOVERNMENT REVENUE PROGRAMS

Records pertaining to governmental programs allocating state or federal revenue sharing funds to municipalities for specific purposes. See also *Schedule 5 Grants*.

County Bridge and Road

See *State Revenue Programs* below and *Motor Fuel Tax Fund (MFTF)* below.

Federal Revenue Programs

Community Development Block Grant (CDBG)

See *Schedule 5 Grant Records*.

Federal Excise Tax

Exemption certificates from gasoline vendors issued to the city, which are required for allowance of federal tax credits for vendors to bill less the excise tax.

Retention: 6 years + current

Revenue Sharing

Documentation and reports of the city's receipt and reallocation of federal revenue sharing funds, including public notices, expenditure records and reports, project records, financial and payroll records, etc. See also *Schedule 7 Project Files*.

Retention: 6 years + current

Instructions for Completing Government Forms

Retention: Until superseded or obsolete

State Revenue Programs

Cigarette Tax

Records of allocations to and receipt by the city of taxes collected on tobacco sales within the city.

Retention: 6 years + current

Highway Users Tax Fund (HUTF)

Records pertaining to the receipt by the city of MFTF funds from the State of Oklahoma to be allocated for expenditure for the construction, engineering, reconstruction, maintenance, repair, equipment, improvement and administration of the system of streets, public highways or state highways within the city.

Retention: Permanent

5.220 GRANT RECORDS

Files pertaining to applications for grants and the administration, monitoring and status of grants received by the city from private and governmental sources. See also *Schedule 5 Government Revenue Programs*.

Audits – Grants

See *Schedule 5 Audit Records*.

Awarded Grants

Documentation of awarded grants that are accepted by the city, including records of grant application, performance under the grant, grant contracts and agreements, annual and final performance reports.

Retention: Duration of grant + 6 years

Rejected Grants

Documentation of grants applied for by the city and either rejected by the grantor or not accepted by the city.

Retention: 2 years + current after rejection or withdrawal

Reports – Grant-Funded Programs

Periodic reports on the administrative and fiscal operations of federal- or state-funded programs compiled on a monthly, quarterly or semi-annual basis.

Retention: 3 years after completion of all applicable audits

Supporting Documentation

Background supplemental information relating to grant applications and administration.

Retention: 3 years after conclusion of the grant

5.230 IMPROVEMENT DISTRICT RECORDS

Records relating to the creation, assessment and operation of general or special improvement districts established for the purpose of making improvements.

Assessment Roll

Listing of property owners assessed for improvement district improvements.

Retention: 15 years + current [11 O.S.A. § 22-131(5.)]

Improvement District Case Files

Master files relating to the creation, establishment, boundaries and purposes of the improvement district.

Retention: 15 years + current [11 O.S.A. § 22-131(5.)]

Payment Receipt Records

Retention: 6 years + current

Tax Receipt Stubs

Retention: 10 years + current

5.240 INSURANCE RECORDS

Certificates of Insurance

Documentation provided by insurance providers as proof of insurance coverage for specific purposes.

Major Municipal Projects

Retention: 10 years after substantial completion

Other Certificates of Insurance

Retention: 6 years after expiration

Claim Records

Records of claims for damages made by the city against other parties and made by other parties against the city.

Claim Records

Statements of claims and completed claim forms. See also *Schedule 13 Claims*.

Retention: 6 years + current

Claim Reports

Summary reports regarding handling and disposition of claims made against the city and/or its insurance company by other parties.

Retention: 6 years + current

See *Claim Records* above and *Insurance Policies* below.

Employee Insurance Claim Records

Records pertaining to employee claims for medical, dental, long-term disability and other insurance coverage. See also *Schedule 15 Benefits*.

Retention: 3 years + current after incident is closed and all rights of appeal have expired

Insurance Policies

Documents issued by the insurance company to outline liability, theft, fire, accident, property damage and other coverage and risk control standards for the city under the insurance policy.

Retention: 6 years after expiration of policy, or after all claims made under the policy are settled, whichever is later

Risk Management Policies

See *Schedule 7 Policies and Procedures Documentation*.

Unemployment Insurance

See *Schedule 15 Unemployment Insurance*.

Workers' Compensation

See *Schedule 15 Workers' Compensation*.

5.250 INVENTORIES

See *Schedule 5 Fixed Asset Records*.

5.260 INVESTMENT RECORDS

Records documenting various investments made by the city.

Bank Statements – Investments

Retention: 2 years after investment ends

Certificates of Deposit

Retention: 6 years + current after maturity

Certificates of Deposit – Registers

Retention: 6 years after maturity

Investment Policies

See *Schedule 7 Policies and Procedures Documentation*.

Money Market Certificates

Retention: 6 years + current after maturity

Reports – Investment of Funds

Retention: 10 years, provided audit has been completed

Savings Bond Records

Retention: 6 years + current after final payment

Stocks and Bonds

Retention: 6 years + current after disposition

Treasury Bills and Notes

Retention: 6 years + current after maturity

5.270 LEDGERS AND JOURNALS

General Ledger

Year-end summary of receipts and disbursements by account and fund reflecting the general financial condition and operation of the city. May also include documentation from subsidiary ledgers to general ledger and accounting adjustments in the form of general entries.

Retention: Permanent

Subsidiary Ledgers and Journals

Daily, monthly or quarterly transaction detail showing receipts and expenditures such as depositor payment amount, date, payee, purpose, fund credited or debited, and check number; provides backup documentation to General Ledger.

In General

Retention: 2 years

Payroll Register – Year-End

See *Schedule 15 Payroll Records*.

5.280 LOAN RECORDS

Records of loans entered into by the city. See also *Schedule 5 Grant Records*.

Public Improvement Loans

Significant loans obtained to finance public improvements.

Retention: Follow retention period specified for type of project records (see *Schedule 7 Project Records*) if a specific retention period is not specified by the loaning agency

Routine Loans

Minor loans obtained for purposes other than public improvements.

Retention: 6 years + current after payment and cancellation

5.290 PAYROLL RECORDS

See *Schedule 15 Payroll Records*.

5.300 PURCHASING RECORDS

Records pertaining to procurement of services or commodities, including purchase requisitions, purchase orders, vouchers, field orders, work orders, invoices and supporting documentation for purchases.

Purchasing Records in General

Retention: 6 years + current

Agreements – Procurement

See *Schedule 7 Agreements and Contracts and Project Files*.

Advertisements for Bids

See *Schedule 7 Affidavits of Publication*.

Auction Records

See *Schedule 5 Fixed Asset Records*.

Bids

Bids, quotes and proposals regarding services and commodities received by the city in response to solicitations.

Accepted Bids

Received from successful bidders.

Retention: 6 years + current after acceptance of the bid

Rejected/Unsuccessful Bids

Received from unsuccessful bidders.

Retention: 2 years + current ***RSU 2020-01: The Finance Department submitted a request to align retention with State Statutes as follows: Retention: 5 years + current [11 O.S.A. § 22-131.3]. Status of request: Pending.***

Unsolicited Bids

Received from bidders without solicitation from the city.

Retention: 2 years + current

Lease-Purchase Records

Records pertaining to the acquisition of property by lease-purchase transactions.

Retention: Term of lease-purchase arrangement + 6 years

Procurement and Purchasing Policies

Directives, memoranda or manuals pertaining to policies established by the city for the procurement of commodities and services. See also *Schedule 7 Policies and Procedures Documentation*.

Retention: Permanent

Duplicate Copies: Until superseded

Purchasing Control Forms

Purchase orders, purchase requisitions, field purchase orders, vouchers and other forms documenting the procurement process.

Retention: 6 years + current

Solicitations and Specifications

Requests for proposals (RFPs), requests for quotations (RFQs), and other solicitations by the city for competitive bids, proposals or quotes for the provision of services or commodities; includes bid specifications.

Retention: 6 years + current

State Bid List

Retention: Until superseded

Vendor Lists

Listings of vendors providing goods and services to the city, usually including names, addresses, phone numbers, description of goods or services provided.

Retention: Until superseded or obsolete

5.310 RATE SCHEDULES

See *Schedule 5 Fee and Rate Schedules*.

5.320 RECEIPTS - FEES PAID

See *Schedule 5 Accounts Receivable Records*.

5.330 REPORTS - FINANCIAL

Reports created for internal use to document the status of funds, bank accounts, investments and other accounting of municipal funds, including financial projection reports.

Annual Financial Reports

Statistical reports on the financial affairs of the city or specific departments, including a statement on the value of all municipally owned property and an accounting of all income and expenditures in relationship to the final budget.

Retention: Permanent

Audit Reports

See *Schedule 5 Audit Records*.

Budget Reports

See *Schedule 5 Budget Records*.

Comprehensive Annual Financial Report (CAFR)

See *Schedule 15 Audit Records*.

County Treasurer's Reports

Periodic reports of the County Treasurer regarding the distributions of taxes collected on behalf of the city, including information regarding taxes collected, interest and fees.

Retention: 10 years + current

Payroll Reports

See *Schedule 15 Payroll Records*.

Revenue and Expenditure Reports

Reports including information regarding cost analysis, itemized expenditures and revenue sharing.

Retention: 6 years + current

Departmental Expenditure Reports

Retention: 1 year + current

Financial Reports – Monthly

Retention: 2 years + current

5.340 TAX COLLECTION RECORDS

Cigarette Tax

See Schedule 5 Government Revenue Programs.

Federal Excise Tax

See Schedule 5 Government Revenue Programs.

Franchise Taxes

See Schedule 5 Franchise Records.

Motor Fuel Tax Fund (MFTF)

See Schedule 5 Government Revenue Programs.

Licenses Issued to Municipality

License certificates which are typically posted in the municipal clerk's office that are issued by other agencies to the city, including State sales tax license, withholding tax registration, State certificate of exemption, etc.

Retention: 1 year after expiration

Property Tax Records

Records pertaining to the city's property tax assessment, including mill levy certifications to the County, notices of assessed valuation received from the County, abstracts of assessment and registers or listings of property tax assessed on parcels of land in the city.

Retention: Permanent

Real Estate Transfer Tax Records

See Sales and Use Tax Records.

Sales and Use Tax Records

Records pertaining to the collection and refund of sales and use tax, including sales tax collection reports.

Applications – Sales Tax

Retention: 2 years + current after business terminates

Audits – Sales Tax

Retention: 3 years + current

Delinquent Sales/Use Tax Notices

Retention: 5 years + current

Master File – Sales Tax

Retention: Until updated

Motor Vehicle Sales Tax Receipts

Retention: 1 year + current

Register – Sales and Use Tax

See also *Schedule 5 Ledgers and Journals*.

Retention: Permanent

Returns – Sales and Use Tax

Retention: 3 years + current

Transaction Journal/Log

Record of sales and use tax daily transactions.

Retention: 2 years + current

Severance Tax

See *Schedule 5 Government Revenue Programs*.

5.350 TRAVEL EXPENSES

See *Schedule 5 Accounts Payable Records*.

5.360 UTILITY BILLING

Records relating to the billing of customers for utility services.

Account History Listing

Retention: 2 years + current after account closed

Adjustment Records

Records documenting account adjustments to customer accounts for water, sewer, or other utility services provided.

Retention: 2 years

Billing Journals

Utility billing journals and registers for water, sewer or sanitation service. See also *Schedule 5 Ledgers and Journals*.

Retention: 6 years + current

Cash Receipt Journals

Retention: 2 years + current

Initial Status Report

Retention: 1 year + current

Meter Records

Records relating to installation or removal of utility service meters and meter readings for water or other utility service.

Calibration and Testing Records

Documentation of testing and calibration of municipally operated water meters for accuracy.

Retention: Life of equipment + 1 year

Meter Books

Used to record readings of customer's utility usage for billing purposes.

Retention: 2 years + current

Meter Deposit Receipts

Retention: 1 year + current

Meter Installation, Maintenance and Repair

Retention: 2 years

Meter Location Records

Retention: 1 year after removal of meter

Meter Orders

Retention: 1 year + current

Meter Reading Exception Report

Retention: 1 year + current

Meter Reading Sheets

Retention: 2 years + current

Nonpayment Billing Notices

Records of notices sent to utility customers regarding nonpayment of utility billings and termination of service.

First and Second Notice

Retention: 6 months

Third Notice

Retention: 1 year

Security Deposit Records

Records documenting customer payment of a security deposit to receive water, sewer, power or other utility services.

Retention: 2 years after refund or last action

Service Orders

New Service Orders

Records documenting new utility service.

Retention: 1 year + current

Trouble Orders

Records documenting utility service complaints and problems.

Retention: 2 year + current

Turn-Off Orders

Records documenting the termination of utility service.

Retention: 2 years + current

Statements

Water and sewer billing statements or invoices.

Retention: 3 years + current

5.370 WARRANTS/CHECKS

See Schedule 5 Accounts Payable.

5.380 WORKSHEETS - FINANCIAL

Documents such as rough notes, calculations or drafts assembled or created and used to prepare or analyze other documents; spreadsheets, worksheets, preparatory notes, tentative financial estimates and projections, and other documentation of a preliminary or deliberative and transitory nature. See also *Schedule 7 Worksheets and Drafts*.

Retention: Until no longer needed.

SCHEDULE NO. 6

FLEET AND EQUIPMENT RECORDS

General Description: Records documenting the acquisition and operation of municipally owned or leased vehicles and equipment. *The specified retention period applies to the information contained within the record, regardless of the physical format of the record (paper, microfilm, computer disk or tape, optical disk, etc.).*

Duplicate Copies: Provided that no retention period is specified for duplicate copies, retain those that are created for administrative purposes for 1 year, and retain those created for convenience or reference purposes until no longer needed or for 1 year, whichever is first. Duplicate copies should not be retained longer than the record copy.

6.10 AGREEMENTS - ACQUISITION, LEASE, MAINTENANCE AND SERVICE

See Schedule 7 Agreements and Contracts.

6.20 AUCTION RECORDS

See Schedule 5 Fixed Asset Records.

6.30 BILLS OF SALE

Bills of sale documenting acquisition or disposition of vehicles or equipment by the city.

Retention: Until after audit of records pertaining to disposition of vehicle or equipment

6.40 COMMUNICATION SYSTEMS LICENSES

Licenses issued by the Federal Communications Commission (FCC) or other agencies for radio system and other communication system operations of the city, and supporting documentation.

Retention: 1 year after expiration of license

6.50 COMPUTER SYSTEM RECORDS

Records pertaining to the installation and operation of computer systems and software used by the city.

Computer Backup Documentation

Documentation related to regular computer records backups.

Retention: 1 year after superseded or obsolete

Computer System Maintenance Records

Documentation of maintenance of municipal computer systems.

Retention: Life of system or component + 1 year

Computer System Program Records

Documentation pertaining to development, installation, modification, troubleshooting, operation and removal of software from municipal computer systems; records required to plan, develop, operate, maintain and use electronic records; system specifications, file specifications, codebooks, record layouts, user guides and output specifications.

Retention: Until superseded or no longer needed to retrieve or read data and information that is stored electronically

Computer System Security

Records documenting security of the city's computer systems, including employee access requests, passwords, access authorizations and similar documentation.

Retention: 3 years after superseded

Computer System Wiring

Documentation of the wiring of the city's computer network system, including blueprints, diagrams and drawings of layout and installations of fiber optics, computer networks, cables, computer equipment connections and similar documentation.

Retention: Current and previous versions

Electronic Mail

See *Schedule 7 Electronic Records*.

Software Management

Documentation of the use of software in municipal information systems, including records of software purchases, inventories, software and site licensing, copyright compliance and upgrades.

Retention: 2 years after disposal or upgrade of software

Website Development and Evolution

Documentation of development and changes to the city's website.

Retention: Recommend that the last two iterations of the website be retained if possible.

6.60 EQUIPMENT RECORDS

Records pertaining to major mechanical systems in municipally owned facilities, including fire and water detection alarm systems; heating, ventilation, air conditioning (HVAC) and similar mechanical systems; disaster warning systems; elevators; sump pumps; power generators; boilers etc. See also *Schedule 6 Telephone System – Municipal Buildings*.

Retention: Life of equipment + 5 years [11 O.S.A. § 22-131(3.)]

6.70 FUEL RECORDS

Records pertaining to fuel usage by municipal vehicles and equipment, including periodic fuel usage reports.

Retention: 2 years

6.80 INSURANCE COVERAGE

See *Schedule 5 Insurance*.

6.90 INVENTORIES - FLEET AND EQUIPMENT

Listings of vehicles, equipment and similar property owned by the city. See also *Schedule 5 Fixed Asset Records – Inventories*.

Retention: Until revised

6.100 LEASE-PURCHASE RECORDS

See *Schedule 5 Purchasing Records*.

6.110 MAINTENANCE AND SAFETY RECORDS

Inspection, Repair & Maintenance Reports of Vehicles

Vehicle inspection reports and documentation of corrective actions taken. See also *Schedule 6 Vehicle Histories*.

Retention: 5 years [11 O.S.A. § 22-131(3.)]

Inspection and Maintenance Documentation – Public Safety

Records and reports pertaining to maintenance and inspections performed for public safety vehicles and equipment.

Retention: Life of unit + 1 year

Work Orders

See *Schedule 6 Work Orders*.

6.120 MANUALS - VEHICLE AND EQUIPMENT

Manuals provided by the vendor regarding specifications and proper installation, operation and maintenance of vehicles or equipment.

Retention: Life of unit + 2 years

6.130 OFFICE EQUIPMENT RECORDS

Records pertaining to the acquisition, installation and operation of office equipment used by the city. See also *Schedule 6 Computer System Records*.

Retention: Life of equipment + 1 year

6.140 POLICIES AND PROCEDURES

See *Schedule 7 Policies and Procedures Documentation*.

6.150 PURCHASING RECORDS

See *Schedule 5 Purchasing Records*.

6.160 TELEPHONE SYSTEM - MUNICIPAL BUILDINGS

Information pertaining to the acquisition, installation and operation of the internal telephone system used at the municipal building and other municipal facilities.

Retention: Life of system + 1 year

6.170 UNCLAIMED PERSONAL PROPERTY

See *Schedule 5 Fixed Asset Records – Disposition Records*.

6.180 VEHICLE HISTORIES

Records outlining the acquisition and maintenance history of a vehicle.
See also *Schedule 6 Maintenance and Safety Records*.

Retention: Life of vehicle + 2 years

6.190 VEHICLE REGISTRATION CERTIFICATES

Documentation issued by the Oklahoma Tax Commission providing information regarding vehicle licensing and ownership, ownership taxes paid and vehicle identification number.

Retention: Until superseded or disposition of vehicle

6.200 VEHICLE TITLES

Title proving ownership of motor vehicles owned by the city.

Retention: Transfer to new owner upon disposition of vehicle

6.210 WARRANTIES

Records of manufacturer's warranties and guarantees relating to operation or replacement of vehicles, equipment or components.

Retention: Life of equipment or expiration of warranty + 2 years, whichever is later

6.220 WORK ORDERS

Documentation of requests and authorizations for work performed with regard to vehicles and equipment.

Retention: 2 years + current

SCHEDULE NO. 7

GENERAL ADMINISTRATIVE RECORDS

General Description: General administrative records include those for which the "record" copy is kept by the city clerk or another office and for which duplicate copies are widely distributed throughout the organization for reference or informational purposes. This schedule also addresses records that are typically kept by any number of departments in an organization, such as project records. *The specified retention period applies to the information contained within the record, regardless of the physical format of the record (paper, microfilm, computer disk or tape, optical disk, etc.).*

Duplicate Copies: *Provided that no retention period is specified for duplicate copies, retain those that are created for administrative purposes for 1 year, and retain those created for convenience or reference purposes until no longer needed or for 1 year, whichever is first. Duplicate copies should not be retained longer than the record copy.*

7.05 ADMINISTRATIVE PROCEEDINGS RECORDS

Records of formal administrative proceedings conducted by municipal staff (possibly subject to appeal to the governing body or the courts) in accordance with law to make administrative rulings or determinations regarding a variety of matters (examples: sales tax exemptions, nuisance abatements, minor personnel matters not otherwise covered by the retention manual). *See also 3.110 Petitions - Election - Protest Records.*

Retention: 2 years + current provided all rights of appeal have expired.

