

State Agency General Records Retention Schedule

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Introduction

ORS 192.105 gives the State Archivist the authority to authorize the destruction of public records. This general records retention schedule authorizes state agencies to destroy public records found in this schedule once their retention has been met. ORS 192.005(5) defines public record as:

“...a document, book, paper, photograph, file, sound recording, machine readable electronic record or other material, such as court files, mortgage and deed records, regardless of physical form or characteristics, made, received, filed, or recorded in pursuance of law or in connection with the transaction of public business, whether or not confidential or restricted in use. Public records include correspondence, public records made by photocopying and public writings, but does not include:

- (a) Records of the Legislative Assembly, its committees, officers, and employees.
- (b) Library and museum materials made of acquired and preserved solely for reference or exhibition purposes.
- (c) Records or information concerning location of archaeological sites or objects as those terms are defined on ORS 358.905.
- (d) Extra copies of a document, preserved only for the convenience of reference.
- (e) A stock of publications.
- (f) Messages on voice mail or on other telephone message storage and retrieval systems.”

No further authorization is required to destroy public records listed in this schedule, once they have met their **minimum/maximum retention period**, provided that no audit is pending (OAR 166-030-0041) or that no public records request awaits resolution (OAR 166-030-0045).

The following points will be of assistance in using this retention schedule effectively:

Although this schedule is divided into seven sections, these sections may not mirror the organization of any given state agency. Users should apply the record series listing that is similar to the actual records in the state agency regardless of location in this schedule. Please note the Administrative Records section contains records that may be found throughout state government.

When an agency has multiple copies of a record, it should identify the copy that is considered to be the official copy. Other copies should be retained as needed or as agency procedures specify. If an agency is unable to determine the official copy, the record shall be kept for the duration of the retention period. Since reference and convenience copies, and stocks of publications are not considered public records (ORS 192.005), authorization is not required for the destruction of duplicate copies.

Retention beyond the period of time specified in this retention schedule shall only be for records needed for pending litigation, an uncompleted audit, or mitigating administrative need. Documentation stating why and how long the records need to be kept beyond the stated retention period shall be filed with the agency's records officer.

A retention period may be expressed as a period of time, an event, or a combination of the two. Examples include 5 years (time), until superseded or obsolete (an event), or 5 years after case closed (a combination of the two).

Many records included in this schedule will not apply to a particular agency because of its size, programs, priorities, or other factors.

Physical form includes paper, electronic, microfilm, microfiche, audio and video recordings, photographs, optical/digital disks, CD-ROM, and other recording media. Retention periods in this schedule are calculated on the basis of the records content and function and not its physical form. For example, vouchers, whether retained on paper, microfilm, or in electronic format, are retained for 6 years before being destroyed.

If you are not able to match your records with those listed in this schedule, scan surrounding record series titles and descriptions in the most likely section for more clues. Use a record series that matches most closely within reasonable limits. If the agency's records appear to be a combination two or more record series in this schedule, use the listing with the longest retention period. Consult the agency records officer or the State Archives for assistance, if the agency's records cannot be reasonably interpreted to match any series in this schedule.

**DIVISION 5
POLICY, PURPOSE, AND DEFINITIONS**

Policy

166-005-0000 It is the policy of the State of Oregon to assure the preservation of records essential to meet the needs of the state, its political subdivisions, and its citizens, and to assure the prompt destruction of records without continuing value. Unlawful destruction of any public record, regardless of medium or physical format, is a crime punishable under the provisions of ORS 162.305. Public records may be created and retained in a variety of media and physical formats, including but not limited to paper, microfilm, sound recordings, video recordings, magnetic tape and disk, and optical disk.

Purpose

166-005-0005 The purpose of these rules is to implement the provisions of ORS 192.005 to 192.170, and ORS 357.825 to 357.895, by providing procedures for the orderly retention and disposition of public records, regardless of medium or physical format; standards for appropriate use of microfilm and digital imaging; standards for the protection and storage of public records; and rules for the use of the State Archives, State Records Center, and Security Copy Depository. General Records Retention Schedules published as a part of these rules provide state and local agencies with the lawful authority to destroy or otherwise dispose of commonly occurring public records.

Definitions for Division 10 Through 300

166-005-0010 As used in these rules, "photocopy", "political subdivision", "public record", "public writings", and "state agency" are defined by ORS 192.005. As used in these rules unless otherwise required by context:

- (1) "Archivist" means the State Archivist who serves under the Secretary of State and who administers the Archives Division which operates the State Archives the State Records Center, and the Security Copy Depository.
- (2) "Agency" when used alone means either a state agency or a political subdivision.
- (3) "Local Agency" means any officer, department, board, commission, or institution created by or under the jurisdiction of a political subdivision of this state.
- (4) "Exempt Records" are documents which can be destroyed under ORS 192.170.
- (5) "Excluded Records" are materials which are excluded from the definition of public records by ORS 192.005(5).
- (6) "Permanent" public records are those deemed worthy of permanent preservation for legal, administrative, and research purposes.
- (7) "Record copy" means the official copy of a public record when multiple copies exist.
- (8) "Retention Schedule" means either a General Schedule published by the State Archivist in the OAR in which certain common public records are described or listed by title and a minimum retention period is established for each; or a Special Schedule approved by the State Archivist for the public records of a specific agency.
- (9) "Retention Period" means the minimum length of time a public record must be retained as authorized by an applicable General or Special Schedule.

**DIVISION 10
STATE ARCHIVES, STATE RECORDS CENTER, AND SECURITY COPY
DEPOSITORY SERVICES**

General

166-010-0000 The Archives Division, Office of the Secretary of State, is administered by the State Archivist. The State Archives provides storage for permanently valuable public records and access to those public records in the official custody of the State Archivist. The State Records Center provides storage and retrieval service for inactive records of state agencies. The Archives Division also provides advice and assistance to state and local agencies, and storage and retrieval service for security copy microfilm from state or local agencies in the Security Copy Depository.

Custody of Records

166-010-0006 The Archives Division accepts public records under the following conditions:

- (1) The State Archives may accept public records which are placed in the official custody of the State Archivist in accordance with ORS 357.825 or 357.835. Public records in the State Archives are available for public use in the

Archives insofar as their use is not restricted by law. No public records in the official custody of the State Archivist will be loaned for use outside the Archives.

- (2) The State Records Center may accept inactive public records from state agencies for storage, but official custody of the records remains with the state agency from which they were received or its legal successor.
- (3) The Security Copy Depository may accept security microfilm of public records from state and local agencies, pursuant to OAR 166-025-0005 to 166-025-0030. Public records deposited in the Security Copy Depository remain in the official custody of the agency from which they were received.
- (4) Except as otherwise provided by ORS 357.835(2), official custody of all records of a state agency which is abolished or ceases to operate shall pass to the State Archivist.

Access to Records

166-010-0010 Public records in the State Archives are available for use in the Archives Building Reference room. Except as otherwise provided by law, records may not be removed from the Archives Building.

Basic Rules of the Reference Room

166-010-0010 Patrons shall observe the following rules for the protection and control of records:

- (1) Patrons shall register and shall furnish valid government-issued photo identification to use public records in the State Archives.
- (2) Patrons shall only use a pencil when making notations, shall not mark public records, and shall maintain the original order of the public records consulted.
- (3) No person shall smoke, drink, or eat in the Reference Room.
- (4) Patrons shall notify the staff when their work is completed.
- (5) Patrons shall not remove from the Reference Room public records or other materials in the official custody of the State Archivist.
- (6) Patrons shall not alter, mutilate, or otherwise deface public records.
- (7) Patrons shall take only paper and research materials into the Reference Room.

Archives Division Fees

166-010-0016

- (1) Ready Reference requests - no charge. Includes requests for information that can be answered by staff without leaving their workstation or by consulting basic reference tools such as finding aids, tracing binders, or reference books.
- (2) Basic records request - \$5 in-state; \$10 out-of-state. This includes copying charges, postage and supplies. It applies to one-page documents. A Basic Records Request must provide an exact citation to a record (e.g., a citation from the death index, a record listed in the on-line index) in the custody of the Archives Division.
- (3) Basic Case File Request - \$10 in-state; \$15 out-of-state. This includes up to 10 photocopies, postage and supplies. Additional photocopy pages are charged at .75 cents per page. A Basic Case File Request must provide an exact citation to a record in the custody of the Archives Division.
- (4) Other Requests - \$5 out-of-state. In addition, all other requests will include labor charges and copying, supply and postage charges when incurred.
- (5) Labor charges - \$30 per hour charged in \$5 (10-minute) increments. There is a maximum of \$120 (four hours labor) for any request.
- (6) Photocopies. Copies made by the customer - 25 cents per page. Copies made by Archives Division staff - 75 cents per page.
- (7) Fax - 75 cents per page.
- (8) PDF - 75 cents per page.
- (9) Audio Tape duplication. Cassette to cassette duplicates - \$6 per cassette.
- (10) Certification - \$5 per certification.
- (11) Digital Imaging. Copy of existing tiff file to CD-ROM, Zip Disk, or FTP - \$15 per file copied. Digital Color Inkjet prints - \$10. Scan from original archival record (300 dpi unless otherwise requested) - \$20 per scan.
- (12) Reproduction by Outside Vendor - \$10 handling fee.
- (13) The Secretary of State shall not refund fees paid in excess of the amount legally due the Division if the amount is \$10 or less, unless a refund is requested in writing by the applicant or the applicant's legal representative. Such requests must be made within three years of the date payment is received by the Division.

Access to Records (State Records Center)

166-010-0025 Public records in the State Records Center may be loaned or returned to the State agency which holds official custody of the public records under the following conditions:

- (1) Requests from state agencies for public records or information may be made by telephone or by mail.
- (2) Deliveries to state agencies of public records as requested will be made as follows:
 - (a) Deliveries will be made through the Central Mail Service of the Department of General Services to state agencies served by that Department;
 - (b) Postal service will be used for deliveries to state agencies which are not served by the Central Mail Service.
- (3) A state agency may request or authorize the loan or return of public records in its official custody from the State Records Center as follows:
 - (a) Loans of individual files or boxes may be made and a follow-up system for loaned public records will be observed;
 - (b) All requests for loan or return of public records in the State Records Center must originate from the state agency which has official custody of the public records;
 - (c) A state agency must authorize the State Records Center to loan or transfer public records in its official custody to another agency.

Deposit Procedures (State Archives, State Records Center)

166-010-0031 Prior approval is required to deposit public records in the State Archives, the State Records Center. These deposits will be effected according to procedures, criteria, and standards established by the State Archivist which are available on request.

**DIVISION 17
DIGITAL IMAGING**

Definitions

166-017-0010 In addition to the definitions contained in OAR 166-005-0010, the following definitions apply to this division:

- (1) "Records Officer" -- Refers to the person designated by a state agency or political subdivision in accordance with ORS 192.105(2)(a).
- (2) "AIIM" -- Association for Information and Image Management.
- (3) "ANSI" -- American National Standards Institute.
- (4) "CCITT" -- Consultative Committee on International Telegraphy and Telephones.
- (5) "Digital Imaging System" means a system (including people, machines, methods of organization, and procedures) which provides input, storage, processing, communications, output, and control functions for digitized representations of original public records.
- (6) "DPI" -- Dots per inch; refers to the number of pixels contained in a linear inch.
- (7) "Fax or Facsimile" -- A process by which a document is scanned, converted into electrical signals, transmitted and recorded or displayed as a copy of the original.
- (8) "Header Label" -- A set of information associated with a specific digital image which assist system software in retrieving images.
- (9) "JPEG" -- Joint Photographic Experts Group.
- (10) "Long Term Storage" -- Storage which is used for information which has a life-expectancy of 15 years or more.
- (11) "Pixel" -- The smallest display element on a video screen or the smallest element in a grid which is placed over a page of text or graphics.
- (12) "Scheduled Retention Period" means the length of time a public record must be retained as authorized by a general or special retention schedule.
- (13) "WORM" -- Write once, read many; refers to a type of optical disk which cannot be erased or amended.

System Documentation

166-017-0020 All digital imaging systems that store digitized public records with a retention period of ten years or more shall have system documentation on file with the agency records officer. This documentation shall include a narrative description of the digital imaging system; the retention period of the original records; the header label used in the system; and an estimate of the life expectancy of the digital imaging system. If the life expectancy of the system is less than the retention period of the records it stores, system documentation shall also include a description of how access to digital images of records will be maintained.

