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## Chapter 166 Secretary of State, Archives Division

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**DIVISION 5**

**POLICY, PURPOSE, AND DEFINITIONS**

**166-005-0000**

**Policy**

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, and electronic media, devices and recordkeeping systems.

Stat. Auth.: ORS 192 & 357

Stats. Implemented: ORS 192 & 357

Hist.: OSA 5, f. 12-30-77, ef. 1-1-78; OSA 3-1988, f. & cert. ef. 10-20-88; OSA 3-1996, f. 4-9-96, cert. ef. 4-15-96; OSA 9-2009, f. & cert. ef. 10-15-09

**166-005-0005**

**Purpose**

The purpose of these rules is to implement the provisions of ORS 192.005 to 192.170, and 357.825 to 357.895, by providing procedures for the orderly retention and disposition of public records, regardless of medium or physical format; specify standards for appropriate use of microforms and electronic records; specify standards for the protection and storage of public records; and specify 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.

Stat. Auth.: ORS 192 & 357

Stats. Implemented: ORS 192 & 357

Hist.: OSA 5, f. 12-30-77, ef. 1-1-78; OSA 3-1988, f. & cert. ef. 10-20-88; OSA 3-1996, f. 4-9-96, cert. ef. 4-15-96; OSA 9-2009, f. & cert. ef. 10-15-09

**166-005-0010**

**Definitions for Divisions 5 through 475**

As used in these rules, "photocopy", "political subdivision", "public record", "public writings", and "state agency" are defined by ORS 192. As used in these rules unless otherwise required by context:

(1) "Accession" means to take into physical custody a group of records or other materials and to formally document their receipt.

(2) "Agency" when used alone means either a state agency or a political subdivision.

(3) "Exempt records" are public records that do not need to be disclosed under ORS 192.410.

(4) "Excluded records" are records which are excluded from the definition of public records by ORS 192.005(5) or other state or federal laws or rules.

(5) "Hard Copy" means a printout of data stored in a computer.

(6) "Local agency" means any officer, department, board, commission or institution created by or under the jurisdiction of a political subdivision of this state.

(7) "Official copy" is that version of a public record that has been designated by the agency as the record of a transaction or event, and which is subject to the requirements of laws, rules and the records retention schedule authorized by the State Archivist.

(8) "Permanent" public records are those deemed worthy of permanent preservation by the State Archivist and the official copy of permanent records must be retained in paper or in microfilm.

(9) "Records Management" means the planning, controlling, directing, organizing, training, promoting and other managerial activities involving the life cycle of information, including creation, maintenance (use, storage, retrieval) and disposal, regardless of physical form. Records management procedures are used to achieve

**DIVISION 500**

**ADMINISTRATIVE RULES UNIT**

**Procedural Rules**

<b>166-500-0000</b>	Notice of Proposed Rulemaking
<b>166-500-0005</b>	Model Rules of Procedure
<b>166-500-0010</b>	Definitions
<b>166-500-0015</b>	Fees
<b>166-500-0020</b>	Administrative Rule Filing Requirements
<b>166-500-0025</b>	Lengthy Administrative Rule Filings
<b>166-500-0030</b>	Components of a Notice of Proposed Rulemaking Hearing or a Notice of Proposed Rulemaking Filing
<b>166-500-0040</b>	Components of a Permanent Administrative Rule Filing
<b>166-500-0050</b>	Components of a Temporary Administrative Rule Filing
<b>166-500-0055</b>	Rule Text to Be Filed as Part of Administrative Rule Filing

**DIVISION 1**

**PROCEDURAL RULES**

**166-001-0000**

**Notice Rule for Rulemaking**

Prior to the adoption, amendment, or repeal of any permanent rule, the State Archivist shall give notice of the proposed adoption, amendment, or repeal:

(1) In the Secretary of State's Bulletin referred to in ORS 183.360 at least 21 days prior to the effective date.

(2) By mailing a copy of the Notice to persons on the State Archivist's mailing list established pursuant to ORS 183.335(8) at least 28 days before the effective date of the rule.

(3) By mailing or furnishing a copy of the Notice to the following persons, organizations, or publications:

- (a) Oregon State Bar Bulletin;
- (b) Association of Oregon Counties Bulletin;
- (c) League of Oregon Cities;
- (d) Oregon Historical Society.
- (e) The Associated Press;
- (f) Capitol Press Room; and

(4) By mailing a copy of the Notice to the legislators specified in ORS 183.335(15) at least 49 days before the effective date of the rule.

Stat. Auth.: ORS 183 & 357.895

Stats. Implemented: ORS 183

Hist.: OSA 3, f. & ef. 11-21-75; OSA 4-1994, f. & cert. ef. 8-29-94; OSA 5-2003, f. & cert. ef. 11-24-03

**166-001-0005**

**Model Rules of Procedure**

The State Archivist adopts the Attorney General's Model Rules of Procedure under the Administrative Procedures Act, dated July 1, 2014.

[ED. NOTE: The full text of the Attorney General's Model Rules of Procedure is available from the office of the Attorney General or Archives Division.]

Stat. Auth.: ORS 183

Stats. Implemented: ORS 183

Hist.: OSA 4, f. & ef. 4-21-76; OSA 2-1986, f. & ef. 3-17-86; OSA 1-1988, f. & cert. ef. 8-10-88; OSA 1-1991, f. & cert. ef. 12-5-91; OSA 3-1994, f. 7-14-94, cert. ef. 7-15-94; OSA 4-2001, f. & cert. ef. 5-22-01; OSA 5-2004, f. & cert. ef. 11-1-04; OSA 4-2006, f. & cert. ef. 10-12-06; OSA 9-2009, f. & cert. ef. 10-15-09; OSA 2-2015, f. & cert. ef. 8-3-15



adequate and proper documentation of state policies and transactions and effective and economical management of agency and organizational operations.

(10) "Records Officer" refers to the person designated by a state agency or political subdivision in accordance with ORS 192.105(2)(a). Records Officers organize and coordinate the agency's Records Management Program. Records Officers also serve as their agency's primary liaison with the State Archivist and receive training from the State Archivist in performing their duties. Typical duties include planning, controlling, directing, organizing, training, promoting the program, and other activities involving the life cycle of information including records scheduling, retirement, storage and destruction.

(11) "Record series" is an itemized listing on a records retention schedule which identifies a single record or a group of records for purposes of retention and disposition.

(12) "Records Retention Schedule" means a document produced and approved by the State Archivist listing the length of time a record needs to be kept for administrative, legal, fiscal or historic purposes. For state agencies this time represents both the minimum and maximum length of time a record must be kept. A records retention schedule approved by the State Archivist is an agency's legal authorization to destroy public records. The State Archivist writes two types of records retention schedules. The first is a special schedule that is written for records unique to an agency, and the second is a general schedule representing those records that are common to most agencies.

(13) "Retention Period" means the length of time a public record must be retained as authorized by an applicable records retention schedule produced and approved by the State Archivist. Retention periods for state agency records are both a minimum and maximum retention meaning that the records must be destroyed when the retention has been met as long as there is no pending litigation and all audit requirements have been satisfied. Retention periods for local governments are required minimums only.

(14) "Security Copy Depository" is a storage and retrieval facility operated by the State Archivist for security copies of microfilm for state and local agencies. The depositing agency maintains custody of the records and all requests for access to the stored records are made through authorized persons of that agency.

(15) "Special District" is any unit of local government other than a city, county, state agency, board, commission, school, school district, educational service district, college, or university.

(16) "State Archivist" is the public employee 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 (ORS 192 and 357).

(17) "State Records Center" is a storage and retrieval facility operated by the State Archivist for inactive records of state agencies. The depositing agency maintains custody of the records and all requests for access to the stored records are made through authorized persons of that agency.

Stat. Auth.: ORS 192 & 357

Stats. Implemented: ORS 192 & 357

Hist.: OSA 5, f. 12-30-77, ef. 1-1-78; OSA 1-1986, f. & ef. 3-17-86; OSA 3-1988, f. & cert. ef. 10-20-88; OSA 3-1996, f. 4-9-96, cert. ef. 4-15-96; OSA 9-2009, f. & cert. ef. 10-15-09; OSA 1-2014, f. & cert. ef. 2-25-14

## DIVISION 10

### STATE ARCHIVES, STATE RECORDS CENTER, AND SECURITY COPY DEPOSITORY SERVICES

#### 166-010-0000

##### General

The Archives Division, Office of the Secretary of State, is administered by the State Archivist. The State Archives accepts custody of permanently valuable public records and provides access to those public records in the official custody of the State Archivist. The State Records Center provides storage and retrieval services for inactive records of state agencies. The Archives Division also provides advice and assistance to state and local

agencies, and operates the Security Copy Depository which is a storage and retrieval service for security copy microfilm from state or local agencies.

Stat. Auth.: ORS 192.070, 357.825(2) & 357.895

Stats. Implemented: ORS 357.825, 357.835, 357.855 & 357.895

Hist.: OSA 5, f. 12-30-77, ef. 1-1-78; OSA 3-1988, f. & cert. ef. 10-20-88; OSA 5-1992, f. 12-21-92, cert. ef. 1-1-93; OSA 9-2009, f. & cert. ef. 10-15-09

#### 166-010-0006

##### Custody of Records

The Archives Division may accept custody of public records in accordance with ORS 357.825 or 357.835. The ownership of the records, transfers to the State Archivist upon acceptance into the State Archives. The State Archives accessions records in under the following conditions:

(1) Prior approval is required to deposit public records in the State Archives. These deposits will be done according to procedures, criteria and standards established by the State Archivist.

(2) 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.

(3) 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, the State Archivist shall requisition them for transfer to the State Archivist's custody if they are determined by the State Archivist to be of value.

(4) Public records in the State Archives are available for use in the Archives Building Reference room. Records may not be removed from the Archives Building, except as otherwise provided by law. Patrons shall use public records in the Reference Room, observing its rules, OAR 166-010-0015.

(5) When the State Archivist has determined that records in the custody of the State Archivist cease to be of value, the State Archivist may destroy the records.

Stat. Auth.: ORS 192.070, 357.825(2) & 357.895

Stats. Implemented: ORS 357.825 & 357.835

Hist.: OSA 5, f. 12-30-77, ef. 1-1-78; OSA 3-1988, f. & cert. ef. 10-20-88; OSA 5-1992, f. 12-21-92, cert. ef. 1-1-93; OSA 9-2009, f. & cert. ef. 10-15-09

#### 166-010-0015

##### State Archives Reference Room Rules

Patrons shall observe the following rules for the protection and control of records:

(1) Patrons shall register and shall furnish current and 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 may take paper and research materials into the Reference Room. Personal electronic devices such as laptop computers, cameras and scanners are allowed under the following conditions, but must be removed from any enclosed cases before entering the Reference Room:

(a) Patrons may bring cameras to photograph records, but may not use a flash.

(b) Patrons may use scanners with the following restrictions: the copying surface (platen) must be the same size or larger than the records they plan to scan; the scanner must not cause friction, abrasion, or otherwise damage records; light sources must not generate heat on the records; and equipment surfaces must be clean and dry before being used. Drum and automatic feeder scanners are prohibited.

Stat. Auth.: ORS 192.005-192.170 & 357.895

Stats. Implemented: ORS 357.895

Hist.: OSA 2, f. & ef. 11-21-75; OSA 5, f. 12-30-77, ef. 1-1-78; OSA 3-1988, f. & cert. ef. 10-20-88; OSA 3-1992, f. 4-3-92, cert. ef. 4-6-92; OSA 6-2001(Temp), f. & cert. ef. 10-23-01 thru 4-15-02; OSA 1-2002, f. & cert. ef. 1-25-02; OSA 9-2009, f. & cert. ef. 10-15-09

### 166-010-0016

#### Archives Division Fees

The following fees are collected for State Archives services:

(1) Ready Reference Requests — no charge. This 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) Requests — not defined above will include labor charges plus copying, supply and postage charges when incurred. In addition, requests received from out-of-state will be charged an additional \$5 fee.

(5) Labor Charges — \$40 per hour, charged in 15-minute increments. There is a maximum of four hours labor for any request.

(6) Expedited service fee: Rush requests will be assessed a thirty-dollar (\$30) fee in addition to all applicable research and copy fees. Rush requests are limited to single specific requests and are dependent on staff availability. Such requests may be subject to review and restrictions.

(7) Photocopies. Copies made by the customer — 25 cents per page. Copies made by Archives Division staff — 75 cents per page.

(8) Fax — 75 cents per page.

(9) PDF — 75 cents per page.

(10) Audio Tape duplication. Cassette to cassette duplicates — \$7 per cassette.

(11) Certification — \$5 per certification.

(12) Digital Images of existing files for electronic download or copied to CD-ROM:

(a) Case File — \$35

(b) Multipage image (10 pages or less) — \$10

(c) Single page image — \$5

(13) High Resolution (600 dpi) digital images of Historical Trademarks, oversized maps or photographs — \$20 per image.

