

SECRETARY OF STATE, ARCHIVES DIVISION

DIVISION 300

STATE AGENCY GENERAL RECORDS RETENTION SCHEDULES

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.

Stat. Auth.: ORS 357.895

Stats. Implemented: ORS 357.895

Hist.: OSA 1-1995, f. & cert. ef. 5-25-95; OSA 9-1998, f. & cert. ef. 12-30-98; OSA 5-2002, f. & cert. ef. 10-14-02

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preparation records must be retained according to this schedule regardless of whether the rule has been renumbered, or repealed and re-adopted under a new rule number.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, 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).

(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).

(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).

[Publications: Publications referenced are available from the agency.]

Stat. Auth.: ORS 192 & 357

Stats. Implemented: ORS 192.005 - 192.170 & 357.805 - 357.895

Hist.: OSA 1-1995, f. & cert. ef. 5-25-95; OSA 3-1996, f. 4-9-96, cert. ef. 4-15-96; OSA 9-1998, f. & cert. ef. 12-30-98; OSA 1-1999, f. & cert. ef. 2-4-99, Renumbered from 166-303-0010; OSA 5-2002, f. & cert. ef. 10-14-02; OSA 1-2005, f. & cert. ef. 2-28-05

166-300-0020

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).

(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).

Stat. Auth.: ORS 192 & 357

Stats. Implemented: ORS 192.005 - 192.170 & 357.805 - 357.895

Hist.: OSA 2-1995, f. & cert. ef. 5-25-95; OSA 3-1996, f. 4-9-96, cert. ef. 4-15-96; OSA 9-1998, f. & cert. ef. 12-30-98; OSA 1-1999, f. & cert. ef. 2-4-99, Renumbered from 166-304-0010; OSA 5-2002, f. & cert. ef. 10-14-02

166-300-0025

Financial Records

(1) "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).

(2) "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).

(3) "Account Transfer Records" Records document the authorized transfer, movement, and receipt of funds between various accounting structures, including agency cost accounting systems, agency subsystems, Treasury accounts, and the statewide financial management application. Records include journal vouchers and transfer requests. (Retention: Retain 6 years, destroy).

(4) "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).

(5) "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).

(6) "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).

(7) "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).

(8) "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).

(9) "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).

(10) "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).

(11) "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).

(12) "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).

(13) "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).

(14) "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).

(15) "Check Conversion Records" Records document checks received from customers that are electronically deposited after being imaged and converted to an Automated Clearing House (ACH) transaction or Image Replacement Document (IRD) (Retention: (a) Retain original paper instrument 120 days, destroy (b) Retain ACH transaction or IRD 6 years, destroy).

(16) "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).

(17) "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).

(18) "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).

(19) "Credit and Debit Receipts" Agency's copy of credit or debit card receipt documenting payment received by agency. Records include customer's name and account information (Retention: Retain 36 months after transaction, destroy).

(20) "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).

(21) "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).

(22) "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).

(23) "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).

(24) "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).

(25) "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).

(26) "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).

(27) "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).

(28) "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).

(29) "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).

(30) "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).

(31) "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).

(32) "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).

(33) "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).

(34) "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).

(35) "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).

(36) "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).

(37) "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).

(38) "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).

(39) "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).

(40) "Unclaimed Property Report" Records document annual reports submitted to the Department of State Lands of financial assets being held for a person or entity that cannot be found. Series includes Holder Report, owner information, correspondence and other related documents. Note: Unclaimed property is not real estate, abandoned personal property, or lost and found items. (Retention: Retain 3 years after the property is remitted to the Department of State Lands, destroy).

(41) "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).

(42) "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).

(43) "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).

(44) "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).

(45) "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).

(46) "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).

Stat. Auth.: ORS 192 & 357

Stats. Implemented: ORS 192.005-192.170 & 357.805-357.895

Hist.: OSA 3-1995, f. & cert. ef. 5-25-95, OSA 3-1996, f. 4-9-96, cert. ef. 4-15-96; OSA 9-1998, f. & cert. ef. 12-30-98; OSA 1-1999, f. & cert. ef. 2-4-99, Renumbered from 166-305-0010; OSA 5-2002, f. & cert. ef. 10-14-02; OSA 1-2005, f. & cert. ef. 2-28-05; OSA 1-2009, f. & cert. ef. 2-19-09; OSA 1-2010, f. & cert. ef. 5-27-10; OSA 2-2010, f. & cert. ef. 9-3-10

166-300-0030

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).

(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 166-025-0005 to 166-025-0030. 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).

Stat. Auth.: ORS 192 & ORS 357

Stats. Implemented: ORS 192.005 - ORS 192.170 & ORS 357.805 - ORS 357.895

Hist.: OSA 2-1995, f. & cert. ef. 5-25-95; OSA 3-1996, f. 4-9-96, cert. ef. 4-15-96; OSA 9-1998, f. & cert. ef. 12-30-98; OSA 1-1999, f. & cert. ef. 2-4-99, Renumbered from 166-306-0010; OSA 5-2002, f. & cert. ef. 10-14-02

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).

(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 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).

Stat. Auth.: ORS 192 & ORS 357

Stats. Implemented: ORS 192.005 - ORS 192.170 & ORS 357.805 - ORS 357.895

Hist.: OSA 1-1995, f. & cert. ef. 5-25-95; OSA 3-1996, f. 4-9-96, cert. ef. 4-15-96; OSA 9-1998, f. & cert. ef. 12-30-98; OSA 1-1999, f. & cert. ef. 2-4-99, Renumbered from 166-307-0010; OSA 5-2002, f. & cert. ef. 10-14-02

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).

(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).

(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).

(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).

Stat. Auth.: ORS 192 & ORS 357

Stats. Implemented: ORS 192.005 - ORS 192.170 & ORS 357.805 - ORS 357.895

Hist.: OSA 1-1995, f. & cert. ef. 5-25-95; OSA 3-1996, f. 4-9-96, cert. ef. 4-15-96; OSA 9-1998, f. & cert. ef. 12-30-98; OSA 1-1999, f. & cert. ef. 2-4-99, Renumbered from 166-308-0010; OSA 5-2002, f. & cert. ef. 10-14-02

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).

(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).

Stat. Auth.: ORS 192 & ORS 357

Stats. Implemented: ORS 192.005 - ORS 192.170 & ORS 357.805 - ORS 357.895

Hist.: OSA 3-1995, f. & cert. ef. 5-25-95; OSA 3-1996, f. 9-4-96, cert. ef. 9-15-96; OSA 9-1998, f. & cert. ef. 12-30-98; OSA 1-1999, f. & cert. ef. 2-4-99, Renumbered from 166-310-0010; OSA 5-2002, f. & cert. ef. 10-14-02

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