Image Quality

166-017-0030 Digitized documents shall be verified after digitization. Documentation describing each inspection shall be maintained for each digital imaging system and shall include the date of inspection, name of inspector(s), group of documents

inspected, and sample size (if applicable). Scanner quality control procedures shall conform to ANSI/AIIM MS44-1988, Recommended Practice for Quality Control of Image Scanners, which is incorporated by reference and is available from Association for Information and Image Management, 1100 Wayne Avenue, Suite 1100, Silver Spring, MD 20910. In addition, the following standards apply to digital images:

- (1) Office documents containing fonts no smaller than six-point shall be scanned at a minimum density of 200 dpi. Documents containing fonts smaller than six-point, architectural and engineering drawings, maps, and line art shall be scanned at a minimum density of 300 dpi.
- (2) If documents are digitized using fax technology, the fax mechanism must be capable of transmitting and receiving both 200 and 300 dpi images.
- (3) Digitized documents shall support CCITT Group 3 or 4 compression techniques. Digitized photographs and halftone images shall also support or provide a gateway to JPEG compression techniques.

[ED. NOTE: The publication referenced in this rule is available from the agency.]

Indexing

166-017-0040 All documents in a digital imaging system shall be indexed and retrievable. Document image indexes shall be preserved as long as the document images in the system are maintained.

Storage Requirements

166-017-0050

- (1) The following standards apply to the storage of optical disks containing public records:
 - (a) Environmental conditions for the operation, maintenance, and storage of digital imaging system equipment and storage media shall meet or exceed manufacturers' specifications;
 - (b) Digital imaging system equipment shall be maintained in proper working condition. Manufacturers' guidelines for preventive maintenance shall be followed and defective equipment shall not be used.
- (2) In addition to the standards in section (1) of this rule, the following standards apply to the long-term storage of information on optical disks:
 - (a) Digital images shall be recorded and stored by means of a technology that does not allow their subsequent revision or replacement;
 - (b) The optical disk substrate shall be either polycarbonate or tempered glass;
 - (c) Only optical disks with a 20 year life expectancy based on accelerated aging tests linked to specific disk locations may be used;
 - (d) Digital imaging system storage media shall be inspected annually. This inspection should include visual examination of the medium and its housing, followed by the retrieval or playback of recorded information. Documentation describing each inspection shall be maintained for each digital imaging system and shall include the date of inspection, name of inspector(s), storage media inspected, and sample size (if applicable).

Expungement of Information Stored on WORM Media

166-017-0060 Expungement of digital images stored on WORM optical disks shall conform to the Expungement of Information Recorded on Optical Write-Once-Read-Many (WORM) Systems (TR28-1991) which is incorporated by reference and is available from Association of Information and Image Management, 1100 Wayne Avenue, Suite 1100, Silver Spring, MD 20910.

[ED. NOTE: The publication referenced in this rule is available from the agency.]

Access

166-017-0070 Before any agency acquires or makes a major modification to any digital imaging system, equipment or software to store or retrieve public records, it shall assure that such proposed system, equipment or software adequately provides for the rights of the public to access and copy public records under ORS 192.410 to 192.505:

- (1) Agencies shall not enter into contracts with any person or entity if the contract will impair the right of the public under state law to inspect or copy the agency's nonexempt public records existing online in, or stored on a device or media in connection with a digital imaging system owned, leased or otherwise used by an agency in the course of its governmental functions.

- (2) Digital imaging systems shall use non-proprietary header labels if they are intended to store long-term information. If a digital imaging system uses proprietary header labels, the system must be able to read images with non-proprietary header labels and produce images with non-proprietary header labels.

Retention

166-017-0080

- (1) Public records with a scheduled retention period of less than 100 years may be stored on optical disks. The original record may be disposed of following verification of acceptable optical image quality. Images stored on optical disks shall be copied onto new optical disks after no more than ten years. Images must be recopied until the retention period of the original public records has been satisfied.
- (2) Public records with a scheduled retention period of 100 years or more may be stored on optical disk devices provided that the original records are retained in hard copy or on microfilm for the entire scheduled retention period.

DIVISION 20 THE PROTECTION AND STORAGE OF PUBLIC RECORDS

Purpose

166-020-0005 This Division defines storage and conditions which are acceptable for the use, storage, and protection of public records in Oregon.

Definitions

166-020-0007 In addition to the definitions contained in OAR 166-005-0010, the following definitions apply to this division:

- (1) "Administrative value" means the usefulness of records in conducting an agency's business.
- (2) "Fiscal value" means the usefulness of records in documenting an agency's fiscal transactions and obligations.
- (3) "Legal value" means the usefulness of records in documenting legally enforceable rights or obligations, both those of the state and those of person's directly affected by an agency's actions.
- (4) "Essential records" means records which are essential to the continued functioning or reconstitution of an agency during and after an emergency, and also those records which are essential to protect the rights and interests of that agency and of the individuals directly affected by its actions. Essential records are sometimes called vital records.
- (5) "Electronic records" means records which are stored in a form that requires a computer to process. "Electronic records" does not include or refer to photocopies, digital imaging systems, or analog or digital audio and video tapes.
- (6) "Records system" means an organized collection of data captured, processed, maintained, transmitted, or disseminated in accordance with defined procedures (automated or manual).
- (7) "Essential electronic records system" means a records system which requires a computer to process and contains records which are essential to the continued functioning or reconstitution of a government agency during and after an emergency, or those records which are essential to protect the rights and interests of that agency and of the individuals directly affected by its actions.

Terms of Official Custody

166-020-0010 The term "public records" as used in statutes and rules pertaining to disposition of public records means records which are the property of the public. Alienation of public records is prohibited by public policy and statute. Custodians of public records are specifically charged by statute with the responsibility of protecting them, and, except as expressly provided by statute, furnishing reasonable opportunities for inspection and examination of them by any person:

- (1) State and local agencies are responsible for public records in their official custody, wherever deposited, until the public records have been transferred to the official custody of the State Archivist or otherwise disposed of as authorized by law, and applicable General Schedule published in these rules, or a Special Schedule.
- (2) When a state agency is abolished or ceases to operate, its public records shall be deposited in the official custody of the State Archivist, except as otherwise provided by ORS 357.835(2).
- (3) Public records deposited in the State Records Center or Security Copy Depository remain in the official custody of the agency which deposited them.

Storage Area Standards

166-020-0015 Safe storage of records requires compliance with the following standards:

- (1) Public records should be stored in fire-resistant structures and in areas in which the temperature and humidity are maintained at the levels required to insure optimum longevity of the paper, film, or tape on which they are recorded. Adequate light and access should be provided to permit retrieval of public records. Adequate ventilation and protection against insect or mold invasion should be provided. Steam, water, and sewer pipes, other than fire-control sprinkler systems, pose extreme hazard to records. No public records of enduring value should be stored where heat, breaks, drips, or condensation from pipes could damage them; where windows, doors, walls, or roofs are likely to admit moisture; or where they will be exposed to sunlight or extreme temperature variations.
- (2) Aisle space in public records storage areas should be kept free of obstruction, and no public records should be stacked or piled directly on the floor of any storage area. All public records should be shelved above initial flood level of any bursting pipe, leaky roof, sprinkler system, or other source of water.

Return of Active Records (State Record Center)

166-020-0030 When public records deposited in the State Records Center become administratively active to the extent that it is impracticable to retain them in the State Records Center, the public records may be returned to the state agency which holds official custody of the public records.

Requisition of Records

166-020-0035 When the State Archivist has determined that public records, no longer required for the discharge of duties by the official custodian, are stored where they are no longer available for use or in conditions which endanger the public records, he shall requisition them for transfer to his custody if they are of value for legal, administrative, or research purposes.

Essential Records Systems

166-020-0045

- (1) Agencies shall, with the advice and assistance of the State Archivist, identify their essential records, regardless of medium or physical format.
- (2) Agencies shall store security copies of essential electronic records systems off the premises where the system is used, along with any system documentation necessary to enable recovery of the system in the event of an emergency.
- (3) Agencies shall comply with the following storage requirements for security copies of essential electronic records systems:
 - (a) Off-site storage conditions shall have temperatures no less than 60 degrees or greater than 80 degrees Fahrenheit, and shall have a relative humidity no greater than 50 percent.
 - (b) Off-site storage shall be in fire-resistant structures, with adequate ventilation and protection against insect and mold infestation. No essential records systems shall be stored where heat or moisture can damage them.

DIVISION 25 MICROFILM STANDARDS RULES

Purpose and Application of Microfilm Standards Rules

166-025-0005 The authority for these rules is found in ORS 192.070, 357.825(2), and 357.895. State agencies and political subdivisions shall comply with these rules for microfilming permanent and long-term public records. These rules contain the measures necessary to insure that the informational content of public records is protected for the life of the record.

Definitions

166-025-0010 In addition to the definitions contained in this rule, the following definitions apply to this division:

- (1) "AIIM" -- Association for Information and Image Management.
- (2) "ANSI" -- American National Standards Institute.
- (3) "Aperture Card" -- A card with a rectangular opening into which microfilm may be inserted.
- (4) "Certification (Certificate of Legality)" -- The confirmation that images recorded on microfilm are accurate, complete, and unaltered reproductions of the original records. Sometimes referred to as "Camera Operator's Certificate."
- (5) "Density" -- The light-absorbing or light-reflecting characteristics of a photographic medium.
- (6) "Generation" -- One of the successive duplicates of a photographic master. The camera original is the first-generation film. A duplicate made from the master is a second-generation copy; a duplicate made from the second-generation copy is third-generation, and so on.
- (7) "Image" -- Any representation of a document or data produced by radiant energy.

- (8) "Jacket" -- A transparent plastic carrier with channels into which film may be inserted.
- (9) "Light Box" -- A back-lit translucent surface used for film inspection.
- (10) "Long-Term Film" -- Film suitable for the preservation records for at least 100 years when produced and stored under proper conditions.
- (11) "Long-Term Records" -- Those records with an approved retention period of 100 years or longer.
- (12) "Loupe (Lupe)" -- A small, hand-held optical magnifying device used in conjunction with a light box for the inspection of microfilm
- (13) "Medium-Term Film" -- Film suitable for the preservation of records for up to 100 years when produced and stored under proper conditions.
- (14) "Medium-Term Records" -- Those records with an approved retention period of between ten and 100 years.
- (15) "Methylene Blue Test" -- A test used to measure the amount of residual thiosulphate ion (hypo) remaining on the film following washing.
- (16) "Microfiche" -- A piece of film with images arranged in a grid pattern. Computer-Output-Microfilm is usually produced in this format.
- (17) "Permanent Records" -- Those records with an approved permanent retention period.
- (18) "Planetary Camera" -- A planetary camera is a type of microfilm camera that photographs a document as it lies stationary as it is being photographed. The document lies on a plane surface and the camera itself is suspended above the document.
- (19) "Public Records" -- As defined in ORS Chapter 192, "public record" includes any writing containing information relating to the conduct of the public's business, including but not limited to court records, mortgages and deed records, prepared, owned, used or retained by a public body regardless of form or physical characteristic.
- (20) "Processing" -- The steps necessary to render a latent image visible, usable and permanent (fixed). These steps are development, fixing, washing and drying.
- (21) "Quality Index" -- A subjective relationship between the legibility of an image and the resolution pattern resolved on a microimage.
- (22) "Reduction Ratio" -- The relationship between the dimensions of the original document and the dimensions of the microimage of that document.
- (23) "Resolution" -- The ability of microfilm or a photographic system to record fine detail.
- (24) "Retakes" -- Refilming of documents.
- (25) "Roll Microfilm" -- Film that is wound on a reel, spool, or core.
- (26) "Rotary Camera" -- A rotary camera is a type of microfilm camera that photographs the document as it is being moved by some sort of a transport mechanism. The document transport mechanism is connected to a film transport mechanism, and the film also moves during exposure.
- (27) "Security Copy" -- A silver duplicate or first-generation microfilm which is stored under strictly controlled environmental conditions and used solely as a back-up or duplication master.
- (28) "Security Copy Depository" -- The section of the Archives Division which offers storage of security microfilm.
- (29) "Source Document Microfilming" -- The conversion of paper records to microfilm. Differentiated from Computer Output Microfilm, which converts digitally encoded data to microfilm.
- (30) "Splice" -- The joining of two pieces of film so that they function as one piece.
- (31) "Target, Informational" -- A chart or document which is photographed in order to assist in identifying the content of the microfilm.
- (32) "Target, Technical" -- An aid to technical control of the photographic system which is photographed on the film preceding or following the body of documents.
- (33) "Unitized Microfilm" -- Film that is formatted in discreet units of information, e.g. microfiche, jackets, or aperture cards.
- (34) "Work Copy" -- A copy of microfilm which is distributed for end use.