7.10 AFFIDAVITS OF PUBLICATION

Proof of publication provided by newspapers regarding publication of ordinances, public hearing notices, bid solicitations, bond redemption notices, payment of bills, etc. Affidavits of publication are also sometimes known as "legals" or "proofs."

Retention: 6 years + current, unless it provides the only existing copy of a permanent document

7.20 AGREEMENTS AND CONTRACTS

Agreements and contracts of various kinds that document some form of agreement that is enforceable by law between the city and other parties,

including but not limited to intergovernmental agreements, memoranda of understanding, franchise agreements, lease agreements, professional services agreements, etc. *Note: See other Schedules for various types of agreements and contracts.*

Retention: 6 years + current after expiration or fulfillment of all terms of the agreement or contract, whichever is later, provided that audit has been completed and that the agreement or contract no longer has any binding effect; *except* prior to destruction, evaluate for continuing legal, administrative or historical value

7.30 ASSOCIATIONS AND ORGANIZATIONS

See Schedule 7 External Groups and Agencies and Memberships.

7.40 AWARDS AND HONORS

Awards and honors received by the city, departments or municipal programs from various public or private sources.

Retention: Permanent

7.50 CHARTER RECORDS

Charter Proceedings

Records relating to the adoption, amendment or repeal of Charter or provisions of the Charter. See also *Schedule 3 Petitions – Election.*

Retention: Permanent

Charters – Published

Retention: Permanent

Duplicate Copies: Until superseded

7.60 CODE BOOK RECORDS

Codes Adopted by Reference

Includes model traffic code, uniform building and construction codes, fire codes and supplements to such codes, and other similar codes adopted by ordinance for the city.

Retention: Retain 1 copy permanently for historical purposes

Duplicate Copies: Until superseded

Codifications/Supplements

All versions of codifications of municipal ordinances called the City of Tulsa, Oklahoma Charter & Revised Ordinances and all supplements containing amendments to the initially adopted Code.

Retention: Permanent

Duplicate Copies: Until superseded

7.70 COMMITTEES - INTERNAL

Records of committees, task forces or other types of groups composed of members of the staff and/or other municipal entities that meet on an ongoing basis or that are set up for specific purposes. Examples include staff meetings, employee safety committees, teams established to work on municipal issues, etc.

Ongoing Committees

Retention: 2 years + current, provided records have no enduring value

Special Committees

Retention: Until work of committee concludes, provided records have no enduring value

7.80 COMPLAINTS, ROUTINE SERVICE REQUESTS AND NONBINDING PETITIONS

Communications of various types that convey objections, dissatisfaction or disagreement with actions or positions taken or not taken by the city; routine requests for service or information; and petitions with no legal effect that are submitted to the city to express the opinions of the signers. See also *Schedule 8 Minutes and Supporting Documentation*.

Retention: 1 year + current after response or action by the city

RSU 2015-02: Human Rights Department has submitted an update request to add the following record sub-type and retention requirements:

Discrimination Complaints

Records regarding discrimination complaints filed in accordance with Tulsa Revised Ordinances Title 5, Chapter 1.

Retention: Retain two years after a dismissal of complaint; retain for three years after execution of conciliation agreement; retain 3 years after transferring findings to a City, State, or Federal agency. See also *Schedule 15 Personnel Records*.

Status of RSU 2015-02 request: Pending

RSU 2019-02: Finance Department has submitted an update request to add the following record sub-type and retention requirements:

Open Records Requests

Records of requests and copies of records provided in response to Open (Public) Records requests per the Oklahoma Open Records Act, Title 51, Okla. Statutes, §§ 24A.1-24A.31.

Retention: Retain three years after response or action by the City.

Status of RSU 2019-02 request: Pending

7.90 CORRESPONDENCE AND GENERAL DOCUMENTATION

Correspondence is a written communication that is sent to or received by 1 or more individuals via the U.S. mail, private courier, facsimile transmission or electronic mail (see *Schedule 7 Electronic Mail*), including letters, postcards, memoranda, notes, telecommunications and any other form of addressed, written communications that are sent or received by the city. The term *general documentation* is intended to cover a wide variety of records created in the normal course of business.

Calendars and Notes

Records kept to document and facilitate the routine planning and scheduling of meetings, appointments and similar activities; includes calendars, appointment books, telephone messages, notes, diaries and similar records with routine content.

Retention: 1 year

Enduring Long-Term Value

Documentation or correspondence with enduring and long-term administrative, policy, legal, fiscal, historical or research value; records that relate to policy issues and actions or activities in which an important

precedent is set; records of historic events relating to the city or the community; and other similar records and documentation.

Retention: Permanent

Routine Value

Operating documentation that is routine and contains no significant administrative, legal, fiscal, historical, informational or statistical value. Includes routine letters or memoranda sent and received, reading or chronological files that are kept solely for convenience and contain duplicates of memos or letters that are also filed elsewhere, routine requests for information, transmittal documents, etc., and includes e-mail.

Retention: 1 year + current

Transitory Value

General documentation of extremely short-term value, including advertisements, drafts and worksheets, desk notes, copies of materials circulated for informational "read only" purposes, other records with preliminary or short-term informational value, and includes e-mail.

Retention: Until material has been read

7.100 ELECTRONIC RECORDS

Computer-Maintained Records

Records manipulated and stored using computer technologies.

Retention: Follow the retention schedule for the specific type of record

Electronic Mail

Electronic mail is an electronic message that is transmitted between 2 or more computers or electronic terminals, whether or not the message is converted to hard copy format after receipt and whether or not the message is viewed upon transmission or stored for later retrieval, including electronic messages that are transmitted through a local, regional or global computer network .

Retention: Follow the retention schedule for the specific type of record

7.110 EVENT RECORDS

Records pertaining to promotion and organization of special and historic community events or celebrations in which the city has a role, such as festivals, Martin Luther King, 4th of July celebrations, Christmas lighting, etc.

Retention: 2 years after event concludes, *except* retain records documenting significant aspects of the event permanently

7.120 EXTERNAL GROUPS AND AGENCIES

Records provided to the city for courtesy or informational purposes from associations, organizations, groups and agencies that are not part of the municipal organization but which have some form of association or relationship with the city. See also *Schedule 7 Memberships*.

Retention: Until no longer needed for municipal reference or informational purposes

7.130 FORMS - BLANK

Blank forms are not considered to be records and should be separated from the city's records. However, a master forms file may be maintained to track the evolution of the form and instructions regarding use of the form.

Retention: Until superseded, *except* retain 1 copy permanently if a master forms file is maintained

Duplicate Copies: Until superseded

7.140 GENERAL SUBJECT FILES

Files containing correspondence, reports, technical papers, studies, reference materials and other records related or received in the general administration of a program or in the daily management of departments or offices.

General Administrative Records

Records of a general administrative nature that are created or received in the course of administering programs, including daily, weekly or monthly activity reports which are summarized in an annual report. See also *Schedule 7 Program Records and Reports*.

Retention: 1 year + current or until no longer needed for reference

Housekeeping Files

Records of a general housekeeping nature that are maintained by an office and that do not relate directly to the primary program responsibility of the office. Includes records such as charity fund drives, office parties, custodial service requests, parking space assignments, telephone and fax logs, and distribution of keys.

Retention: Until no longer needed for reference

Policy and Program Development Records

Records documenting the formulation and adoption of policies and procedures and the functions of the city or its departments. Includes narrative or statistical reports, related correspondence on program activities, organizational charts and mission statement studies regarding municipal or department operations, and records related to significant events in which the city, departments or individual offices participated. See also *Schedule 7 Program Records*.

Retention: Permanent

Technical or General Reference Files

Non-record copies of articles, periodicals, reports, studies, vendor catalogs and similar materials that are needed for reference and information but are not considered to be part of the office's records. See also *Schedule 7 External Groups and Agencies*.

Retention: Until no longer needed for reference

7.150 LEGISLATION AND REGULATORY ACTIONS

External

Records such as review copies of proposed or adopted state or federal bills, legislation or regulations; notices of proposed rulemaking by federal or state agencies.

Retention: Until no longer needed for reference

Internal

See *Schedule 8 Governing Body as Another Decision-Making Body*.

7.160 MAILING AND DISTRIBUTION RECORDS

Documentation of transactions with the U.S. Postal Service or private carriers.

Certified Mail Return Receipts

Receipts returned by the post office to document that the recipient received a mailing sent by the city.

Retention: 2 years after matter referenced in mailing is concluded

Envelopes

Envelopes that contained communications received by the city.

Retention: Dispose of immediately, unless needed in rare circumstances as documentation of mailing and receipt dates

Mailing and Distribution Lists

Lists of names and addresses compiled for various mailings, such as billings, notifications, community outreach and other administrative purposes.

Retention: Until superseded or obsolete

Meeting Notification Lists

Listings kept of persons who, within the previous 2 years, have requested advance notification of all meetings or meetings with specific content.

Retention: Until updated

Record of Mailing

Documentation of mailing dates, content of mailings and addressees for mailing sent by the city for various purposes.

Retention: 2 years

Undeliverable Mailings

Mailings (excluding mailed ballots) sent by the city that were returned as undeliverable.

Retention: 2 years after matter referenced in mailing is concluded

7.170 MANUALS AND HANDBOOKS

See *Schedule 6 Manuals –Vehicles and Equipment* and *Schedule 7 Policies and Procedures Documentation*.

7.180 MAPS AND DRAWINGS

Wide range of maps, drawings, architectural, cartographic and engineering records, including maps, charts, photomaps, field survey notes, map history case files and map and drawing finding aids; graphic representations at reduced scale of selected physical and cultural features of the surface of the earth; architectural and engineering drawings depicting concepts and precise measurements needed to plan and build static structures, such as buildings, bridges and streets; design and construction drawings for major municipal projects; maps and drawings stored and generated by Geographic Information System (GIS) and computer-aided design (CAD) systems; "as built" drawings of municipal facilities; annexation and development plats and plans; various construction drawings and renderings; municipal boundary maps, election precinct and ward or district maps, zoning district maps; USGS topographical maps of the area; and other similar documents.

Retention: Permanent

Duplicate Copies: Until superseded or no longer needed for reference

GIS Records

Geospatial data that is used to describe a particular location, area or feature. Records include software, input (including electronic source data and data from source documents), data in electronic format, output to paper, disk, tape or other storage medium generated by the system, and documentation needed to facilitate human understanding of the system.

Back-ups and Historical Snapshots – GIS

Back-up records retained for disaster recovery purposes and historical snapshots (electronic format) retained for historical and reference purposes containing all GIS data layers and associated attribute files, GIS user production areas, the operating system and other miscellaneous software.

Back-ups for Disaster Recovery Purposes

Daily Back-up

Retention: 2 weeks

Monthly Back-up

Retention: 1 year

Replicate Copies

Copies retained on other work unit servers, in offsite data warehouse, on "read-only" municipal system, or elsewhere, either onsite or offsite.

Retention: Until superseded by new version of back-up

Historical Snapshots

Retention: Permanent

Data Documentation and Metadata

Records created during development or modification of an automated system, which are necessary to access, retrieve, manipulate and interpret data in that system and records that explain the meaning, purpose, structure, logical relationships and origin of the data elements. Data documentation includes data dictionaries (containing information about data layers, format and other documentation), file layouts, code books or tables, definition files and information regarding the retention period for the data and associated data documentation as well as information regarding the frequency of historical snapshots of the data and data documentation. Data documentation includes metadata (data about the data), i.e. the description of the data resources, its characteristics, location, usage, etc. Metadata is used to identify, describe and define user data.

Condensed (Temporary) Metadata

Temporary generic information that provides a dataset list (Word document) and basic information about datasets, pending

the storage of "real" metadata with datasets on the GIS; includes dataset name, definitions and descriptions, data locations, significant items in attribute (tabular) data, etc.

Retention: Until superseded by metadata stored on GIS

Data Documentation and Metadata – Nonpermanent GIS Records

See also *Datasets and Data Files – Temporary*. Note: Obsolete temporary datasets are to be purged from the system prior to each annual GIS snapshot.

Retention: 1 year after superseded, or until deletion of database

Data Documentation and Metadata – Permanent GIS Records

This retention schedule applies only to documentation relating to databases containing permanent information. Important Note: Permanent data and its associated metadata and data documentation is retained permanently only in its most updated form unless the dataset is to be captured at specific points in time via a historical snapshot. See also *Datasets and Data Files*.

Retention: Until superseded

Datasets and Data Files – Permanent

A *dataset* is group of related records that are organized and treated as a unit or any set of data that has a common theme or similar attributes. The term is used interchangeably with the term *data file*. Datasets are part of the GIS database. A data layer refers to a conceptual grouping of data that share common characteristics, such as a layer composed of base or thematic data, e.g. roads (base) or wildlife habitat (thematic). Geographic data combines and links graphic

representations of features or events found on the earth with corresponding tabular (attribute) data. Important Note: Permanent data is retained permanently only in its most updated form unless the dataset is to be captured at specific points in time via a historical snapshot.

Aerial Photograph and Image Datasets

Photographs and digital images of the earth that have been taken from airborne vehicles to evaluate, measure or map selected features of the landscape.

Retention: Until superseded

Base Datasets

Core data working files that are sets of information providing a background orientation for another layer of primary focus. Examples: ground and water features (roads, streams, lakes, canals, railroads, etc.) and parcels, addresses, quarter sections, etc.

Retention: Until superseded

Building and Structure Datasets

Building footprints, public buildings, building inspection zones, building permits, etc.

Retention: Until superseded

Business Information Datasets

Business locations, licensed establishments, etc.

Retention: Until superseded

Census Datasets

Census block groups, census tract boundaries, census update boundaries, etc.

Retention: Until superseded

Communication System Datasets

Fiber optic network installations.

Retention: Until superseded

Emergency Dispatch Datasets

Emergency telephone dataset used for emergency services dispatch.

Retention: Until superseded

Engineering Datasets

Street standards and facilities, etc.

Retention: Until superseded

Environmental Datasets

Geologic data, soils data, radon data, etc.

Retention: Until superseded

Facilities Datasets

Community facilities locations, municipal buildings and facilities, natural areas, parks, protective services facilities, public art locations, school locations, trails, pedestrian and bicycle trails, etc.

Retention: Until superseded

Jurisdictional Boundary Datasets

Municipal limits, election boundary maps, boundary maps of political subdivisions and taxing districts, enterprise zones, historic districts, protective services patrol and enforcement areas, school district boundaries, urban growth area maps, zip code boundaries, other municipalities, etc.

Boundaries – Municipal Jurisdictional Units

Retention: Until superseded

Boundaries – Other Jurisdictions

Retention: Until superseded

Land Use and Planning Datasets

Annexations, pending and approved developments, neighborhood planning areas, habitat data, current and proposed land uses, corridor study data, airport impact data, comprehensive plan (Structure Plan) data, transit routes, travel corridors, vacant land inventories, current and proposed zoning, zoning violations, etc.

Retention: Until superseded

Stormwater and Flooding Datasets

Base flood elevations, storm drainage basins, floodplains and floodways, historic flooding data, facility inventories, monitoring system data, etc.

Retention: Until superseded

Transportation System Datasets

Alley and street system data, bicycle and bus routing data, master street plan, street maintenance data, traffic flow data, etc.

Retention: Until superseded

Datasets and Data Files – Temporary

Assessor Datasets

GIS data layers containing property or land ownership information obtained from the County Assessor.

Retention: Until superseded

Symbol Datasets

Municipal logo, highway marker symbols, parking lot symbols and similar mapping symbols used for printing purposes.

Retention: Until superseded

Temporary Data – In General

Datasets or data subsets created for one-time or short-term use or for the creation of various versions of mapping products.

Retention: 30 days after use, unless the customer requests that the temporary dataset be retained for possible future use. Note: Temporary datasets will appear on periodic computer back-up tapes, and those that are obsolete should be purged from the system before capturing the annual historical snapshot of GIS.

Fee Collections

Records of orders and receipts for payment from external customers for mapping products.

Retention: 2 years + current

Finding Aids

See *Data Documentation and Metadata*.

Policy Documentation - GIS

Records of GIS policies including those covering access and security, systems development, data retention and disposition, data distribution, rules governing issuance of data, and data ownership, etc.

Retention: Permanent

Processing Files

System logs and other processing files (electronic or printed on demand), including work files, test files, input/source files, intermediate input/output files, valid transaction files, documentation of users and operations, and audit trail files.

Retention: Follow system schedule

Source Documents – GIS

Raw data or documents or "source records" containing images and/or data provided to GIS in hard copy, microform or electronic format. Note: Metadata should include information regarding the source of the data.

Externally Acquired Source Material

GIS input and auto cad system input regarding plats and subdivisions, field book information, legal descriptions, images of plats, data and other source material acquired from other agencies and organizations.

Retention: Until uploaded to GIS, provided source of data is noted in data documentation

Internally Acquired Source Material

***Replicate Source Data –
Municipal Departments***

Retention: Until uploaded to GIS

Surveying Source Data

Municipal surveyor's reports and field notes from property surveys used to identify monuments, landmarks,

buildings, etc. Engineering control and survey point data. Legal descriptions developed from surveys and surveying data returned from field instruments including horizontal angles, slope distance, horizontal distance, zenith angles, sun observations, drawings, etc.

Retention: Until data is transferred to GIS

Standards

Requirements that are intended to make hardware, software and data compatible and that cover data capture, accuracy, sources, base categories, output, and data element dictionaries.

Retention: Life of GIS

Website Records

Annual snapshot of GIS web page (electronic format).

Retention: Permanent

7.190 MAPS - INFORMATIONAL

Maps that are acquired from external sources and are used for municipal reference and informational purposes for the city or the public, such as county maps.

Retention: Until superseded or no longer needed for reference

7.200 MEMBERSHIPS

Records of memberships that are paid for by the city of municipal officials, employees or the city as an organization in professional associations and organizations such as the Oklahoma Municipal League, the Association of Records Managers and Administrators, the U.S. Conference of Mayors, and similar professional or municipal associations and organizations.

Retention: 2 years

7.210 MINUTES

See *Schedule 4 Minutes and Supporting Documentation*; *Schedule 7 Committees – Internal*; and *Schedule 8 Minutes and Supporting Documentation*.

7.220 NEWS CLIPPINGS

See *Schedule 9 Scrapbooks*.

7.230 NEWS RELEASES

See also *Schedule 7 Public Relations Records*.

Releases – Policy or Historical Value

Prepared statements or announcements issued to the news media announcing municipal events, new programs, program changes or termination, major shifts in policy and changes in officials or senior administrative personnel.

Retention: Permanent

Releases – Routine

Prepared statements or announcements of minor or routine events, activities, etc.

Retention: 3 years + current

7.240 ORGANIZATION FILES

Records that contain organization charts, reorganization studies and similar information that illustrates or provides a detailed description of the arrangement and administrative structure of the city.

Retention: Permanent

7.250 PETITIONS, OBJECTIONS AND REMONSTRANCES

See *Schedule 7 Complaints, Routine Service Requests and Nonbinding Petitions*; *Schedule 7 Correspondence and General Documentation*; and *Schedule 3 Petitions – Election*.