(14) Reproduction by Outside Vendor — Vendor and travel costs, when applicable plus \$10 handling fee.

(15) 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.

Stat. Auth.: ORS 177.130 & 357.885

Stats. Implemented: ORS 177.130 & 357.885

Hist.: OSA 4-2002, f. & cert. ef. 7-3-02; OSA 9-2009, f. & cert. ef. 10-15-09

### 166-010-0018

#### State Records Center

The State Records Center accepts records for storage under the following conditions:

(1) Only state agencies with approved records retention schedules can store records at the State Records Center.

(2) Official custody of the records transferred to the State Records Center remains with the state agency from which they were received or its legal successor.

(3) Prior approval is required for state agencies to transfer public records to the State Records Center. These transfers will be

completed according to procedures, criteria and standards established by the State Archivist which are available on request.

(4) Requests from the depositing state agency for records or information stored at the state Records Center shall be made by mail or fax, and only by authorized personnel. Phone requests are not accepted.

(5) 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 Administrative 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 at the expense of the depositing agency.

(c) Under special circumstances, the agency may make prior arrangements with the staff of the State Records Center to go to the State Records Center to pick up their request.

(5) 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 authorized personnel of the state agency which has official custody of the public records.

(c) A state agency must authorize in writing the State Records Center to loan or transfer public records in its official custody to another agency.

(6) Storage fees for the State Records Center are based on a biennial assessment and are listed in the State Price List.

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 9-2009, f. & cert. ef. 10-15-09

### 166-010-0019

#### Security Copy Depository Deposits for Storage

The Security Copy Depository operates vault facilities, located in the State Archives Building, for the off-site storage of security microfilm of public records. The Security Copy Depository accepts deposits for storage under the following conditions:

(1) Public records transferred to the Security Copy Depository remain in the official custody of the agency from which they were received. All requests for access to the stored records are made only through that agency.

(2) Prior approval is required to transfer public records to the Security Copy Depository. Transfers will be completed according to procedures, criteria, and standards established by the State Archivist, which are available on request.

(3) Only records with an approved retention period of ten or more years shall be accepted for transfer.

(4) Minimum requirements for the depository are listed in OAR 166-025-0030.

(5) Storage fees for the Security Copy Depository are based on a biennial assessment. Please contact the State Archives, Security Copy Depository (503-378-5250) for current fees.

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 9-2009, f. & cert. ef. 10-15-09

## DIVISION 17

### DIGITAL IMAGING

### 166-017-0010

#### Definitions

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.

Stat. Auth.: ORS 192.050, 192.060 & 192.105

(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.

Stat. Auth.: ORS 192.050, 192.060 & 192.105

Stats. Implemented: ORS 357.825(2), 357.855 & 357.895

Hist.: OSA 2-1994, f. 1-28-94, cert. ef. 4-1-94

#### 166-017-0020

##### System Documentation

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.

Stats. Implemented: ORS 357.825(2), 357.855 & 357.895

Stat. Auth.: ORS 192.050, 192.060 & 192.105

Stats. Implemented: ORS 357.825(2), 357.855 & 357.895

Hist.: OSA 2-1994, f. 1-28-94, cert. ef. 4-1-94

#### 166-017-0030

##### Image Quality

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: Publications referenced are available from the agency.]

Hist.: OSA 2-1994, f. 1-28-94, cert. ef. 4-1-94



**166-017-0040**

**Indexing**

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.

Stat. Auth.: ORS 192.050, 192.060 & 192.105  
Stats. Implemented: ORS 357.825(2), 357.855 & 357.895  
Hist.: OSA 2-1994, f. 1-28-94, cert. ef. 4-1-94

**166-017-0050**

**Storage Requirements**

(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).

Stat. Auth.: ORS 192.050, 192.060 & 192.105  
Stats. Implemented: ORS 357.825(2), 357.855 & 357.895  
Hist.: OSA 2-1994, f. 1-28-94, cert. ef. 4-1-94

**166-017-0060**

**Expungement of Information Stored on WORM Media**

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: Publications referenced are available from the agency.]  
Stat. Auth.: ORS 192.050, 192.060 & 192.105  
Stats. Implemented: ORS 357.825(2), 357.855 & 357.895  
Hist.: OSA 2-1994, f. 1-28-94, cert. ef. 4-1-94

**166-017-0070**

**Access**

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.

Stat. Auth.: ORS 192.050, 192.060 & 192.105  
Stats. Implemented: ORS 357.825(2), 357.855 & 357.895  
Hist.: OSA 2-1994, f. 1-28-94, cert. ef. 4-1-94

**166-017-0080**

**Retention**

(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.

Stat. Auth.: ORS 192.050, 192.060 & 192.105  
Stats. Implemented: ORS 357.825(2), 357.855 & 357.895  
Hist.: OSA 4-1990, f. & cert. ef. 9-11-90; OSA 2-1994, f. 1-28-94, cert. ef. 4-1-94, Renumbered from 166-030-0080

**DIVISION 20**

**THE PROTECTION AND STORAGE OF  
PUBLIC RECORDS**

**166-020-0005**

**Purpose**

This Division defines storage and conditions that are acceptable for the use, storage, and protection of public records in Oregon, ensuring that the informational content is protected for the entire length of the authorized retention period of the public record.

Stat. Auth.: ORS 357  
Stats. Implemented: ORS 357.825(2), 357.855 & 357.895  
Hist.: OSA 2, f. & ef. 11-21-75; OSA 5, f. 12-30-77, ef. 1-1-78; OSA 9-2009, f. & cert. ef. 10-15-09

**166-020-0007**

**Definitions**

In addition to the definitions contained in OAR 166-005-0010 and 166-017-0011, the following definitions apply to this division:

(1) "Essential electronic records system" means a records system which requires a computer to process and contains records that are essential to the continued functioning or reconstitution of an agency during and after an emergency, and those records that 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.

(2) "Essential records" means records that are essential to the continued functioning or reconstitution of an agency during and after an emergency, and those records that are essential to protect the rights and interests of the agency and of the individuals directly affected by its actions. Essential records are sometimes called vital records.

(3) "Records system" means an organized collection of data captured, processed, maintained, transmitted or disseminated in accordance with defined procedures (automated or manual).

Stat. Auth.: ORS 192 & 357  
Stats. Implemented: ORS 192, 357.825(2), 357.855 & 357.895  
Hist.: OSA 2-1996, f. 4-9-96, cert. ef. 4-15-96; OSA 9-2009, f. & cert. ef. 10-15-09

**166-020-0010**

**Duties of Public Records Custodians**

Public records custodians are charged with protecting and providing access to public records:

(1) 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 (ORS 192.001). 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 (ORS 192.430(1)).

(2) State and local agencies are responsible for public records in their custody, wherever deposited, until the public records have been transferred to the custody of the State Archivist or otherwise disposed of as authorized by an approved records retention schedule produced by the State Archivist

(3) Pursuant to ORS 357.875, no state agency or local government shall enter into or renew an agreement with any records storage entity that restricts the access or inspection of Oregon public records by the State Archivist.

(4) 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).

(5) Public records deposited in the State Records Center or Security Copy Depository remain in the official custody of the agency which deposited them.

Stat. Auth.: ORS 357

Stats. Implemented: ORS 357.825(2), 357.835, 357.855 & 357.895

Hist.: OSA 2, f. & ef. 11-21-75; OSA 5, f. 12-30-77, ef. 1-1-78; OSA 3-1988, f. & cert. ef. 10-20-88; OSA 9-2009, f. & cert. ef. 10-15-09

#### 166-020-0015

##### Storage Area Standards

Safe storage of public records requires compliance with the following standards:

(1) Public records should be stored in secure, fire-resistant structures and in areas in which the temperature and humidity are maintained at the levels required to ensure optimum longevity of the paper, film or medium 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.

(3) Additional storage area standards are specified in these rules for public records stored in electronic format (OAR 166, Division 17), and in microforms (OAR 166, Division 25).

Stat. Auth.: ORS 192 & 357

Stats. Implemented: ORS 357.825(2), 357.855 & 357.895

Hist.: OSA 2, f. & ef. 11-21-75; OSA 5, f. 12-30-77, ef. 1-1-78; OSA 3-1988, f. & cert. ef. 10-20-88; OSA 9-2009, f. & cert. ef. 10-15-09

#### 166-020-0045

##### Essential Records Systems, Identification and Storage

(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 secure facilities with fire suppression systems. Facilities must provide adequate ventilation and protection against insect and mold infestation. No essential records systems shall be stored where heat or moisture can damage them.

Stat. Auth.: ORS 192 & 357

Stats. Implemented: ORS 192, 357.855 & 357.895

Hist.: OSA 2-1996, f. 4-9-96, cert. ef. 4-15-96; OSA 9-2009, f. & cert. ef. 10-15-09

## DIVISION 25

### MICROFILM STANDARDS RULES

#### 166-025-0005

##### Purpose and Application of Microfilm Standards Rules

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 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.

Stat. Auth.: ORS 192.070, 357.825(2) & 357.895

Stats. Implemented: ORS 357.825(2), 357.855 & 357.895

Hist.: OSA 5-1992, f. 12-21-92, cert. ef. 1-1-93; OSA 9-2009, f. & cert. ef. 10-15-09

#### 166-025-0010

##### Definitions

In addition to the definitions contained in OAR 166-005-0010, 166-017-0011 and 166-020-0007, the following definitions apply to this division:

(1) "AIIM" refers to the Association for Information and Image Management.

(2) "ANSI" refers to the American National Standards Institute.

(3) "Aperture card" means a card with a rectangular opening into which microfilm may be inserted.

(4) "Certification (Certificate of Legality)" means the confirmation that images recorded on microfilm are accurate, complete, and unaltered reproductions of the original records. It is sometimes referred to as a "Camera Operator's Certificate."

(5) Computer Output Microfilm (COM) Computer Output Microfilm is a process for copying data from electronic media on computers onto microfilm or microfiche using a high-speed recorder which transfers machine-readable digital data onto human-readable microfilm/fiche using laser technology and a processor, which develops the microfilm after it is exposed to the light source. COM is most often used for large reports that do not need to be edited or manipulated.

(6) "Density" means the light-absorbing or light-reflecting characteristics of a photographic medium.

(7) "Generation" means 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.

(8) "Hybrid system" means a system that combines a micrographic/microfilm analog system with a electronic, digital technology)

(9) "Image" means any representation of a document or data produced by radiant energy.

(10) "Jacket" means a transparent plastic carrier with channels into which film may be inserted.

(11) "Light box" or "light table" means a back-lit translucent surface used for film inspection.

(12) "Loupe (lupe)" means a small, hand-held optical magnifying device used in conjunction with a light box for the inspection of microfilm.

(13) "Methylene blue test" is a test used to measure the amount of residual thiosulphate ion (hypo) remaining on the film following washing.

(14) "Microfiche" is a piece of film with images arranged in a grid pattern. Computer- Output-Microfilm is usually produced in this format.

(15) "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.



(16) "Processing" means the steps necessary to render a latent image visible, usable and permanent (fixed). These steps are development, fixing, washing and drying.

(17) "Reduction ratio" is the relationship between the dimensions of the original document and the dimensions of the microimage of that document.

(18) "Resolution" is the ability of microfilm or a photographic system to record fine detail.

(19) "Retakes" means refilming of documents.

(20) "Roll microfilm" means film that is wound on a reel, spool or core.

(21) "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.

(22) "Security copy" means 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.

(23) "Security Copy Depository" means the section of the Archives Division which offers storage of security microfilm.

(24) "Source document microfilming" means the conversion of paper records to microfilm. It is differentiated from Computer Output Microfilm, which converts digitally encoded data to microfilm.

(25) "Splice" means the joining of two pieces of film so that they function as one piece.

(26) "Target, Informational" is a chart or document which is photographed in order to assist in identifying the content of the microfilm.

(27) "Target, Technical" is an aid to technical control of the photographic system which is photographed on the film preceding or following the body of documents.

(28) "Unitized microfilm" means film that is formatted in discrete units of information, e.g. microfiche, jackets, or aperture cards.

(29) "Working copy" is a copy of microfilm which is distributed for end user use and not for security purposes.

Stat. Auth.: ORS 192.070, 357.825(2) & 357.895

Stats. Implemented: ORS 357.825(2), 357.855 & 357.895

Hist.: OSA 5-1992, f. 12-21-92, cert. ef. 1-1-93; OSA 9-2009, f. & cert. ef. 10-15-09

#### 166-025-0015

#### 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

(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 IT9.1-1996; 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 IT9.2-1998; 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 MS23-2004P; Practice for Operational Procedures/Inspection and Quality Control of First-Generation Silver Gelatin Microfilm of Documents.