Technical Specifications for First-Generation 16 mm, 35 mm, and 105 mm Silver-Gelatin Source Document Roll Microfilm for Permanent and Long-Term Oregon Public Records

166-025-0015

- (1) Microfilm Specifications: All security microfilm for long-term or permanent records shall be 16 mm, 35 mm, or 105 mm negative non-perforated silver gelatin type on a polyester base, as described in ANSI IT9.1-1989; Imaging Media (Film) -- Silver Gelatin Type -- Specifications for Stability. The film shall be at least 0.13 mm thick.
- (2) Reels: Processed film shall be on storage reels which are chemically inert, in compliance with ANSI IT9.2-1991; For Imaging Media -- Photographic Processed Films, Plates, and Papers -- Filing Enclosures and Storage Containers, are sturdy, and have dimensions which conform to ANSI/AIIM MS34-1990; Dimensions for Reels Used for 16 mm and 35 mm Microfilm. The film shall be stored with the start target at the outer end in accordance

- with ANSI/AIIM MS23-1991; Practice for Operational Procedures/Inspection and Quality Control of First-Generation Silver Gelatin Microfilm of Documents.
- (3) Restrainers: Only acid-free, button tie paper bands in compliance with ANSI IT9.2-1991; For Imaging Media -- Photographic Processed Films, Plates, and Papers -- Filing Enclosures and Storage Containers shall be acceptable to restrain film on its reel.
 - (4) Enclosures: Film enclosures (containers) shall be inert black plastic.
 - (5) Quality Control-Inspection: Inspection and quality control data shall be recorded at the time the film is processed. A film inspection form is available from the Archives Division. First-generation (camera) film shall be inspected frame-by-frame for visible defects and missing documents. Inspection may be performed on a light table using an eye loupe for the frame-by-frame inspection and under a microscope for the inspection of resolution. The inspector shall wear clean, white, lint-free cotton gloves when handling the film. All inspection shall be performed in accordance with ANSI/AIIM MS23-1991; Practice for Operational Procedures/Inspection and Quality Control of First-Generation Silver Gelatin Microfilm of Documents, Section 8. Security copies of film shall be free from scratches, gouges, blemishes, dust, dirt, or fingerprints.
 - (6) Residual Thiosulfate: All film shall meet the requirements for residual thiosulphate ion concentration as specified in ANSI IT9.1-1989; For Imaging Media (Film) -- Silver-gelatin type- Specifications for Stability, Section 6.4. The maximum allowable thiosulphate ion concentration is .014 grams per square meter. Testing for residual thiosulphate ion concentration shall be done by using the Methylene Blue method in accordance with ANSI/ASC PH4.8-1985; For Photography (Chemicals)-Residual Thiosulphate and Other Chemicals in Films, Plates and Papers- Determination and Measurement, Section 5. This test shall be conducted within two weeks of film processing and may be performed at the processing site or by an independent laboratory. All test results shall be documented.
 - (7) Target Density: The aim point density shall be $1.00 \pm .10$. The acceptable density range on targets shall be .80 - 1.25. There shall not be more than a .20 density shift on targets in a single roll. Any roll which falls outside the acceptable .80 - 1.25 density range on targets shall be re-filmed. Density variation shall not be greater than .15 across a target. The plain white pages or acceptable density target photographed at the beginning and end of each roll of film shall be used as the primary density measurement targets.
 - (8) Reduction Ratio: The reduction ratio used shall approximately fill the image area across the width of the film as seen on the camera's projected image area; the ratio shall not be less than 8:1. All edges of the document shall be visible in the image area. (See ANSI/AIIM MS23-1991; Practice for Operational Procedures/Inspection and Quality Control of First-Generation Silver-Gelatin Microfilm of Documents, Section 3.6.) Reduction ratio changes within the same record series shall be avoided. If they are necessary, however, the change in ratio shall be identified by an informational target filmed immediately before each change.
 - (9) Resolution: Each roll of first-generation film shall be evaluated for resolution by viewing the standard ISO Resolution test chart (see OAR 166-025-0020 on Targets and Certifications) at 100X magnification. The smallest distinguishable test pattern must correspond to the correct reduction ratio as seen in Figure 1:

Figure 1

Reduction Ratio	Smallest ISO test Chart pattern read	Resolving Power (Lines per millimeter)
8:1	10.0	80
12:1	9.0	108
15:1	7.1	106
16:1	7.1	114
17:1	6.3	107
20:1	5.6	112
21.2:1	5.6	119
24:1	5.0	120
28:1	4.5	126
30:1	4.5	135
33.9:1	4.0	136
36:1	4.0	144
42.4:1	3.2	136
48:1	2.8	134

- (10) Splicing: There shall be no more than six splices on security copies of film. Retakes shall include at least two pages preceding and following the pages to be refilmed. There shall be no splices between the technical target and the text.

All splices shall conform to ANSI/AIIM MS18-1992; Splices for Imaged Film -- Dimensions and Operational Constraints.

- (11) Targets and Certification: All microfilm shall conform to the standards for targets and certifications set forth separately in these rules.

[ED. NOTE: The publication referenced in this rule is available from the agency.]

Targets and Certifications

166-025-0020 The following informational and technical targeting and certification shall be included in all public records on roll microfilm. All targets are available from the Archives Division:

- (1) At the beginning of each roll there shall appear:
 - (a) A minimum of 24 linear inches of processed film;
 - (b) Followed immediately by three exposures of clean, blank white paper or the density target;
 - (c) Followed by a planetary camera or rotary camera technical target of the type specified by the American National Standards Institute and the Association for Information and Image Management (hereafter ANSI/AIIM) in standards ANSI/AIIM MS19-1987; Recommended Practice for the Identification of Microforms and ANSI/AIIM MS23-1991; Practice for Operational Procedures/Inspection and Quality Control of First-Generation Silver Gelatin Microform of Documents for the laboratory measurement of resolution and reduction ratio;
 - (d) Followed immediately by a "Start" target;
 - (e) Followed by a target indicating roll number;
 - (f) Followed immediately by a title sheet containing name of agency creating the records, series title of the records, starting identification (first records number, etc.) and reduction ratio. All missing documents or records shall be so identified with an appropriate target.
- (2) At the end of each roll there shall appear:
 - (a) A target sheet including series title of the records filmed, ending identification (last record number, etc.);
 - (b) A Certificate of Legality and Authenticity, including the name and signature of the camera operator;
 - (c) Followed by a target indicating roll number;
 - (d) Followed by an "End of Reel" target;
 - (e) Followed by three exposures of clean, blank white paper or the density target;
 - (f) Followed by 24 inches of exposed and processed blank film.
- (4) See the Archives Division Micrographics Manual for instructions on use of these and other informational targets.

[ED. NOTE: The publication referenced in this rule is available from the agency.]

Storage of Security Microfilm (For State Agencies Only)

166-025-0025 Custodians of microfilm which contains long-term or permanent records shall provide off-site storage for silver security microfilm. This storage shall be at the appropriate temperature and relative humidity as specified in ANSI IT9.11 -- (Proposed) American National Standard for Imaging Media -- Processed Safety Photographic Film -- Storage. Security microfilm shall be stored in acceptable containers and on acceptable reels. (See OAR 166-025-0015; Technical Specifications for Roll Microfilm.)

[ED. NOTE: The publication referenced in this rule is available from the agency.]

Security Copy Depository

166-025-0030 The Archives Division Security Copy Depository operates two vault facilities for the off-site storage of security microfilm of public records. Only records with a retention period of ten or more years shall be accepted for deposit:

- (1) Medium-term depository:
 - (a) The medium-term depository accepts microfilmed records with approved retention periods of between 10 and 99 years;
 - (b) The medium-term depository offers silver and diazo duplication for 16 mm and 35 mm roll microfilm. Depositors shall be charged for duplication;
 - (c) Film in the medium-term depository will be inspected for evidence of deterioration only upon request of the depositor. Depositors shall be charged for all inspection;
 - (d) Microfilm for deposit in the medium-term depository shall be silver gelatin film, but may be unitized formats (e.g., microfiche, aperture cards). Non-silver films will not be accepted;
 - (e) All microfilm must be accompanied by a valid transmittal (Form 165-AR-CP) at the time of transfer;
 - (f) Long-term or permanent records stored on unitized formats created prior to January 1, 1994 may be stored in the medium-term depository.

- (2) Long-term depository:
 - (a) The long-term depository accepts microfilmed records with approved retention periods of 100 years or greater. Use of the long-term depository satisfies the off-site storage requirements of OAR 166-025-0025, Storage of Security Microfilm;
 - (b) The long-term depository offers silver and diazo duplication for 16mm and 35mm roll microfilm. Depositors shall be charged for duplication;
 - (c) Film transferred to the long-term depository shall be inspected upon receipt for compliance with OAR 166-025-0015; Specifications for Roll Microfilm. Film stored in the long-term depository shall be regularly inspected for evidence of deterioration;
 - (d) The Archives Division may require remedial action and/or image stabilization treatment on microfilm in the long-term depository. Depositors shall be charged for image stabilization and/or remedial treatments;
 - (e) All microfilm for deposit in the long-term depository shall be 16 mm, 35 mm, or 105 mm polyester based wet-processed silver gelatin roll film only;
 - (f) All microfilm for deposit in the long-term depository shall be enclosed in inert plastic containers in accordance with ANSI IT9.2-1991; For Imaging Media -- Photographic Processed Films, Plates, and Papers -- Filing Enclosures and Storage Containers. Containers shall be labeled in compliance with the requirements in the Oregon State Archives Division Micrographics Manual. (Available from the Archives Division);
 - (g) All microfilm must be accompanied by a valid transmittal (Form 165-AR-CP) at the time of transfer;
 - (h) Non-silver films will not be accepted.

[ED. NOTE: The publication referenced in this rule is available from the agency.]

DIVISION 30 RECORDS MANAGEMENT PROCEDURES

General

166-030-0005 These regulations prescribe procedures for obtaining lawful authority to destroy or otherwise dispose of public records. They specify appropriate methods for destruction of public records. They apply to all public records, regardless of medium or physical format, created and stored by state and local agencies.

Appointment of Records Officer

166-030-0016 To establish a records management program to insure orderly retention and destruction of all public records, and to insure the preservation of public records of value, each state or local agency should designate a Records Officer to organize and coordinate records scheduling, retirement, storage, and destruction. The State Archivist will provide training and assistance for Records Officers.

Inventory and Appraisal (State Agencies)

166-030-0021 To insure accurate identification and evaluation of its records, each state agency shall, with the advice and assistance of the State Archivist, prepare an inventory of the records of each of its organizational units, including the records of any other agency in its custody. Records which may be found on the State Agency General Records Retention Schedule, OAR Chapter 166, Division 300, shall not be included on this inventory. These inventories shall be used to prepare a Special Schedule (OAR 166-030-0026) for public records in agency custody, regardless of medium or physical format.

Public Records Retention and Disposition Authorization (State Agencies)

166-030-0026 Authorization for destruction of public records by a state agency shall be obtained as follows:

- (1) No authorization is required to destroy materials which are excluded or exempt by statute from the definition of public records. (ORS 192.005(5), 192.170)
- (2) A Special Schedule approved by the State Archivist, or an applicable State Agency General Records Retention Schedule found in OAR Chapter 166, Division 300, establishes the appropriate retention and disposition for state agency records. A state agency shall destroy public records which have met the terms and conditions of their scheduled retention period, subject to the prior audit requirements of OAR 166-030-0041 and any suspension ordered under the provisions of OAR 166-030-0045. Special Schedules shall be created from inventories (OAR 166-030-0021). Unless otherwise stated, a retention period shall be calculated from the date the public record was created.
- (3) Beginning July 1, 1992, and annually thereafter, state agencies shall keep a record of all the public records destroyed on the authority of the special schedule. This record shall list schedule number, cubic feet destroyed, and date destroyed.