7.260 POLICIES AND PROCEDURES DOCUMENTATION

Written instructions, rules and guidelines in manual form documenting current and past authorized municipal policies and procedures, including departmental or organization-wide directives, policy or operations manuals, instruction manuals, handbooks and memoranda setting out responsibilities and guidelines or outlining policies and procedures. See also *Schedule 7 General Subject Files – Policy and Program Development Records*.

Clerical Manuals – Routine

Retention: 2 years after superseded or obsolete

Manuals from External Sources

Retention: Until superseded or no longer needed

Policies and Procedures Documentation – In General

Documentation, including written materials such as personnel policy manuals and standard operating procedures, that would be useful in establishing past policies or procedures in liability cases, personnel disputes and other circumstances.

Retention: Permanent

Duplicate Copies: Until superseded

7.270 PROGRAM RECORDS

Records pertaining to ongoing or special events or activities held at municipal facilities and programs provided by the city as recreational or cultural amenities for the community. See also *Schedule 7 General Subject Files – Policy and Program Development Records*.

Districts

Records of districts that provide program services to municipal residents, such as recreation districts, library districts, etc. See *Schedule 7 External Groups and Agencies*.

Facility and Program Use Records

Records relating to registration and admission to programs sponsored by the city, room and facility reservation sheets, permits for facility or park

usage, annual or seasonal passes for recreational programs, program and event descriptions, documentation of public use of facilities for which formal registrations or permits are required, etc.

Retention: 1 year + current

Fees and Rates

See *Schedule 5 Accounts Receivable Records and Fee and Rate Schedules*.

Liability Waivers

Forms signed by program participants to release the city from any liability related to various activities.

Retention: 3 years + current

Library Records

Records pertaining to the operation of a library by the municipality.

Book Requisitions

Retention: 1 year + current

Catalogs

Finding aids in card or computer form that provide patrons with access to library holdings.

Retention: Until superseded or obsolete

Circulation Statistics

Retention: Permanent

Gift Register

Retention: Permanent

Interlibrary Loan Transactions/Reciprocal Borrowing Sheets

Retention: 3 years + current

Patrons' Registration Forms

Retention: 6 years + current

Museum Accession and Donation Records

Records documenting the acquisition and ownership of museum materials in museums, local history collections, and similar collections or repositories owned and operated by the city.

Retention: Permanent

Other Programs Sponsored by Municipality

Documentation needed for reference in developing future programs, including program flyers, press releases, etc. Examples of municipal programs include recreation, senior citizen and youth programs. See *Schedule 7 General Subject Files – Policy and Program Development Records*.

Support Groups – Municipal Programs

Groups organized in support of municipal programs, such as senior citizen community groups, youth groups, Friends of the Library or Museum, and similar groups. See *Schedule 7 External Groups and Agencies*.

Sister City Program

Records of participation by the city in sister programs with cities in other countries, including documentation of selection of sister cities, administration of the program, exchange visits, photographs and related documentation.

Retention: Permanent

7.280 PROJECT FILES

Major Projects

Records of *major* projects, goods and services acquired relating to capital improvements and permanent assets of the city; design, engineering, construction, repair and/or major maintenance of municipally owned buildings, facilities, roadways, utilities, public works and other infrastructure valued at over \$ _____ [*threshold to be determined*]. Project files may include documentation such as final project reports, specifications and contract documents, notices to proceed and of final settlement, project pay estimates, change orders and correspondence and general documentation.

Retention: Permanent

Minor Projects

Records of *minor* projects, goods and services acquired relating to capital improvements, design, engineering, construction, repair and/or maintenance of municipally owned buildings, facilities, roadways, utilities, public works and other infrastructure under \$_____ in value [*threshold to be*]. Project files may include documentation such as final project reports, specifications and contract documents, notices to proceed and of final settlement, project pay estimates, change orders and correspondence and general documentation.

Retention: 2 years after project completion, provided there is no legal or administrative value

Project Bonds

Labor and Materials Bonds

Surety or other types of bonds received from contractors to guarantee payment by the contractor to workers, subcontractors and suppliers.

Retention: 6 years + current

Performance and Payment Bonds

Surety or other types of bonds received from contractors to guarantee performance and payments for municipal projects.

Retention: 1 year + current after project completion

Project Control Files

Contain routine memoranda, preliminary reports, and other general documentation and records documenting assignments and the progress of projects. Note: Does not include *final* reports, which are to be retained as part of the project file (see above).

Retention: 1 year after project is closed

7.290 PUBLIC RELATIONS RECORDS

Speeches, addresses, and comments of public officials, remarks made at formal municipal ceremonies by elected municipal officials, state of the city addresses, etc. Includes paper, videotape, motion picture or tape recordings. See also *Schedule 7 News Releases*.

Retention: Permanent

7.300 PUBLICATIONS

Documents printed or otherwise produced for wide internal or external distribution, including annual reports, brochures, pamphlets, leaflets, studies, proposals, newsletters, instructional materials, and similar materials printed by or for the city or any of its departments, and made available to the public. See also *Appendix A Non-Records* relating to publications of other agencies or entities that are not considered to be municipal records for retention purposes.

Retention: Permanent

7.310 RECORDS FINDING AIDS

Manual or automated indexes, lists, registers, and other finding aids designed to make it easier to locate pertinent files or information.

Retention: Life of the record for which the finding aid is designed to facilitate use and retrieval

7.320 REGULATIONS AND STANDARDS

Documentation of rules, regulations, standards and similar guidelines and requirements adopted by the city in relation to various activities and functions. Examples include building regulations and standards, subdivision and zoning regulations, cemetery rules and regulations, streetscape standards, street and sidewalk construction standards, water and sewer line installation standards, mobile home standards, etc.

Retention: Permanent

Duplicate Copies: Until superseded

7.330 REPORTS

Written reports regarding the operations or activities of the city or its individual employees, departments or service areas, prepared for use in compiling other reports, planning and budgeting, monitoring work progress, etc.

Annual Reports

Summary annual reports of individual departments or the city as a whole on primary program activities and accomplishments for the previous year; may include statistics, narrative reports, graphs, and diagrams.

Retention: Permanent

Daily Reports

Reports documenting the daily activities of employees or work units.

Retention: 1 year + current

Monthly Reports

Reports of staff or departments on program activities and accomplishments for the previous month.

Retention: 1 year + current

Quarterly Reports

Reports of staff or departments on program activities and accomplishments for the previous three months.

Retention: 2 years + current

7.340 RETENTION SCHEDULES AND COMPLIANCE CERTIFICATES

Authorizations for the retention or disposition of records issued for the city and its departments and certificates of compliance completed to track the authorized destruction of municipal records.

Retention: Permanent

7.350 RULES AND REGULATIONS

See Schedule 7 Regulations and Standards.

7.360 SOFTWARE AND SOFTWARE MANUALS

See Schedule 6 Computer System Records.

7.370 STANDARDS

See Schedule 7 Regulations and Standards.

7.380 STUDIES, PLANS AND REPORTS

Documents prepared by the city or by external entities on behalf of the city. Examples include feasibility studies, planning and land use studies, basin plans, capital projects reports, transportation system plans, master street plans and similar documents that have long-term reference or historical value. Studies, plans and reports retained by the city that are prepared by or on behalf of other entities, and which include information of interest to the city, should be evaluated for long-term reference or

historical value to the city. See also *Schedule 7 Reports* and *Schedule 11 Plans, Studies and Reports*.

Retention: Permanent

7.390 SURVEYS AND QUESTIONNAIRES

Copies of completed miscellaneous surveys, questionnaires and similar instruments that are routine and are received and completed by the city for return to the originator.

Retention: 1 year + current

7.395 SURVEYS CONDUCTED

Compilations

Retention: Permanent

Survey Responses

Retention: 1 year + current after compilation complete

7.400 TRAINING AND CONFERENCE MATERIALS

Records documenting activities of municipal officials or employees at seminars, conferences or other training sessions not sponsored by the city, including instructional materials obtained by officials and staff members at conferences, seminars or other types of external training sessions. See also *Schedule 15 Training Information*.

Retention: 2 years

7.410 WORKSHEETS AND DRAFTS

Documents such as rough notes, calculations or drafts assembled or created and used to prepare or analyze other documents; records of a preliminary or working nature which do not represent significant steps in the preparation of the final version of documents; includes informal notes, preliminary drafts of letters, memoranda, reports, computer or printer output used to verify information entered into a computer and not considered to be a final copy, etc. See also *Schedule 5 Worksheets – Financial*.

Retention: Until no longer needed

SCHEDULE NO. 8

GOVERNING BODY RECORDS

General Description: Records regarding the composition, operation, proceedings and enactments of the Tulsa City Council. *The specified retention period applies to the information contained within the record, regardless of the physical format of the record (paper, microfilm, computer disk or tape, optical disk, etc.).*

Duplicate Copies: Provided that no retention period is specified for duplicate copies, retain those that are created for administrative purposes for 1 year, and retain those created for convenience or reference purposes until no longer needed or for 1 year, whichever is first. Duplicate copies should not be retained longer than the record copy.

8.10 AGENDA SUPPORTING DOCUMENTATION

Material such as agenda item summaries and supporting documentation, memos or other material presented to the governing body relating to decisions to be made at meetings; supporting documentation for minutes. See also *Schedule 8 Minutes and Supporting Documentation and Packets Distributed to Governing Body.*

Retention: Permanent

Duplicate Copies: Until meeting is over

8.20 AGENDAS

Listings showing date, time and locations of official meetings and items to be discussed by the governing body at regularly scheduled, special and emergency public meetings.

Retention: Permanent

Duplicate Copies: Until meeting is over

8.30 APPOINTMENTS

Applications and other documentation regarding the filling of interim governing body vacancies by appointment.

Retention: 1 year + current after term of appointment ends

8.40 BYLAWS

Documents adopted by the governing body to set out guidelines regarding operation of the governing body.

Retention: Permanent

Duplicate Copies: Until superseded

8.50 ENTERPRISE BOARD RECORDS

See *Schedule 8 Governing Body as Another Decision-Making Body*.

8.60 GOALS

Formally adopted strategic plans or policy agendas set out by the governing body.

Retention: Permanent

8.70 GOVERNING BODY AS ANOTHER DECISION-MAKING BODY

Records of the governing body constituted and convened as another decision-making body, such as the Board of Directors of a general improvement district, the Enterprise Board of Directors for a water or wastewater utility enterprise, a Housing Authority, an Urban Renewal Authority, etc. See also *Schedule 4*.

Retention: Follow Schedule 8 for specific types of records

8.80 LEGISLATIVE LOBBYING RECORDS

Records of official positions taken by the city and lobbying efforts with regard to state or federal legislation or ballot measures of interest to the city.

Retention: 4 years, *except* that Resolutions adopting legislative positions are permanent

8.90 LIST OF MEMBERS

Listings of names of individuals appointed or elected to the governing body or as Mayor, dates of service, last known address and similar information.

Retention: Permanent

8.100 MEMBER RECORDS

Files documenting the service and tenure of members of the governing body, including appointments to various committees and bodies, resignations and other documentation relating to the member's service to the city. See also *Schedule 8 Oaths of Office*

Retention: Permanent

Conflict of Interest Disclosure Statements

Statements of perceived conflicts of interest filed by members of the governing body for public inspection.

Retention: 1 year + current after service ends or the conflict of interest no longer exists

Financial Disclosure Statements

Statements of financial interest filed by members of the governing body for public inspection.

Retention: 1 year + current after service ends

8.110 MINUTES AND SUPPORTING DOCUMENTATION

Official record of the proceedings of the governing body prepared by the Council Secretary or designee and supporting documentation of a substantive nature such as exhibits referenced in the minutes.

Retention: Permanent

Routine Supporting Documentation Submitted at Meetings

Routine letters, nonbinding petitions and other written materials submitted at meetings and referenced in summary form (title, date and brief description) in the minutes. See also *Schedule 7 Complaints, Routine Service Requests and Nonbinding Petitions*.

Retention: 1 year + current after meeting provided summary description is included in minutes

8.120 NOTES TAKEN AT MEETINGS

Handwritten or other notes made by Council Secretary at meetings to facilitate the preparation of meeting minutes.

Retention: Until meeting minutes are approved

8.130 NOTICES OF MEETINGS

Documentation of compliance with laws requiring posting, mailing, publication or other distribution of public notice of meetings of the governing body.

Retention: 1 year + current

8.140 OATHS OF OFFICES

Oaths of office taken and subscribed to by elected or appointed officials at the time of assuming office [51 O.S.A. § 36.3].

Retention: 1 year + current after term expires

8.150 ORDINANCES

Legislative enactments of the governing body adopted to enact a local law, amend the municipal code or take other legislative actions such as annexing property, appropriating funds, vacating streets, etc.

Retention: Permanent

8.160 ORIENTATION AND TRAINING INFORMATION

See Schedule 8 Packets Distributed to Governing Body.

8.170 PACKETS OF INFORMATION DISTRIBUTED TO GOVERNING BODY

Batches of information periodically distributed to members of the governing body for informational purposes, including correspondence, copies of agenda materials and minutes for review, copies of staff memos, etc.

Retention: 3 years + current

Duplicate Copies: 1 year or until no longer needed for reference, whichever is first

8.180 PROCLAMATIONS

Documents issued by the Mayor to proclaim support for municipal or community events, activities, programs or in connection with dedications or other ceremonial occasions, etc.

Retention: Permanent

8.190 REMOVAL FROM OFFICE - INITIATED BY GOVERNING BODY

Records of removal of members from office for cause by majority vote of the governing body, including hearing notices, correspondence, transcripts of proceedings, findings and records relating to any follow-up proceedings.

Retention: 3 years + current after removal vote, provided findings are recorded in the minutes

8.200 RESOLUTIONS

Enactments of the governing body which are not legislative in nature and which may be used for various types of approvals, policy statements, statements of position and similar actions.

Retention: Permanent

8.210 SIGNATURE CERTIFICATES

Facsimile signature certificates for the Mayor that are filed with the Secretary of State's office for authentication and verification of the signature of the Mayor on municipal documents.

Retention: 1 year after term of office ends

8.220 TAPES OF MEETINGS

Audio or video recordings of official meetings typically used to prepare minutes or transcripts of the meeting.

Executive Sessions

Retention: 90 days after meeting

Open Meetings

Retention: 6 months after approval of the minutes

Study Sessions

Retention: 6 months after the meeting

SCHEDULE NO. 9

HISTORICAL RECORDS¹

General Description: Records that have historical importance as documentation and evidence of the origins and evolution of the City of Tulsa. *The specified retention period applies to the information contained within the record, regardless of the physical format of the record (paper, microfilm, computer disk or tape, optical disk, etc.).*

9.05 ARCHAEOLOGICAL AND HISTORICAL SITE RECORDS

Records relating to archaeological and historical sites within the city.

Retention: Permanent

9.10 COMMUNITY AND MUNICIPAL HISTORIES

Narrative histories of the city, departments and community prepared for reference and informational purposes.

Retention: Permanent

9.20 COMMUNITY RECORDS

Significant historical records (often fragmentary) of early community groups, businesses and prominent individuals typically found in the city clerk's office or local history collections.

Retention: Permanent Note: Contact State Archives for assistance in records appraisal.

9.30 HISTORIC BUILDINGS AND DISTRICTS

See Schedule 1 Landmark and Historic Designations.

9.40 HISTORICAL SOCIETY

See Schedule 7 External Groups and Agencies.

9.50 INCORPORATION RECORDS

¹ The following types of records are usually considered to have permanent archival value: annual reports, audit reports, brochures, court dockets older than 1920, directives, handbooks, histories, indexes, interviews, legal opinions, minutes, ordinances and resolutions, organizational charts, photographs, policy manuals, procedure manuals, publications, regulations, research reports, rules, speeches, special studies, statistical summaries, records older than 1910. Many of these records are listed in other schedules for permanent retention.

Records relating to the designation of the city as a municipal corporation.

Retention: Permanent

9.60 LANDMARKS

See *Schedule 1 Landmark and Historic Designations*.

9.70 LOGO - MUNICIPAL

See *Schedule 9 Seal and Logo of the City*.

9.80 NEWS CLIPPINGS

See *Schedule 9 Scrapbooks*.

9.90 NEWSPAPERS - LOCAL

Newspapers of the locality or region that have been preserved in the city clerk's office for reference or informational purposes.

Retention: Not considered to be a municipal record; however, older collections of local newspapers may have historical interest to the Oklahoma Historical Society, local historical society or other historic preservation groups. Contact the State Archives regarding disposition of these newspapers.

9.100 PHOTOGRAPHIC RECORDS WITH HISTORICAL VALUE

Photographs, negatives, prints, digital images, slides, archival slide shows with sound tracks, videos, motion pictures of historical interest to the city. See also *Schedule 17 Police Records*.

Retention: Permanent

9.110 RECORDS OLDER THAN 1910

Municipal (or other) records of any type in the custody of the city that are dated prior to 1910 and that may have historical or archival value. See also *Schedule 14 Dockets – Older than 1920*.

Retention: Contact Oklahoma State Archives regarding guidance for preservation and disposition

9.120 SCRAPBOOKS

Chronological record of the city or individual municipal departments which may include photographs, newspaper clippings and other items pertaining to the city's activities and actions and the reactions of citizens.

Retention: Permanent

9.130 SEAL, LOGO AND OTHER INTELLECTUAL PROPERTY RECORDS

Records relating to municipally owned copyrights, trademarks, service marks, seals, logos, taglines and other similar intellectual property.

Retention: Permanent

SCHEDULE NO. 10

INFRASTRUCTURE RECORDS

General Description: Records pertaining to the provision of basic infrastructure and underlying public works services and systems that provide the foundation for the city. *The specified retention period applies to the information contained within the record, regardless of the physical format of the record (paper, microfilm, computer disk or tape, optical disk, etc.).*

Duplicate Copies: *Provided that no retention period is specified for duplicate copies, retain those that are created for administrative purposes for 1 year, and retain those created for convenience or reference purposes until no longer needed or for 1 year, whichever is first. Duplicate copies should not be retained longer than the record copy.*

10.10 COMMUNICATIONS SYSTEMS

Records pertaining to community-wide communications systems, including cable television and telephone service. See *Schedule 5 Franchise Records; Schedule 6 Communications System Licenses and Telephone System – Municipal Buildings; Schedule 12 Permit Records – Communication Tower Permits and Encroachment Permits; and Schedule 16 Easements and Rights-of-Way.*

10.20 ELECTRICITY SERVICE

Records relating to the provision of electrical service to the community and its residents. See *Schedule 5 Franchise Records and Utility Billing; and Schedule 7 Agreements and Contracts.*

10.30 ENCROACHMENTS - UTILITY LINES

See *Schedule 12 Permit Records – Encroachment Permits.*

10.40 ENTERPRISE BOARD RECORDS

See *Schedule 8 Governing Body as Another Decision-Making Body.*

10.50 FRANCHISES

See *Schedule 5 Franchise Records.*

10.60 GAS SERVICE

Records pertaining to the provision of natural gas service to residents of the city. See *Schedule 5 Franchise Records; Schedule 7 Agreements and Contracts; and Schedule 12 Permits – Encroachment Permits.*

10.70 IMPACT FEES

See *Schedule 5 Accounts Receivable Records.*

10.80 IMPROVEMENT DISTRICTS

See *Schedule 5 Improvement District Records.*

10.90 MAPS AND DRAWINGS

Maps, plans and drawings created by the city or its contractor(s) for municipal use, including system schematics, "as-built" drawings, topographic and planimetric maps, etc. See also *Schedule 7 Maps and Drawings.*

Retention: Permanent for final versions

Duplicate Copies: Until no longer needed for reference

10.100 POLICIES AND PROCEDURES

See *Schedule 7 Policies and Procedures Documentation.*

10.110 PROJECT RECORDS

See *Schedule 7 Project Files.*

10.120 RAILROAD RECORDS

Municipal Operations on Railroad Right-of-Way

Records of license agreements, right-of-way agreements or other transactions for the city's use of the railroad right-of-way for utility line installation or other purposes.