(3) Restraints: Only acid-free, button tie paper bands in compliance with ANSI IT9.2-1998; 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 MS23-2004P; 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 thiosulfate ion concentration as specified in ANSI IT9.1-1996; For Imaging Media (Film) — Silver-gelatin type-Specifications for Stability, Section 6.4. The maximum allowable thiosulfate ion concentration is .014 grams per square meter. Testing for residual thiosulfate ion concentration shall be done by using the Methylene Blue method in accordance with ANSI/ASC PH4.8-1985; For Photography (Chemicals)-Residual Thiosulfate 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 MS23-2004P; 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

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

(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(R1998); 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: Publications referenced are available from the agency.]

Stat. Auth.: ORS 192.070, 357.825(2), 357.855 & 357.895  
 Stats. Implemented: ORS 357.825(2), 357.855 & 357.895  
 Hist.: OSA 5-1992, f. 12-21-92, cert. ef. 1-1-93; OSA 9-2009, f. & cert. ef. 10-15-09

#### 166-025-0020

##### Targets and Certifications

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 exposed and, processed blank 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 MS19-1993; Recommended Practice for the Identification of Microforms and ANSI/AIIM MS23-2004P; 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.

- (3) See the Archives Division Micrographics Manual for instructions on use of these and other informational targets.

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

Stat. Auth.: ORS 192.070, 357.825(2) & 357.895  
 Stats. Implemented: ORS 357.825(2), 357.855 & 357.895  
 Hist.: OSA 5-1992, f. 12-21-92, cert. ef. 1-1-93; OSA 9-2009, f. & cert. ef. 10-15-09

#### 166-025-0021

##### Hybrid Systems

The use of hybrid systems (system that combines a micrographic/microfilm analog system with an electronic, digital technology) may be used provided the following conditions have been met:

- (1) Electronic Imaging to Microfilm-for records with a retention period of 100 years or greater
  - (a) The microfilm copy produced is a silver halide microfilm that meets all of the requirements for microfilm outlined in OAR 166 Division 25.
  - (b) Each roll of film produced from an electronic imaging system carries the required targets for both electronic imaging systems (166-017-0031) and for microfilm (166-025).
  - (c) Each roll of film that will be deposited into the Security Copy Depository shall be polysulfide treated according to OAR 166-025.
  - (d) Documents shall be scanned using a resolution of not less than 200 dpi and can be transferred to either 16mm or 35mm rolls of microfilm. However, 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. In addition, documents containing fonts smaller than six-point, architectural

and engineering drawings, maps, and line art shall be recorded on 35 mm roll silver halide film only.

(e) One-hundred percent of the scanned images shall be verified for completeness and accuracy prior to the destruction of the original record. The verification of images shall include the inspection of images on the microfilm.

(2) For records with a retention period of less than 100 years, documents shall be scanned using a resolution of not less than 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, and one-hundred percent of the scanned images shall be verified for completeness and accuracy prior to the destruction of the original record.

(3) Microfilm to Electronic Imaging

(a) A duplicate of the microfilm shall be made prior to scanning the microform.

(b) One-hundred percent of the scanned images shall be verified for completeness and accuracy.

(c) Microfilm with a retention period of less than 100 years may be destroyed once one-hundred percent of the scanned images are verified for completeness and accuracy.

(d) Microfilm with a retention period of greater than 100 years may not be destroyed unless written permission has been obtained from the State Archivist.

(4) Targeting and certification shall be completed according to the requirements of 166-025-0022.

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 9-2009, f. & cert. ef. 10-15-09

#### 166-025-0022

##### Target and Certifications (Hybrid Systems)

The following informational and technical targeting and certification shall be included in all public records on hybrid systems. All targets are available from the Archives Division:

- (1) At the beginning of each roll there shall appear:
    - (a) 24" of processed leader
    - (b) One blank sheet of white paper
    - (c) ANSI/AIIM Scanner Test Chart #2
    - (d) Title sheet that includes series title, roll number, agency name, reduction ratio and dpi
  - (2) At the end of each roll there shall appear:
    - (a) Certificate of legality and authenticity (required information: Name of record creating agency, series title, date(s) of filming, name of scanner operator, signature of scanner operator, date signed.
    - (b) One blank sheet of white paper
    - (c) 24" of processed trailer
- Stat. Auth.: ORS 192 & 357  
 Stats. Implemented: ORS 192.005 - 192.170 & 357.805 - 357.895  
 Hist.: OSA 9-2009, f. & cert. ef. 10-15-09

#### 166-025-0025

##### Storage of Security Microfilm

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 — (1998) 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: Publications referenced are available from the agency.]

Stat. Auth.: ORS 192.070, 357.825(2) & 357.895

Stats. Implemented: ORS 357.825(2), 357.855 & 357.895

Hist.: OSA 5-1992, f. 12-21-92, cert. ef. 1-1-93; OSA 9-2009, f. & cert. ef. 10-15-09

#### 166-025-0030

##### Security Copy Depository

The Archives Division operates the Security Copy Depository. The following are requirements for deposit of microfilm in Depository:

(1) Microfilm with an approved retention period between 10 and 99 years:

(a) Microfilm will be inspected for evidence of deterioration only on request of the depositor. Depositors shall be charged for all inspections.

(b) Microfilm for deposit shall be silver gelatin film, but may be unitized formats (e.g., microfiche, aperture cards). Non-silver films will not be accepted.

(c) All microfilm must be accompanied by a valid transmittal at the time of transfer.

(2) Microfilm with an approved retention period of 100 years or greater:

(a) Microfilm must have received approved, polysulfide treatment prior to acceptance into the Depository.

(b) Use of the Depository satisfies the off-site storage requirements of OAR 166-025-0025, Storage of Security Microfilm;

(c) Film transferred to the Security Copy Depository with a retention of 100 years or more will be inspected upon receipt for compliance with OAR 166-025-0015.

(d) The Archives Division shall require remedial action and/or image stabilization treatment on microfilm in the Security Copy Depository with a retention of 100 years or more and accepted prior to 1999. Depositors shall be charged for image stabilization and/or remedial treatments. Depositors who do not wish to have their film treated, will have their film returned to them.

(e) All microfilm in the Security Copy Depository with a retention of 100 years or more shall be on 16 mm, 35 mm, or 105 mm polyester based wet-processed silver gelatin roll film only;

(f) All microfilm in the Security Copy Depository with a retention of 100 years or more 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.

(g) All microfilm in the Security Copy Depository with a retention of 100 years or more shall be accompanied by a valid transmittal at the time of transfer;

(h) Non-silver films will not be accepted.

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

Stat. Auth.: ORS 192.070, 357.825(2) & 357.895

Stats. Implemented: ORS 357.825(2), 357.855 & 357.895

Hist.: OSA 5-1992, f. 12-21-92, cert. ef. 1-1-92; OSA 9-2009, f. & cert. ef. 10-15-09

### 166-025-0035

#### Microfilm as Official Copy of Public Record

Microfilm may be substituted for any paper or machine readable record if it is made according to the following conditions:

(1) A security copy of microfilm of public records which has 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 period of less than 100 years, may be made in accordance with agency standards and requirements for the retention period of the public records, including the option of using any film, processing system, or storage containers the agency may select.

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 9-2009, f. & cert. ef. 10-15-09

## RECORDS MANAGEMENT PROCEDURES PROGRAMS

### 166-030-0005

#### Purpose

This Division specifies requirements for agency records man-

agement programs, and specifies the lawful authority and methods

to destroy or otherwise dispose of public records. They apply to all

public records, regardless of medium or physical format, created

and stored by state and local agencies.

Stat. Auth.: ORS 192 & 357

Stats. Implemented: ORS 192 & 357

Hist.: OSA 2, f. & ef. 11-21-75; OSA 5, f. 12-30-77, ef. 1-1-78; OSA 3-1988, f.

& cert. ef. 10-20-88; OSA 3-1996, f. 4-9-96, cert. ef. 4-15-96; OSA 9-2009, f. &

cert. ef. 10-15-09



**166-030-0016**

**Appointment of Records Officer**

To establish a records management program that ensures the orderly retention and disposition of all public records, and to ensure the preservation of public records of value, each state or local agency shall designate a Records Officer. Records Officers organize and coordinate the agency's Records Management Program, serve as their agency's primary liaison with the State. Typical duties include planning, controlling, directing, organizing, training, promoting the program, and other activities involving the life cycle of information including records scheduling, retirement, storage and destruction. The State Archivist will provide training and assistance for Records Officers.

Stat. Auth.: ORS 357.855 & 357.895

Stats. Implemented: ORS 357.855 & 357.895

Hist.: OSA 5, f. 12-30-77, ef. 1-1-78; OSA 2-1987, f. & ef. 2-6-87; OSA 3-1988, f. & cert. ef. 10-20-88; OSA 9-2009, f. & cert. ef. 10-15-09

**166-030-0021**

**Inventory and Appraisal (State Agencies)**

To ensure accurate identification and evaluation of its records, each state agency shall, cooperate with the State Archivist in preparation of an inventory of the records of each of its organizational units, including the records of any other agency in its custody. 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. Special Schedules will not include schedules for records already listed in the State Agency General Schedule (OAR 166-300).

Stat. Auth.: ORS 192 & 357

Stats. Implemented: ORS 192, 357.855 & 357.895

Hist.: OSA 5, f. 12-30-77, ef. 1-1-78; OSA 2-1987, f. & ef. 2-6-87; OSA 3-1988, f. & cert. ef. 10-20-88; OSA 3-1992, f. 4-3-92, cert. ef. 4-6-92; OSA 3-1996, f. 4-9-96, cert. ef. 4-15-96; OSA 9-2009, f. & cert. ef. 10-15-09

**166-030-0026**

**Public Records Retention and Disposition Authorization (State Agencies)**

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 that have met the terms and conditions of their scheduled retention period, subject to the prior audit requirements of 166-030-0041 and any suspension ordered under the provisions of 166-030-0045. Special Schedules shall be created from inventories (166-030-0021). Unless otherwise stated, a retention period shall be calculated from the date the public record was created. Retention periods for state agency records are both a minimum retention and a maximum retention period.

(3) State agencies shall submit a record of all public records (paper only) destroyed on the authority of the approved records retention schedules. This record shall list schedule number, record series title, cubic feet destroyed, and date destroyed. For electronic records, only agencies using an electronic records management system, need to report the records destroyed. The destruction report generated by the system shall suffice and should include retention schedule number, record series title, and date destroyed. Both the destruction report for paper records and for electronic records (when applicable) shall be forwarded to the State Archivist on an annual basis.

(4) Notwithstanding any existing records retention schedule, any State Agency electronic records with a scheduled retention period of Permanent, and which are also scheduled to be transferred to the State Archives, shall be kept by the agency in both electronic form and hard copy or microfilm form until State Archives electronic records accession review is completed. The State Archives will notify the agency in writing which electronic

records, if any, will be accessioned and will specify transfer procedures, required format, required metadata and a required timetable for the electronic records transfer.

Stat. Auth.: ORS 192 & 357

Stats. Implemented: ORS 192, 357.855 & 357.895

Hist.: OSA 5, f. 12-30-77, ef. 1-1-78; OSA 2-1987, f. & ef. 2-6-87; OSA 3-1988, f. & cert. ef. 10-20-88; OSA 3-1992, f. 4-3-92, cert. ef. 4-6-92; OSA 1-1995, f. & cert. ef. 5-31-95; OSA 3-1996, f. 4-9-96, cert. ef. 4-15-96; OSA 9-2009, f. & cert. ef. 10-15-09

**166-030-0027**

**Public Records Retention and Disposition Authorization (Local Agencies)**

Authorization for destruction of public records by local agencies 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) 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 166-030-0041 and any suspension ordered under the provisions of 166-030-0045. Unless otherwise stated, a retention period shall be calculated from the date the public record was created. Retention periods for local government agency records are minimum retention period.

(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) Special schedules will not be written for records contained in applicable local government general schedules unless the State Archivist determines that is necessary to do so. General schedules for local government agencies will be developed and filed as Oregon Administrative Rule following the procedures defined in OAR chapter 166, division 500. General schedules for local government agencies will be reviewed at least every five years, or sooner as specified by the State Archivist

(6) 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.

(7) Local agencies shall submit a record of all public records (paper only) destroyed on the authority of the approved records retention schedules. This record shall list schedule number, record series title, cubic feet destroyed, and date destroyed. For electronic records, only agencies using an electronic records management system, need to report the records destroyed. The destruction report generated by the system shall suffice and should include retention schedule number, record series title, and date destroyed. Both the destruction report for paper records and for electronic records (when applicable) shall be forwarded to the State Archivist on an annual basis.