- (4) Special Schedules approved after January 1, 1987, shall have an expiration date set by the State Archivist.
- (5) Special Schedules approved prior to January 1, 1987, are invalid as of January 1, 1993.

Public Records Retention and Disposition Authorization (Local Agencies)

166-030-0027 Authorization for destruction of public records by local agencies must be obtained as follows:

- (1) No authorization is required to destroy materials which are excluded or exempt by statute from the definition of public records. (ORS 192.005(5), 192.170)
- (2) An applicable General Schedule published in OAR Chapter 166, or a Special Schedule approved by the State Archivist, establishes the appropriate retention and disposition for local agency records. A local agency may destroy public records which have met the terms and conditions of their scheduled retention period, subject to the prior audit requirements of OAR 166-030-0041 and any suspension ordered under the provisions of OAR 166-030-0045. Unless otherwise stated, a retention period shall be calculated from the date the public record was created.
- (3) Notwithstanding any retention period listed in a General Schedule, no public record created in or prior to 1920 shall be destroyed without the express written permission of the State Archivist.
- (4) Specific approval from the State Archivist by means of a Special Schedule is required to dispose of public records which are not listed in an applicable General Schedule found in these rules. Instructions on creating Special Schedules are available from the State Archivist.
- (5) A Special Schedule approved for an individual local agency shall supercede an applicable General Schedule, insofar as it applies to the same public record.
- (6) Special Schedules approved after January 1, 1987, shall have an expiration date set by the State Archivist.
- (7) Notwithstanding any retention period listed in a General Schedule or Special Schedule, no public records listed on the Oregon Historical Records Inventory shall be destroyed. Copies of lists of records on the Oregon Historical Records Inventory are available from the State Archivist.

Prior Audit of Fiscal Public Records Required

166-030-0041 Public records of fiscal transactions, regardless of medium or physical format, may not be destroyed until the minimum retention period has passed and the person charged with their audit has released them for destruction. If federal funds are involved, requirements of the United State government shall be observed.

Suspension of Scheduled Public Records Destruction

166-030-0045 A scheduled destruction of records, regardless of medium or physical format, which are the subject of a public records request shall be suspended until the request has been resolved. Only those records which have been specifically requested need be retained.

Public Records Disposition and Destruction (State and Local Agencies)

166-030-0060 A Special Schedule approved by the State Archivist, or an applicable General Schedule published in these rules, authorizes disposition of public records. Disposition includes:

- (1) Transfer to the custody of the State Archivist. When the scheduled retention specifies transfer to the State Archives, an agency shall transfer it custody of the specified records to the custody of the State Archivist.
- (2) Shredding, Pulping, or Incineration. Public Records which are confidential by law and negotiable instruments (even when cancelled or satisfied in writing) must be destroyed by shredding, pulping, or incineration. The destruction should be supervised and witnessed by a responsible employee of the agency. When using a contractor to destroy public records, the state or local agency must require posting of a bond or undertaking by the contractor to indemnify the state or local agency against any claims or actions resulting from his failure to protect the confidentiality of the public records, and must require a provision precluding sale, transfer, or delivery of the public records to a third party prior to data obliteration. The agreement shall also include provisions requiring secure transit to and handling by the contractor; and prompt processing of the public records by the contractor to fully obliterate the data they contain by shredding, pulping, or incineration.
- (3) Recycling. Records which are not confidential by law may be sold or traded for recycling of the fibre or chemical they contain, provided that the sale or trade agreement includes provisions to insure that the public records are promptly converted into a form which precludes use of the information they contain.
- (4) Deposit in a Library, Museum, or Historical Society with the permission of the State Archivist. The originals of public records which have been microfilmed in compliance with ORS 192.040 to 192.070 and OAR 166-030-0070, and other public records which have continuing local historical value although destruction is authorized, may be deposited in a Library, Museum, or Historical Society if disclosure of the record is not prohibited by law and the depository agrees to comply with ORS 162.305, 192.420, and 192.430. Agreements for such deposits must stipulate that the depository cannot sell or otherwise dispose of the records except by lawful and complete destruction or by returning them to the depositing agency. Permission of the State Archivist is required prior to transfer of records.

Microfilming

166-030-0070 Microfilm may be substituted for any paper or machine readable records if it is made according to the following conditions:

- (1) A security copy of microfilm of public record which have a required minimum retention period of 100 years or longer must be made and stored in accordance with OAR 166-025-0005 to 166-025-0030. A security copy must be reserved and used solely as a backup security copy or as a master for making working copy duplicate film when required.
- (2) Working copies of microfilm, and microfilm of public records with a minimum retention of less than 100 years, may be made in accordance with agency standards and requirements for the retention of the public records, including the option of using any film, processing system, or storage containers the agency may select.

166-300-0010

State Agency General Records Retention Schedules

This General Schedule is applicable to the records of all state agencies. They apply to the official copy of all public records, regardless of medium or physical format, created or stored by the above specified agencies. A state agency shall destroy public records which have met the terms and conditions of their scheduled retention period, subject to the prior audit requirements of OAR 166-030-0041 and any suspension ordered under the provisions of OAR 166-030-0045. Please note the exceptions to this General Schedule listed in OAR 166-030-0026 before disposing of records.

166-300-0015

Administrative Records

(1) Administrative Rule Preparation Records

Records document the formulation, development, notice, and filing of an agency's administrative rules. Administrative rules may be developed through the activities and actions of an agency-appointed advisory committee. Records may include but are not limited to committee minutes and agendas, committee roster, draft rules and work notes, correspondence, copies of administrative orders filed with the Secretary of State (Notice of Proposed Rulemaking, Notice of Proposed Rulemaking Hearing, Statement of Need and Fiscal Impact, Statement of Need and Justification, Certificate and Order for Filing Permanent [or Temporary] Administrative Rules), and public comments and testimony. Administrative rule preparation records must be retained according to this schedule regardless of whether the rule has been renumbered, or repealed and re-adopted under a new rule number. *The Secretary of State maintains the statewide record copy of the Oregon Administrative Rules, Oregon Bulletin, and filed administrative orders.*

Retention: (a) Retain hearing audio or videotapes: until transcribed or summarized, destroy
(b) Retain all other Administrative Rule records: 10 years after repeal of entire rule, destroy

(2) Agency Organizational Records

Records document the organizational arrangement and administrative structure of an agency. Records may include but are not limited to organizational statements, organizational charts depicting the organization of an agency and/or its divisions and programs, studies determining the merit and feasibility of reorganization plans, and other studies related to administrative hierarchy.

Retention: Retain 2 years, destroy

(3) Attorney General Opinions

Records document Attorney General Opinions and attorney's letters of advice. Records may include but are not limited to requests for opinions; opinions; letters of advice; copies of legislative bills, statutes, and administrative rules; and correspondence. *The Department of Justice maintains the statewide record copy.*

Retention: Retain 10 years, destroy

(4) Business Plan Records

Records document the needs assessment, planning, implementation, and review of an agency's functions, programs, and goals. Records may include but are not limited to management plans, directives, organizational charts, correspondence, and related records.

Retention: (a) Retain final document: 6 years, destroy
(b) Retain other business plan records: 1 year after final document produced, destroy

(5) Calendar and Scheduling Records

Records document the scheduling of events and activities involving agency staff and/or resources, (such as meeting rooms, audio-visual equipment, and vehicles). Records may include but are not limited to schedules, desk calendars, reservation logs, lists, requests, and related records.

Retention: Retain 1 year, destroy

(6) Conference, Seminar, and Training Program Records

Records document the design and presentation of training programs and events offered or sponsored by the agency. These events may include but are not limited to conferences, conventions, seminars, training classes, workshops, and similar gatherings. Records may include but are not limited to class descriptions, instructor certifications, planning documentation,

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Administrative Records (con't.)

instructional materials, course outlines, class enrollment and attendance records, and related records. SEE ALSO Employee Training Records in the Personnel Records section for individual employee training records.

- Retention: (a) Retain class enrollment and attendance records: 2 years, destroy
(b) Retain all other records: 5 years, destroy

(7) Contracts and Agreements

Records document the negotiation, execution, completion, and termination of legal agreements between an agency and other parties. Records may include but are not limited to the official contract, lease, or agreement, amendments, exhibits, addenda, legal records, contract review records, and related documentation and correspondence. Records do not include property records. *Note: Agencies that enter into contracts with the federal government must ensure that their contracts and agreements meet federal requirements specified in the Code of Federal Regulations.*

- Retention: (a) Retain contracts or agreements documenting building construction, alterations, or repair: 10 years after substantial completion [as defined by ORS 12.135 (3)], destroy
(b) Retain all other contracts and agreements: 6 years after expiration, destroy

(8) Correspondence

Records that:

1. document communications created or received by an agency AND
2. directly relate to an agency program or agency administration AND
3. are not otherwise specified in the State Agency General Records Retention Schedule (OAR 166-300) or in state agency special schedules or in ORS 192.170.

Records may include but are not limited to letters, memoranda, notes and electronic messages that communicate formal approvals, directions for action, and information about contracts, purchases, grants, personnel and particular projects or programs.

Disposition: File with the associated program or administrative records. Retentions for program records are found in state agency special schedules; retentions for administrative records are typically found in the State Agency General Records Retention Schedule. Communications not meeting the above criteria do not need to be filed and may be retained as needed.)

(9) Key Assignment Records

Series documents the assignment of key cards, metal keys, or pass codes to agency employees for access into state-owned or leased buildings and/or offices. Information may include employee name and agency, work phone number, primary work location, status level, access privileges, key number, dates issued and returned, and pass code information.

Retention: Retain 6 months after employee separation or access status changed, destroy

(10) LEDS Certification Records

Records document the qualification of staff to perform Law Enforcement Data System (LEDS) searches on clients or agency employees. SEE ALSO Employee Personnel Records and Recruitment and Selection Records in the Personnel Records section.

Retention: Retain 2 years after employee ceases to be LEDS certified, destroy

(11) Legislative Development Advisory Committee Records

Records document the activities of agency-appointed advisory committees to help develop legislation for an agency. Records may include but are not limited to membership lists, minutes, agendas, fiscal impact statements, work notes, draft legislation, member comments on drafts, final committee version of legislation, and correspondence.

Retention: Retain 6 years, destroy

(12) Legislative Tracking Records

Records document the development and monitoring of legislation, which may have an impact on an agency's programs or policies. Records may include but are not limited to concept statements, proposals, bill logs, fiscal/organizational impact analysis papers, copies of bills, testimony summaries, committee reports, agendas, and correspondence. Does not include copies of legislative bills used strictly to monitor the legislative process.

Retention: Retain 6 years, destroy

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Administrative Records (con't.)

(13) Litigation Records

Records document agency activities in litigation. Records may include but are not limited to court documents, research materials, reports, press releases, and correspondence.

- Retention: (a) Retain precedent-setting litigation records not scheduled by special schedule: 20 years after case closed, Destroy
(b) Retain all other litigation records: 5 years after case closed, destroy

(14) Lobbyist Records

Records document lobbyist and lobbyist employer activities and are used to report these activities to the Government Standards and Practices Commission. Records may include but are not limited to expenditure reports, registration statements, termination records, guidelines, and correspondence.

- Retention: (a) Retain expenditure reports: 4 years, destroy
(b) Retain all other lobbyist records: 5 years after last activity, destroy

(15) Mailing Lists

Records document the compilation of names and addresses of persons and organizations by an agency for mailing purposes. Lists are used to facilitate billing, community outreach, and other agency functions.

Retention: Retain until superseded or obsolete, destroy

(16) Parking Records

Records document parking provided for the public or agency staff. Records may include but are not limited to parking permits and applications, special permits, and permit receipts.

Retention: Retain 4 years, destroy

(17) Policy and Procedure Guidelines and Manuals

Records document internal instructions, rules, and guidelines for current agency policies and procedures. Records may include but are not limited to authorizing bulletins and advisories, manuals documenting departmental policies and procedures, handbooks, desk manuals, drafts, and related documentation.

- Retention: (a) Retain final document: 6 years after superseded, destroy
(b) Retain all other policy development and planning records: 1 year after final document produced, destroy

(18) Policy Development and Planning Records

Records document the development, planning, implementation, assessment, and review of an agency's strategic or long-term goals through policies, programs, and activities. Records may include but are not limited to strategic and management plans, mission and goal statements, final policy statements and directives, organization charts, preliminary drafts, work notes, and correspondence.

