

OSU INSTITUTE OF TECHNOLOGY
POLICY & PROCEDURES

**Records and Documents Retention,
Security and Control**

**1-014
ADMINISTRATIVE
August 2013**

INTRODUCTION AND GENERAL STATEMENT

Records that possess continuing value because they document the organization, functions, policies, decisions, procedures, and essential transactions of institutions of higher education or protect the legal and financial rights of the state and persons directly affected by institutions of higher education must be retained permanently.

Official documents and records arising from university operations are to be retained and preserved for documentation and future references in compliance with recommendations and guidelines prescribed by the Oklahoma Department of Libraries, Records Management Division.

Many documents and records produced by OSU Institute of Technology (OSUIT) must be retained until official release based on disposition date or authorization can be secured. Other documents are required to be retained by federal laws which are applicable because of federal funding received by OSUIT.

This policy is to be used as a guideline for the retention, release to agencies or individuals when requested in the public interest and disposal of certain documents and records to provide adequate documentation required by state law and audit requirements.

POLICY

- 1.01 All OSUIT offices and departments are responsible for reviewing and maintaining records.
- 1.02 The University Archivist/Librarian is responsible for appraising and preserving university records as prescribed by the Oklahoma Department of Libraries, Records Management Division. The University Archives serve as the official depository for public records created by the university.
- 1.03 The Vice President for Fiscal Services coordinates compliance with state requirements and initiates directives for records management. The Vice President for Fiscal Services approves requests to dispose of documents.
- 1.04 The timetable for retention of documents and records is contained on the Oklahoma Department of Libraries website and is to be used as a guideline for retention and disposal of documents and records at OSUIT.

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PROCEDURES

- 2.01 When an office wishes to forward records to the University Archives, a written request (see Appendix A) must be submitted to the OSUIT Archivist/Librarian, with a summary of the materials involved. Upon return of the approved request, the unit then can arrange delivery as indicated by the Archivist/Librarian.
- 2.02 All units that wish to remove or destroy records or documents must submit a written request (see Appendix A) to the University Archivist. The University Archivist will review the request to determine appropriate measures based on the necessary guidelines.
- A. If the University Archivist determines a record or document is eligible for de-accession, they will forward the request to the Vice President for Fiscal Services. The Vice President for Fiscal Services must approve the request prior to submitting it to the State Records Administrator for final approval, after which the documents may be destroyed.
- B. If the University Archivist determines a record or document is ineligible for de-accession, they will notify the unit of the decision.
- C. The University Archivist has the option to keep any record or document for the University Archive, at their discretion, and with the approval of the original owner.
- 2.03 Sensitive records and documents should be shredded in the presence of a witness. Both the person administering the shredding and the witness must sign a certification of shredding which will then be filed with the OSUIT Archivist/Librarian.
- 2.04 Requests for review of records or documents by agencies or individuals when requested in the public interest are to be made in writing to the Office of the President during normal business hours.
- 2.05 Any request for materials with the intention of using for commercial purposes must refer to the OSUIT Policy 1-007 *Copyrightable Intellectual Property*.
- 2.06 OSUIT charges a fee for the direct cost of copying or those requests that will cause excessive disruption of work, will be charged at a rate to recover the direct costs of document search, plus copying costs.

Approved: August 1996
Revised: November 2007
Revised: July 2009
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