Stat. Auth.: ORS 192 & 357

Stats. Implemented: ORS 192, 357.855 & 357.895

Hist.: OSA 3-1988, f. & cert. ef. 10-20-88; OSA 3-1992, f. 4-3-92, cert. ef. 4-6-92; OSA 6-1994, f. & cert. ef. 8-29-94; OSA 1-1995, f. & cert. ef. 5-31-95; OSA 3-1996, f. 4-9-96, cert. ef. 4-15-96; OSA 9-2009, f. & cert. ef. 10-15-09

**166-030-0041**

**Prior Audit of Fiscal Public Records Required**

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 States government shall be observed.

Stat. Auth.: ORS 192 & 357

Stats. Implemented: ORS 192, 357.855 & 357.895

Hist.: OSA 5, f. 12-30-77, ef. 1-1-78; OSA 3-1988, f. & cert. ef. 10-20-88; OSA 3-1996, f. 4-9-96, cert. ef. 4-15-96; OSA 9-2009, f. & cert. ef. 10-15-09

**DIVISION 150**

**COUNTY AND SPECIAL DISTRICT  
RETENTION SCHEDULE**

**166-030-0045**

**Suspension of Scheduled Public Records Destruction**

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

Stat. Auth.: ORS 192 & 357

Stats. Implemented: ORS 192, 357.855 & 357.895

Hist.: OSA 5, f. 12-30-77, ef. 1-1-78; OSA 3-1988, f. & cert. ef. 10-20-88; OSA 1-1990, f. & cert. ef. 2-13-90; OSA 3-1996, f. 4-9-96, cert. ef. 4-15-96; OSA 9-2009, f. & cert. ef. 10-15-09

**166-030-0060**

**Public Records Disposition and Destruction (State and Local Agencies)**

A Special Schedule approved by the State Archivist, or an applicable General Schedule published in OAR Chapter 166, authorizes disposition of public records. Disposition includes:

(1) Transfer to the custody of the State Archivist. When the scheduled retention period specifies transfer to the State Archives, an agency shall transfer its 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 fiber or chemical they contain, provided that the sale or trade agreement includes provisions to ensure 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 that have been microfilmed in compliance with ORS 192.040 to 192.070 and OAR 166-025, 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.

(5) Additional destruction requirements for electronic records are specified in OAR 166-017-0061.

Stat. Auth.: ORS 192 & 357

Stats. Implemented: ORS 192, 357.855 & 357.895

Hist.: OSA 5, f. 12-30-77, ef. 1-1-78; OSA 3-1988, f. & cert. ef. 10-20-88; OSA 3-1996, f. 4-9-96, cert. ef. 4-15-96; OSA 9-2009, f. & cert. ef. 10-15-09; OSA 3-2011(Temp), f. & cert. ef. 7-15-11 thru 1-11-12; Administrative correction 2-6-12

**166-150-0005**

**Administrative Records**

**NOTE:** Inclusion of a record series in this schedule does not require the series to be created. If a record is created electronically, it can be retained in electronic format only as long as the retention period is 99 years or less.

(1) Activity and Room Scheduling Records: Records documenting scheduling and reservations related to public participation and use of various agency activities, events, classes and facilities. Includes schedules, logs, lists, requests, and similar records. (Minimum retention: 1 year)

(2) Activity Reports, General: Daily, weekly, monthly, or similar reports documenting the activities of employees. Useful for compiling annual reports, planning and budgeting, monitoring work progress and other purposes. Usually tracks type of activity, employees and/or volunteers involved, time spent on activity, work completed, and related information in narrative or statistical form. (Minimum retention: 2 years)

(3) Advertising and Promotion Records (Non-State Fair): Series is used to prepare and produce promotional materials, and to document promotions, advertising campaigns, marketing initiatives and public relations efforts. Records may include event programs and schedules, passes, newsletters, news clippings, paste-ups, drawings, copies of ads, photographs, slides, videotapes, sound recordings, story scripts, posters, brochures, flyers, and correspondence. (Minimum retention: 2 years)

(4) Annual Reports: Reports documenting the program or primary functional activities and accomplishments of the office for the previous year. These are often compiled from monthly, quarterly, or other subsidiary activity reports. Usually includes statistics, narratives, graphs, diagrams, and similar information. (Minimum retention: Permanent)

(5) Audit Records, Internal: Records document the examination of the agency's fiscal condition, internal control, and compliance policies and procedures. Records may also document performance or other financially related audits by agency or contracted auditors. Records may include audit reports, supporting documentation, comments, and correspondence. (Minimum retention: 10 years)

(6) Calendars and Scheduling Records: Records document planning, scheduling, and similar actions related to meetings, appointments, trips, visits and other activities. Includes calendars, appointment books, notes, telephone messages, diaries, and similar records, regardless of format. Depending on content, some telephone messages and similar records may merit inclusion in related program or project files. This applies to records that contain significant information that is not summarized or otherwise included in reports or similar documents. *Calendar and Scheduling information recorded in a personal day planner or personal electronic device may be a public record under ORS Chapter 192.* (Minimum retention: 1 year)

(7) Citizen Awards: Awards presented by the agency to honor volunteers for civic contributions. May include award nominations, award certificates, presentation or ceremony records and photographs, lists of past recipients, and related records. Some records in this series may have historic value. For appraisal assistance contact the Oregon State Archives. (Minimum retention: 6 years)

(8) Communication Logs: Logs document communications made or received through a variety of electronic devices, including but not limited to telephone, smart phone, facsimile (fax), radio, computer-aided dispatch, pager, and teletype, AND are not otherwise specified in this general records retention schedule (OAR 166 Division 150). Logged information may include time, date and disposition of communication, name of caller, number called or received, and action taken. SEE ALSO Correspondence in this section. (Minimum retention: 1 year)

(9) Contracts, Leases, and Agreements\*: Documents the duly executed and binding contractual agreements between the agency

and other parties. May include contracts, exhibits, bid documents, change orders, proposals, and significant related correspondence. Types of contracts include purchase of equipment and supplies, interagency, personal service, capital construction (documenting building construction, alterations, or repair), grant funding, and others. Information in contracts usually includes contract number, certificate of required insurance, dates, terms, parties involved, period covered, and signatures. (Minimum retention: (a) Construction contract records: 10 years after substantial completion, as defined by ORS 12.135(3) (b) Collective bargaining contract records: Permanent (c) Other contracts, leases and agreements: 6 years after expiration) *Caution: Agencies who enter into contracts with the federal government must ensure that their contracts and agreements meet federal requirements specified in the Code of Federal Regulations.*

(10) 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 County and Special District General Records Retention Schedule (OAR 166-150) 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 county and special district records are found in the County and Special District General Records Retention Schedule. Communications not meeting the above criteria do not need to be filed and may be retained as needed.)

(11) Fax Reports: Records document facsimile transactions of the agency. Reports may also be used for billing purposes. Information includes date and time fax transmitted or received and recipient/sender's fax number. (Minimum retention: (a) Retain if used for billing: 3 years (b) Retain all other reports: 1 year)

(12) Intergovernmental Agreements\*: Agreements entered into by the agency with the state, school districts, service districts, cities, or other governmental units. Often refers to consolidating departments, jointly providing administrative officers, and sharing facilities or equipment. Major agreements usually set funding responsibilities, fee apportionment, duration of agreement, rights to terminate agreement, and transfers of property, personnel, and employment benefits. Also includes intergovernmental agreements for common services, equipment, maintenance, etc. (Minimum retention: (a) Significant and historic agreements: Permanent (b) Other agreements: 6 years after expiration)

(13) Key and Keycard Records\*: Records document the issuance of keys and keycards to staff to enable access to buildings and sites. Records may include but are not limited to key inventories, key issue forms, key replacement records, and key disposal records. Minimum retention: (a) Retain access and entry logs 3 years (b) Retain other records 2 years after key is turned in)

(14) Legislative Tracking Records: Series used to monitor legislation that may have an impact on an agency's current operations or policies. Records include concept statements, proposals, bill logs, fiscal/organizational impact analysis papers, copies of bills, testimony summaries, committee reports, agendas, and correspondence. (Minimum retention: 2 years)

(15) Lobbyist Records: Records document lobbyist and lobbyist employer activities and are used to report to these activities to the Oregon Government Ethics Commission. Records may include but are not limited to expenditure reports, registration statements, termination records, guidelines, and correspondence. (Minimum retention: (a) Retain expenditure reports 4 years (b) Retain all other records 5 years after last activity)

(16) Mailing Lists: Lists compiled to facilitate billing, community outreach, and other functions of the agency. Information usually includes name of individual or group, address, name and title of contact person, phone number, comments, and similar data. (Minimum retention: Until superseded or obsolete)

(17) Meeting Records, Governing Body\*: Records documenting the proceedings of any regularly scheduled, special, executive

session, or emergency meeting of any governing body, as described in Oregon's Public Meetings Law (ORS 192.610 to 192.710), that is under agency jurisdiction. These typically consist of boards, commissions, advisory councils, task forces, and similar groups. Records may include minutes, agendas, exhibits, resolutions, staff reports, indexes, meeting packets, tape recordings, and related documentation and correspondence. SEE ALSO Meeting Records, Staff and Meeting Records, in this section and Board, Commission, and Committee in the County Court and Commissioners Records section. (Minimum retention: (a) Minutes, agendas, resolutions, indexes, and exhibits (not retained permanently elsewhere in county records): Permanent (b) Retain executive session minutes: 10 years (c) Audio or visual recordings: 1 year after minutes prepared and approved (d) Other records and exhibits not pertinent to minutes: 5 years)

(18) Meeting Records, Staff: Records documenting meetings within government which are not subject to Oregon's Public Meetings Law (ORS 192.610 to 192.710). These routine staff meetings deal with tasks and actions within existing policies and procedures. Records may include minutes, notes, reports, and related items. Some records may merit inclusion in other record series with longer retention periods if the subject matter of the meeting adds significant information to that series. (Minimum retention: 2 years)

(19) Mitigation Program Records\*: Records document the establishment and maintenance of the agency mitigation programs, plans, and procedures. Records may include mitigation plans and strategies, policies, procedures, seismic surveys and structural upgrade records of agency facilities, project reports, hazard mitigation grant records, and related documentation, which may include capital improvement records. SEE ALSO the Emergency Management section. (Minimum retention: (a) Adopted plans: Permanent (b) Other records: for the life of the structure)

(20) News/Press Releases: Prepared statements, announcements, news conference transcripts, and similar records issued to the news media. Subjects include the adoption of new programs, termination of old programs, policy shifts, changes in the status of elected officials or senior administrative personnel, and others. Also may include news releases announcing routine events or actions carried out within the scope of existing policies. (Minimum retention: (a) Policy and historic news/press releases: Permanent (b) Routine news/press releases: 2 years)

(21) Notary Public Log Books: Records documenting notarial transactions completed by a notary public and employed by a government agency. Agencies may retain logbooks by agreement with the notary after their separation from employment. *Agencies retaining notary public log books without notary agreements should consult their legal counsel and/or the Secretary of State, Corporation Division for retention instruction.* (Minimum retention: 7 years after date of commission expiration)

(22) Organizational Records: Records documenting the arrangement and administrative structure of an agency. Includes charts, statements, studies, and similar records. May also include studies to determine the merit and feasibility of reorganization plans, as well as other major studies related to the administrative hierarchy. (Minimum retention: 2 years after superseded)

(23) Passport Transmittal Records: Records document the processing of passport applications. May include but is not limited to calendars, copies of transmittals sent to the United States Passport Office. Information includes daily and weekly totals of passports processed, applicants' names, amount paid, and departure date. (Minimum retention: 1 year)

(24) Permit and License Records, Agency-Issued\*: Records documenting agency review, background investigations, recommendations and other actions related to permits and licenses issued for various activities not specified elsewhere in this general schedule. Permits may include but are not limited to those for taxi cab drivers, dances, parades, rocket launching, second hand dealers, alarm system dealers, liquor licenses, keeping livestock, and solicitors. Usually includes applications, background investigation reports, permits, licenses, and related records. (If a specific permitting function is included in another records series under a program



or functional area such as public works or law enforcement in this general schedule, the retention period specified in that program or functional area supersedes the retention period listed in this series.) (Minimum retention: (a) Retain fee permits of license records: 3 years after expiration, revocation, or denial (b) Retain free permits or license records: 2 years after expiration, revocation, or denial)

(25) Planning Records: Series documents long-range plans and the development of an agency's mission statement and work objectives. Records include strategic plans, mission statements, preliminary drafts, work notes, and related correspondence. (Minimum retention: (a) Mission Statements and plans: 20 years (b) Other records: 5 years)