- Retention: (a) Retain final document: 20 years, destroy
(b) Retain all other policy development and planning records: 1 year after final document produced, destroy

(19) Postal Records

Records document transactions with the U.S. Postal Service and private carriers. Records may include but are not limited to postage meter records, receipts for express deliveries, registered and certified mail, insured mail, special delivery receipts and forms, loss reports, and correspondence.

Retention: Retain 4 years, destroy

(20) Press Releases

Records document agency information officially released to the media for dissemination to the public. Records may include but are not limited to press or news releases, prepared statements, public service announcements, and related documentation.

Retention: Retain 10 years, destroy

(21) Professional Membership Records

Records document agency-paid individual or institutional memberships and activities in professional organizations.

Retention: Retain 6 years, destroy

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Administrative Records (con't.)

(22) Public Records Disclosure Request Records

Records document requests for disclosure of public records and provide a record of agency responses. Records may include but are not limited to requests for disclosure, request logs, approvals, denials, copies of petitions to the Attorney General for review of denials of disclosure, Attorney General Orders to grant or deny disclosure, and correspondence.

Retention: (a) Retain approved request records: 5 years, destroy

(b) Retain denied request records: 5 years after last action, destroy

(23) Publication Preparation Records

Records document the development of agency reports, studies, directories, leaflets, flyers, brochures, and other publications. Records may include but are not limited to working papers, mock-ups, drafts, and related correspondence. *Stocks of publications are not public records as defined by ORS 192.005(5) and need not be scheduled.*

Retention: Retain 1 year after publication printed, destroy

(24) Security Records

Records document security provided for agency buildings and grounds. Records may include but are not limited to security logs, sign-in sheets, security activity reports, incident reports, and related records. SEE ALSO Visitor Logs in this section.

Retention: Retain 5 years, destroy

(25) Signature Authorizations

Records documenting the authorization of employees designated to sign fiscal and contractual documents. Information may include authorization date, employee name, signature sample, position, conditions, remarks, dollar amount employee authorized to approve, and signature and name of person(s) approving authorization.

Retention: Retain 6 years after authorization superseded or expired, destroy

(26) Staff Meeting Records

Records document the activities and proceedings of agency staff meetings that are not subject to Oregon's Public Meetings Law (ORS 192.610 to 192.690). Records may include but are not limited to minutes, notes, reports, and related documentation.

Retention: Retain 2 years, destroy

(27) Telecommunications Logs

Records document the tracking and status of telephone, voice mail, and facsimile (FAX) communications received or called by an agency. Information may include date and time of call, name of caller, phone number called or received, nature of call, and actions taken and results of call.

Retention: Retain 1 year, destroy

(28) Visitor Logs

Records document the registration of non-agency personnel and visitors into the agency's building and/or office area. Information may include but is not limited to date and time visitor checked in and out, visitor name, reason for visit, agency contact name, and badge identification number. SEE ALSO Security Records in this section.

Retention: Retain 1 year, destroy

(29) Work Orders

Series documents requests made for work to be done for one agency division by another agency division. Types of work requested include word processing and requests for information such as purchasing. Information may include but is not limited to dates requested and completed, requestor's name and division, name of individual completing work, and description of work to be done. SEE ALSO Facility Work Orders in the Facilities/Property Records section.

Retention: Retain 1 year after assignment completed or cancelled, destroy

(30) Year 2000 (Y2K) Planning Records

Records document the planning and development of Y2K Contingency Plans. Records may include but are not limited to meeting minutes, correspondence, draft plans, work notes, plan test results, and final plan. Information may include type of systems vulnerable to Y2K, level of priority, and party responsible for system solution or troubleshooting.

Retention: Retain 5 years, destroy

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Facilities/Property Records

(1) Asset Inventory Reports

Inventory records documenting the capitalized and expendable assets of the agency. Examples of capitalized assets may include but are not limited to buildings, real estate, infrastructure assets, vehicles, equipment, and furniture. Examples of expendable assets include office supplies and other small, office purchases. Information may include asset number, description, purchase order number, location of asset, date received, purchase price, replacement cost, depreciation, and related data. This record series applies to routine property control inventories.

Retention: (a) Retain records of capitalized assets: 3 years after disposal or replacement of asset, destroy
(b) Retain records of expendable assets: 3 years or until superseded, whichever is longer, destroy

(2) Building Records

Records document the original construction and/or remodeling of state-owned or leased facilities. Records may include but are not limited to original blueprints and floor plans; as-builts; electrical, plumbing, and HVAC plans; documentation of remodeling and major repairs; engineering blueprints; and documentation of all work that alters the structure's floor plan, stability, or systems. SEE ALSO Computer System Wiring Records in the Information Management Records section.

Retention: (a) Retain records for state-owned facilities: for the life of the structure, destroy
(b) Retain records for leased facilities: 6 years after expiration of lease, destroy

(3) Damaged/Stolen Property Records

Records document reports sent to Department of Administrative Services, Risk Management Division relating to damaged or stolen property. Records may include but are not limited to yearly risk reports, restoration fund inventory reports, policy manuals, property transfer reports, self-insurance manuals, real property reports, money and negotiable securities reports, general risk surveys, and related documentation.

Retention: Retain 4 years, destroy

(4) Equipment Maintenance Records

Records document the maintenance performed on equipment owned and/or maintained by the agency and provide support documentation for warranty, operation, maintenance, service, and repair. Records may include but are not limited to purchase orders, lease agreements, warranties, vendor statements, operating manuals, specifications, serial numbers, service contracts, charge call bills, fax activity reports, service reports, invoices for equipment repair, purchase request forms, and related documentation. SEE ALSO Vehicle Records in this section.

Retention: Retain 1 year after equipment disposed of, destroy

(5) Equipment/Property Disposition Records

Records document the location, use, and transfer of agency-owned property and equipment. Records may include but are not limited to expendable property inventory listings, property disposition requests and notices, equipment transfer memoranda or forms, and correspondence.

Retention: Retain 4 years, destroy

(6) Facility Work Orders Records document requests and authorizations for services and/or repairs to agency property or buildings. Records may include but are not limited to property and equipment repair requests and authorizations, and correspondence. Types of repairs/services include telephone service orders and routine building maintenance, such as changing lights, and minor electrical or plumbing problems. SEE ALSO Work Orders in the Administrative Records section.

Retention: Retain 4 years, destroy

(7) Hazardous Substance Employer Survey Records

Records document the locations, quantities, and individuals responsible for specific hazardous chemicals housed by an agency. This survey is required by the State Fire Marshal. Records may include but are not limited to hazardous chemical compositions, lot numbers, and emergency disposition instructions. *The State Fire Marshal maintains the statewide record copy.*

Retention: Retain until superseded or obsolete, destroy

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Facilities/Property Records (con't.)

(8) Master Material Safety Data Records

Records document all hazardous chemicals currently used and held by an agency. Records may include but are not limited to hazardous materials safety sheets, safety instructions, and emergency instructions.

Retention: Retain until superseded or chemical no longer in use, destroy

(9) Pesticide Application Records

Records document the application of pesticides to agency buildings or grounds as required by the Oregon Department of Agriculture (ODA). Records may include but are not limited to pesticide applicator license information, lists of pesticides used, amount of pesticides used, dates of application, applicator notes, and work orders.

Retention: Retain 2 years after report submitted to ODA, destroy

(10) Vehicle Records

Records document the purchase, maintenance, and disposition of an agency's fleet vehicles. Records may include but are not limited to purchase records, maintenance and repair logs, maintenance requests and work orders, vehicle registration logs, gas card issuance logs, gas slips, repair notices and authorizations, accident records, repair estimates, photographs, and related correspondence. SEE ALSO Vehicle Accident Records in the Risk Management Records section.

Retention: Retain 2 years after vehicle disposed of, destroy

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Financial Records

(1) Account Reconciliation Records

Records document the reconciliation of agency funds and accounts such as cash accounts with the State Treasury or other subsystems, capital asset to capital expenditures, or federal revenue to federal expenditures. Records may include printouts, worksheets, reports, schedules, and other supporting documentation. Records include those produced by the Statewide Financial Management Application (SFMA), the Department of Administrative Services Data Mart, and any other subsystems used by the agency.

Retention: Retain 6 years, destroy

(2) Account Transfer Records

Records document the authorized movement and transfer of funds between various accounting structures, such as the Statewide Financial Management Application (SFMA) Program Cost Account (PCA), Index, Program, Organizational Structures, and Treasury accounts. Records may include journal vouchers and transfer requests. Records include those produced by SFMA, the Department of Administrative Services Data Mart, and any other subsystems used by the agency.

Retention: (a) Retain records documenting transfers between statutory funds: 75 years, destroy

(b) Retain all other account transfer records: 6 years, destroy

(3) Accounting Structure Organizational Hierarchy Records

Records document the program and/or organization of an agency's accounting structure. The accounting structure includes items such as comptroller objects, agency objects, fund structure, and general ledger account and other codes and profiles. Records include those produced by the Statewide Financial Management Application (SFMA) the Department of Administrative Services Data Mart, and any other subsystems used by the agency. Records may include SFMA profile listings showing accounting structure and fund split tables.

Retention: Retain 6 years, destroy

(4) Accounting System Input Documents and Listings, and Agency Control Reports

Records document transactions or changes entered into the accounting system and other subsystems. They are used to control accuracy of data entry and to verify data input and batch control. Records include those produced by the Statewide Financial Management Application (SFMA), the Department of Administrative Services Data Mart, and any other subsystems used by the agency. Records include input documents, batch control reports, hand-posted spreadsheets, control reports, and memoranda.

Retention: Retain 4 years, destroy

(5) Accounts Payable Reports

Records document current outstanding liabilities and provide a record of payments of bills by the agency. They may also serve as a subsidiary ledger. Records include those produced by the Statewide Financial Management Application (SFMA), the Department of Administrative Services Data Mart, and any other subsystems used by the agency.

Retention: (a) Retain SFMA requestable reports: 6 years, destroy

(b) Retain all other accounts payable records: 6 years, destroy

(6) Accounts Receivable Reports

Records document billings and collections and provide a record of money owed to the agency. Serves as a subsidiary ledger of original entry/input and records amounts received from debtors for goods and/or services. Aging reports are used to monitor accounts that are outstanding and overdue. Records include those produced by the Statewide Financial Management Application (SFMA), the Department of Administrative Services Data Mart, and any other subsystems used by the agency.

Retention: (a) Retain monthly accounts receivable reports and SFMA requestable reports: 6 years, destroy

(b) Retain all other accounts receivable records: 6 years after collected or deemed uncollectible, destroy

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Financial Records (con't.)

(7) Annual Financial Reports

Records document the agency's annual financial condition and results of operation as of June 30 using trial balance data. These reports are used as a reference by the Secretary of State, Audits Division and included in the Comprehensive Annual Financial Report (CAFR) produced by the Department of Administrative Services. Records may include transmittal cover sheet, organization and function, combined balance sheet, combined statement of revenues, expenditures, changes in fund balance, notes to the financial statement, and exhibits. Exhibits may include a working trial balance by fund type, adjustments to accounting data, cash flow analysis, and other documents supporting statement amounts and notes. *The Department of Administrative Services maintains the statewide record copy of the CAFR.*

Retention: Retain 10 years, destroy

(8) Audit Reports

Records document an examination of the agency's fiscal condition, internal control and compliance policies and procedures, performance or other financial related audits by the Secretary of State, Audits Division; internal auditors; or independent auditors. Records include audit reports, supporting documentation, agency comments, and correspondence. *The Secretary of State, Audits Division maintains the statewide record copy of their audits.* SEE ALSO Internal Audit Reports in this section.

Retention: (a) Retain grant fund audit reports: 5 years or according to the terms (if greater than 5 years) specified in the grant, destroy
(b) Retain all other audit reports: 5 years, destroy

(9) Bank Statements

Records document the current status and transaction activity of agency funds held at a bank or at the State Treasury. Records may include bank/Treasury statements and support reconciliation records, validated deposit slips and/or paid check/warrant copies.

Retention: Retain 6 years, destroy

(10) Budget Allotment Reports

Records document the agency's containment within quarterly budget authorizations using expenditure, encumbrance, and budget data. Records are used to develop and monitor apportioned fiscal distributions.