Retention: Permanent

Railroad Crossings

Crossing plans and drawings, public hearings and rulings, reports and studies, accident records, corrective actions in relation to State inspection reports and similar documentation.

Retention: Permanent

Railroad Systems

Records pertaining to railroad systems, routes, regulations and rights-of-way for railways operating within the city.

Retention: Permanent

10.130 REGULATIONS

See *Schedule 7 Regulations and Standards*.

10.140 RIGHTS-OF-WAY AND EASEMENTS

See *Schedule 16 Easements and Rights-of-Way*.

10.150 SOLID WASTE MANAGEMENT

Records pertaining to landfills operated by the city. See also *Schedule 5 Accounts Receivable* for cash receipts for trash hauling etc.

Dump Tickets

Retention: 3 years

Landfill Locations

Retention: Permanent

Landfill Monitoring – Surrounding Jurisdictions

See *Schedule 11 Environmental Records*.

10.160 STANDARDS

See *Schedule 7 Regulations and Standards*.

10.170 STATE HIGHWAY SYSTEM RECORDS

Records regarding street maintenance contract with Oklahoma Department of Transportation and other standards and policy issues relating to State highways within the city. See also *Schedule 5 Government Revenue Programs* and *Schedule 10 Street and Traffic Operations Records*.

Retention: Permanent

10.180 STORMWATER DRAINAGE SYSTEM

Records relating to the management of stormwater run-off and drainage, flooding and storm drainage basins. See *Schedule 7 Project Files and Regulations and Standards* and *Schedule 11 Floodplain Records*.

10.190 STREET AND TRAFFIC OPERATIONS RECORDS

Records documenting the ongoing street system and traffic flow operations of the city.

Bridge Inspections

Records of bridge inspections, inventory, changes to bridges and summary reports to the State or other agencies [23 CFR 650.305 and 23 CFR 650.311].

Retention: 5 years after bridge is removed from service [11 O.S.A. § 22-131(3.)]

Oklahoma Department of Transportation Projects

Records of roadway and signalization improvement projects on State highways located within the city. See also *Schedule 10 State Highway System Records*.

Retention: 6 years + current after project completion

County Road and Bridge Program

See *Schedule 5 Government Revenue Programs*.

Crosswalk Records

Documentation of location and use of crosswalks in the city, including striping and related records.

Retention: 2 years after superseded

Encroachments

See *Schedule 12 Permit Records*.

Event Records – Traffic Impacts

Records documenting preparation for and implementation of traffic changes related to special events such as parades, motorcades and demonstrations, including street closures, traffic rerouting, barricades, signal timing changes and other similar variations.

Retention: 2 years after event

High Accident Locations

Records documenting accidents at locations that have a relatively high accident rate.

Retention: 6 years + current

Motor Fuel Tax Fund (MFTF)

See *Schedule 5 Government Revenue Programs*.

Naming and Renaming of Streets

Records relating to naming and changes of names of streets and roadways.

Retention: Permanent

Parking Files

Records pertaining to the designation and management of parking in the city.

Retention: 2 years after superseded

Projects

See *Schedule 7 Project Files*.

Snow Removal

Records relating to the designation of snow routes, snow removal policies, and snow and ice removal programs.

Retention: 2 years after superseded

Speed Zone Records

Records documenting establishment and changes to speed zones in the city.

Retention: 2 years after superseded

Street Cuts

See *Schedule 12 Permit Records – Permits to Work in Public Way*.

Street Lighting Files

Records relating to street lighting improvements, maintenance and repairs on municipal streets and roadways.

Retention: 6 years + current

Street and Drainage Problem History Files

See *Schedule 10 Street Engineering Records*.

Traffic Marking and Signalization Files

Records documenting traffic marking and signalization projects.

Retention: 6 years + current

Truck Route Designations

Retention: 2 years after superseded

10.200 STREET ENGINEERING RECORDS

Records documenting the layout and planning of streets, intersections and sidewalks, street address assignments, establishment of grades, major street construction and maintenance, street and intersection design and alignment, right-of-way acquisition, street and drainage problem histories and similar records of long-term significance. See also *Schedule 1 Street Address and House Number Assignments*; *Schedule 7 Maps and Drawings and Project Files*; and *Schedule 16 Easements and Rights-of-Way*.

Retention: Permanent

Bench Mark Records

Records of bench marks placed by the city or the U.S. Geological Survey to denote elevations above sea level, including record books, maps, cards and other documentation that sets out locations and monument numbers, elevation, description and related data.

Retention: Permanent

Street System Records

Documentation filed with the State department of transportation certifying the total mileage of streets in the municipal street system, certification of adoption and a map of the arterial street system, and documentation of subsequent changes in total mileage and arterial mileage shown in an annual report.

Retention: Permanent

10.210 STUDIES AND REPORTS

See Schedule 7 Studies, Plans and Reports.

10.220 TRAFFIC CODE

See Schedule 7 Code Book Records – Codes Adopted by Reference.

10.230 TRAFFIC OPERATIONS RECORDS

See Schedule 10 Street and Traffic Operations Records.

10.240 TRANSPORTATION SYSTEM RECORDS

Records pertaining to the operation of municipal or privately owned transportation systems that serve municipal residents, such as taxicab service, bus system and paratransit service, etc.

Retention: 6 years + current

10.250 UTILITY FEATURES

Disconnection Records

Records documenting the disconnection of properties from municipal water, sewer, or similar utility systems.

Retention: Permanent

Installation and Connection

Records documenting installation of municipal utility systems or the connection of properties to municipal water, sewer, or similar utility

systems. See also *Water and Sewer Distribution and Storage System Records – Tap and Connection Records*.

Retention: 2 years after disconnection, provided record of disconnection is retained permanently

Locates

Documentation of request and municipal action to locate underground lines in vicinity of a construction site.

Retention: 2 years

Locations

Drawings, maps, charts, indexes, plats and other documentation showing the location of utility features such as manholes, valves, shutoffs, lines and mains etc.

Retention: Permanent

Duplicate Copies: Until superseded

10.260 VACATIONS - STREETS, ALLEY AND RIGHT-OF-WAY

Records pertaining to the vacation by the city of previously dedicated streets, alleys and public rights-of-way or easements.

Retention: Permanent

10.270 WATER AND SANITATION DISTRICT RECORDS

Records pertaining to water and sanitation districts that provide utility service within the city, including service area plans, boundary maps and service agreements with the city.

Retention: Permanent

10.280 WATER AND SANITATION RECORDS - GENERAL

Records relating to the provision of drinking water and sanitary sewer services to city residents. See *Schedule 5 Franchise Records and Utility Billing* and *Schedule 7 Maps and Drawings and Project Files*.

10.290 WATER AND SEWER DISTRIBUTION AND STORAGE SYSTEM RECORDS

Records relating to the operation of the city's water and sewer distribution systems.

Agreements – Service

See *Schedule 7 Agreements and Contracts*.

Backflow Prevention Device Test Records

Documentation of test results on backflow prevention devices designed to protect the municipal water system from pollution related to substances backing into water lines.

Retention: 10 years

Cross-Connection Control Survey Records

Documentation of monitoring of potential or actual water system health hazards from pollution entering water pipes from other pipes, including address, description of protection, corrections made etc.

Retention: 1 year after disconnection or 10 years, whichever is longer

Meter Records

See *Schedule 5 Utility Billing*.

Oversizing Records

Retention: Permanent

Projects – Distribution System Improvements

See *Schedule 7 Project Files*.

Sewer Inspection Records

Records of inspections to locate problems and defects so that corrective measures can be taken.

Retention: 10 years or until superseded, whichever is shorter

Sewer Smoke Test Records

Documentation of smoke tests undertaken to verify hookup to main sewer lines, check condition of pipes or determine effectiveness of backflow prevention devices.

Retention: 10 years

Tap and Connection Records

Records regarding the application for and issuance of water and sewer tap permits and connections between specific properties and the municipal utility systems. See also *Schedule 10 Utility Features*.

Outside Users Tap Records

Retention: 2 years after disconnection, provided record of disconnection is retained permanently

Sewer Tap Permits

Retention: 2 years after disconnection, provided record of disconnection is retained permanently

Water Tap Permits

Retention: 2 years after disconnection, provided record of disconnection is retained permanently

Utility Lines

See *Schedule 10 Utility Features*.

Valve Records

Records documenting installation, locations and maintenance of valves in the municipal water and sewer systems.

Locations

Retention: Permanent

Maintenance and Repair

Retention: 2 years

Specifications

Retention: Until valve is permanently removed from service

Water Consumption Reports

Compilations of statistics documenting daily water consumption.

Annual Reports

Retention: Permanent

Information Summarized in Annual Reports

Retention: 1 year + current

Water Distribution and Production System Records

Analysis of System

Retention: 2 years + current

Flow Measurements

Data regarding water flows collected from recording stations in streams or wells.

Retention: 1 year

Reports – Distribution and Production Systems

Retention: Permanent

Water Line Maintenance and Repair Records

Documentation of maintenance and repair of municipally owned water lines.

Records Requiring Engineering Stamp

Retention: 2 years after water line permanently removed from service

Other Records

Retention: 2 years

Water Pressure Measurements

Retention: 6 years + current

Water Storage Inspection Reports

Retention: 6 years + current

Water Use Restriction Records

Notices of water use restrictions imposed by the city because of restrictions on water supply.

Retention: 1 year + current

10.300 WATER AND SEWER TREATMENT SYSTEM RECORDS

Records relating to the treatment of water or sewage at municipally owned and operated facilities.

Analytical Reports

Records relating to analysis of samples taken from various locations throughout the system and from raw and processed sources of supply.

Bacteriological Quality Analysis

Samples collected for laboratory testing for various contaminants.

Retention: 5 years + current [40 CFR 141.33]

Chemical and Radiological Analysis

Verifications of water quality at various sampling points.

Retention: 10 years [40 CFR 141.33]

Lead and Copper Analysis

Retention: 12 years [40 CFR 141.91]

Secondary Contaminants

Retention: 10 years [40 CFR 141.33]

Sewage Plant Composite Samples

Retention: 5 years + current [40 CFR 141.33]

Sewage Tests – Weekly

Retention: 5 years + current [40 CFR 141.33]

Water Test Standards

Retention: 5 years + current

Water Turbidity Reports

Documentation of analysis of water samples to determine level of cloudiness caused by suspended particles.

Retention: 10 years

Annual Reports

Reports created on annual basis documenting water and wastewater treatment operations.

Retention: Permanent

Consumer Confidence Report

Annual report delivered to consumers as required by the National Primary Drinking Water Regulations.

Retention: Permanent¹

Corrective Actions – Noncompliance

Documentation of actions taken by city to correct violations of primary drinking water regulations.

Retention: 3 years after last action [40 CFR 141.33]

¹ Title 40, CFR § 141.155 establishes a minimum retention period of 3 years for this report; however, permanent retention is specified in the retention schedule because of the historical value of this annual report.

Discharge Permits and Monitoring

Documentation of pollution and effluent discharged from the municipal wastewater treatment facilities and reports submitted in conjunction with permit compliance; permits issued under the Clean Water Act to the city by the Oklahoma Department of Environmental Quality or Environmental Protection Agency/National Pollution Discharge Elimination System for discharge of treated sewage under controlled conditions.

Inspection Records

Documentation of annual inspections of wastewater treatment operations to monitor compliance with NPDES permit conditions.

Retention: Permanent [40 CFR 122.2]

Permits

Retention: Permanent [40 CFR 122.2]

Supporting Documentation

Retention: 5 years + current

Equipment

Maintenance and Calibration Records

Documentation of maintenance and calibration of equipment and instruments used in testing and monitoring of water and wastewater treatment operations.

Retention: Life of equipment

Sand Trap Inspections

Retention: Life of equipment

Industrial Pretreatment Permits

Permits and permit modifications issued by the city to private industries allowing the discharge of specific pollutants under controlled conditions.

Retention: Permanent

Operator Records

Records of certifications and training for water and wastewater operating personnel. *See Schedule 15 Employee Records.*

Operational Reports

Filter Plant Logs

Daily information regarding plant operations.

Retention: 5 years + current

Plant Capacity Records

Retention: 1 year + current

Projects – Treatment System Improvements

See Schedule 7 Project Files.

Sanitary Surveys of System

Written reports, summaries and communications by the city, its agents or State and Federal agencies.

Retention: 10 years [40 CFR 141.33]

Sludge Application Records

Documentation of placement of approved sites and the surface application of sewage sludge to approved sites.

Domestic Septage Application

Retention: 5 years [40 CFR 503.17]

Permits

Retention: 6 years after expiration

Preparation and Application of Sludge

Records relating to preparation of sewage sludge and the application by the city of sewage sludge to approved sites.

Retention: 5 years [40 CFR 503.17]

Surface Disposal Site Placement

Retention: By person who prepares the sludge, for as long as sewage sludge remains on the land [40 CFR 503.20]

Variances and Exemptions

Retention: 5 years after expiration [40 CFR 141.33]

Water Meter Reading Sheets

See *Schedule 5 Utility Billing*.

Water Quality Studies

See *Schedule 7 Studies, Plans and Reports*.

10.310 WATER SOURCE OF SUPPLY RECORDS

Records pertaining to source of supply of raw (untreated) water for the city of Tulsa, including records relating to adjudication, acquisition, dedication and transfer of water shares and water resources and records relating to the city's water storage system.

Acquisition, Sale and Transfer Records

Records relating to the city's acquisition, sale or transfer of water rights, including water acquisition agreements, dedication of water rights by developers to meet development requirements, court proceedings and other similar transactions.

Retention: Permanent

Irrigation (Ditch) Company Records

Water stock assessments and seasonal rental of surplus irrigation water.

Retention: 6 years + current

Reservoir, Dam and Lake Records

Records relating to the construction, repair and maintenance, monitoring and capacity of municipally owned and controlled water storage reservoirs, dams and lakes.

Retention: Permanent

River and Stream Records

Augmentation plans, river flow observations, adjudication of priorities of use and similar records relating to surface water rights.

Retention: Permanent

Studies and Reports

See *Schedule 7 Studies, Plans and Reports*.

Underground Water Rights and Supply

Records relating to underground aquifers, water wells and similar records.

Retention: Permanent

Water Associations

See *Schedule 7 External Groups and Agencies*.

Retention: Permanent

Water Policies, Regulations and Standards

Records pertaining to municipal policies, standards and regulations regarding issues such as the dedication of water rights or cash in-lieu-of water rights, water metering, rate adjustments, plant investment fees, water quality, raw water rental, water conservation, etc. See also *Schedule 7 Regulations and Standards and Policies and Procedures Documentation*.

Retention: Permanent

Water Stock Certificates

Documents issued to the city by water companies as proof of an ownership interest in the company.

Retention: Permanent

Weather Data

Reports on weather, river and climatological observations affecting water supply.

Retention: Permanent

Well Location Records

Records pertaining to adjudication, installation, testing and use of water wells and abandonment of water wells.

Retention: Permanent

Well Permits

Records pertaining to the application and approval process for permits for drilling and use of water wells for municipal water supply uses.

Retention: Permanent

SCHEDULE NO. 11

LAND USE AND PLANNING RECORDS

General Description: Records pertaining to annexations, developments, land uses and the municipal planning and land use regulation function. *The specified retention period applies to the information contained within the record, regardless of the physical format of the record (paper, microfilm, computer disk or tape, optical disk, etc.).*

Duplicate Copies: Provided that no retention period is specified for duplicate copies, retain those that are created for administrative purposes for 1 year, and retain those created for convenience or reference purposes until no longer needed or for 1 year, whichever is first. Duplicate copies should not be retained longer than the record copy.

11.10 Annexation Case Files

Records documenting the annexation of areas into the municipal boundaries, including annexation petitions, annexation agreements, copies of annexing and zoning ordinances (original zoning only) for the property, annexation maps, permanent correspondence, etc. See also *Schedule 3 Petitions – Annexation Election Petitions*.

Retention: Permanent, *except* follow Schedule 7 for purging of routine correspondence and documentation such as transmittal memos without substantive content, hearing notices, affidavits of publication, etc.

11.20 Census and Population Records

Census and Population Data (Historical)

Summary population estimates, statistics and supporting documentation pertaining to the ten-year census relating to the city and census surveys performed by the city.

Retention: Permanent

Census Forms and Reports

Copies of U.S. Census Bureau forms and voluntary surveys on government employment and local government tax revenues, used to meet the requirements for federal grants and to make financial information available to the public; annual survey of government employees, boundary and annexation survey and similar reports. See also *Schedule 1 Reports – Building Activity*.

Retention: 3 years

Population Studies

See *Schedule 7 Studies, Plans and Reports*.

11.30 Development Case Files

Records pertaining to developments approved by the city, including conceptual reviews, master plans, overall development plans, planned unit developments, site plans, site specific development plans, minor subdivisions, replats, resubdivisions, vacations of plats and plans, and similar projects. See also *Schedule 5 – Financial Guarantees*.

Retention: Permanent, except follow Schedule 7 for purging of routine correspondence and documentation such as transmittal memos without substantive content, hearing notices, affidavits of publication, etc.

11.40 Development Proposals – not approved

Records pertaining to proposed developments not approved by the city, including conceptual reviews, master plans, overall development plans, planned unit developments, site plans, replats, resubdivisions and similar projects.

Retention: 1 year + current after disapproval

11.50 Downtown Redevelopment Projects

See *Schedule 7 Project Files*.

11.60 Economic Development Records

Economic Development Incentives

Records relating to economic incentives or waivers provided to companies to locate in the city.

Retention: Permanent

Economic Development Policies

See *Schedule 7 Policies and Procedures Documentation*.

Enterprise Zone Records

Records documenting the creation and management of enterprise zones by the city in conjunction with other municipalities or counties; designation used to encourage business growth by providing tax, permit and regulatory relief to development within the zone.

Summary Reports

Retention: Permanent

Other Enterprise Zone Records

Retention: 4 years after zone designation expires

Studies

See *Schedule 7 Studies, Plans and Reports*.

11.70 Environmental Records

Environmental Monitoring and Reviews

Records pertaining to local and regional permit and application reviews, monitoring, inspections, investigations, surveys, screenings, testing and similar activities by the city of land uses and activities that could potentially impact air quality, water supply and the environment, such as feedlot operations, industrial contamination and pollution, mosquito control, gravel pit and mined land reclamation, oil and gas well drilling, sludge application by other jurisdictions, landfill locations, etc. See also *Schedule 10 Solid Waste Management and Water and Sewer Treatment System Records*; *Schedule 17 Hazardous Materials*.

Retention: Permanent

Nuisances – General Land Use

Retention: 3 years after file is closed provided no litigation is pending

Storage Tanks – Regulated Substances

Records related to storage and use of regulated substances such as gasoline, crude oil, fuel oil and diesel oil, including applications, permits, inspection reports and related records.

Above Ground Storage Tanks

Retention: 5 years

Underground Storage Tanks

Retention: 25 years after tank removed

Toxic Sites (Designated)

Records related to the identification and designation of a site that may have toxic materials contaminating it.

Retention: Permanent

Weed and Grass Control

Records documenting municipal enforcement of local provisions designed to help prevent fires caused by overgrown grass, weeds or shrubs and to abate nuisance weeds and grass; includes records of abatement.

Retention: 2 years after last action or final payment

Wetlands

Protection

Records relating to protection and management of wetlands on municipal property or rights-of-way.

Retention: Permanent

Removal and Fill

Retention: 30 years

11.80 Fee Receipts

See *Schedule 5 Accounts Receivable Records*.