(26) Policy and Procedure Guidelines and Manuals\*: Written instructions, rules, and guidelines in manual form documenting current and past authorized agency policies and procedures. Used for new employee orientation and for ongoing reference. Also useful in establishing past policies or procedures in liability cases, personnel disputes, and other instances. Includes manuals documenting the procedures of departments with higher risk or exposure to liability such as police, fire, emergency medical services, public works, etc. This series also includes routine documentation and basic clerical instructional procedures covering such subjects as formatting letters, data entry, telephone etiquette, and others. Information often includes policy and procedure numbers, revision dates, subject identification, narrative description, authorization information, and effective date. The minimum retention periods refer only to agency-generated manuals. Manuals from other sources should be retained as needed or as mandated by a specific regulating body (federal or state agency, etc.), usually until superseded or obsolete. SEE ALSO Technical Manuals, Specifications, and Warranties in the Public Works-Operations and Maintenance section for published technical manuals and related materials. (Minimum retention: (a) Routine clerical manuals: 2 years after superseded or obsolete (b) Manuals relating to specific construction and/or engineering projects: 10 years after substantial completion, as defined by ORS 12.135(3) (c) One copy of all other manuals: Permanent)

(27) Policy Statements and Directives\*: Series documents review, assessment, development, and authorization of an agency's formal policies and procedures that have been approved by a governing body. Records may include authorizing bulletins and advisories, mission and goal statements, manuals, and final policy statements and directives. Information often includes policy and procedure numbers, revision dates, subject identification, narrative description, authorization information, and effective date. SEE ALSO Policy and Procedure Guidelines and Manuals in this section. (Minimum retention: 20 years after superseded or obsolete)

(28) Polygraph Examiners Licensing Records: Documents statutory requirement that each polygraph examiner shall register with the County Clerk and that the Clerk shall maintain a list of examiners. Includes name of examiner and business address. (Minimum retention: 60 years)

(29) Postal Records: Records documenting transactions with the U.S. Postal Service and private carriers. Includes postage meter records, receipts for registered and certified mail, insured mail, special delivery receipts and forms, loss reports, and related items. (Minimum retention: 3 years)

(30) Professional Membership Records: Records documenting institutional or agency-paid individual memberships and activities in professional organizations. (Minimum retention: 3 years)

(31) Program Accreditation Records: Records document the evaluation, certification, and accreditation of an agency program by a nationally or regionally recognized accrediting organization AND are not otherwise specified in this general records retention schedule (OAR 166 division 150). Records may include but are not limited to self-evaluation reports; reports sent to accrediting organization; statistical data; evaluation reports; final accreditation reports and certifications; and related documentation and correspondence. Some records in this series may have historic value. SEE ALSO Professional Membership Records in this section.

(Minimum retention: Retain current and one previous accreditation cycle, destroy)

(32) Public Notice Records\*: Records documenting compliance with laws requiring public notice of government activities. Subjects include assessments, elections, land use changes, public meetings and hearings, sale of property, and others. Records include public or legal notices, certificates, affidavits of publication, and similar documents. SEE ALSO Competitive Bid Records in the Financial section for public notices related to bid openings and awards. (Minimum retention: 3 years)

(33) Publications: Published records produced by or for the agency or any of its departments or programs and made available to the public. Includes newsletters, pamphlets, brochures, leaflets, reports, studies, proposals, and similar published records. Does not include publications received from federal, state, private, or other sources — these publications and extra copies of agency-produced publications should be retained as needed. (Minimum retention: (a) Policy and historic publications: Permanent (b) All others: Until superseded or obsolete)

(34) Reports and Studies: Records document special reports or studies conducted on non-fiscal aspects of an agency's programs, services, or projects, compiled by agency personnel, or by consultants under contract that are not noted elsewhere in this schedule. Includes final report distributed either internally or to other entities and the work papers used to compile the report or study. (Minimum retention: 5 years)

(35) Requests and Complaints: Records documenting complaints or requests concerning a variety of agency responsibilities not specified elsewhere in this general schedule. Information often includes name, phone number, and address of person making request or complaint, narration of request or complaint, name of person responding to request or complaint, dates of related activities, and other data. (If a specific request or complaint is listed in another records series under a functional area such as law enforcement in this general schedule, the retention period specified in that functional area supersedes the retention period listed in this series.) (Minimum retention: 2 years after last action)

(36) Resolutions\*: Formal statements of decisions or expressions of opinions adopted by the agency. Information includes date, number, and text. SEE ALSO Meeting Records, Governing Body in the County Court and County Commissioners Records section. (Minimum retention: Permanent)

(37) Routing and Job Control Records: Records used to control the routine flow of documents and other items and actions in and between offices in the agency. Includes routing slips, job control records, status cards, receipts for records charged-out, batch slips, and similar records. (Minimum retention: 1 year)

(38) Security Records\*: Series documents security provided for agency buildings and grounds. Records include surveillance records, security logs, sign-in sheets, security reports, incident reports, and related records. SEE ALSO Fire and Security Alarm System Records in the Fire and Emergency Medical Services section; Computer System Security Records in the Information and Records Management section; or Alarm Records and Surveillance Tapes in the Law Enforcement section. (Minimum retention: 2 years)

(39) Seminar and Conference Records, Agency-Sponsored: Records documenting the design and implementation of agency sponsored seminars, conferences, workshops, conventions, and similar gatherings. Often includes class descriptions, instructional materials, course outlines, enrollment and attendance records, reports, speeches, planning documentation, and related records. For records documenting registration billings and related fiscal actions, see the Financial Records section. (Minimum retention: (a) Significant program records: 5 years (b) Class enrollment and attendance records: 2 years (c) Other records: 1 year)

(40) Seminar and Conference Records, Non-Agency Sponsored: Records documenting activities of seminars, conferences, workshops, conventions, and similar gatherings not sponsored by the agency but attended by agency officials or personnel. May include staff reports, instructional materials, recommendations,

related correspondence and memoranda, and similar records. (Minimum retention: 2 years)

(41) Special District Charters\*: Constitution, bylaws, and all amendments to agency charters approved by voters or the State Legislature. Generally includes original charter, amendments, and related significant records. (Minimum retention: Permanent)

(42) Special District Codes\*: Codified ordinances passed by a special district. Provides reference to all laws for both information and enforcement. Information may include ordinance numbers, amending ordinance numbers, code numbers, and text. (Minimum retention: Permanent)

(43) Special District Ordinances\*: Legislative action of a special district to regulate, require, prohibit, govern, control, or supervise any activity, business, conduct, or condition authorized by Oregon Revised Statutes. Ordinances typically include a title, preamble, ordaining clause, subject clause, penalty for violation (when applicable), effective date, authorizing signature and seal. May also include indexes calendars, and documentation presented to support action. (Minimum retention: Permanent)

(44) Special Event and Celebration Records: Records documenting agency-sponsored celebrations of special and historic occasions such as centennials, pioneer days, and similar events. Provides a record of planning and promotional efforts, public attendance and response, major speeches and dedications, and other significant aspects of the celebration. These significant records may include studies, publications, photographs, attendance summaries, final reports, and other significant documents. This series also includes routine documentation related to implementing the promotion and organization of the event. These often include lists, rosters, correspondence, memoranda, volunteer information, and related records. Records may also include scrapbooks, but does not include news clippings. News clippings are not public records and may be discarded. (Minimum retention: (a) Records documenting significant aspects of the event: Permanent (b) Other records: 2 years after event)

(45) Surveys, Polls, and Questionnaires: Records documenting the measurement of public opinion by or for the agency related to various issues, actions, and concerns. May include surveys, polls, questionnaires, summaries, abstracts and significant related records. Examples of summaries include studies which incorporate the significant results of public opinion surveys, abstracts of questionnaires designed to determine the skills and interests of citizens volunteering for agency service, and other records which distill survey data into summary form. (Minimum retention: (a) Summary reports and abstracts: 3 years (b) Other records: Until summary report is completed or 3 years, whichever is sooner)

(46) Visitor Logs: Records document visitors to county buildings. Records name include visitors' names, visitor badges issued, and entrance and exit times. (Minimum retention: 1 year)

(47) Work Orders: Records documenting requests and authorizations, according to existing contracts or agreements, for needed services and repairs to agency property and equipment. May include copy center work orders, printing orders, telephone service and installation requests, repair authorizations, and similar records. (Minimum retention: (a) Retain work completed by county personnel: 1 year (b) Retain work completed by outside vendors: 3 years)

(48) Work Schedules and Assignments: Records documenting the scheduling and assigning 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. May include calendars, schedules, lists, charts, rosters, and related records. (Minimum retention: 5 years)

(49) Year 2000 (Y2K) Planning Records: Records document the planning and development of agency 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 includes type of systems vulnerable to Y2K, level of priority, and party responsible for system solution or troubleshooting. (Minimum retention: Destroy)

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 4-2004, f. & cert. ef. 9-1-04; OSA 2-2005, f. & cert. ef. 5-10-05; OSA 3-2012, f. & cert. ef. 10-29-12; OSA 1-2014, f. & cert. ef. 2-25-14

### **166-150-0010 Airport**

(1) Activity Reports, Airport: Records documenting various indicators of activity associated with the agency airport. Subjects may include arrivals and departures, type of aircraft served, number of passengers, amount of cargo, amount of fuel use, activities of related operations such as restaurants, gift shops, and car rental outlets, as well as others. (Minimum retention: (a) Annual reports: Permanent (b) Other reports: 2 years)

(2) Airport Certification Records: Records documenting certifications, licenses, or permits from the Federal Aviation Administration (FAA) or other federal or state agencies. Includes any documentation bearing directly on the application for issuance or renewal. Federal Aviation Administration related records include agency prepared airport certification manuals for airports servicing aircraft with seating capacities of more than 30 passengers, as well as airport certification specifications for "limited" airports. Manuals include procedures for the maintenance of paved and unpaved areas, lighting systems, and traffic and wind direction indicators. They also include procedures for self-inspection, rescue and fire fighting, and the control of hazardous substances and ground vehicles, as well as plans for snow and ice control, emergencies, wildlife hazard management, and others. (Minimum retention: (a) Certification manuals or specifications: Permanent (b) Other records: 2 years after expiration)

(3) Airport Security Program Records: Records documenting the agency airport's objectives, methods, and procedures designed to prevent or reduce illegal activities or interference with civil aviation. Program contents include a description of the airport, master security plan, planned improvements, procedures in case of hijackings or bomb threats, security gate information, airport statistics, and related subjects. (Minimum retention: (a) Program records described in 14 CFR 107.3: Permanent (b) Other records: 2 years after superseded or obsolete)

(4) Airport Self-Inspection Reports: Reports and related records documenting Federal Aviation Administration (FAA) mandated inspections by airport staff to assure safe conditions. These generally are performed daily or more frequently if unusual conditions caused by construction, weather, or any accident or incident are present. Inspections include runway, ramp, and taxiway conditions, fire and reserve facilities, bird hazards, wind indicating devices, standby power system, and lighting. (Minimum retention: (a) Reports documenting incidents: 2 years (b) Other reports: 6 months)

(5) Civil Aviation Register: Series documents civil airplane registrations as listed by the Federal Aviation Administration. The register is updated on a monthly basis and is used for reference. Information includes description of aircraft including make, model, size, and weight. Also includes name and address of registrant. (Minimum retention: Until superseded or obsolete)

(6) Complaint Records, Airport: Records documenting complaints or requests related to noise or other aspects of airport operations. Information often includes name, phone number, and address of person making complaint, name of person receiving and/or responding to complaint, description of complaint, resolution (if any), and other data. (Minimum retention: 2 years after last action)

(7) Law Enforcement Action Records: Records documenting various types of security actions taken by the airport as described in 14 CFR 107.23(b). Examples include documents showing the number and type of firearms, explosives, and incendiaries discovered during any passenger screening process, and the method of detection of each; the number of acts and attempted acts of piracy; the number of bomb threats received, real and simulated bombs found, and actual bombings on the airport; as well as the number of detentions and arrests, and the immediate disposition of each person detained or arrested. (Minimum retention: 2 years)

(8) Maps, Aviation: Series provides visual cartographic documentation that aids in airport functioning. Used for reference in the

planning process. Contains maps, plats, charts, field notes, terrain sketches, and related records. Types of maps include topological maps of roads, ditches, fences, and subterranean pipes and tanks. Also includes zoning and noise contour maps. (Minimum retention: Until superseded or obsolete)

(9) Navigational Facilities Maintenance and Operation Reports: Records documenting the maintenance and operation of various types of airport navigational equipment. Examples include nondirectional radio beacon facilities, instrument landing system facilities, simplified directional facility, distance measuring equipment, VHF marker beacons, interim standard microwave landing system, microwave landing system, and others. Includes meter readings and adjustment records, facility maintenance logs, radio equipment operation records, technical performance records, and other documents. See applicable record series in the Public Works, Operations and Maintenance section for records not related to navigational facilities. (Minimum retention: 2 years after equipment permanently removed from service)

(10) Noise Compatibility Program Records: Records documenting agency development of a noise compatibility program to moderate the impact of noise in areas surrounding the airport. Includes studies, reports, noise exposure and other maps, hearing records, public statements, and related documents. Program information includes a description and analysis of alternate measures, program measures to reduce or eliminate noncompatible land uses, a description of public participation, actual and anticipated effect of the program, and other summaries and descriptions. (Minimum retention: (a) Program records described in 14 CFR 150.23(e): Permanent (b) Other records: 5 years after program approved)