Retention: Retain present and previous biennium, destroy

(11) Budget Preparation Records

Records document the agency's activity to plan, develop, estimate and propose biennial budget requests. Records may include budget requests, spreadsheets, expenditure projection work papers, preliminary division/section budget proposals, budget development schedules, allotment reports, decision packages, spending plans, funding formula factor analysis, compensation plan proposals, contingency/deviation plans, performance measures, fiscal impact analysis, and correspondence. Records may also include monthly trial balance summaries, expenditure detail reports, revenue detail reports, monthly encumbrance registers, and expenditure and revenue registers.

Retention: Retain present and previous biennium, destroy

(12) Cash Receipt Records

Records document tabulated and keyed-in transactions for cash received by the agency. Records may include cash register tapes or equivalent, copies of receipts, and batch sheets. SEE ALSO Receipts and Receipt Registers in this section.

Retention: Retain 6 years, destroy

(13) Check Cancellation Request Records

Records document the request to cancel checks issued and to request the issuance of duplicates. Records may include request memoranda and check photocopies.

Retention: Retain 6 years, destroy

(14) Check Registers

Records document an original entry listing which logs checks issued by the agency. Information includes date, check number, payee, and amount.

Retention: Retain 6 years, destroy

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Financial Records (con't.)

(15) Checks

Records document redeemed checks written on agency accounts. Records may include redeemed, void and canceled checks, and supporting documentation.

Retention: Retain 6 years, destroy

(16) Competitive Bid Records

Records document the evaluation and award of bids to vendors and/or agencies and provides evidence of accepted and rejected bids. Records may include but are not limited to requests for proposals, bids, and information; bid and quote lists; notices of bid opening and award; comparison summaries; spreadsheets; tabulation worksheets; bid advertising records; tally sheets; bid specifications; and vendor correspondence. SEE ALSO Purchasing Records and Vendor Reports in this section.

Retention: Retain 6 years after bid awarded or canceled, destroy

(17) Credit Card Records

Records document the application and approval to use state-issued credit cards and purchases made with these cards. Records may include but are not limited to credit card applications, approvals, credit card transaction logs, credit card security and checkout records, monthly credit card statements, and purchasing documentation.

Retention: (a) Retain application and approvals: 3 years after card cancelled, revoked, or denied, destroy
(b) Retain all other credit card records: 6 years, destroy

(18) Debit/Credit Advices

Records document the receipt of and/or verification of special deposits or withdrawals and the adjustment of dollar amounts in funds because of recording errors or fund transfers between accounts. Information includes account number, debit/credit amount, authorization, and justification.

Retention: Retain 6 years, destroy

(19) Deposit Slips

Records document monies deposited in banks at privately operated institutions and the State Treasury. Records are used to reconcile and balance an agency's State Treasury or bank accounts. Information may include date and amount deposited.

Retention: Retain 6 years, destroy

(20) Emergency Board Request Records

Records document the agency's requests to the Legislative Emergency Board for additional funds or authority to spend funds between legislative sessions. Records may include but are not limited to requests, schedules and agendas, exhibits, organization charts, testimony summaries, fiscal analysis, legislative progress reports, revenue projections, reclassification plans, presentation drafts, performance measures, other exhibits, and correspondence.

Retention: Retain present and previous biennium, destroy

(21) Encumbrance Registers

Records document a listing of outstanding encumbrances (financial obligations), purchase commitments, and vouchers written to liquidate or reduce encumbrances. Records include those produced by the Statewide Financial Management Application (SFMA), the Department of Administrative Services Data Mart, and any other subsystems used by the agency.

Retention: Retain 3 years, destroy

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Financial Records (con't.)

(22) Expenditure and Revenue Reports

Records summarize expenditures, revenue, encumbrances, and budgetary data, and are used to monitor and control expenditures in accordance with Legislatively Approved Budgets. Records include those produced by the Statewide Financial Management Application (SFMA), the Department of Administrative Services Data Mart, and any other subsystems used by the agency.

Retention: (a) Retain monthly expenditure and revenue 6 years, destroy
(b) Retain SFMA expenditure and revenue projection reports: until superseded or obsolete, destroy
(c) Retain all other expenditure and revenue reports: 2 years, destroy

(23) General Ledger Transaction Reports

Records document all fiscal transactions of the agency for each month. Data is used to prepare an agency's financial statements. Records include those produced by the Statewide Financial Management Application (SFMA), the Department of Administrative Services Data Mart, and any other subsystems used by the agency. *The Department of Administrative Services, Statewide Financial Management Services section maintains the statewide record copy of the General Ledger.*

Retention: Retain 6 years, destroy

(24) Grant Records

Records document the application, evaluation, awarding, administration, monitoring, and status of grants in which the agency is the recipient, grantor, allocator, or administrator. Grants may be awarded from federal or state government, or other public or private funding sources. Records may include but are not limited to applications including project proposals and narratives, summaries, objectives, activities, budgets, exhibits, and award notification; grant evaluation records and recommendations concerning grant applications; grant administration records including progress reports, budgets, project objectives, proposals, and summaries; records documenting allocation of funds; contracts; records monitoring project plans and measuring achievement and performance; equipment inventories; financial reports, accounting records, audit reports, expenditure reports, and related correspondence and documentation. Records include those produced by the Statewide Financial Management Application (SFMA), the Department of Administrative Services Data Mart, and any other subsystems used by the agency.

Retention: (a) Retain grant records, including SFMA requestable reports: 5 years after final or annual expenditure report accepted, destroy
(b) Retain unsuccessful grant applications: 3 years after rejection or withdrawal, destroy
(c) Retain capital asset records: 3 years after disposition of assets, destroy

(25) Internal Audit Reports

Records document financial and performance audits performed on an annual or project basis by agency-employed internal auditors or contracted auditors. Audits investigate potential problem areas and internal fiscal control structures and may include recommendations for improvement in agency systems. Records include audit reports, supporting documentation, agency comments, and correspondence. SEE ALSO Audit Reports in this section.

Retention: Retain 5 years, destroy

(26) Invoice Registers

Records document a listing of who was billed by the agency for services rendered and provide a detailed breakdown of individual invoice billings. Information includes invoice number, amount, date, item or service billed for, and billed party name.

Retention: Retain 6 years, destroy

(27) Invoices Records document goods and services billed by the agency. Information may include invoice number, date, transaction description, identification of parties involved, prices, and terms of sale.

Retention: Retain 6 years, destroy

(28) Journal Entry Registers

Records document an account record of original entry/input and provides a record of debit and credit journal transactions. Information includes date, account number, action, and debit/credit amount.

Retention: Retain 6 years, destroy

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Financial Records (con't.)

(29) Legislatively Adopted Budgets

Records document the comprehensive financial plan for the agency's biennial operating budget that was approved by the legislature and forms a basis for appropriations. Records may include supplemental reports dealing with affirmative action, productivity, performance measures, improvement in programs, information systems, and other subjects. *The Department of Administrative Services, Budget and Management section maintains the statewide record copies of Legislatively Adopted Budgets.*

Retention: Retain 10 years, destroy

(30) Oregon State Treasury Reports

Records document reports generated by the Oregon State Treasury and are used to update an agency on account and fund status and activity, investment balances and transactions, and the agency's activities in issuing debt. Records include banking, account, and other finance reports, investment reports, and debt management reports.

- Retention:** (a) Retain daily account reports: until superseded by monthly reports which summarize daily activity, destroy
(b) Retain debt management reports: 6 years after indebtedness is retired, whether by maturing or being called, destroy
(c) Retain all other State Treasury reports: 6 years, destroy

(31) Petty Cash Fund Records

Records document petty cash activity for the agency. Records include requests and authorizations to establish petty cash funds, ledgers, statements, requests for disbursements, copies of receipts and invoices.

Retention: Retain 6 years, destroy

(32) Purchasing Records

Records document the purchase of goods and services by the agency. Records may include purchase orders and requests, purchase authorizations, requisitions, contract release orders, price agreements, material/cost specifications, copy center/printing orders, and correspondence. SEE ALSO Competitive Bid Records and Vendor Reports in this section.

Retention: Retain 6 years, destroy

(33) Receipt Registers

Records document a detailed list of processed cash receipt transactions and is used to verify receipts, estimate revenue, and reconcile accounts. Records include those produced by the Statewide Financial Management Application (SFMA), the Department of Administrative Services Data Mart, and any other subsystems used by the agency.

Retention: Retain 6 years, destroy

(34) Receipts

Records document acknowledgment of payment and/or delivery. Information includes date, amount, signature, items received or delivered, and receipt number. SEE ALSO Cash Receipt Records in this section.

Retention: Retain 6 years, destroy

(35) Travel Expense Records

Records document reimbursement claims made by employees for travel and related expenses. Records may include travel expense detail sheets, supporting documentation, and correspondence.

Retention: Retain 6 years, destroy

(36) Trial Balance Reports

Records document a summary of general ledger accounts and shows the agency's current financial position. Reports are used to prepare the agency's financial statements. Records include those produced by the Statewide Financial Management Application (SFMA), the Department of Administrative Services Data Mart, and any other subsystems used by the agency.

Retention: Retain 6 years, destroy

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Financial Records (con't.)

(37) **Vendor Reports** Records document vendor data, which is used to select vendors, and to track voucher and purchase order status. Records include those produced by the Statewide Financial Management Application (SFMA), Data Mart, and any other subsystems used by the agency. SEE ALSO Purchasing Records in this section.

Retention: (a) Retain annual vendor reports: 6 years, destroy
(b) Retain all other vendor reports: until superseded or obsolete, destroy

(38) **Voucher Registers**

Records document a book of original entry and provides a listing of vouchered disbursement transactions. Records include those produced by the Statewide Financial Management Application (SFMA), the Department of Administrative Services Data Mart, and any other subsystems used by agency.

Retention: Retain 6 years, destroy

(39) **Vouchers**

Records document individually authorized expenditure transactions. Records provide the documentation and backup for all payments to vendors. Voucher files may contain invoices, receipts, travel expense detail sheets, purchase requests, purchase orders, cancelled checks, other supporting documents, and correspondence. Records include those produced by the Statewide Financial Management Application (SFMA), the Department of Administrative Services Data Mart, and any other subsystems used by the agency.

Retention: Retain 6 years, destroy

(40) **Warrant Cancellation Request Records**

Records document the request to cancel warrants issued on vouchers, and to request the issue of duplicates. If the warrant is physically available, it is cancelled and re-issued if necessary. However, if the warrant is not physically present, an affidavit is required. Records include request memoranda, affidavits, photocopies and memoranda from the Department of Administrative Services confirming re-issuance.

Retention: Retain 6 years, destroy

(41) **Warrant Registers**

Records document a listing of warrants issued by an agency. Information includes date, payee, warrant number, and amount.

Retention: Retain 6 years, destroy

(42) **Warrants**

Records document the promise to pay and the authorization for claim payments. Records may include redeemed, void cancelled, and undeliverable warrants, and supporting documentation.

Retention: (a) Retain undeliverable warrant: until expired, destroy
(b) Retain all other warrants: 6 years, destroy

(43) **1099-Miscellaneous Forms**

Records document the agency's responsibility for ensuring vendor payments are accurate. If vendor information is incorrect, the agency prepares a '1099-Misc. Change Request' and forwards it to the Statewide Financial Management Services section for correct to the 1099-Misc. form. The Statewide Financial Management Application (SFMA) tracks vendor payments and produces 1099-Misc. forms for federal reporting.

Retention: Retain 6 years, destroy

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Information and Records Management Records

(1) Computer System Maintenance Records

Records document the maintenance of an agency's computer systems and are used to insure compliance with any warranties or service contracts; schedule regular maintenance and diagnose system or component problems; document system backups; and migrate information from the former system to a new system. Records may include but are not limited to computer equipment inventories, hardware performance reports, component maintenance records (invoices, warranties, maintenance logs, correspondence, maintenance reports, and related records), system backup reports and procedures, backup tape inventories, migration plans, and related documentation.

Retention: (a) Retain records related to system or component repair or service: 1 year after life of system or component, destroy
(b) Retain records related to regular or essential records backups: 1 year after superseded or obsolete, destroy
(c) Retain migration plans: until superseded or obsolete, destroy

(2) Computer System Program Documentation

Records document the addition, modification, or removal of software from an agency computer system. Records usually fall into six categories: 1) records documenting operating systems; 2) records documenting the in-house creation and modification of application programs; 3) records documenting the structure and form of datasets; 4) records documenting the use of commercial software packages; 5) records documenting the structure of the system; and 6) records documenting system-to-system communication. Records may include but are not limited to system overviews, operations logs, job listings, operator instruction manuals, system development logs, system specifications and changes (including narrative and flow chart descriptions), conversion notes, dataset logs, dataset inventories, dataset record layouts, hard copies of tables, data dictionaries, data directories, programming logs, program specifications and changes, record layouts, user views, control program table documentation, program listings, and commercial software manuals. SEE ALSO Information System Planning and Development Records, Software Management Records, and Computer System Maintenance Records in this section.