11.90 Floodplain Records

Basin and Floodway Records

Records documenting the existence of designated and recognized stormwater basins and floodways within the city, including maps and

drawings depicting locations and FEMA flood insurance rate maps. See also *Schedule 7 Maps and Drawings*.

Retention: Permanent

Flooding Records

Records documenting the locations, extent and levels of flooding and subsequent mitigation efforts in the city. See also *Schedule 10 Stormwater Drainage System*.

Retention: Permanent

Floodplain Building Permits

Permits issued for construction within a floodplain area, including elevation certificates, applications, review records, and related documentation. See *Schedule 1 Building and Demolition Permits*.

Floodplain Regulations

See *Schedule 7 Regulations and Standards*.

Wetlands

See *Schedule 11 Environmental Records*.

11.100 Maps, Plats and Plans

Reproducible linen or Mylar originals [or best copy] of annexations, subdivisions, master plans, planned unit developments, site plans, overall development plans, replats, zoning district plans, etc. See also *Schedule 7 Maps and Drawings*.

Retention: Permanent

Duplicate Copies: Until no longer needed for reference

11.110 Nuisances

See *Schedule 11 Environmental Records*.

11.120 Permitted and Accessory Uses

Records pertaining to conditional uses, special uses, nonconforming uses and accessory uses.

Retention: Permanent

11.130 Plans, Studies and Reports

Documents prepared in-house or externally regarding regional and local planning, strategic or long-range planning or growth for the city, such as comprehensive land use plans, urban growth area plans, stormwater basin plans, transportation plans, utility plans, economic development plans, streetscape plans, corridor plans, housing plans, etc. See also *Schedule 7 Studies, Plans and Reports*.

Retention: Permanent

11.140 Referrals from Other Jurisdictions

Advisory deliberations referred to the city from the County or other surrounding jurisdictions for review and recommendation.

Direct Interest to the City

Retention: 6 years provided it is reviewed before destroying

Other Referrals

Retention: Until no longer needed for reference

11.150 Regulations and Standards

Land use and development regulations adopted by the city, such as subdivision regulations, floodplain regulations, sign codes, zoning regulations, commercial standards, building regulations and standards, and similar regulations and standards affecting development and land uses within the city. See also *Schedule 7 Regulations and Standards*.

Retention: Permanent

Duplicate Copies: Until superseded

11.160 Variance and Exemption Case Files

Records pertaining to approval of variances to municipal code requirements, such as setback and parking requirements, requested by property owners and developers due to hardships and circumstances outside of their control.

Running with the Land

Retention: Permanent

Temporary

Retention: 10 years after expiration, revocation or discontinuance of use

11.170 Vested Property Rights

Documentation that is typically recorded to place on public record the vesting of development rights subsequent to approval by the city of development proposals.

Retention: Permanent

11.180 Violations – Code

Land Use Violations

Records of violations of land use or related codes. See also *Schedule 14 Case Files – Code Enforcement Cases*.

Retention: 5 years + current

Nuisances

See *Schedule 11 Environmental Records*.

Weed and Trash Violations

Records of municipal actions to enforce the city's weed and trash removal ordinances. See also *Schedule 11 Environmental Records*.

Retention: 2 years + current

11.190 Zoning Records

Records pertaining to the initial zoning or the rezoning of property within the city.

Initial Zoning

Records documenting the zoning of land upon annexation or the initial establishment of zoning districts within the city, including correspondence

of enduring value, zoning ordinances, zoning maps, zoning petitions and the zoning of annexations. See also *Schedule 11 Annexation Case Files*.

Retention: Permanent, *except* follow Schedule 7 for purging of routine correspondence and documentation such as transmittal memos without substantive content, hearing notices, affidavits of publication, etc.

Rezoning Case Files

Records documenting a change of zoning from the initial designation, including rezoning petitions, correspondence of enduring value, rezoning ordinances.

Retention: Permanent, *except* follow Schedule 7 for purging of routine correspondence and documentation such as transmittal memos without substantive content, hearing notices, affidavits of publication, etc.

Zoning Certificates

Documentation issued by the city regarding the zoning classification for a parcel of property.

Retention: Permanent

SCHEDULE NO. 12

LICENSES AND PERMITS

General Description: Records pertaining to the review, investigation, approval, issuance, renewal, denial, suspension or revocation of licenses and permits for activities regulated by the city. *The specified retention period applies to the information contained within the record, regardless of the physical format of the record (paper, microfilm, computer disk or tape, optical disk, etc.).*

Duplicate Copies: Provided that no retention period is specified for duplicate copies, retain those that are created for administrative purposes for 1 year, and retain those created for convenience or reference purposes until no longer needed or for 1 year, whichever is first. Duplicate copies should not be retained longer than the record copy.

12.10 BONDS - LICENSES AND PERMITS

Bonds required to be filed with the city before a license or permit (such as house moving, tree trimming, street cutting etc.) can be issued or renewed.

Retention: 6 years + current after expiration

12.20 LICENSING RECORDS

Alcohol Beverage Licenses

Application materials relating to issuance, renewal, transfer, suspension or revocation of licenses for establishments that sell alcohol beverages.

License Background Files

Records relating to applications for all types of beer and liquor licenses, including initial municipal and state application forms; change of corporate or trade name form; change of location permit; modification of premises; floor diagram; individual history forms; manager's registration and changes of manager forms; certificates of incorporation or good standing; record of payment of fees; record of posting of premises; neighborhood petitions; boundary maps; ownership records including lists of officers, stockholders and directors, partnership agreements, articles of organization, operating agreements, certificates of authority, and corporate changes; and other background materials.

Retention: 1 year + current after establishment ceases operation or after final denial, expiration, revocation, termination or transfer of the license, *except* that any background materials that will also apply to a transferred license should be retained from the original license file

Renewal Applications

Retention: 1 year + current after renewal or transfer of ownership

Show Cause Administrative/Hearing Records

Documentation of hearings held by the licensing authority to show cause why a license should not be suspended or revoked including hearing notices, exhibits and hearing findings.

Retention: 1 year + current after establishment ceases to do business or license is transferred

Special Event Licenses

Application and supporting documentation for special events licenses.

Retention: 1 year + current after event

Temporary Alcohol Beverage Permits

Retention: 1 year + current after permit expiration

Animal Licenses

Records kept of licenses issued and proof of rabies vaccinations required for the keeping of domestic pet animals by residents.

Retention: 2 years + current after expiration

Bicycle Licenses

Records kept of ownership and identification information for bicycles.

Retention: 1 year + current

Business Licenses

Contain application, proof of payment, approval forms from regulatory departments and similar documentation of issuance and approval of business licenses of all types, including secondhand dealers, sexually oriented businesses, security guards, transient vendors, amusement devices and places of entertainment, taxi and limousine drivers, etc.

Retention: 1 year + current after expiration, revocation or denial

Contractor's Licenses/Registrations

Licenses issued to contractors to authorize them to do business as builders, general contractors, or contractors for installation or work on specific types of systems.

Retention: 6 years + current

License Certificates

Copies of annual license certificates issued by the city for the use or display of the licensee.

Retention: 1 year + current

Pawnbroker Records

License Background Files

Records relating to applications for licenses, record of payment of fees, background investigation material, etc.

Retention: 1 year + current after expiration, revocation, denial or termination of the pawnbroker's license

Pawn Records

Records received by the city from pawn shops to track the acquisition and sale of property pawned at the pawnshop.

Retention: 1 year + current after transaction

Sales Tax Licenses

See *Schedule 5 Tax Collection Records*.

12.30 PERMIT RECORDS

Documentation issued by the city as evidence that the bearer is allowed to undertake some type of activity for which a permit is required.

Asbestos Removal Permits

Retention: 6 years + current

Building Permits

See *Schedule 1 Building and Demolition Permits*.

Burning Permits

Permits issued by the city to individuals, or to the city by other agencies, to allow open burning on specified days.

Retention: 1 year + current, unless connected with an investigation

Communication Tower Permits

Retention: 2 years + current after removal of tower

Confined Space Entry Permits

Issued by employer for employees to work in confined spaces.

Retention: 1 year + current

Demolition Permits

See *Schedule 1 Building and Demolition Permits*.

Encroachment Permits

Permits issued by the city to allow the permanent or long-term location of communication, utility or other installations under or over public rights-of-way or publicly owned property. See also *Permits to Work in Public Way* below.

Retention: Permanent

Excavation Permits

Retention: 2 years + current

Explosives Permits

Permits for the use and storage of explosives for construction and demolition projects, fireworks, theatrical pyrotechnics, etc.

Retention: 2 years + current

Facility Permits

Documentation issued by the city to allow access to and use of a municipal facility.

Retention: 1 year + current

Fence Permits

Retention: 2 years + current

Fire Alarm System Permits

Retention: 2 years + current

Fireworks Permits

See *Explosives Permits* above.

Gas Company Permits

See *Encroachment Permits* above.

Home Occupation Permits

Retention: 2 years + current after expiration

Industrial Pretreatment Permits

See *Schedule 10 Water and Sewer Treatment System Records*.

Parade Permits

Retention: 1 year + current

Permits to Work in Public Way

Permits issued for private use or construction on municipal right-of-way ("public way") such as streets, sidewalks or adjacent land for demolitions,

excavations, street cuts, blasting, crane operations, barricade installations, concrete construction (curb, gutter sidewalks) or the moving of heavy equipment or houses. See also *Encroachment Permits* above.

Retention: 2 years + current after expiration, revocation or discontinuance of use

Sewer Tap Permits

See *Schedule 10 Water and Sewer Distribution and Storage System Records*.

Sign Permits

See *Schedule 1 Signs – Construction and Installation*.

Sludge Application Permits

See *Schedule 10 Water and Sewer Treatment System Records*.

Special Events and Use Permits

Retention: 1 year + current

Street Cut Permits

Retention: 1 year + current after expiration of warranty period

Telephone Company Permits

See *Encroachment Permits* above.

Tree Removal Permits

Retention: 1 year + current

Underground Storage Tank Permits

Records that document installation, maintenance and removal of underground storage tanks for regulated substances such as gasoline and fuel oil. See also *Schedule 11 Environmental Records – Storage Tanks – Regulated Substances*.

Denied Permits

Retention: 3 years + current after final action

Issued Permits

Retention: Permanent

Use Permits

Permits issued for various special or temporary uses.

Retention: 1 year + current

Water Tap Permits

See *Schedule 10 Water and Sewer Distribution and Storage System Records*.

12.40 REGISTERS - LICENSES AND PERMITS

Records, listings or logs of issuance of licenses or permits.

Retention: Permanent

Contact Lists – Licensees

Retention: Until superseded

Listings of Current Licenses and Permits

Listings of active business licenses.

Retention: Until superseded

SCHEDULE NO. 13

LITIGATION AND LEGAL COUNSEL RECORDS

General Description: Records pertaining to claims, lawsuits and advice received from the municipality's legal counsel. *The specified retention period applies to the information contained within the record, regardless of the physical format of the record (paper, microfilm, computer disk or tape, optical disk, etc.).*

Duplicate Copies: Provided that no retention period is specified for duplicate copies, retain those that are created for administrative purposes for 1 year, and retain those created for convenience or reference purposes until no longer needed or for 1 year, whichever is first. Duplicate copies should not be retained longer than the record copy.

13.10 Attorney Correspondence

See Schedule 7 Correspondence and General Documentation.

13.20 Billings – Legal Counsel

See Schedule 5 Accounts Payable Records.

13.30 Claims

Records of notifications of claims regarding potential lawsuits received by the municipality or an authorized representative that are forwarded to the Legal Department. See also *Schedule 5 Insurance Records.*

Retention: 6 years + current after closure of claim

13.40 Criminal Case Files

Files used by municipal prosecutors to conduct trials against persons charged with criminal misdemeanors, including citations, police reports, driving records, complaints, subpoenas, motions, judgments and related records.

Retention: 2 years after case is closed

13.50 Garnishments

See Schedule 15 Payroll Records.

13.60 Legal Opinions

Formal opinions written by legal counsel to advise the municipality, the governing body or the municipal staff regarding the legality or legal consequences of various courses of action and to present the basis and rationale for legal recommendations.

Retention: Permanent

Advisory Opinion

Formal opinions written by legal counsel to advise the municipality, the governing body or the municipal staff regarding the possible legal consequences of various courses of action.

Retention: 6 years

13.70 Litigation Case Records

Civil case files documenting pending and closed cases filed by the municipality and against the municipality, including legal documents, notes, reports, background material, settlement records and other documentation created in handling of claims and legal disputes and civil actions between the municipality and other parties. These records will include documentation such as complaints, summonses, investigations, reports, attorney's notes, photographs, orders and judgments, dispositions, pleadings and related records. Litigation records include any court decisions affecting the municipality, court proceedings, research files of legal counsel, litigation case files, and Public Utilities Commission hearing files for cases pertinent to the municipality.

Major Litigation

Documentation of civil suits by the municipality against another party or in defense of the municipality and/or its employees against suits filed by another party. Records of litigation that sets legal precedents, that has widespread importance or long-term major significance to the municipality and how it operates, that has historical interest or that is perceived by the municipality or legal counsel to have enduring reference value.

Retention: Permanent

Minor Litigation

Documentation of civil suits of a minor nature by the municipality against another party or in defense of the municipality and/or its employees

against suits filed by another party; records of litigation with relatively short-term reference value.

Retention: 7 years after case closed, dismissed or date of last action unless there is historical value

SCHEDULE NO. 14

MUNICIPAL COURT RECORDS

General Description: Records pertaining to the administration and operations of the municipal court. *The specified retention period applies to the information contained within the record, regardless of the physical format of the record (paper, microfilm, computer disk or tape, optical disk, etc.).*

Duplicate Copies: *Provided that no retention period is specified for duplicate copies, retain those that are created for administrative purposes for 1 year, and retain those created for convenience or reference purposes until no longer needed or for 1 year, whichever is first. Duplicate copies should not be retained longer than the record copy.*

14.10 APPEAL RECORDS

Records related to municipal court decisions appealed to higher courts.

Appeal Decisions

Rulings of higher court's decision on appeals of municipal court decisions.

General Ordinance

Retention: 5 years + current [11 O.S.A. § 22-131(A).(3.)]

Traffic

Retention: 5 years + current [11 O.S.A. § 22-131(A).(3.)]

Appeal Transcripts

Transcripts of municipal court proceedings prepared for appeals of municipal court decisions to higher courts.

Retention: 5 years after all rights of appeal have expired [11 O.S.A. § 22-131(A).(3.)]

14.20 BANK RECORDS - COURT MAINTAINED ACCOUNTS

See *Schedule 5*.

14.30 CASE FILES

Records containing summonses and complaints issued for appearances in municipal court and supporting documentation such as citations, notices, letters, other court-issued instruments, forms, etc.

Misdemeanor Cases

Retention: 5 years + current after closed [11 O.S.A. § 22-131(A).(3.)]
RSU 2021-02: *Municipal Courts has submitted an update request to retain records under 14.30 for Misdemeanor Cases and Traffic Cases for 10 years. Status of request: Pending*

RSU 2021-01: *Rescinding RSU-2019-01. Use original retention period.*
RSU 2019-01: *Municipal Courts has submitted an update request to retain records under 14.30 for Closed/TPO/Expunged/Dismissed Citations, Court Records Documents permanently. Requested Retention: Permanent. Status of request: 2019-01 Rescinded.*

Parking Cases

Retention: 1 year + current after closed [11 O.S.A. § 22-131(A).(1.)]

Traffic Cases

Retention: 5 years + current after closed **RSU 2021-02**: *Municipal Courts has submitted an update request to retain records under 14.30 for Misdemeanor Cases and Traffic Cases for 10 years. Status of request: Pending*

RSU 2021-01: *Rescinding RSU 2019-01. Use original retention period.*
RSU 2019-01: *Municipal Courts has submitted an update request to retain records under 14.30 for Closed/TPO/Expunged/Dismissed Citations, Court Records Documents permanently. Requested Retention: Permanent. Status of request: 2019-01 Rescinded.*

Voided Summonses

Retention: 1 year + current

14.40 DOCKET SHEETS

Rosters and listings of court cases to be heard and dates and times set for court appearances.

Retention: 5 years + current [11 O.S.A. § 22-131(3.)] **RSU 2021-01**: *Rescinding RSU 2019-01. Use original retention period.*

RSU 2019-01: *Municipal Courts has submitted an update request to retain records under 14.40 6 years+current. Requested Retention: 6 years+current. Status of request: 2019-01 Rescinded*

Older than 1920

Retention: Perhaps permanent depending on historical value.

14.50 FINES AND CHARGES

Schedules of fines and charges imposed by the municipal court.

Retention: Until superseded, *except* retain one copy for historical purposes

14.60 JUDGES

See *Schedule 15 Employee Records*.

14.70 JURY RECORDS

Records relating to selection and oversight of jurors, rosters of persons selected to serve on juries and instructions regarding their service on the jury.

Retention: 2 years + current ***RSU 2021-01: Rescinding RSU 2019-01. Use original retention period.***

RSU 2019-01: Municipal Courts has submitted an update request to retain records under 14.70 6 years+current. Requested Retention: 6 years+current. Status of request: 2019-01Rescinded.

Juror's Summonses

Retention: 1 year + current

14.80 PROCEDURES

Records documenting guidelines and implementation of state rules and local variations established to clarify procedures. See also *Schedule 7 Policies and Procedures Documentation*.

Retention: Current plus previous versions

14.90 REGISTERS AND INDEXES

Alphabetical or numerical indexes or registers of municipal court cases and transactions.

Index or Register of Cases

Retention: 5 years + current [11 O.S.A. § 22-131(A.)(3.)]

Index of Deferred Services

Retention: 5 years + current

Index of Warrants

Retention: 2 years after all cases closed [11 O.S.A. § 22-131(A.)(2.)]

Registers – Monthly

Retention: 2 years [11 O.S.A. § 22-131(A.)(2.)]

14.100 REPORTS

Summary reports from municipal court to the municipality.

Annual Reports

Retention: Permanent

Monthly Reports

Retention: 1 year + current

14.110 SUBPOENAS

Documents issued to compel an appearance of a defendant or witnesses before the court, or the submission of certified copies of pertinent records.

Retention: Duration of retention of case file

14.120 SUMMONSES AND COMPLAINTS

See Schedule 14 Case Files.

14.130 TAPE RECORDINGS/NOTES OF REPORTER OF COURT PROCEEDINGS

Sound recordings and court reporter notes made of proceedings before the municipal court.

Retention: 5 years after judgment is entered, provided all rights of appeal have expired [11 O.S.A. § 22-131(A).(3.)] ***RSU 2021-01: Rescinding RSU 2015-03. Use original retention period.***

RSU 2015-03: Municipal Courts has submitted an update request to retain records under 14.130 permanently stating that the retention schedule is in conflict with state statutes. Status of request:2015-03 Rescinded.

14.140 WARRANTS

Documents issued by the court ordering the arrest or detainment of an individual.

Index of Warrants

See Schedule 14 Registers and Indexes.

Warrants

Retention: 2 years + current after closed or recalled [11 O.S.A. § 22-131(A).(2.)]

SCHEDULE NO. 15

PERSONNEL RECORDS

General Description: Records relating to the hiring, employment, safety, benefits, compensation, retirement and termination of municipal employees. *The specified retention period applies to the information contained within the record, regardless of the physical format of the record (paper, microfilm, computer disk or tape, optical disk, etc.).*

Duplicate Copies: *Provided that no retention period is specified for duplicate copies, retain those that are created for administrative purposes for 1 year, and retain those created for convenience or reference purposes until no longer needed or for 1 year, whichever is first. Duplicate copies should not be retained longer than the record copy.*

15.10 AFFIRMATIVE ACTION RECORDS

See Schedule 15 Compliance with Regulatory Requirements.