(11) Notice To Airmen (NOTAM) Reports: Reports the notification of air carriers as to changes in airport conditions. Subjects include construction, maintenance, surface irregularities, snow, ice, water, light malfunctions, unresolved wildlife hazards, and others. Includes Notice to Airmen (NOTAM) forms. Information includes date and time of issue, message from airport manager, and distribution data. (Minimum retention: 1 year after notice expired)

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 4-2004, f. & cert. ef. 9-1-04

## 166-150-0015

### Assessment and Taxation Records

(1) Additional Tax Due and Valuation Notices: Used to notify property owners of disqualification of specially assessed property or errors made in the valuation process. Types of disqualifications include farm, forest, historical, residential or commercial zone, and others. Types of valuation changes include omitted property, clerical error, and others. Records notifying property owners of adjudicated notices may include name, address, value, tax assessed, tax year, and reason for disqualification or change. (Minimum retention: 3 years after entered on tax roll)

(2) Annual Tax Certification Records: Record of certified levies to be collected for each taxing district which was placed on the tax roll and is filed with the County Clerk. Summarizes taxes levied by property type and levy type. May include the following information by district: levies, value, offsets, tax rates, tax losses, add taxes, and percentage of distribution. (Minimum retention: 6 years)

(3) Appraisal Records: Record of land and building appraisals including all elements used to determine the value of the property. May include property identification number and legal description, owner name and address, diagram cards, appraisal activity log, current value, remarks, sales and building permit history, roll value history, sketch notes, appeal history, construction detail, improvement valuation, land valuation, and special use valuation. Also may include records documenting valuation by year. (Minimum retention: 12 years)

(4) Assessment and Tax Roll: Official record of assessments, tax levied, and changes to the tax roll on all properties. May include name, address, assessed value, real market value, taxes levied, legal description, sites address, code area, property class, and any changes made since previous tax roll. May also include

additional tax rolls previously maintained for deferred homesteads, yield tax, reforestation, additional tax on timber, and others. (Minimum retention: (a) Years through 1905: Permanent (b) Fiscal Years ending in 0 and 5 after 1905: Permanent (c) Fiscal Years 1906 and later (except years ending in 0 and 5): 50 years)

(5) Assessment Appeal Records: Notification to the Assessor that a property owner disagrees with the assessed value of the property. May include Board of Property Tax Appeals, Department of Revenue, or tax magistrate petitions and orders. May also include correspondence relating to the appeal. Original petition, evidence, and order are filed with the County Clerk or the Department of Revenue. (Minimum retention: 2 years)

(6) Assessment Rolls: Compilation of real and personal property values as established by May 1 of each calendar year. Used to generate taxes in the following tax year. These records were created prior to the legislative change combining the assessment and tax rolls. May include name, address, location, account numbers, legal description, and valuation. (Minimum retention: If Tax Rolls do not exist for the below-specified time periods, or if the tax and appraisal function is documented in one record for a particular time period, use the following: (a) Years through 1905: Permanent (b) Fiscal Years ending in 0 and 5 after 1905: Permanent (c) Fiscal Years 1906 and later (except years ending in 0 and 5): 50 years (d) If separate Tax Rolls exist for the above specified time periods: 6 years)

(7) Assessor's Maps: Cartographic records produced and maintained by the Assessor outlining the boundaries of each land parcel subject to separate assessment within the county, with the parcel's tax lot or account number shown on the parcel. May include code area boundaries and the assigned code area numbers. (Minimum retention: Retain until superseded or obsolete)

(8) Bankruptcy Records: Monitors the actions of U.S. Bankruptcy Courts as it pertains to the assessing and collecting of property taxes. May include notification from the court, request for relief of automatic stay, reorganization and payment plans, discharges, and related correspondence. (Minimum retention: 2 years after case closed)

(9) Department of Motor Vehicles Form 113: Used to certify that taxes have been paid on manufactured structures so that they can be moved, sold, or dismantled. Information may include owner name and address, property location, appraised value, taxes due and taxes paid. This program moved to Department of Business and Consumer Services Building Codes Division in May 2005 which issues trip permits in lieu of DMV Form 113's. (Minimum retention: (a) Tax Collector information: 1 year (b) Assessor information: Life of the structure)

(10) Disqualified Tax Payments: Used to document the collection of taxes for properties that have been disqualified as having a special assessment. Information may include property owner name and address, tax year, market or non special assessment value, farm use value, tax rate, number of years for rate, total additional tax per year, total tax due, reason for disqualification, and disqualification value. (Minimum retention: 7 years)

(11) Exemption Claims: Applications by war veterans or veteran's widows and qualifying exempt organizations for total or partial property tax exemption. May include applications, marriage licenses, death certificates, military service discharge records, by-laws, rental agreements, and other records. (Minimum retention: 2 years after superseded or exemption disqualified)

(12) Foreclosure Records: Documents the actions of the Tax Collector during foreclosure and redemption of real property. May include declarations of delinquency, notifications to property owner and lien holders, official publication lists, applications for final judgment and decree, final judgment and decree, record of lien holders, redemption certificates, deeds of foreclosed property, and related correspondence. (Minimum retention: 6 years after property deeded to county or redeemed by recorded interest holder)

(13) Homeowner's Property Tax Relief Records: Applications for property tax reduction based on legislatively mandated amounts distributed through the Department of Revenue. May include



applications, adjustment, fund transfer, denial, and disqualification records. (Minimum retention: 2 years)

(14) Journal Vouchers-Roll Changes: Assessor's copy of request to Tax Collector to change or correct the tax roll in counties where separate records are maintained. May indicate value, tax code, exemptions and other changes. May include vouchers, opinion and order from Department of Revenue, Board of Property Tax Appeals orders, and tax court and supreme court orders. (Minimum retention: 6 years, or until real property tax rolls of the year affected by the voucher have been foreclosed and the foreclosed property deeded to the agency)

(15) Partition Plats and Subdivision Plats: Used to document that taxes have been paid on properties prior to the partition/subdivision development. Information may include parcel description, name of partition or subdivision, tax lot information, number of parcels and acres, and amount of taxes paid. (Minimum retention: 2 years)

(16) Personal Property Delinquent Tax Records: Notification by individual correspondence or official publication to property owner of intent to issue a judgment lien on personal property for non-payment of taxes. Also used to record or release lien against owner of property on tax roll. Lien is recorded and retained by the County Clerk. Includes owner name, type of personal property, account number, years and amounts delinquent, and authorizing signature. (Minimum retention: 2 years after the associated liens are issued)

(17) Personal Property Returns: Documents the value all business machinery and equipment within the county to determine the valuation of personal property for taxing purposes. May include name of taxpayer/business, address, location, signatures, and purchase price and date purchased of business machinery. (Minimum retention: 6 years)

(18) Ratio Studies: Used to update appraisal values between reappraisals of property. May include sales data cards, sales verifications, sales ratio report, and supporting documents. Information on report may include property sales by neighborhood or reappraisal areas, ratio of sales to property values, previous study statistics, and individual sales listings. (Minimum retention: 6 years)

(19) Refund Records: Used to record the overpayment of taxes and then to document that notification was to over payers requesting information on who the refund should be issued to. Information may include account name and number, property location, tax lot number, amount of overage, cause of overage, and deadline for response. (Minimum retention: 6 years)

(20) Revenue (Department of) Reports: Reports sent to the Department of Revenue summarizing information placed on the tax roll and providing detail of expenditures supporting reimbursement for operational expenses. Reports may include Summary of Assessments and Levies (SAL) Report, Property Tax Program Grant Document Detail Report, and Tax Collection Year-End Report. (Minimum retention: 6 years)

(21) Senior and Disabled Citizens Tax Deferral Applications: Applications by senior citizens to defer property taxes or special assessments. Disqualification occurs with death of applicant, property sale, or exceeding income limit. Taxes are paid by the state with lien attached to property. Applications may include name, address, location, account number, legal description, deed references, and authorizing signatures. This series may also include applications for delay of foreclosure. (Minimum retention: 2 years after disqualified or lien satisfied)

(22) Special Valuation Applications: Requests for special assessment of properties on the basis of special use. Uses include forest land, farmland, historic properties, enterprise zones, and single family residence in commercial zones. Applications and worksheets may include name, address, account number, number of acres in use, farm income documentation, historic designation, year assessed, and real market value (RMV) of property. (Minimum retention: 6 years after disqualified)

(23) Tax Collection and Distribution Records: Records summary of taxes collected and distributed. May include date of collection and distribution, amount distributed, percentage of collection

and distribution, year of tax, and adjustments. (Minimum retention: (a) Percentage Distribution Schedule: 25 years (b) All other records: 3 years)

(24) Tax Lot Cards: Records contain official descriptions of real property and are used to track land ownership and lot size and also may serve as a deed reference. Records include tax lot number; the location of the land in reference to township, range, and section; and a description and record of changes to the property, acreage, and land owner. (Minimum retention: Permanent)

(25) Tax Payment Records: Records individual payments made by taxpayers on an account. May include county name, fiscal year for which taxes entered, address, code area, date paid, amount, and property for which taxes paid. (Minimum retention: 7 years)

(26) Tax Statement Requests: Authorization for lender to pay property taxes on individual properties. Provides lender information on assessed values and levied taxes on individual properties. May include account number, lender name and loan number. (Minimum retention: 2 years)

(27) Tax Turnover Records: Documents amounts paid to each taxing district based on the Tax Collection and Distribution schedule calculated by the Tax Collector. Includes date of distribution, district name, and amount distributed. May also include percentage of collection and distribution, year of tax, and adjustments. (Minimum retention: 6 years)

(28) Taxing District Records: Notification to the Assessor from city, fire, school, and other special districts to levy taxes. Includes records received from districts such as notifications to levy taxes, categorizations of levies, resolutions from governing body to levy taxes, detail budgets, and public notices. Also may include tax rate computation sheets and other records used or created by the Assessor in calculating the tax rates. (Minimum retention: (a) Notice of Property Tax Levy and Certification of Categorization: 6 years (b) All other records: 2 years)

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 4-2004, f. & cert. ef. 9-1-04; OSA 3-2006, f. & cert. ef. 8-30-06

## 166-150-0020 Building

(1) Building Activity Records: Reports or statistical compilations tracking building activity on a monthly and annual basis. Used to plan budgets and staffing, as well as to monitor growth and chart building trends. Usually tracks number of permits issued, type of activity, value of projects, fees collected, and related information. May consist of reports compiled for the U.S. Bureau of the Census. (Minimum retention: (a) Retain reports summarizing activities on an annual basis: Permanently (b) Retain other reports: 2 years)

(2) Building Board of Appeals Records: Records of appeals to decisions made by the agency staff regarding alternate building materials or methods of construction. The board interprets building code and requirements. Often includes staff reports, applications to appeal, minutes, exhibits, and related significant correspondence and memoranda. (Minimum retention: (a) Retain minutes, agendas, resolutions, indexes, and exhibits (not retained permanently elsewhere in county records): Permanently (b) Retain audio or visual recordings: 1 year after minutes prepared and approved (c) Retain other records and exhibits not pertinent to minutes: 5 years)

(3) Building Code Violation Records: Building department documentation related to violations of building, electrical, sign, heating, plumbing, and related codes. May include notices of infractions, summons, complaints, compliance agreements, log books, compliance information, and related significant correspondence and memoranda. (Minimum retention: 10 years after last action)

(4) Building Inspection Records: Records documenting on-site visits by inspectors. Usually includes comments noted as construction progresses. (Minimum retention: (a) Final inspections: For the life of the structure (b) All other inspections: 2 years)

(5) Building Permit Applications: Applications from property owners to erect new structures, including signs, or make structural

modifications to existing ones. Information usually includes name, address, phone number, and signature of applicant, permit number, type and location of building, name of builder or contractor, legal description, description of work, and value of construction. (Minimum retention: (a) If permit issued: 2 years (b) If no permit issued: 180 days)

(6) Building Permits: Permits granted to property owners to erect new structures, including signs, or make structural to existing ones. Serves as official authorization for construction including installation of plumbing, electrical, and mechanical equipment and other related work. (Minimum retention: (a) Retain permits for completed structures: for the life of the structure (b) Retain demolition permits: 10 years after demolition (c) Retain other permits: 2 years after revoked or expired)

(7) Building Plans, Nonresidential Blueprints: and specifications submitted by building contractors or owners applying for a permit to build commercial, industrial, or apartment structures. Used for enforcement of building codes and reference for later modifications. Includes specifications of type, grade, and brand, of materials used, as well as details related to temporary facilities, security, job cleanup, deadlines, and other conditions. Often includes change orders or plan modifications submitted after permit approved. (Minimum retention: (a) If permit issued and structure completed: 10 years after substantial completion (as defined by ORS 12.135(3)) (b) If no permit issued: 180 days (c) If permit issued, but structure not started, completed, or permit expired: 180 days after expiration date)