Retention: Retain 1 year after life of system, destroy

(3) Computer System Security Records

Records document the security of an agency's computer systems. Records may include but are not limited to employee access requests, passwords, access authorizations, system access logs, and related documentation.

Retention: (a) Retain system access logs: 3 years, destroy
(b) Retain all other computer system security records: 3 years after superseded or authorization expired, destroy

(4) Computer System Wiring Records

Records document the wiring of an agency's computer network system. Records may include but are not limited to blueprints or drawings of building computer system wiring, cables, computer equipment connections, and related documentation.

Retention: Retain until superseded or obsolete, destroy

(5) Filing System Records

Records document the establishment, maintenance, alteration, or abolition of agency and/or program filing systems. Records may include but are not limited to master file lists, organizational charts, program descriptions, and correspondence.

Retention: Retain 5 years after superseded or abolished, destroy

(6) Forms Development Records

Records document the development of new or revised forms used by an agency. Records may include but are not limited to sample forms, drafts, revisions, form logs/listings, proposals, authorizations and illustrations.

Retention: Retain until superseded or obsolete, destroy

(7) Information Service Subscription Records

Records document agency subscriptions to information services. Records may include but are not limited to subscriptions, invoices, and correspondence.

Retention: Retain 4 years, destroy

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Information and Records Management Records (con't.)

(8) Information System Planning and Development Records

Records document the planning and development of agency information systems. Although these records typically document computerized information systems, they may also document manual filing systems and microfilm systems. The records are used to insure that planned systems will help an agency fulfill its missions, are cost-effective, conform to adopted information standards, and integrate with existing agency information systems. Records may vary according to the level of documentation required for each system, but may include Department of Administrative Services, Information Resources Management Division (DAS IRMD) information technology plans, DAS IRMD feasibility studies and cost-benefit analyses, agency studies and surveys, system specifications and revisions, component proposals, technical literature, vendor literature and proposals, and correspondence.

Retention: (a) Retain implemented systems: 1 year after life of system, destroy
(b) Retain unimplemented systems: 5 years, destroy

(9) Microfilm Quality Control Records

Records document that microfilm produced by or for state agencies conforms to the specifications required by Oregon Administrative Rules 166-25-005 to 166-25-030. Records may include but are not limited to microfilmed records lists, microfilm reel indexes, service bureau transmittals, film inspection reports, methylene blue certifications, Archives Division Security Copy Depository transmittals, camera/processor/duplicator inspection reports, equipment and operator logs, and correspondence.

Retention: Retain for the same retention period as related microfilm, destroy

(10) Radio System Records Records document an agency's use and maintenance of a radio system. Records may include but are not limited to FCC licenses, frequency information, and call sign designations.

Retention: (a) Retain call sign designations: until superseded or obsolete, destroy
(b) Retain FCC licenses: 2 years after expiration, destroy
(c) Retain all other radio system records: for the life of the system, destroy

(11) Records Management Records

Records document the authorized retention, scheduling, inventory, and disposition of an agency's records. Records may include but are not limited to Archives Division records retention schedules, inventory worksheets, schedule authorizations, procedure guidelines, agency storage inventory lists, transmittals, destruction lists, destruction requests and authorizations, and correspondence.

Retention: (a) Retain destruction records: permanently in agency
(b) Retain all other records: 5 years after superseded, destroy

(12) Software Management Records

Records document the use of software in agency information systems to insure that agency software packages are compatible, that license and copyright provisions are complied with, and that upgrades are obtained in a timely manner. Records may include but are not limited to software evaluations, software purchase records, software inventories, software licenses, site licenses, and correspondence.

Retention: Retain 1 year after software disposed of or upgraded, destroy

(13) Telecommunications System Management Records

Records document the creation, modification, or disposition of agency telecommunications systems. Records may include but are not limited to equipment records, Federal Communications Commission records, system planning records, telecommunications maintenance contracts, telecommunications service and repair orders, and correspondence. SEE ALSO Facility Work Orders in the Facilities/Property Records section.

Retention: Retain 1 year after life of system, destroy

(14) User Support Records

Records document troubleshooting and problem-solving assistance provided by the agency's information systems personnel to users of the systems (computer, telecommunications, etc.). Records may include but are not limited to help desk assistance requests, resolution records, and related documentation.

Retention: Retain until problem resolved, destroy

166-300-0035

Payroll Records

(1) **Deduction Registers** Records document voluntary and/or required deductions from the gross pay of agency employees. Deductions may include federal income and social security taxes, state income tax, workers' compensation, union dues, insurance, deferred compensation, credit union, parking permit, pre-written checks, garnishments, levies, charitable contributions, and others.

Retention: (a) Retain registers documenting state and federal taxes: 5 years, destroy
(b) Retain all other deduction registers: 4 years, destroy

(2) **Employee Payroll Records**

Records document individual employee pay history. Records may include but are not limited to source documents authorizing payroll deductions and withholding such as Public Employee Retirement System (PERS) enrollment forms, insurance applications, beneficiary designations, leave authorizations, pay related personnel action documents, garnishment records, child support claim records, electronic deposit authorizations, work out of class and overtime authorizations, deduction reports, and correspondence. SEE ALSO Employee Personnel Records and Employee Benefit Records in the Personnel Records section.

Retention: (a) Retain PERS enrollment records: 75 years, destroy
(b) Retain garnishment records: 4 years after resolution, destroy
(c) Retain deduction authorization records: 3 years after superseded, eligibility expired or employee separation, destroy
(d) Retain all other employee payroll records: 3 years after employee separation, destroy

(3) **Employee Time Records**

Records document hours worked and leave hours accrued and taken by agency employees. Information may include employee name and other personally identifiable information, work schedule, days and time worked, leave time, and approval signatures.

Retention: Retain 4 years, destroy

(4) **Federal and State Tax Records**

Records document the collection, distribution, deposit, and transmittal of federal and state income taxes and social security tax. Records include the federal Miscellaneous Income Statement (1099), Request for Taxpayer Identification Number and Certificate (W-9), Employers Quarterly Federal Tax Return (941, 941E), Tax Deposit Coupon (8109), Withholding Allowance Certificates (W-4), Wage And Tax Statements (W-2), and related federal and state tax forms.

Retention: (a) Retain Withholding Allowance Certificates (W-4): 5 years after superseded or employee separation, destroy;
(b) Retain all other federal and state tax records: 5 years, destroy

(5) **Family Medical Leave Records**

Records document leave taken by agency employees under the federal Family and Medical Leave Act. Records may include but are not limited to leave requests, payroll wage and hour related data, and records related to medical certifications or medical histories of employees or employees' family members. *Medical records (medical certifications and medical histories) are not personnel records and must be kept in a separate location from employee personnel records, as required by the Family and Medical Leave Act.*

Retention: Retain 3 years, destroy

(6) **Leave Applications**

Records document applications or requests submitted by employees for sick, vacation, compensatory, personal business, family and medical leave, long-term leave, and other leave time. Information may include employee name, department, date, leave dates requested, type of leave requested, and related data. SEE ALSO Employee Time Records in this section.

Retention: Retain 1 year, destroy

166-300-0035

Payroll Records (con't.)

(7) Oregon State Payroll Application (OSPA) Reports

Records document reports generated by the Department of Administrative Services Joint Payroll System used to update an agency on employee earnings, deductions and leave accrual. Reports may include Time Sheet Audit and Control Reports, Time Sheet Exception Reports, Payroll Register Detail and Summary Reports, and Deduction Register Detail and Summary Reports. Other reports include FICA Magnetic Tape Reconcile Detail, PERS Current Employee Contribution, Deferred Compensation by Plan, Year-to-Date Corrections, and ACH Direct Deposit Register. *The Oregon State Payroll System Application maintains the statewide record copy for the Leave Accrual Detail Transaction Register (1987 - present), the Payroll Register Detail Report (1951 - present), and the Payroll Year-to-Date Register (1976 - present).*

Retention: (a) Retain pre-1987 Leave Accrual Detail Transaction Registers: 75 years, destroy
(b) Retain 1987 and later Leave Accrual Detail Transaction Registers: 10 years, destroy
(c) Retain pre-1951 Payroll Register Detail Reports: 75 years, destroy
(d) Retain 1951 and later Payroll Register Detail Reports: 4 years, destroy
(e) Retain pre-1976 Payroll Year-to-Date Register or Monthly Payroll Registers: 75 years, destroy
(f) Retain 1976 and later Payroll Year-to-Date Registers or Monthly Payroll Registers: 10 years, destroy
(g) Retain all other payroll system reports: 4 years, destroy

(8) Payroll Administrative Reports (Non-OSPA)

Records document an agency's statistical studies, payroll budget preparation, projections, workload and personnel management, and payroll research.

Retention: Retain 4 years, destroy

(9) Unemployment Compensation Claim Records

Records document claims submitted by former agency employees for unemployment compensation. Records may include but are not limited to claims, notices, reports, claim determination appeal records, and related documentation and correspondence.

Retention: Retain 4 years, destroy

(10) Unemployment Reports

Records document employee earnings on a quarterly basis, which are used to determine costs and charges in the event of an unemployment compensation claim.

Retention: Retain 4 years, destroy

166-300-0040

Personnel Records

(1) Affirmative Action Records

Records document agency compliance with the statutes and regulations of the U.S. Equal Employment Opportunity Commission regarding affirmative action. Records include affirmative action plans and/or policies, and their revisions and updates, which are required to be submitted to the Governor's Affirmative Action Office. Records may also include but are not limited to reports, supporting documentation, and correspondence. *The Governor's Affirmative Action Office maintains the statewide record copy of plans and policies.*

Retention: (a) Retain Affirmative Action plans and policies: 3 years after superseded or obsolete, destroy
(b) Retain all other Affirmative Action records: 3 years, destroy

(2) Benefits Continuation Records

Records document notifications to employees or dependents informing them of their rights to continue insurance coverage after termination or during disability or family leave. Continuation may be under COBRA or another provision. Notice is sent to a third party administrator who administers extended coverage under contract with the Public Employees Benefits Board (PEBB). Records typically include notices sent and correspondence. Records may be filed with the Employee Benefits Records of Employee Personnel Records. SEE ALSO Employee Payroll Records in the Payroll section.

Retention: Retain 3 years after employee separation or eligibility expired, destroy

(3) Collective Bargaining Records

Records document the agency's role in initial and ongoing collective bargaining between the state and a bargaining unit. Records may include but are not limited to union contracts and amendments, tentative agreements, arbitrator's recommendations, negotiation work notes, strike contingency plans, management counter proposals, negotiation updates, newspaper clippings, press releases, research background material, employee classification printouts, and related correspondence. *The Department of Administrative Services maintains the statewide record copy.*

Retention: (a) Retain agency proposals and notes: until contract superseded or obsolete: transfer to Department of Administrative Services
(b) Retain all other agency collective bargaining records: 6 years after contract expiration, destroy

(4) Comparable Worth Study Records

Records document the study, analysis and resolution of pay equity, alleged job discrimination, and related issues involving an agency and its employees. Records may include but are not limited to job content questionnaire summaries, position allocation reports, personnel reclassification studies, job category listings, study outlines, graphs, tables, and related records.

Retention: Retain 15 years, destroy

(5) Criminal Background Check Records

Records document the pre-employment or periodic criminal record check performed on prospective or current staff, faculty, and volunteers by the agency. Records may include but are not limited to a Fingerprint-Based Criminal History Verification form documenting the result of a criminal history background check coordinated by the Oregon Law Enforcement Data System (LEDS). The form includes name and other personal identifying information, indication of the existence or absence of criminal record, and related documentation.

Retention: (a) Retain background check log: until superseded or obsolete, destroy
(b) Retain all other criminal background check records: 90 days, destroy

(6) Drug Testing Records

Records document the testing of current and prospective employees for controlled substances prohibited by policy, procedure, or statute. Records may include but are not limited to the documentation of test results, the collection process, the random sample process, and those documenting the decision to administer reasonable suspicion drug testing.