15.20 AGREEMENTS AND CONTRACTS - PERSONNEL

See also Schedule 7 Agreements and Contracts.

Collective Bargaining Agreements

Retention: 3 years after expiration [29 CFR 516.5] ***RSU 2015-01: Human Resources Department has requested the retention of Collective Bargaining Agreements to be permanent. Status of request: Pending.***

Employment Contracts

Individual employment contracts or where contracts or agreements are not in writing, a written memorandum summarizing the terms.

Retention: 3 years after expiration [29 CFR 516.5]

15.30 AMERICANS WITH DISABILITY ACT RECORDS

See Schedule 15 Compliance with Regulatory Requirements.

15.40 BENEFITS

Records pertaining to fringe benefits, insurance coverage and benefit plans for employees.

Group Health Insurance – Continuation of Coverage

Records showing covered employees, their spouses and dependents have received written notice of continuing group health insurance and COBRA¹¹ rights, and whether the covered employees, spouses and dependents elected or rejected coverage.

Retention: 3 years + current¹²

Benefit Plans

Documentation relating to employee health, dental, vision and other insurance plans; Social Security, pension, deferred compensation, Individual Retirement Accounts, money purchase plans, retirement and similar plans; including a benefit plan description and/or a summary benefit plan description.

Retention: Full period that plan or system is in effect, plus 1 year after termination of the plan [29 CFR 1627.3]¹³

Plan Basis

Records providing the basis for all required plan descriptions and reports necessary to certify the information, including vouchers, worksheets, receipts, applicable resolutions.

Retention: Not less than 6 years after filing date of documents [29 USC 1027; 29 CFR 2520.101 and 29 CFR 2520.107.1 (Use of electronic media for maintenance and retention of records)]

15.50 BONDS - PUBLIC OFFICIALS

Fidelity, surety, blanket or other bonds intended to guarantee honest and faithful performance of officials such as the municipal clerk, financial officer or administrator [11 O.S. 22-131A.5].

Retention: 5 years + current after term expires

15.60 COMPLIANCE WITH REGULATORY REQUIREMENTS

Affirmative Action Compliance

Records relating to the city's compliance with Title VII of the Civil Rights Act [29 CFR 1602].

Affirmative Action Plan

Retention: Permanent

Affirmative Action Records

Records of requests for job applicant's reasonable accommodation applications, hiring, promotion, demotion, transfer, layoff, termination, rates of pay, selections for training or apprenticeship.

Retention: 2 years¹⁴ [29 CFR 1602.31]

Report EEO-4

Records submitted to the Equal Employment Opportunity Commission (EEOC) documenting compliance with EEOC requirements by municipalities with 15 or more employees.

Retention: 3 years [29 CFR 1602.30; 29 CFR 1602.32]

Americans with Disabilities Act (ADA) Compliance

See *Schedule 15 Physical and Medical Records*.

Consolidated Omnibus Budget Reconciliation Act of 1985 (COBRA) Compliance

See *Schedule 15 Benefits – Group Health Insurance – Continuation of Coverage*.

Family and Medical Leave Act (FMLA) Compliance

See *Schedule 15 Physical and Medical Records*.

Occupational Safety and Health Act (OSHA) Compliance

See *Schedule 15 Physical and Medical Records*.

15.70 EMPLOYEE RECORDS - ACTIVE AND TERMINATED

Documentation of an individual employee's work history, including information regarding active and terminated employees maintained because of the employer-employee relationship, such as records pertaining to age, address, telephone number and social security number; notices of appointment; tuition reimbursement; classification questionnaires; commendations; disciplinary and personnel actions relating to the employee, including hiring, evaluation, demotion, promotion and

termination of municipal employees; letters of commendation; letters of resignation; emergency notification forms; oaths of office; job-related training documentation; performance evaluations; salary documentation; selection of benefit plans, etc. See also other employee and personnel records listed elsewhere in Schedule 15.

Retention: 10 years after retirement or separation, provided that records relating to hazardous material exposure are retained 30 years after separation.¹⁵

Duplicate Copies: Transfer to custodian of record copy upon termination of employment

15.80 EMPLOYEE RECORDS - TEMPORARY AND SEASONAL

Records and documentation relating to employment of temporary and seasonal employees, except for payroll and fiscal information.

Retention: 3 years after termination, *except* payroll and fiscal records

15.90 EXPENSE RECORDS

See *Schedule 5 Accounts Payable Records*.

15.100 GARNISHMENTS

See *Schedule 15 Payroll Records*.

15.110 GRIEVANCES

Records of personnel grievances filed by employees.

Retention: 3 years + current after settled. ***RSU 2015-01: Human Resources Department has requested the retention of personnel grievances to be permanent. Status of request: Pending.***

15.120 HEALTH AND SAFETY RECORDS

See also *Schedule 15 Physical and Medical Records* and *Workers' Compensation*.

Hazardous Materials Exposure

Records of any personal or environmental monitoring of exposure to hazardous materials, lead and asbestos, chemicals, toxic substances, noise, dust, heat, cold, repetitive motion, blood-borne pathogens, biological

agents, bacteria, virus, fungus, radiation, or other dangerous work-related conditions.

Retention: 30 years after separation [29 CFR 1910.1020 and 15 USC 2622]

HIPPA Authorizations for Release of Information
Employee (patient) authorizations for release of protected information.

Retention: 6 years from date of creation of the record

Material Safety Data Sheets (MSDS)

Employers must have a MSDS on file for each hazardous chemical they receive and use and ensure copies are readily accessible to employees in their work area. Employer must keep records of chemicals used, where they were used and for how long [29 CFR 1910.1200].

Retention: Until superseded or 1 year + current after chemical is disposed of or consumed provided the employer retains some record of the identity (chemical name if known) of the substance or agent, where it was used, and when it was used for at least 30 years.

Safety Committee Records

See *Schedule 7 Committees – Internal*.

Safety Policies and Procedures

See *Schedule 7 Policies and Procedures Documentation*.

Safety Training Information

Manuals, handbooks and similar documentation of safety training provided to employees.

Retention: 1 year + current

15.130 I-9 FORMS

Record of verification of citizenship and eligibility to work in the United States, including verification documentation that establishes identity and eligibility (Immigration and Naturalization Services Form I-9, Employment Eligibility Verification Form); applies to all employees hired after November 6, 1986.

Retention: 3 years from date of hire or 1 year after separation, whichever is later [8 CFR 274a.(c).(2.)]

15.140 INSURANCE - EMPLOYEE

See *Schedule 15 Benefits* and *Schedule 5 Insurance Records*.

15.150 JOB RECORDS

Advertisements of Job Opportunities

Advertisements and announcements regarding job openings, promotions, training programs or overtime work.

Retention: 1 year + current [29 CFR 1627.3]

Applications for Employment and Supporting Documentation

Applications, resumes and supporting documentation and other replies to job advertisements, including applications for temporary positions.

Retention: 2 years from the date record was made or human resource action was taken, whichever is later [29 CFR 1627.4, 29 CFR 1602.14]

Applications for Employment – Not Hired

Applications, resumes and supporting documentation submitted for municipal employment by individuals not hired.

Retention: 2 years from the date of the making of the record or the personnel action involved, whichever occurs later; or [29 CFR 1602.31]

Examinations

Tests administered by the city in connection with screening job applicants to determine aptitude or skills.

Retention: 2 years + current from the date of making record or action, whichever occurs last [29 CFR 1602.31, 29 CFR 1627.3 and 29 CFR 1607.4]

Job Descriptions and Specifications

Written descriptions of duties performed, qualifications and physical requirements for municipal positions.

Retention: Until superseded

Polygraph Records – Job Applicants

Retention: 2 years + current

Polygraph Records - Routine (Not Job Related)

Retention: Until administrative need ends

15.160 OATHS OF OFFICE

Oaths of office taken by appointed and elected municipal officials.

Retention: Term of office + 1 year

15.170 PAYROLL RECORDS

Basis of Pay¹⁶

Records pertaining to additions or deductions from wages paid; the basis on which wages are paid; earnings per week; records containing employee's name, address, date of birth, occupation, rate of pay and compensation earned per week; includes payroll records pertaining to both FLSA-Exempt and FLSA-Non-Exempt Employees.

Note: The basis on which wages are paid must be documented in sufficient detail to permit calculation for each pay period including benefits and prerequisites. The records may include payment of wages, wage rates, job evaluations, merit and incentive programs and seniority systems. The basic reason for these records is to give the Wage-Hour Division an indication on whether or not sex discrimination exists.

Retention: 3 years [29 CFR 516.5]

Compensation Plans

Pay Plans

Written plans outlining job titles and pay scales for municipal employees.

Retention: Permanent

Seniority or Merit Systems

Retention: For the full period the plan or system is in effect plus 1 year [29 CFR 1627.3]

Credit Union Deduction Requests

Retention: 1 year after superseded¹⁷

Direct Deposit Reports

Retention: 1 year + current

Employee Longevity Reports

Report related to individual employee.

Retention: 10 years after separation

Garnishments

Documentation of requests and court orders served on the city to withhold the wages of employees for garnishments, tax levies, support payments and other reasons.

Retention: 5 years [11 O.S.A. § 22-131A.3.]

Leave Records

Balance Reports

Year-End

Retention: Duration of employee file

Other Periodic Reports

Retention: 2 years

Leave Requests

Applications submitted by employees for sick, vacation, compensatory, personal business, family and medical leave, long-term leave and other leave time.

Retention: 1 year + current

Pay Plans

See *Compensation Plans* above.

Payroll Reports

Employee Longevity Reports

Retention: Permanent

End of Pay Period

Retention: 5 year + current [11 O.S.A. § 22-131A.3.]

FICA Reports – Quarterly

Retention: 6 years + current

Quarterly

Retention: 5 years + current [11 O.S.A. § 22-131A.3.]

Year-End

Retention: 6 years + current provided Payroll Register is retained permanently

Payroll Tax Records

Records of collection, distribution, deposit and transmittal of federal and state income taxes, including federal miscellaneous income statements (1099), request for taxpayer identification number and certificate (W-9), employer's quarterly federal tax return (941, 941E) and other similar federal and state forms.

Retention: 5 years + current [11 O.S.A. § 22-131A.3.]

Register – Payroll [Year-End]

Documentation of the earnings, voluntary and required deductions and withholdings of municipal employees.

Retention: Permanent

Salary Surveys

Studies and surveys conducted by the city or its agents to gather comparative salary information for municipal positions in comparable organizations.

Retention: 3 years + current

Time Worked Records

All basic time and earnings cards or sheets and work production sheets of individuals where all or part of the employee's earnings are determined.

Retention: 5 years + current [[11 O.S.A. § 22-131A.3.]¹⁸

Wage-Rate Tables

All tables or schedules (from their last effective date) of the employer which provide the piece rates or other rates used in computing straight-time earnings, wages, or salary, or overtime pay computation.

Retention: 2 years; however the Department of Labor may request records back 3 years [29 CFR 516.6]

W-2 Forms

Annual wage and tax statements documenting individual employee earnings and withholdings for state and federal income taxes and social security tax.

Retention: 4 years + current

W-4 Forms

Withholding allowance certificates documenting exemption status of individual municipal employees.

Retention: Throughout employment

15.180 PENSION RECORDS

Actuarial Reports

Reports by actuaries concerning the financial soundness of a pension plan.

Retention: Permanent

Pensions Awarded

Records of applications for pensions, determinations regarding award of pensions and actuarial calculations for the pension.

Retention: Permanent

Pension Plans

See *Schedule 15 Benefits – Benefit Plans*.

15.190 PHYSICAL AND MEDICAL RECORDS

Records documenting an individual employee's work-related medical history [29 CFR 1630.14]. *Note: These records are not personnel records and must be kept physically separate from employee personnel records in a separate location as required by the Americans with Disabilities Act. See also Schedule 15 Health and Safety Records.*

Age Discrimination in Employment Act (ADEA) and Americans with Disabilities Act (ADA) Records

Records required to be retained under Age Discrimination in Employment Act (ADEA) and Americans with Disabilities Act (ADA) containing results of physical examinations considered in connection with personnel actions.

Retention: 1 year [29 CFR 1627.3]

Family and Medical Leave Act (FMLA) Records

Records required to be retained under Family and Medical Leave Act (FMLA); includes an FMLA leave request relating to medical certifications, recertification or medical histories of employees or employees' family members. These records shall be maintained in separate files/records and be treated as confidential medical records, except that supervisors and managers may be informed regarding necessary restrictions and accommodations, not the nature of the condition, first aid and safety personnel may be informed (when appropriate) if the employee may/might require emergency treatment, and government officials investigating compliance with FMLA shall be provided relevant information.

Retention: 3 years [29 CFR 825.500]

Occupational Safety and Health Act (OSHA) Records

Records required under Occupational Safety and Health Act (OSHA), including complete and accurate records of all medical examinations required by OSHA law. Note: These records may be retained by the medical provider.

Retention: Duration of employment + 30 years, unless a specific OSHA standard provides a different time period [29 CFR 1910.1020]

15.200 POLICIES AND PROCEDURES - PERSONNEL

Handbooks, manuals, directives and other written statements or summaries of policies and procedures governing personnel and human resource matters pertaining to employment with the city. See also *Schedule 7 Policies and Procedures Documentation*.

Retention: Until updated, *except* retain permanently all documentation that would be useful in establishing past policies or procedures in settling personnel disputes

Recruitment and Interviewing Procedures

Guidelines for recruitment and interviewing processes for hiring of municipal employees.

Retention: 1 year + current

15.210 REGULATORY AGENCY INFORMATION

See *Schedule 7 Legislation and Regulatory Actions*.

15.220 REPORTS - PERSONNEL

See *Schedule 15 Pension Records and Payroll Records*.

15.230 SAFETY

See *Schedule 15 Health and Safety Records*.

15.240 SIGNATURE CERTIFICATES

Facsimile signature certificates for the municipal clerk and treasurer that are filed with the Secretary of State's office for authentication and verification of the signature of the official on municipal documents.

Retention: 1 year after end of employment

15.250 SOCIAL SECURITY

See *Schedule 15 Benefits – Benefit Plans*.

15.260 TEST RECORDS

See *Schedule 15 Job Records*.

15.270 TRAINING INFORMATION

Information presented to orient new employees regarding policies and procedures.

Retention: 1 year + current

15.280 UNEMPLOYMENT INSURANCE

Reports and claim records for unemployment insurance payments.

Retention: 6 years + current

15.290 VOLUNTEER WORKER RECORDS

Records documenting work performed for the city by citizens without compensation for their services.

Retention: 3 years after separation

15.300 WORK SCHEDULES

Employee On-Call Schedule

Retention: 2 years + current

15.310 WORKERS' COMPENSATION

Injury reports and supplemental reports and claim records for workers' compensation.

Retention: 6 years + current ***RSU 2016-01: Human Resources Department has requested the retention of Workers' Compensation record be modified to 6 years + current once the statute of limitations has been reached based on a per-claim date calculation according to the law applicable to each claim. Status of request: Pending.***

¹¹ COBRA means Consolidated Omnibus Budget Reconciliation Act of 1985.

¹² Retention period not specified in federal law 26 CFR 54.4980 B or 29 USC 1166.

¹³ Other states specify permanent retention for pension plans.

¹⁴ Other states specify 5 years + current.

¹⁵ Research notations: *Age records*, 3 years [29 CFR 516.2, 41 CFR 50-201.1, and 29 CFR 1627.3]; *demotion records*, 1 year [29 CFR 1627.3 and 29 CFR 1602.14]; *hiring records*, 3 years [29 CFR 1602.14 and 29 CFR 1627.3]; *promotion records*, 1 year from date record made or personnel action taken, whichever is later [29 CFR 1602.14]; *termination records*, 1 year from date record made or personnel action taken, whichever is later [29 CFR 1602.14]; *involuntary terminations*, 2 years from date of termination, or in cases of charges of discrimination retain until final disposition of charge or action [29 CFR 1602.31].

¹⁶ Research notations: *Additions or Deductions from Wages Paid*, 3 years [29 CFR 516.5]; *Age Discrimination in Employment Act Records*, 3 years [29 CFR 1627.3]; *Basis on Which Wages Are Paid*, 2 years [29 CFR 1620.32 and 29 CFR 516.6]; *Earnings Per Week*, 3 years [29 CFR 1627.3 and 29 CFR 516.5]; *FLSA-Exempt Employees*, 3 years [29 CFR 516.5]; *FLSA-Non Exempt Employees*, 3 years [29 CFR 516.5]; *Title VII and Americans with Disabilities Act*, 1 year from date record made or personnel action taken, whichever is later [29 CFR 1602.14].

¹⁷ 29 CFR 516.6 specifies retention for 2 years.

¹⁸ 29 CFR 1602.31 and 29 CFR 516.6 specify retention for 2 years.

SCHEDULE NO. 16

PROPERTY RECORDS

General Description: Records of real property considered for acquisition or owned, sold or vacated by the city. *The specified retention period applies to the information contained within the record, regardless of the physical format of the record (paper, microfilm, computer disk or tape, optical disk, etc.).*

Duplicate Copies: Provided that no retention period is specified for duplicate copies, retain those that are created for administrative purposes for 1 year, and retain those created for convenience or reference purposes until no longer needed or for 1 year, whichever is first. Duplicate copies should not be retained longer than the record copy.

16.10 ACQUISITION RECORDS

Records documenting the acquisition and ownership of real property by the city, including appraisals, quiet title actions, condemnations and eminent domain actions, purchase of property and similar actions to acquire land or real property.

Retention: Permanent

16.20 AUCTION RECORDS

See Schedule 5 Fixed Asset Records.

16.30 BUILDINGS AND STRUCTURES - MUNICIPAL

Records relating to acquisition, construction and sale of buildings and structures owned by the city.

Retention: 10 years after disposition of building or structure [11 O.S.A. § 22-131A.4.]

16.40 CEMETERIES

See Schedule 2 Cemetery Records.

16.50 DEEDS AND DEDICATIONS

Conveyances of property or property rights to or from the municipality, including warranty deeds, dedication deeds and similar documents.

Retention: Permanent

16.60 EASEMENTS AND RIGHTS-OF-WAY

Permanent Easements and Rights-of-Way

Conveyances of rights to place utilities or other infrastructure or to cross under or over property owned by another property owner.

Retention: Permanent

Temporary Access and Construction Easements

Documentation of temporary easements allowing access and entrance to, and work on, property or streets not owned by the easement holder.

Retention: 2 years after easement expires

16.70 ENCROACHMENTS

See Schedule 12 Encroachment Permits.

16.80 FLEET AND EQUIPMENT RECORDS

See Schedule 6 Fleet and Equipment Records.

16.90 INVENTORIES

See Schedule 5 Fixed Asset Records.

16.100 LEASES

Agreements through which the city obtains the right to use property owned by another, or through which the city grants the right to use municipal property to another party, for a specified period of time in exchange for the payment of rental; includes leases, subleases, assignments of leases, rental rates, terms of property use, etc. See also *Schedule 5 Purchasing Records – Lease Purchase Records.*

Retention: 6 years after termination of lease

16.110 MAINTENANCE, UPKEEP AND DAMAGE RECORDS

Records documenting the minor maintenance, repair and upkeep of municipally owned facilities and property. See also *Schedule 16 Work Orders – Property.*

Retention: 1 year + current

Chemical Application Records

Records documenting the application of chemicals such as pesticides, herbicides and fertilizers to parks and other municipal property. See also *Schedule 15 Health and Safety Records – Hazardous Materials Exposure*.

Retention: 3 years after application

Damage Records

Records of damage to municipal property, including signs, trees, park facilities, buildings and fences.

Retention: 3 years after date of last action if not litigated; if litigated see Schedule 13

Inspection Records

Records documenting periodic inspection of parks and facilities to check for damage and recommend repairs and maintenance.