(8) Building Plans, Publicly-Owned Structures: Blueprints and specifications submitted by building contractors or government agencies applying for a permit to construct government buildings. Used for enforcement of building codes and reference for later modifications. Includes specifications of type, grade, and brand of materials used as well as details related to temporary facilities, job cleanup, deadlines, and other conditions. May also include change orders or plan modifications submitted after permit approved. (Minimum retention: (a) If permit issued and structure completed: For the life of the structure (b) If no permit issued: 180 days (c) If permit issued, but structure not started, completed, or permit expired: 180 days after expiration date)

(9) Building Plans, Residential: Blueprints, drawings, and specifications submitted by building contractors or owners applying for a permit to build residential structures. Used for enforcement of building codes and reference for later modifications. Often includes specifications of type, grade, and brand of materials, as well as details related to temporary facilities, security, job cleanup, deadlines, and other conditions. May include change orders or plan modifications submitted after permit approved. (Minimum retention: (a) If permit issued and structure completed 2 years after substantial completion (as defined by ORS 12.135(3)) (b) If no permit issued: 180 days (c) If permit issued, but structure not started, completed, or permit expired 2 years)

(10) Certificates of Occupancy Certificates: recognizing compliance with the minimum standards set by state and local laws for structures. Usually includes building name and location, city or county, occupancy, classification, load limit, date issued, and fee. (Minimum retention: For the life of the structure)

(11) Registered Contractor Lists: Lists issued quarterly by the State Construction Contractors Board verifying registration by contractors with the Board. Used to ensure compliance with state requirements regarding insurance, bonding, etc. before the issuance of building permits. Includes registration number, name of contractor, county code, type of building trade, and related information. (Minimum retention: Until superseded or obsolete)

(12) Unsafe Building Records: Records documenting the demolition, boarding, or other actions related to structures determined to be unsafe. Includes structures determined to be unsafe due to the manufacture of illegal drugs. Also documents related repairs or actions to remedy deficiencies. Used for reference and litigation. Usually includes complaints, building inspection reports, letters to property owners, and demolition documents. May also include photographs, copies of contracts and payment records, and

related significant records. (Minimum retention: 5 years after final action)

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 4-2004, f. & cert. ef. 9-1-04

## 166-150-0025

### Community Corrections Records

(1) Alcohol Diversion Evaluator Records: Series documents the evaluation of clients for referral to a program that will provide appropriate information or rehabilitation services. Records may include evaluation results, a written narrative summary of the interview, a copy of the client's driving record, documentation of the client's Blood Alcohol Content (BAC) at the time of the DUI (Driving Under the Influence of Intoxicants) arrest, a copy of the Diagnostic and Referral Report, and copies of reports on the client filed with the Office of Alcohol and Drug Abuse Programs. Information may include client's name, diagnosis, and status in diversion programs. (Minimum retention: 7 years following date of completion or discontinuance of treatment services)

(2) Case Assignment and Report Log: Series is used to assign and track new cases, reports, and transfers. It is used as a defacto index to parole/probation case files. Records include listings of new probations, paroles, temporary transfer requests, special reports, early terminations, revocations, and the name of the assigned officer. (Minimum retention: 3 years)

(3) Community Service Work Records: Series documents community service performed in lieu of or in addition to criminal sentencing. Records may include judges orders for bench parole, other court orders, and requirements for fulfilling community service order. Information includes offender's name, date of sentence, hours of community service, and dates and times of community service. (Minimum retention: 6 months after case closed)

(4) Offender Case Files: Series documents the supervision, management, and tracking of offenders in the community corrections program. Records may include face sheets, court orders, Board of Parole and Post Prison Supervision orders, commutations, death certificates, expungement, presentence investigations, parole officer notes, police reports, sanction hearing documentation, and community risk assessments. Department of Corrections (DOC) Information Systems Division maintains statewide record copy of information on the Corrections Information System. As stated in OAR 291-070-0080(1) DOC requires certain documents to be transferred to DOC Central Records, as they are created, for maintenance as state-wide record copy. (Minimum retention: (a) Retain felony offender case files: 2 years after case closed (b) Retain all other case files: 1 year after case closed)

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 4-2004, f. & cert. ef. 9-1-04

## 166-150-0030

### Counsel

(1) Civil Case Files: Documentation of pending and closed cases filed by the agency and against the agency. Often contains complaints, summons, investigations, reports, attorney's notes, photographs, orders and judgments, dispositions, pleadings, medical reports, and important related records. (Minimum retention: 10 years after case closed or dismissed, or date of last action)

(2) Criminal Case Files, Attorney: Records related to the prosecution of criminal cases by the attorney's office. May include copies of citations, law enforcement reports, driving records, DUI documents and tape recordings, complaints, subpoenas, motions, judgments, copies of records from other courts, and related significant material. (Minimum retention: 10 years after case closed or dismissed, or date of last action)

(3) Dispute Resolution Records: Records documenting personnel disputes resolved through mediation or arbitration instead of pursuing action through the court system. May include pleadings, investigation reports, dispositions, and related records. (Minimum retention: 3 years)

(4) Land Use Board of Appeals (LUBA) Case Files: Records related to land use decisions made by the agency that have been

appealed to and reviewed by the Land Use Board of Appeals. May include staff reports, land use orders, pleadings, briefs, and related significant records. SEE ALSO Board of Commissioners Records in the County Administration Records section. (Minimum retention: 10 years after final decision)

(5) Legal Opinions: Formal opinions rendered by the attorney's office for various agency departments or the governing body. Documents the rationale for policy and maintains consistency in related issues. Information usually includes date, department requesting opinion, and the text of the opinion. (Minimum retention: (a) Formal opinions: Permanent (b) Informal opinions: 10 years)

(6) Tort Claim Notices: Records documenting the notification given to the agency of potential suits against it. ORS 30. 275 requires these to be filed with the agency before a potential claimant can bring certain actions against the agency. (Minimum retention: 3 years after closure of claim)

(7) Victim/Witness Assistance Program Records: Documents showing the administration of victim/witness assistance programs. Generally includes reports, activity logs, expense statements, records documenting state action, and significant related memoranda and correspondence. (Minimum retention: 5 years)

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 4-2004, f. & cert. ef. 9-1-04

## 166-150-0035

### County Clerk — Elections

(1) Absentee Ballot Requests: Used to enter a citizen's request for a ballot to be sent to them for the purpose of voting, or to change their current status as an absentee voter. Information includes voter name, address of residence, and mailing address. (Minimum retention: 1 year)

(2) Abstract of Votes (Record of Elections): Documents election results for General, Primary, Emergency, Recall, and Special Elections. Information includes candidate name/ballot title, precinct name, total votes per candidate/ballot title, total per precinct, under/over votes, and certification by County Clerk or election official. (Minimum retention: Permanent)

(3) Ballots: Documents ballots of voters who voted in Primary, General, Emergency, Recall, District, and Special elections. (SEE Vote by Mail Records)

(4) Contribution and Expenditure Reports: Documents contributions and expenditures by candidates or political action committees. Includes statement of organization, amount, source, and detail of contributions and expenditures. May also include receipts for expenditures. The Secretary of State Elections Division maintains the statewide record copy of Statements of Organization. (Minimum retention: (a) Statements of Organization: 6 years (b) All other records: 4 years after the date required to file update reports)

(5) Election Filings (Candidates and Referrals): Documents all necessary papers required to be filed by a candidate or governing body for primary, general, emergency, and special elections. May include petition of nomination, declaration of candidacy, certification of nomination, certificate of election, notice of measure election, and withdrawal of candidates. (Minimum retention: 4 years)

(6) Election Preparation Records: Used to prepare and administer elections. Records may include such information as number of ballots and ballot styles for each precinct, listing of measures and candidates by precinct, ballot layout records, and public certification test records. May also include documents on reconciliation. (SEE Vote by Mail Records)

(7) Election Security Plan: Records document the clerk's compliance with ORS 254.074 in which they clearly outline, in writing, the county's procedures for ensuring a secure elections process. Information in the plan includes but is not limited to a written security agreement entered into with any vendor handling ballots; security procedures for transporting ballots; security procedures at official places of deposit for ballots; security procedures for processing ballots; security procedures governing election observers; security procedures for ballots located in county elections work areas, buildings and storage areas; security procedures for

vote tally systems, including computer access to vote tally systems; and postelection ballot security. These plans are required to be filed with the Secretary of State by the January 31 in each calendar year or one business day after any revision is made to the county elections security plan. (Minimum retention: 5 years)

(8) Help America Vote Act Identification Records: Records are used to verify the identity of a person registering to vote exists and their residence in the county they are attempting to register to vote in. Records include but are not limited to current and valid photo identification containing voter name and address, or a current copy of a utility bill, bank statement, government check, paycheck, or other government document that shows their name and address. The address listed must match the residence or mailing address submitted on their voter registration card. (Minimum retention: Retain until verified by county elections official)

(9) Initiative, Referendum, and Recall Records: Documents the initiative, referendum, and recall process by which voters propose laws and amendments to the State Constitution, refer an act of the Legislature or other governing body to a vote of the electorate, or recall a public official. Includes petitions, signature sheets, summaries of signature verification, text of proposed law, amendment, or response from public official. (Minimum retention: (a) Initiative & Referendum Signature Sheets: 6 years after election if measure is approved, as defined by ORS 250.235 & 255.205; (b) Recall Signature Sheets: 4 years after election if measure is approved; (c) Signature sheets if measure is not approved: 90 days after election or 90 days after deadline for sufficient signatures; (d) Initiative & Referendum Copy of Measure: Permanent, if measure is approved; and (e) All other records: 4 years)

(10) Legal Notices and Publications: Documents required pre-election legal notices by the County Clerk. May include publication of ballot title and notice of election. (Minimum retention: 4 years)

(11) Poll Books: Records issuance of ballot to eligible voter in an election. Includes name of elector, party affiliation, home address, ballot number, precinct number, and signature of voter. NOTE: Vote by Mail replaced poll elections in 2000. (Minimum retention: (a) Records created prior to 1931: Permanent; (b) All other records: 2 years)

(12) Registration List Authorizations: Documents the request and authorization for transmittal of voter registration information to citizens. Record consists of request and authorization for list of electors for a particular political boundary. (Minimum retention: 2 years)

(13) Secretary of State Reports: Documents required reports to the Office of the Secretary of State summarizing election registration, participation, and costs. May include Special District Election Report, Election Equipment Amortization Worksheet, Average Ballots Cast Worksheet, Allocated Cost Worksheet, and Local Elections Billing Worksheet. (Minimum retention: 2 years)

(14) Vote by Mail Records: Records are used to prepare, administer and abstract elections conducted by mail. Records include counted, duplicated, rejected, and defective ballots; returned signed, non-deliverable, and secrecy envelopes; and other documents used to prepare, administer and abstract elections conducted by mail. (Minimum retention: (a) Retain counted, duplicated, rejected, and defective ballots 2 years after elections containing federal candidates; (b) Retain counted, duplicated, rejected, and defective ballots 90 days after the last day to contest the election for all other elections not containing federal candidates; (c) Retain unused ballots 45 days after the election regardless of federal/nonfederal candidates; (d) Retain returned signed envelopes 2 years after the election regardless of federal/nonfederal candidates; (e) Retain secrecy and non-deliverable envelopes 60 days after the last day to contest the election for all elections regardless of federal/nonfederal candidates; and (f) Retain all other records used to prepare, administer and abstract elections conducted by mail 2 years after the election to which they relate)

(15) Voter Registration Records: Documents the registration or cancellation of registration of eligible voters or the cancellation of confidential voter status. Voter Registration Cards include the following information: name, signature, mailing and residence



address, previous registration information, if ever registered in Oregon, date of birth, affirmation of citizenship, state residency, and political party. May also include records canceling or making inactive voter registration such as the notice of deceased list from Secretary of State, notice of change of address from Department of Motor Vehicles, U.S. Postal Service notice, and related correspondence (ORS 247.580). (Minimum retention: (a) Voter Registration Cards and all other records scanned into Oregon Centralized Voter Registration (OCVR): Destroy after entered into Oregon Centralized Voter Registration system; (b) All other records: 2 years)

(16) Voters Pamphlet Records: Documents the compilation, publication, and distribution of the County Voters' Pamphlet for primary, general, and statewide special elections. The County Voters' Pamphlet contains candidate statements, candidate photographs, ballot measure arguments, explanatory statements of ballot measures, and other information to assist voters. (Minimum retention: (a) Retain 1 copy permanently; (b) Retain pamphlet preparation records: 4 years after election)