Retention: (a) Retain positive test results: 5 years, destroy
(b) Retain negative test results: 1 year, destroy

166-300-0040

Personnel Records (con't.)

(7) Employee Benefits Records

Records document an individual employee's benefit information such as selection of insurance plans, retirement, pension, and disability plans, deferred compensation plans, and other benefit program information. Records may include but are not limited to plan selection and application forms, enrollment records, contribution and deduction summaries, personal data records, authorizations, beneficiary information, and related documentation. Records may be filed with the individual Employee Personnel Record. SEE ALSO Employee Payroll Records in the Payroll section.

Retention: (a) Retain PERS enrollment records: 75 years, destroy
(b) Retain all other benefits records: 3 years after employee separation or eligibility expired, destroy

(8) Employee Medical Records

Records document an individual employee's work related medical history. *These records are not personnel records and must be kept in a separate location from employee personnel records as required by the Americans with Disabilities Act.* Records may include but are not limited to medical examination records (pre-employment, pre-assignment, periodic, or episodic), X-rays, records of significant health or disability limitations related to job assignments, documentation of work related injuries or illnesses, hearing test records, hazard exposure records, first-aid incident records, physician statements, release consent forms, and related correspondence. SEE ALSO Hazard Exposure Records in the Risk Management Records section and Drug Testing Records in this section.

Retention: (a) Retain hazard exposure records: 30 years after employee separation (29 CFR 1910.1020), destroy
(b) Retain audiometric test records: until employee separation (29 CFR 1910.95), destroy
(c) Retain all other employee medical records: 3 years after employee separation, destroy

(9) Employee Personnel Records

Records document an individual employee's work history. Records may include but are not limited to applications, personnel actions, performance evaluations, training records, letters of commendation and recommendation, letters of reprimand, notices of disciplinary action, notices of layoff, letters of resignation, home address/telephone disclosures, emergency notification forms, oaths of office, grievance, complaint, and disciplinary records, and correspondence. *The Department of Administrative Services, Human Resource Services Division maintains the statewide record copy of the Employee History File.* SEE ALSO Employee Payroll Records in the Payroll Records section.

Retention: (a) Retain employment applications (most recent and first successful), personnel actions (other than salary changes), employee contracts, home address/ telephone disclosures and emergency notification forms (most recent), oaths of office, summary of service prior to 1954: 10 years after employee separation, destroy
(b) Retain all other employee personnel records: 3 years, destroy

(10) Employee Suggestion Award Records

Records document an agency's response to employee suggestions for improving effectiveness, efficiency, and economy in state government. Suggestion material is received from the Department of Administrative Services' Employee Suggestions Awards Commission, which ultimately approves or rejects employee suggestions. Records may include but are not limited to agency copies of suggestion applications and attachments, the agency's response, and correspondence. *The Department of Administrative Services, Employee Suggestions Awards Committee maintains the statewide record copy.*

Retention: Retain 1 year, destroy

(11) Employee Training Records

Records document individual employee participation in required or optional training. Records may include but are not limited to enrollment and attendance records, grade reports, certificates of completion, and correspondence.

Retention: Retain 3 years, destroy

(12) Employment Eligibility Verification Forms (I-9)

Records document the filing of U.S. Immigration and Naturalization Service Form I-9 verifying that an applicant or employee is eligible to work in the United States.

Retention: Retain 3 years after date of hire or 1 year after employee separation, whichever is longer (8 CFR 274), destroy

166-300-0040

Personnel Records (con't.)

(13) Equal Employment Opportunity Commission Compliance Records

Records document agency compliance with U.S. Equal Employment Opportunity (EEO) Commission regulations. Records may include but are not limited to EEO-4 reports, anti-discrimination committee meeting records and reports, workplace analyses, discrimination complaint policies and procedures, and related documentation and correspondence. SEE ALSO Equal Employment Opportunity Complaint Records in this section.

Retention: (a) Retain policies and procedures: 3 years after superseded, destroy
(b) Retain all other EEO records: 4 years, destroy

(14) Equal Employment Opportunity Complaint Records

Records document discrimination complaints made against an agency. Records may include but are not limited to complaints, case files, reports, exhibits, withdrawal notices, copies of decisions, hearings and meetings records, and related documentation and correspondence.

Retention: Retain 3 years after final decision issued, destroy

(15) Human Resource Services Division Statistical Reports

Records document routine and on-demand reports issued to agencies by the Department of Administrative Services, Human Resource Services Division, for agency use in personnel management. Reports are produced by the Personnel and Position Database (PPDB). These consist primarily of statistical reports containing a variety of personnel information.

Retention: Retain 4 years, destroy

(16) Layoff Records

Records document procedures and computations used in laying off agency employees. Records may include but are not limited to service credit computations, service credit lists, layoff ranking lists, layoff notice letters, employee layoff election forms, and correspondence. Related records may be filed in an individual employee's personnel record.

Retention: Retain 3 years, destroy

(17) Position Description and Reclassification Records

Records document studies and evaluations of individual positions or classes to determine if reclassification is appropriate. Records may include but are not limited to old and new position descriptions, organizational charts, classification specifications, desk audits, salary surveys, classification review reports, and correspondence.

Retention: Retain 5 years, destroy

(18) Position Inventory Control System (PICS) Reports

Records document agency compliance with budgetary personnel authority using reports generated by the Department of Administrative Services. Information includes personnel by division, organizational structure, position and classification numbers, vacancies, budget authority number, position type, compensation type, salary range and pay step information, FTE, position count, and review date. *The Department of Administrative Services maintains the statewide record copy.*

Retention: Retain 4 years, destroy

(19) Recruitment and Selection Records

Records document the recruitment and selection of agency employees. Records may include but are not limited to position authorization forms, job announcements, classification specifications, position advertisement records, applicant lists, certificates of eligibles, affirmative action statistical sheets, interview questions, tests (such as experience and training ratings, multiple-choice tests, and interview panel ratings), interview notes, applicant criminal history records, recruitment summary records (job announcement, position description, documentation relating to the announcement and test, and test items and ratings levels), and related records. SEE ALSO Criminal Background Check Records in this section.

Retention: (a) Retain announcement records, position description, and test and rating records: 10 years, destroy
(b) Retain graded applications, rejected applications, interview notes, and tests: 2 years, destroy
(c) Retain unsolicited applications: 3 months, destroy
(d) Retain all other recruitment and selection records: 3 years after position filled or recruitment cancelled, destroy

166-300-0040

Personnel Records (con't.)

(20) Volunteer Program Records

Records document the activities and administration of volunteer programs in an agency. Records may include but are not limited to volunteer applications, emergency notification forms, volunteer hour statistics, volunteer program publicity records, insurance requirement information, and related documentation. SEE ALSO Criminal Background Check Records in this section.

Retention: (a) Retain individual volunteer records: 5 years after volunteer separation, destroy
(b) Retain all other volunteer program records: 5 years, destroy

(21) Work Schedules and Assignment Records

Records document the scheduling and assignment of shifts, tasks, projects, or other work to agency employees. Useful for budget and personnel planning and review, assessing employee work performance, and other purposes. Records may include but are not limited to calendars, schedules, lists, charts, rosters, and related records.

Retention: (a) Retain records designed and used to assess employee performance: 3 years, destroy
(b) Retain all other work schedules and assignment records: 1 year, destroy

166-300-0045

Risk Management Records

(1) Emergency Response Plans and Procedures

Records document the development, testing, implementation, and updating of agency plans and procedures for operations during and following emergency or disaster. Records may include but are not limited to disaster preparedness and business resumption plans, procedures to follow in response to specific situations, and correspondence.

Retention: Retain until superseded or obsolete, destroy

(2) Hazard Exposure Records

Records document an individual employee's exposure to hazardous conditions such as chemicals, toxic substances, blood-borne pathogens, biological agents, bacteria, virus, fungus, radiation, noise, dust, heat, cold, vibration, repetitive motion, or other dangerous work related conditions. *These records are not personnel records and should be maintained in an Employee Medical File.* Records may include but are not limited to hearing test records, radiation measurement records, blood test or other laboratory results, incident reports, first-aid records, X-rays, work station air sampling reports, and correspondence. SEE ALSO Employee Medical Records in the Personnel Records section.

Retention: (a) Retain noise exposure measurement records: 2 years (29 CFR 1910.95), destroy

(b) Retain audiometric test records: until employee separation (29 CFR 1910.95), destroy

(c) Retain all other hazard exposure records: 30 years after employee separation (29 CFR 1910.1020), destroy

(3) Incident Reports

Records document employee or non-employee accident and injury incidents that occur in the workplace. Incidents may or may not result in a claim. Records may include but are not limited to incident reports, occupational injury report and investigation records, employee identification and physical assessment forms, and related documentation and correspondence. SEE ALSO Hazard Exposure Records in this section.

Retention: (a) If incident results in a claim: transfer to appropriate claim file

(b) If no claim results: retain 10 years, destroy

(c) If incident involves employee hazard exposure: retain 30 years after employee separation (29 CFR 1910.1020), destroy

(4) Insurance Fund Claim Records

Records document requests for payment of insurance claims from Department of Administrative Services, Risk Management Division. Records may include but are not limited to Auto/Liability (Tort)/Property Claim Reports, estimates of repairs, accident reports, police reports, and correspondence. *The Department of Administrative Services, Risk Management Division maintains the statewide record copy.*

Retention: Retain 4 years after claim paid or denied, destroy

(5) Occupational Injury and Illness Records

Records documents occupational injuries and illnesses which occur in the workplace and provides information required by the Oregon Occupational Safety and Health Administration (OR-OSHA). Records may include but are not limited to logs and summaries of recordable occupational injuries and illnesses, OSHA Form 200, supplementary records and OSHA Form 101, serious injury reports, injury cost reports, annual occupational injury and illness summaries and other surveys, and correspondence.

Retention: Retain 5 years following the year to which they relate, destroy

(6) Risk Factor Evaluation Records

Records document the assessment of various risk factors for an agency to determine appropriate insurance needs. They may also be used to identify hazards and risks for use in emergency preparedness and response planning. Records may include but are not limited to worksheets, annual Department of Administrative Services, Risk Management Division reports and supplemental information, insurance coverage and premium data, restoration fund inventory reports, policy manuals, property transfer reports, self insurance manuals, real property reports, money and negotiable securities reports, general risk surveys, and correspondence.

Retention: Retain 4 years, destroy

166-300-0045

Risk Management Records (con't.)

(7) Safety Compliance and Inspection Records

Records document the agency's compliance with state and local safety regulations which is usually determined as a result of a complaint or through periodic safety inspections by OR-OSHA, State Fire Marshal, and other state or local agency inspectors. Records may include but are not limited to inspection reports on buildings (including inspections of fire alarm and security systems, elevators, and boilers), complaints, citations, notices of penalties, correction orders, follow-up actions, extension notices, variance records, and related documentation and correspondence.

Retention: Retain 10 years, destroy

(8) Safety Program Records

Records document the agency's program to promote a safe work environment for its employees. Records may include but are not limited to safety policies, plans and procedures, workplace safety committee records, reports on inspections conducted by the safety officer, evacuation rosters and reports, and related documentation and correspondence.

Retention: (a) Retain safety policies, plans, and procedures: 5 years after superseded, destroy

(b) Retain inspection reports and workplace safety committee minutes, agendas, reports, evaluations, and recommendations: 10 years, destroy

(c) Retain all other safety program records: 5 years, destroy

(9) State Accident Insurance Fund (SAIF) Claim Records

Records document job-related injury and illness compensation claims made by agency employees to the State Accident Insurance Fund and the resulting claim disposition. Records may include but are not limited to injury reports (WCD Form 801), notices of claim acceptance or denial, determination orders, medical reports, notices of closure, employer's payroll reports, Workers Compensation Board hearing transcripts, Board Orders, claim disposition agreement documents, agency investigation reports, appeal letters, vocational rehabilitation records, legal documents, and correspondence.

Retention: Retain 6 years after final disposition of claim, destroy

(10) Vehicle Accident Records

Records document accidents involving state-owned vehicles. Records may include but are not limited to state claim form, photographs, accident reports, repair estimates, and memoranda. *The Department of Administrative Services, Risk Management Division maintains the statewide record copy of the Claim Form.*

Retention: Retain 4 years, destroy