Retention: 2 years

16.120 PARKS

Historical and informational records regarding each of the city's parks, including correspondence, architectural drawings, park histories, photographs, etc.

Retention: Permanent

16.130 PROJECTS

Construction, renovation or other building projects on municipally owned property. See *Schedule 7 Project Files*.

16.140 RIGHTS-OF-WAY

See *Schedule 16 Easements and Rights-of-Way*.

16.150 SALE OR TRANSFER OF PROPERTY RECORDS

Records pertaining to transactions for the sale or trade of land, buildings or other real property owned by the city.

Retention: Permanent

16.155 SECURITY RECORDS

Automated Access System Records

Records generated by automated systems to show entry and exit from secured areas by authorized persons using an electronic badge or similar system to gain entry or exit.

Retention: 1 year + current

Entry and Exit Log Sheets

Retained to document entry and exit to and from secured areas.

Retention: 1 year + current

Videotapes Related to Security

Facility Security of Justice Center/Other Municipal Buildings

Video recordings from security cameras in municipal buildings. Security setups vary and recordings may be continuous, stop-frame or random use. In addition to visual feed, videos also show date and time indexing information.

Retention: 30 days

Security Videos of Detention Center Booking

Security setups vary and recordings may be continuous, stop-frame, random or triggered by "panic button" use. In addition to visual feed, videos also show date and time indexing information.

Retention: 1 year

16.160 TREES

Records pertaining to the planting, removal, care and inventory of trees on municipally owned property.

Tree Inventory

Retention: Until superseded

Tree Removal

See *Schedule 12 Permit Records – Tree Removal Permits.*

16.165 UTILITY LOCATE REQUESTS

Records of utility and infrastructure locate requests processed by the city.

Retention: (2) two years after locate is completed or determined to be the responsibility of another jurisdiction.

16.170 VACATIONS - EASEMENTS AND RIGHTS-OF-WAY

See *Schedule 10 Vacations – Street, Alley and Right-of-Way.*

16.180 WORK ORDERS - PROPERTY

Request and authorization forms for repair or maintenance work on municipally owned facilities or structures.

Retention: 2 years

SCHEDULE NO. 17

PUBLIC SAFETY RECORDS

General Description: Records relating to the enforcement and protective service functions of the city. *The specified retention period applies to the information contained within the record, regardless of the physical format of the record (paper, microfilm, computer disk or tape, optical disk, etc.).*

Duplicate Copies: *Provided that no retention period is specified for duplicate copies, retain those that are created for administrative purposes for 1 year, and retain those created for convenience or reference purposes until no longer needed or for 1 year, whichever is first. Duplicate copies should not be retained longer than the record copy.*

17.10 AGREEMENTS AND CONTRACTS

See Schedule 7 Agreements and Contracts.

17.20 ANIMAL CONTROL

Records relating to the control and protection of animals in the municipality.

Animal Licensing

See Schedule 12 Licensing Records.

Humane Society

Records documenting the ongoing operational and administrative relationship between the city and the local humane society or animal shelter. *See Schedule 7 External Groups and Agencies.*

Impoundment Records

Records pertaining to the impoundment and care of stray animals.

Retention: 1 year + current

Regulations

See Schedule 7 Regulations and Standards.

17.30 CIVIL DEFENSE

See Schedule 17 Emergency Planning and Response.

17.40 DISASTER RESPONSE PLANNING

See Schedule 17 Emergency Planning and Response.

17.50 EMERGENCY PLANNING AND RESPONSE

Emergency Operations and Management Plans

Records relating to disaster, emergency and civil defense planning and preparation; implementation and testing of disaster warning systems and response planning; disaster response and emergency planning and preparedness of the city. Includes emergency operations plans, incident response plans, and disaster management and recovery plans. See also *Schedule 6 Equipment Records*.

Retention: 1 year + current after superseded, *except* retain 1 copy for historical purposes

Incident Records – Disasters and Emergencies

Documentation of the extent and impacts of natural or manmade disasters and emergency incidents and actions taken by the city in response to such incidents; includes records such as logs, diaries, damage assessment and response reports, situation and resource allocation reports, incident plans, resource ordering and tracking, financial documentation, photographs, and similar incident-related documentation.

Retention: Permanent

Mutual Aid Agreements

See Schedule 7 Agreements and Contracts.

17.60 EQUIPMENT - PUBLIC SAFETY

Records pertaining to equipment used by public safety and emergency services departments. See also *Schedule 6 Equipment Records*.

Emergency 9-1-1 Service

Retention: 5 years after superseded

Radar Guns and Camera Radar

Records pertaining to maintenance and calibration of radar guns, camera radar and similar detection systems.

Retention: 1 year after removal from service

Warning Systems – Emergencies and Disasters

See *Schedule 6 Equipment Records*.

17.70 FIRE AND RESCUE ACTIVITY RECORDS

Records pertaining to fire suppression and prevention and emergency rescue functions.

Burning Permits

See *Schedule 12 Permit Records*.

Call Sheets – Rescue Unit

Retention: 5 years + current

Equipment

See also *Schedule 6*.

Fire Hydrant Records

Documentation of locations, specifications, maintenance, testing and repair of water hydrants in the municipal water system.

Retention: 1 year after hydrant is replaced or removed from service

Pumper Tests and Hose Tests

Retention: 1 year after disposal of equipment

Fire Code

See *Schedule 7 Code Book Records*.

Fire Code Board of Appeals

See *Schedule 1 Building Board Case Files*.

Fire Insurance Rate Maps

See *Schedule 7 Maps and Drawings*.

Fire Protection Districts

Records with long-term value documenting the ongoing operational and administrative relationship between the city and the fire protection district. Note: Follow other Schedules for other types of records. See also *Schedule 7 External Groups and Agencies*.

Retention: Permanent

Incident Records

Fire Call Sheets

Retention: 5 years + current

Fire Prevention Schedule

Retention: 1 year + current

Incident Investigations

Records pertaining to investigations regarding fires and other incidents. See also *Schedule 17 Hazardous Materials*.

Fatality

Retention: Permanent

Nonfatality

Retention: 10 years + current

Noncriminal

Retention: 2 years + current

Rescue Incident Reports

Retention: Permanent

Run Sheets – Fire and Rescue

Retention: Permanent

Inspections

Business Inspection Records

Records of inspections of commercial establishments.

Retention: Permanent

Intelligence Files (Arson)

Records containing information regarding individuals and groups.

Multiple Contacts

Retention: 5 years

No Further Contact

Retention: 1 year + current

Routine Inspections

Records of routine fire prevention and other related inspections performed by the city.

Retention: 3 years + current

Requests for Service

Retention: 2 years + current

S.A.R.A. Tier II Reports

Superfund Amendments Reauthorization Act reports.

Retention: 1 year + current

Training Records

See *Schedule 15 Training Information*.

17.75 FIRE DEPARTMENT RECORDS

Tulsa has adopted the International Fire Code (IFC) and should follow the records retention provisions set out in the IFC as follows, unless a local exception is adopted by ordinance.

Approval and Variance Records

Retention: Not less than 5 years or for as long as the structure or activity to which such records relate remains in existence, unless otherwise provided by other regulations [IFC §104.6.1]

Fire Records

Retention: Not less than 5 years or for as long as the structure or activity to which such records relate remains in existence, unless otherwise provided by other regulations [IFC §104.6.3]

Inspection Records

Retention: Not less than 5 years or for as long as the structure or activity to which such records relate remains in existence, unless otherwise provided by other regulations [IFC §104.6.2]

Statistical Records – Fire Department

Statistics regarding the extent of fires and the damage caused by fires.

Retention: Not less than 5 years or for as long as the structure or activity to which such records relate remains in existence, unless otherwise provided by other regulations [IFC §104.6.3]

17.80 HAZARDOUS MATERIALS

Records relating to hazardous materials regulation, prevention, safety and incident response and investigation.

Asbestos Removal Permits

See *Schedule 12 Permit Records*.

Incident Prevention Reports

Retention: 3 years + current

Incident Response Planning

See *Schedule 17 Emergency Planning and Response*.

Investigations

Records of investigations of hazardous materials incidents.

Criminal Hazardous Materials Incidents

Retention: Permanent

Noncriminal Hazardous Materials Incidents

Retention: 2 years after costs are recovered

Registration – Hazardous Materials

Retention: Permanent

Underground Storage Tank Inspections

See *Schedule 11 Environmental Records* and *Schedule 12 Permit Records*.

Toxic Site (Designated)

See *Schedule 11 Environmental Records*.

17.90 POLICE RECORDS¹ [General Reference: 11 O.S.A. § 22-131]

[**SEE ALSO:** Tulsa Police Department Operational Guidelines, TOG 2034 Records Retention and Retention Schedule Update 2017-01 pending status]

Arrest Records

Records pertaining to arrests.

Arrest and Booking Data Sheets:

Retention: permanent

Arrest logs and Booking Blotters²

¹If a longer retention period is required under either Oklahoma or federal law or regulation, or CALEA Standards, the longest period of retention shall control.

Retention: 5 years + current *Adult Offenders*

Felony Arrests (Major Felonies and Violent Crimes)

Cases such as arson, aggravated assault, homicides, kidnapping, deaths, missing persons (excluding runaways) and officers killed.

Retention: Permanent

Felony Arrests (Other)

Other felony cases, special investigations and similar cases.

Retention: 10 years + current

Misdemeanors

Misdemeanor cases, petty offenses, traffic offenses and similar cases

Retention: 3 years + current

Juveniles

Retention: Until 19 years old

Authorized List Documentation³

Retention: 3 years.

Case Records⁴

Investigative case records pertaining to cases handled by the police department.

² Booking blotters are currently created and maintained by the Tulsa County Sheriff's Office (TCSO). TPD receives a copy and retains for 90 days. TPD should insure that TCSO will retain such records in accordance with these retention periods or otherwise provide to TPD for maintenance.

³An electronic document which contains names and identifying numbers for personnel from outside law enforcement agencies who telephone TPD Records for confidential information.

⁴ Tulsa Police Department refers to case records as "incident reports."

Felony Cases and Misdemeanor Cases

Retention: Permanent

Criminal History Files

Felonies and Misdemeanors

Retention: Permanent

Evidence Records

Records pertaining to the collection and storage of evidence collected at crime scenes and during police investigations. *Note: Retention periods apply provided offenses are not affected by statute of limitations.*

Fingerprint Cards and Files

Records containing latent fingerprints and palm prints found at crime scenes without identification of suspects.

Retention: 75 years + current

Handling and Storage of Evidence Records

Logs documenting the receipt, transfer and release of materials taken into evidence, including property reports, release records, evidence tags and similar records.

Retention: 7 years + current

Mug Shots/Negatives

Photographic records of suspects and persons convicted of crimes; includes photographic prints and negatives.

Retention: Permanent⁵

Photos/Negatives

Photographic records of crime scenes; includes photographic prints and negatives.

Retention: 75 years + current

⁵ Unless the arrest during which they were taken is ordered expunged.

Videotapes See Schedule 17.150 Videotapes

Field Interview Reports

Records of contacts with businesses, complainants, juveniles, victims or witnesses after which no incident report is filed, including written statements.

Retention: permanent (TRACIS system)

Tape-Recorded Interviews – Field Contacts

Taped interviews conducted during field contacts in which no incident report is filed.

Retention: 90 days if transcribed

Intelligence Files (Police)

Records containing information regarding individuals and groups.

Multiple Contacts

Retention: No longer than 5 years [28 CFR 23.20(h)]

No Further Contact

Retention: 1 year + current

Internal Affairs Investigations

Records pertaining to internal investigations regarding police conduct or actions, board of inquiry proceedings, and any subsequent disciplinary actions. *Note: Substantiated investigations should be transferred to the record copy custodian for personnel records for the city to be retained or destroyed according to personnel policy unless there are conflicts with union policy.*

Retention: Permanent

Licenses and Permits

See Schedule 12 Licenses and Permits.

Logs

Listings kept to track specific routine daily activities.

Arrest Logs

See *Arrest Records* above.

Court Subpoena Logs

Retention: 2 years + current

Crime Logs⁶

Logs kept of specified crimes such as auto and auto parts thefts, burglaries, forgeries and bad checks, theft and fraud and similar records.

Retention: 3 years + current

Criminal History Check Log Sheets

Logs retained for NCIC⁷ audit containing information regarding criminal history checks conducted by the Tulsa Police Department pertinent to possible criminal activity, law enforcement employment, etc.

Retention: 1 year + current [NCIC Policy]

Dispatch Logs

Retention: 1 year + current

DUI Logs⁸

Retention: 5 years + current

Offense Logs

Retention: 3 years + current

⁶ Tulsa Police Department refers to Crime Logs as Incident Report Logs.

⁷ NCIC means National Crime Information Center.

⁸ DUI affidavits are completed by arresting officer and retained for five years.

Routine Activity Logs

Documentation of routine home and welfare checks, alarm checks, and similar activities.

Retention: 1 year + current

Traffic Accident Logs

Retention: 2 years + current

Personnel Records

See *Schedule 15*.

Prisoner Transport Records

Retention: 1 year + current

Protective Orders

(A duplicate of the protective order issued by Tulsa County District Court)

Retention: Until expired or dismissed by the court. [I (SC) would recommend two years after expiration or dismissal].

Retention Method: The duplicate is in paper form. We do maintain an electronic log of the protection order, date received, and date expired/dismissed.

Steno Call-In Logs⁹:

Retention: One year plus current month.

Warrants

Computer generated printouts of all warrants entered, arrested, cancelled, abated each on a separate printout. (The originals of all warrants issued by the Tulsa County District Court and City of Tulsa Municipal Court are maintained by ITS Booking).

Retention: Warrants: Until arrest, cancellation, or abatement.
Warrant Printouts: Three years.

⁹ The Steno Pool has an automated dictation system which detectives/officers use to dictate supplemental and prosecution reports and interoffice correspondence.

Registered Sex Offenders [57 O.S.A. § 583]

See also *Case Files – Sex Offenders above*.

Information Request Forms – Sex Offenders

Forms completed by parties interested in inspecting public information regarding sex offenders.

Retention: 3 years + current.

Sex Offender Registration and Cancellation Forms

Notifications completed by convicted sex offenders regarding residence addresses and contact information. General Reference: [57 O.S.A. § 584].

Retention: 10 years from the date of last registration.

Habitual or Aggravated Sex Offenders – Public Notifications

Notices given by the Police Department to the public regarding habitual or aggravated sex offenders in the community. General Reference: [57 O.S.A. § 584].

Retention: 10 years from the date of last registration.

Reports

Accident Reports

Retention: 3 years + current

Activity Summaries

Routine reports and documentation regarding daily activities and assignments, dispatch logs, field activity, officer activity, ride-along records, tavern and bar checks, vehicle impoundments, roll call records and work schedules.

Retention: 1 year + current

Crime Stoppers Reports

Retention: 2 years + current

Records Checks

Retention: 2 years + current

Reports – Departmental

See *Schedule 7 Reports*.

Uniform Crime Report/NIBRS¹⁰ – Annual

Retention: Permanent

Ride-Along Program Records

Records of police programs that allow citizens to ride-along with police offers.

Approved to Ride-Along

Retention: 3 years + current

Denied Approval to Ride-Along

Retention: Permanent

Liability Waivers

See *Schedule 7 Program Records*

Seizure Fund Documentation

Retention: 7 years + current

Training Records

Records documenting training for police personnel, including shooting range score sheets, test scores and monthly training reports. See also *Schedule 15 Training Records*.

Retention: 5 years after employee's termination¹¹

¹⁰ NIBRS means National Incident Based Reporting System.

Vehicle Impound Records

Records documenting the impoundment of licensed and nonlicensed motorized vehicles and sports crafts that have been taken into custody by the Tulsa Police Department for violations of Oklahoma traffic laws, municipal ordinances or other laws that govern their use, operation and ownership.

Retention: 2 years + current after vehicle is released to owner or otherwise disposed of by the municipality.

Video Recordings—Secured Police Facilities

Video recordings made in secured of areas of jails, holding areas, booking areas or lock-ups. See 16.155, Security Records for surveillance recordings in public areas and 17.90, Case Records for video recordings relating to interviews, crime scenes, etc.

Retention: To be determined administratively by the law enforcement agency.¹²

17.100 PROCEDURES AND POLICIES

See Schedule 7 Policies and Procedures Documentation.

17.110 SUMMONSES AND COMPLAINTS

Duplicate copy of summonses and complaints received by TPD against the City and officers in their individual or official capacities. See also *Schedule 14*

Retention: Until the Legal Department has received the original.

17.120 TAPE RECORDINGS - DISPATCH

Audio tapes recorded to monitor radio transmissions and dispatch calls.

Retention: 2 years + current

17.130 TRAFFIC CODE

See Schedule 7 Code Books.

¹¹ Transfer departmental personnel records to city's human resources/personnel office at the time employee is terminated.

¹² Any future agreements between the City and other law enforcement agency shall contain language insuring compliance with the Litigation Hold Policy.

17.140 VEHICLES - PUBLIC SAFETY

See Schedule 6.

17.150 VIDEOTAPES

See 17.90, Case Records and 16.155, Videotapes Related to Security.

Videotapes Relating to Criminal Cases

Videotapes of crime scenes and interviews with crime witnesses or suspects.

Retention: Applicable period of statute of limitations; cases adjudicated: 2 years after dismissal or completion of sentence.

INDEX TO RECORDS MANAGEMENT MANUAL

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APPENDIX A

NON-RECORDS

The following types of administrative materials have no public record retention value and may be disposed of as soon as they have served their purpose at the discretion of the custodian:

1. Catalogs, trade journals and other printed materials received from other offices, commercial firms or private institutions, which require no action and are not needed for documentary purposes.
2. Informational or extra copies of correspondence, completed forms, bulletins, newsletters, etc., prepared for reference and information distribution.
3. Miscellaneous memoranda or notices that do not relate to the functional responsibility of the municipality, such as notices of community affairs, employee meetings, holidays, etc.
4. Outdated or superseded stocks of publications kept for supply and hand-out purposes.
5. Identical duplicate copies of records.

APPENDIX B

GLOSSARY

CFR – Code of Federal Regulations.

Closed Record – A file unit or records series containing documents on which action has been completed and to which more documents are not likely to be added.

Disposition – Actions taken regarding records no longer needed in current office space, including destruction pursuant to an approved records retention schedule or permanent retention of records in paper or other formats.

Duplicate Copies – Non-record copies of documents kept solely for ease of access and reference.

Format – The shape, size, style and general makeup of a particular record.

OSA - Oklahoma Statutes Annotated.

Permanent Records – Records appraised as having sufficient historical or other value to warrant continued preservation by the municipality beyond the time they are needed for administrative, legal or fiscal purposes.

Record Copy – The official and "best" copy of a document retained by the official record custodian.

Retention Period – The minimum length of time that a record must be kept.

Retention Schedule – A document approved by resolution of the Tulsa City Council providing authority for the minimum retention periods and final disposition of municipal records.

Series – Physical or intellectual groupings of records; file units or documents arranged according to a filing system or kept together because they relate to a particular subject or function, result from the same activity, document a specific kind of transaction, take a particular physical form, or have some other relationship arising out of their creation, receipt or use.

USC – United States Code.

APPENDIX C

UPDATE REQUEST FORM

TO REQUEST OR SUGGEST A CHANGE TO THE *RECORDS RETENTION SCHEDULE*:

1. COMPLETE THE REQUIRED INFORMATION ON A COPY OF THIS FORM.
2. MAIL COMPLETED UPDATE REQUEST FORM TO: _____,
FOR FURTHER INFORMATION, CONTACT _____ AT
(_____).

CHANGE REQUESTED BY:

NAME OF DEPARTMENT:

CONTACT PERSON/TITLE:

MAILING ADDRESS:

TELEPHONE: _____

E-MAIL: _____

REQUESTED CHANGE	REASON FOR REQUESTED CHANGE	ADDITIONAL COMMENTS

NOTE: ATTACH ADDITIONAL PAGES IF NEEDED.

APPENDIX D

METHODS OF RECORD DESTRUCTION

There are four methods that are generally acceptable to destroy records by. However, it is important to note that when dealing with confidential information such as law enforcement and personnel information, that these types of records must be destroyed in a secure manner so as to prevent them from being reconstructed by unauthorized parties.

1. Shred: this method is most suited for the security destruction of confidential records such as the ones mentioned above;

2. Burn: this method is most likely confined to the rural parts of the state where unregulated burning is still allowed;

3. Landfill: this method requires that the records be buried in a trench 3-4 feet below the surface of the landfill and immediately covered over to prevent the wind from blowing records about. It is recommended that when possible, once the records be placed in the trench, that they be sprayed with water to facilitate a more rapid decomposition.

4. Recycle: this method is desirable for non-confidential records where possible. It promotes good conservation and reuse of paper resources.

OKLAHOMA MUNICIPAL RECORDS CITATIONS

11 Okl.St. Ann. § 22-131

Oklahoma Statutes Annotated

Title 11. Cities and Towns

Chapter 1. Municipal Code

Powers of Cities and Towns

Article XXII. General Powers of Municipalities

§ 22-131. Municipal records--Destruction, sale or disposition after certain time limitations

“A. A municipal governing body may destroy, sell for salvage or otherwise dispose of the following papers, documents and records after the expiration of the specified period of time following the end of the fiscal year in which the paper, document or record was created, except as otherwise specified:

1. One (1) year: parking citations may be destroyed or otherwise permanently disposed of one (1) year after the date of issuance;
2. Two (2) years: municipal court warrants, water, sewer, garbage and utility receipts and statements, which have been previously audited; inspection records relating to water meters and sewer inspections; miscellaneous petitions and letters addressed to the governing body on matters other than pertaining to the items hereinafter set forth; utility billing ledger or register; utility cash receipts ledger or register; and utility accounts receivable ledger or register. Fire run contracts may be destroyed or otherwise disposed of two (2) years after their expiration;
3. Five (5) years: successful and unsuccessful bids for the purchase or furnishing of equipment, material and improvements; inspection records except as provided for in paragraph 2 of this section; claims that have been denied; license applications; bonds; special, primary and general election payrolls; election tabulations and returns; withholding statements; garnishment records; traffic tickets and receipts; bond receipts and fine receipts; information and complaints; court dockets; paid general obligation and revenue bonds; paid street improvement, sewer and sidewalk district bonds; warrants; claims; checks; vouchers; purchase orders; payrolls;
4. Ten (10) years: inventories; appropriation ledgers; sidewalk assessment records, except payment records; cash receipt book or register for the general fund, the street and alley fund, any bond fund or sinking fund and all other trust funds that have been audited; and
5. Fifteen (15) years: sewer and improvement district records, except payment records.

None of the above-mentioned records, papers or documents pertaining to pending litigation shall be disposed of until such litigation is finally terminated. This section shall not be construed to authorize or allow the destruction of any testing

laboratory results or the inspection records of public improvements of a municipality.

B. Time limits for the destruction, sale, or other disposition of municipal papers, documents and records which are not mentioned in subsection A of this section may be determined and set by ordinance or resolution of the municipal governing body.”

11 Okl.St. Ann. § 22-132

Oklahoma Statutes Annotated Currentness

Title 11. Cities and Towns (Refs & Annos)

Chapter 1. Municipal Code (Refs & Annos)

Powers of Cities and Towns

Article XXII. General Powers of Municipalities

§ 22-132. Authority to have records photographed or reproduced on film or stored on optical disk--Original record--Storage

A. The head of any municipal department, commission, bureau or board may have any or all records kept by the official, department, commission, bureau or board photographed, microphotographed, photostated, reproduced on film or stored on optical disk. Such film or reproducing material shall be of durable material and the device used to reproduce such records on film or other material shall be such as to accurately reproduce and perpetuate the original records in all details.

B. The photostatic copy, photograph, microphotograph, photographic film or optical disk of the original records shall be deemed to be an original record for all purposes, and shall be admissible in evidence in all courts or administrative agencies. A facsimile, exemplification or certified copy thereof shall, for all purposes recited herein, be deemed to be a transcript, exemplification or certified copy of the original.

C. Whenever photostatic copies, photographs, microphotographs, reproductions on films or optical disks shall be placed in conveniently accessible files and provisions made for preserving, examining and using same, the head of any municipal department, commission, bureau or board may certify those facts to the municipal governing body. Following such certification, the governing body may, by ordinance or resolution, authorize the disposal, archival storage or destruction of the original records and papers before the expiration of the retention period established pursuant to Section 22-131 of this title.

HISTORICAL AND STATUTORY NOTES

1994 Main Volume

Source:

Laws 1923, c. 15, p. 14, §§ 4 to 6.

St.1931, §§ 6302 to 6304.
Laws 1953, p. 30, §§ 1 to 3.
11 O.S.1971, §§ 121 to 123.
67 O.S.1971, §§ 121 to 123.

RESEARCH REFERENCES

2009 Electronic Update

Treatises and Practice Aids

1 Oklahoma Practice Ch. 5 § 3003, Admissibility of Duplicates. Department, commission, bureau or board may certify those facts to the municipal governing body. Following such certification, the governing body may, by ordinance or resolution, authorize the disposal, archival storage or destruction of the original records and papers before the expiration of the retention period established pursuant to Section 22-131 of this title.

11 Okl.St. Ann. § 22-132.1

Oklahoma Statutes Annotated

Title 11. Cities and Towns

Chapter 1. Municipal Code

Powers of Cities and Towns

Article XXII. General Powers of Municipalities

§ 22-132.1 Municipal records--Maintenance and protection--Availability

“Any officer or employee of a municipality having custody of records or other documents of the municipality shall keep and maintain such records in a manner and at a location prescribed by the governing body. Such records shall be available for use by officers and employees of the municipality as the governing body shall direct. The governing body shall establish policies and procedures to preserve and protect the records of the municipality consistent with other provisions of law providing for the confidentiality of such records where appropriate and the accessibility of such records for inspection by the public.”

STATE RECORDS MANAGEMENT ACT

67 Okl.St. Ann. § 201

Oklahoma Statutes Annotated Currentness

Title 67. Records (Refs & Annos)

Chapter 6. **Records Management Act** (Refs & Annos)

§ 201. Name

“This act [FN1] shall be known as the “Records Management Act.”

[FN1] Title 67, § 201 et seq.

HISTORICAL AND STATUTORY NOTES

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Laws 1972, c. 209, § 1, amends Title 67, § 301, relating to reproduction of public records. Subsection B of § 2 of Laws 1972, c. 209 (Title 67, § 301 note) provides:

“The provisions of this act shall not affect and are cumulative to 67 O.S.1971, §§ 151 through 165, 167, 168, 201 through 216, and 74 O.S.1971, §§ 564 through 576, each inclusive.”

Title of Act:

An Act relating to official records; providing for records management programs for State and local records; defining terms; designating a State Records Administrator and pre-scribing his duties and powers; prescribing powers and duties of State agency heads; providing for records management programs by local governing bodies; providing for the disposition of records in conformity with existing laws; providing for the disposition of non-record materials; providing for rules and regulations; requiring reports; making provisions of the Act optional; authorizing an agency to expend its funds for the purpose of establishing a records management program; making this Act cumulative to existing laws; and providing for the effective date of this Act. Laws 1961, p. 498.

CROSS REFERENCES

Photographing, microphotographing or filming of records, see Title 67, § 301.

NOTES OF DECISIONS

Construction and application 1

1. Construction and application

Electronic mail connected with the transaction of official business, the expenditure of public funds or the administration of public property and created or received by a State agency is subject to the Records Management Act. *Op. Atty. Gen. No. 01-46* (Nov. 7, 2001).

Records created or maintained, or both, in electronic format are subject to the provisions of the Preservation of Essential Records Act, Title 67, § 151 et seq., the Records Management Act, Title 67, § 201 et seq., and the Archives and Records Commission, Title 74, § 564 et seq. *Op. Atty. Gen. No. 83-191* (Sept. 7, 1983).

Title 21, § 590 is supplemental to existing law concerning the preservation of official re-cords and does not operate to supersede Title 74, § 564 et seq. nor Title 67, § 201 et seq. *Op.Atty.Gen. No. 80-153* (Oct. 16, 1980).

Title 21, § 590 has no application on the manner in which official records can be stored nor affects the Archives and Records Commission's authority to supervise the disposition of official records. *Op.Atty.Gen. No. 80-153* (Oct. 16, 1980).

67 Okl. St. Ann. § 201, OK ST T. 67 § 201 *et seq.*

Current with emergency effective chapters through Chapter 214 of the First Regular Ses-sion of the 52nd Legislature (2009).

67 Okl.St.Ann. § 202

Oklahoma Statutes Annotated Currentness

Title 67. Records (Refs & Annos)

Chapter 6. Records Management Act (Refs & Annos)

§ 202. Declaration

“The Legislature declares that programs for the efficient and economical management of state and local records will promote economy and efficiency in the day-to-day record-keeping activities of state and local governments and will facilitate and expedite government operations.”

67 Okl.St.Ann. § 203

Oklahoma Statutes Annotated Currentness

Title 67. Records (Refs & Annos)

Chapter 6. Records Management Act (Refs & Annos)

§ 203. Definitions

As used in the Records Management Act, Section 201 et seq. of this title:

(a) “Record” means document, book, paper, photograph, microfilm, computer tape, disk, record, sound recording, film recording, video record or other material, regardless of physical form or characteristics, made or received pursuant to law or ordinance or in connection with the transaction of official business the expenditure of public funds, or the administration of public property. Library and museum material made or acquired and preserved solely for reference or exhibition purposes and stocks of publications are not included within the definition of records as used in this act. [FN1]

(b) “State record” means:

(1) A record of a department, office, commission, board, authority or other agency, however designated, of the state government.

(2) A record of the State Legislature.

(3) A record of the Supreme Court, the Court of Criminal Appeals or any other court of record, whether of statewide or local jurisdiction.

- (4) Any other record designated or treated as a state record under state law.
- (c) “Local record” means a record of a county, city, town, village, township, district, authority or any public corporation or political entity whether organized and existing under charter or under general law unless the record is designated or treated as a state record under state law.
- (d) “Agency” means any department, office, commission, board, authority or other unit, however designated, of the state government.
- (e) “Essential record” means a state or local record necessary to the operation of government during an emergency created by a disaster, or necessary to protect the rights and interests of persons or to establish and affirm powers and duties of governments in the resumption of operations after a disaster.
- (f) “Disaster” means any occurrence of fire, flood, storm, earthquake, tornado, explosion, epidemic, riot, sabotage, or other condition of extreme peril resulting in substantial damage or injury to persons or property within this state, whether such occurrence is caused by an act of nature or by persons, including an enemy of the United States.
- (g) “Preservation duplicate” means a copy of an essential record used for preservation purposes pursuant to the Records Management Act.

[FN1] Title 67, § 201 et seq.

NOTES OF DECISIONS

Construction and application 1

Record 2

1. Construction and application

Title 21, § 590 expressly provides that support documentation reflecting all financial and business transactions be included within the definition of records found in this section. *Op.Atty.Gen. No. 80-153* (Oct. 16, 1980).

2. Record

Department of Public Safety's (DPS) tape recordings of implied consent hearings on revocation or suspension of driver's license are “records” within the meaning of the Records Management Act which requires public officials to preserve records; since the tape recording of revocation hearings is permitted by statute, it is made pursuant to law or in connection with the transaction of public business. *Fabian & Associates, P.C. v. State ex rel. Dept. of Public Safety*, Okla., 100 P.3d 703 (2004).

Records 13

The sender and receiver of electronic mail are both responsible for the preservation of the information sent whereas intra-agency electronic mail is the sender's responsibility. *Op.Atty.Gen. No. 01-46* (Nov. 7, 2001).

Electronic mail may be retained in electronic form or on paper; but, if it is on paper, then all significant material contained in the electronic mail needs to be retained in other records in the agency. *Op.Atty.Gen. No. 01-46* (Nov. 7, 2001).

67 Okl.St. Ann. § 204

Oklahoma Statutes Annotated Currentness

Title 67. Records (Refs & Annos)
Chapter 6. Records Management Act (Refs & Annos)

§ 204. State Records Administrator

“The State Librarian, as The State Archivist, is hereby designated the State Records Administrator, hereinafter called the Administrator. The Administrator shall establish and administer a records management program, which will apply efficient and economical management methods to the creation, utilization, maintenance, retention, preservation and disposal of state records.”

67 Okl.St. Ann. § 205

Oklahoma Statutes Annotated
Title 67. Records (Refs & Annos)
Chapter 6. Records Management Act (Refs & Annos)

§ 205. Duties of Administrator

“1. The Administrator shall, with due regard for the functions of the agencies concerned:

- (a) Establish standards, procedures, and techniques for effective management of records;
- (b) Make continuing surveys of records and information operations and recommend improvements in current records management practices including the use of space, equipment and supplies employed in creating, maintaining, storing and servicing records;
- (c) Establish standards for the preparation of schedules providing for the retention of state records of continuing value and for the prompt and orderly disposal of state records no longer possessing sufficient administrative, legal or fiscal value to warrant their further keeping;
- (d) Establish programs for the selection and preservation of essential records; and
- (e) Obtain reports from agencies as are required for the administration of the program.

2. The Administrator may remove an essential record from its legally designated and customary location if a disaster has occurred or is imminent, make or cause to be made preservation duplicates, and designate as preservation duplicates existing copies of essential records.”

HISTORICAL AND STATUTORY NOTES

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The 1989 amendment designated the introductory paragraph as paragraph 1; substituted semicolons for periods at the end of subparagraphs (a), (b), and (c); in subparagraph (b), substituted “records and information” for “paperwork” following “surveys of”; redesignated subparagraph (d) as subparagraph (e); and added subparagraph (d) and paragraph 2.

NOTES OF DECISIONS

Construction and application 1

1. Construction and application

The State Librarian, as State Archivist, as Records Preservation Officers, pursuant to Title 67, § 155, and as State Records Administrator, pursuant to Title 67, § 204, has authority to enforce and require quality control standards regarding the content and photographic quality of state records microfilmed, developed and duplicated by a microfilming operation other than that conducted by the Oklahoma Department of Libraries. *Op.Atty.Gen. No. 78-102* (Jan. 31, 1978).

67 Okl.St. Ann. § 206

Oklahoma Statutes Annotated Currentness

Title 67. Records (Refs & Annos)

Chapter 6. Records Management Act (Refs & Annos)

§ 206. Duties of agency heads--Records exempt from act

A. The head of each agency shall:

1. Establish and maintain an active, continuing program for the economical and efficient management of the records of the agency;
2. Make and maintain records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures and essential transactions of the agency designed to furnish information to protect the legal and financial rights of the state and of persons directly affected by the agency's activities;
3. Submit to the Administrator, in accordance with the standards established by the Administrator, schedules proposing the length of time each state record series warrants retention for administrative, legal or fiscal purposes after it has been created or received by the agency. The head of each agency also shall submit lists of state records in the custody of the head of the agency that are not needed in the transaction of current business and that do not have sufficient administrative, legal or fiscal value to warrant their further keeping for disposal in conformity with the requirements of Section 210 of this title;
4. Cooperate with the Administrator in the conduct of surveys made by the Administrator pursuant to the provisions of this act; and
5. Comply with the rules, regulations, standards and procedures issued by the Administrator.

B. Confidential health, life, disability and dental claims or related files of the State and Education Employees Group Insurance Program shall be exempt from this act.

[FN1]

CREDIT(S)

Laws 1961, p. 499, § 6, eff. Jan. 2, 1962; Laws 1989, c. 367, § 7, eff. Nov. 1, 1989; Laws 1998, c. 297, § 1, eff. July 1, 1998.

[FN1] Title 67, § 201 et seq.

HISTORICAL AND STATUTORY NOTES

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The 1989 amendment, in the introductory sentence, deleted “, except the Department of Public Welfare,” following “agency”; and in subparagraph (c), in the first sentence, inserted “created or” following “it has been”, and in the second sentence, substituted “Section 210 of this title” for “Section 10 of this act”.

NOTES OF DECISIONS

Agency mail 1

1. Agency mail

The sender and receiver of electronic mail are both responsible for the preservation of the information sent whereas intra-agency electronic mail is the sender's responsibility. *Op.Atty.Gen. No. 01-46* (Nov. 7, 2001).

67 Okl.St. Ann. § 207

Oklahoma Statutes Annotated Currentness

Title 67. Records (Refs & Annos)

Chapter 6. Records Management Act (Refs & Annos)

§ 207. Local records management

“The governing body of each county, city, town, village, township, district, authority or any public corporation or political entity whether organized and existing under charter or under general law shall promote the principles of efficient records management for local records. Such governing body shall, as far as practical, follow the program, established for the management of state records. The Administrator shall, insofar as possible, upon the request of a governing body provide advice on the establishment of a local records management program.”

CREDIT(S)

Laws 1961, p. 499, § 7, eff. Jan. 2, 1962.

NOTES OF DECISIONS

State political subdivisions 1

1. State political subdivisions

The state political subdivisions are required to follow the program established for the management of State records as far as practical even though the Archives and Records Commission has no authority over the records and archives of the State's political subdivisions. *Op.Atty.Gen. No. 01-46* (Nov. 7, 2001).

67 Okl.St. Ann. § 208

Oklahoma Statutes Annotated Currentness

Title 67. Records (Refs & Annos)

Chapter 6. Records Management Act (Refs & Annos)

§ 208. Records management program for legislative and judicial branches

“Upon request, the Administrator shall advise and assist in the establishment of records management programs in the legislative and judicial branches of state government and shall, upon request, provide a program of services similar to those available to the executive branch of state government pursuant to the provisions of this act.” [FN1]

[FN1] Title 67, § 201 et seq.

67 Okl.St. Ann. § 209

Oklahoma Statutes Annotated Currentness

Title 67. Records (Refs & Annos)

Chapter 6. Records Management Act (Refs & Annos)

§ 209. Prohibition on mutilation, destruction, etc. of records

“All records made or received by or under the authority of or coming into the custody, control or possession of public officials of this state in the course of their public duties shall not be mutilated, destroyed, transferred, removed, altered or otherwise damaged or disposed of, in whole or in part, except as provided by law.”

67 Okl.St. Ann. § 210

Oklahoma Statutes Annotated Currentness

Title 67. Records (Refs & Annos)

Chapter 6. Records Management Act (Refs & Annos)

§ 210. Disposition of records

“Except as otherwise provided by law, no state record shall be destroyed or otherwise disposed of unless it is determined by the Archives and Records Commission that the record has no further administrative, legal, fiscal, research or historical value.”

HISTORICAL AND STATUTORY NOTES

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The 1989 amendment rewrote the section, which prior thereto read:

“No record shall be destroyed or otherwise disposed of by any agency of the State, unless it is determined by the Administrator and the Archives and Records Commission that the record has no further administrative, legal, fiscal, research or historical value. This provision does not supersede 74 O.S.1951, §§ 564-571; 74 O.S.Supp.1959, §§ 572-576; and 19 O.S.1951, §§ 911-918, 19 O.S.1959, §§ 157-159; 19 O.S.1959, §§ 232-234, and House Bills Nos. 659, 906 and 1016 enacted by the Twenty-eighth Legislature, but is cumulative to these laws.”



**Office of the City Clerk
Tulsa, Oklahoma**