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 4-2004, f. & cert. ef. 9-1-04; OSA 10-2009, f. & cert. ef. 12-23-09;

OSA 3-2012, f. & cert. ef. 10-29-12; OSA 1-2014, f. & cert. ef. 2-25-14

## 166-150-0040

### County Clerk — General

(1) Board of Property Tax Appeals Meeting Records: Documents the proceedings of the Board of Property Tax Appeals. Includes copy of order appointing board members, oaths of office of members, verification of training, delegation of legal counsel, affidavit of publication, record of appointment of board appraiser, agendas, date of meeting, list of those present who present evidence and a short discussion of the evidence presented, all material presented as evidence, all motions and who made them, results of all votes and how each member voted, petitions, authorizations to represent, defective petition notices, copy of hearing notice mailed to petitioner, recommendations and orders made by the board, and summary of actions. The following information is entered into the journal of the county governing body: date members appointed, positions to which the members were appointed, and a record of the date the board convened and the date the board adjourned. (Minimum retention: 6 years)

(2) Budgets (Taxing Districts): Documents budgets required to be filed by taxing districts within the county for the purpose of making them available for public inspection. Budget documents may include budget overview, budget policies, organization charts, budget detail reports, and summary schedules (Minimum retention: (a) County budget: Permanent (b) Other taxing district budgets: 2 years)

(3) County Charter: Constitution, bylaws, and all amendments to agency charters approved by voters or the State Legislature. Generally includes original charter, amendments, and related significant records. (Minimum retention: Permanent)

(4) County Code: Codified ordinances passed by the county. Provides reference to all laws for both information and enforcement. Information may include ordinance numbers, amending ordinance numbers, code numbers, and text. (Minimum retention: Permanent)

(5) Court Records (Circuit and District): Consists of Circuit or District court records in the official custody of the County Clerk which were not transferred to the Office of State Court Administrator. These records document court functions and responsibilities prior to the administrative change in 1981. May include, but are not limited to, Adoption Records, Change of Name Records, Civil and Domestic Case Files, Criminal Case Files, Delayed Birth Case Files, Mentally Ill or Deficient Case Files, Probate Records, Guardianship Records, Conservatorship Records, Court Reporter Notes, Journal or Order Records, Judgment Dockets, Naturalization and Immigration Records, and related indexes. (Minimum retention: Refer to the Oregon Judicial Department, Office of State Court Administrator, for retention and disposition information)

(6) Deed Instruments: Documents conveyance or encumbrance of an interest in real property. May include deeds; condominiums,

plats, and partition plats; leases; contracts; easements; covenants, conditions, restrictions; options, and affidavits. Depending on local filing practices, this series also may be included as part of a Book of Records. (Minimum retention: Permanent)

(7) Deeds to Agency Owned Land: Recorded evidence of agency ownership of public lands and right-of-ways. Exhibits may include maps and legal descriptions, title transfers, and significant related correspondence. Information typically includes a description of property, signatures of previous owner and agency representative, and date of transfer. (Minimum retention: 3 years after property is no longer owned by the county)

(8) Easements: Recorded grants by property owners to the agency for use of private property for public uses. Examples consist of street, utility, bikeway, sewer, storm drain, and landscaping easements. May include maps or other exhibits. Information includes property owner's name and signature, location of property, type of easement, terms, and date of signing. (Minimum retention: Permanent)

(9) Fee Records: Records documenting billing and collection of fees or assessments for instruments received for recording. Information includes date and time of reception, name of grantor, name of grantee, to whom delivered, and fees received. (Minimum retention: 3 years)

(10) Filed but Not Recorded Records: Records documenting records that are required to be filed, but not recorded with the county clerk. Records may include but are not limited to quarantine orders, lost property notices, affidavits of publication, meeting notices, and hearing notices. (Minimum retention: 2 years)

(11) General Index (Direct and Indirect): Documents statutory requirement to create a direct and indirect index at least once a year of recorded instruments. May include date and time of reception, names of grantor, names of grantee, nature of instrument, volume and page where recorded, remarks, and brief description of tract. Depending on local filing practices, this series also may be included as part of a Book of Records. (Minimum retention: Permanent)

(12) Lien Instruments: The County Clerk Lien Record documents orders or warrants assessing a civil penalty issued by state or federal agencies or others. Serves as a public notice of an encumbrance judgment docket for civil penalties and has the effect of a judgment entered in a circuit court docket. The order or warrant becomes a lien upon any interest in real property or against an individual whom the order is issued. Information may include name of person incurring the penalty, name of officer or agency issuing, amount of civil penalty including penalty interest and other charges, date received and recorded, and full or partial satisfactions. Also may include other liens such as construction liens, chattel liens, and hospital liens which may not be included in the County Clerk Lien Record. Depending on local filing practices, this series also may be included as part of a Book of Records. (Minimum retention: (a) County Clerk Lien Record: Permanent (b) Other Statutory Lien Records: 10 years)

(13) Marriage Records: Documents licenses issued and solemnization of marriages. Includes (Health Division, Vital Records Unit) Record of Marriage, Consent to the Marriage of a Minor, Affidavit that there is no Parent or Guardian in Oregon, Waiver of Waiting Period, and related records. Also may include the copy of the marriage license if the County Clerk performed the ceremony. (Minimum retention: Permanent)

(14) Miscellaneous Recordings (Not Authorized by Statute): Documents recordings of various instruments not authorized by statute. Historically, this series may be referred to as Miscellaneous Records, and may include recordings of documents which were authorized by statute but that recorded events which occurred outside the county. Examples of records currently filed in this series include: not notarized earnest money agreements, personal papers, legal instruments, and other miscellaneous writings. (Minimum retention: (a) Records created prior to 1965: Permanent (b) All other records: 10 years)

(15) Mortgage Instruments: Documents conveyance of lands to secure the payment of a debt. May include mortgages, trust

deeds, weatherization liens, senior citizen tax deferrals, Uniform Commercial Code (UCC) filings, and supporting records. (Minimum retention: Permanent)

(16) Municipal Corporation Claims: Documents description of property in which a municipal corporation claims assessment liens for local improvement. May include property description, record owner, and date of notice. (Minimum retention: 6 years after satisfaction)

(17) Oaths of Office: Signed oaths taken by various elected and appointed officials before discharging duties of office. Information typically includes date, name, office held, text, and signatures. (Minimum retention: 6 years after expiration)

(18) Property or Goods Finders Records: Documents requirement that a person who finds money or goods valued at \$250 or more must give notice in writing to the County Clerk. The finder becomes the owner of the property or goods if not claimed by a specified time period. Includes description of property or goods, date, and location found. (Minimum retention: 2 years)

(19) Public Notification of County Contracts: Documents statutory requirement for the County Clerk to list all contracts entered into by the county for the year covered by the report in counties not having a County Accountant. Includes name of contractor, work contracted for, amount of the work contracted for, whether bonds were required, and the amount and whether let privately or by public bidding. May also include certified statement documenting assets and liabilities of the county, claim and warrant report, sheriff collection reports, and treasurer's collection report. NOTE: ORS 294.230 repealed requirement for creation of this series in 1999. (Minimum retention: Destroy)

(20) Public Recordings (Authorized by Statute): Documents recordings of various instruments authorized by statute for the purpose of making a public record. Examples include bulk transfers, cooperative agreements, military discharge records, mining claims, occupation and professional licenses, power of attorney, and water rights records. This series may be referred to as the Book of Records. (Minimum retention: Permanent)

(21) Special District Records: Documents the formation, merger, operation, and dissolution of special districts within the county. May include ordinances, orders, formation records, annexations, maps, petitions, and assessments required to be filed in the Office of County Clerk. (Minimum retention: Permanent)

(22) Undeliverable Recorded Instruments: Documents recordings returned as undeliverable. The primary reason for nondelivery is incorrect disposition information provided by the person recording instrument. Examples include wrong address given, forwarding information incorrect, or not picked up at office as previously specified. (Minimum retention: 1 year)

(23) Declaration of Oregon Registered Domestic Partnership Records: Documents declaration of Oregon registered domestic partnerships. Includes (Public Health Division, Vital Records Unit) Record of Domestic Partnership and related records. (Minimum retention: Permanent)

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 4-2004, f. & cert. ef. 9-1-04; OSA 1-2014, f. & cert. ef. 2-25-14

#### 166-150-0045

##### County Court and Commissioners Records

(1) Annexation Records: Records documenting the annexation of areas into boundaries. Used to determine legal areas in which permitting, elections, taxation, and other services will be provided. May include description of property annexed, effective date of annexation, map of area annexed, and approval from Department of Revenue. May also include staff reports, petitions, service district withdrawal records, surveys, boundary commission recommendations and judgments, census reports, franchise notices, maps, and important related correspondence and memoranda. (Minimum retention: Permanent)

(2) Board of Commissioners or County Court Meeting Records: Official proceedings of regularly scheduled, special, executive session, and emergency meetings of the governing body. Includes date, time, and location of meeting, names of members

present and absent, subjects discussed, statements of intent, and records of actions taken. (Minimum retention: (a) Retain minutes, agendas, resolutions, indexes, and exhibits not retained permanently elsewhere in agency records: Permanent (b) Retain executive session minutes: 10 years (c) Retain audio or visual recordings: 1 year after minutes prepared and approved (d) Other records and exhibits not pertinent to minutes: 5 years)

(3) Ordinances: Legislative action of the Board of Commissioners or County Court to regulate, require, prohibit, govern, control, or supervise any activity, business, conduct, or condition authorized by Oregon Revised Statutes. Ordinances typically include a title, preamble, ordaining clause, subject clause, penalty for violation (when applicable), effective date, authorizing signature and seal. May also include indexes calendars, and documentation presented to support action. (Minimum retention: Permanent)

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 4-2004, f. & cert. ef. 9-1-04

#### 166-150-0050

##### County Fair Records

(1) Annual Fair Advertising and Promotion Records: Series is used to prepare and produce promotional materials, and to document promotions, advertising campaigns and public relations efforts for the annual County Fair. Series also documents categories of exhibit competitions, entry requirements, and prizes offered for 4-H and Open Class exhibits. Records may include fair programs, exhibitor's handbooks (premium books), schedules of events, passes, newsletters, news clippings, paste-ups, drawings, copies of ads, photographs, slides, videotapes, sound recordings, story scripts, posters, brochures, flyers, and correspondence. (Minimum retention: (a) Fair programs and exhibitor's handbooks (premium books): Permanent (b) All other records: 2 years)

(2) Commercial Vendor Records: Series documents vendor reservations for exhibit booth space at the County Fair. Records may include reservation forms, cash receipts, and exhibitor rosters. (Minimum retention: 4 years)

(3) Communications Equipment Licensing Records: Series documents Federal Communications Commission (FCC) authorization for the County Fair to operate a radio station and use radio frequencies. Records include radio station applications and licenses, frequency coordination requests, vendor brochures, radio warranties, and correspondence. (Minimum retention: 1 year after permit expires)

(4) Exhibit Entry, Judging and Award Records: Series documents all activities related to judging and awards for adult, 4-H and Future Farmers America (FFA), and open class County Fair exhibits. Records include press releases, entry forms, entrant rosters, judging sheets, award listings, brochures, booth duty schedules, questionnaires, photographs, news clippings, and correspondence. Records may also include receipts for fees received and awards paid. (Minimum retention: 4 years)

(5) Exit Polls and Post-Fair Survey Records: Series is used to research and develop marketing and planning strategies. Records may include polls and surveys, objective statements, methodology documents, sampling variability, summaries, exit poll analysis, tables and graphs. (Minimum retention: 5 years)

(6) Fairgrounds Development Records: Series documents the development of the County Fairgrounds and physical facilities. Records may include correspondence, drawings, blueprints, maps, permits, contracts, deeds, real estate appraisals, studies and reports, budget reports, long-range development plans, warranties, photographs, and correspondence. (Minimum retention: Permanent)

(7) First Aid Reports: Series documents first aid treatment of fairgoers, employees, exhibitors, vendors or others, and may be used to report to the county or other parties. Series does not cover workers' compensation claims and related records. The reports show report number, patient name, injury or illness, treatment description, date, time, and the name of the doctor, nurse or EMT. (Minimum retention: 2 years)

(8) Gambling Winnings Statements: Series is used to report to Internal Revenue Service (IRS) gambling winners and amounts

paid by the County Fair on horse racing bets. Records include statements (IRS W-2G) and transmittal forms (IRS 1096). (Minimum retention: 4 years)

(9) Miscellaneous Fairgrounds Event Files: Series documents various events at the fairgrounds which are not documented in other record series. Records may include calendars of events, minor repair and construction projects records, security and law enforcement plans, camping regulations, minor personal injury or property damage reports, and correspondence. (Minimum retention: 6 years after event)

(10) Non-Fair Event Records: Series documents planning and preparation for non-fair events at county fair facilities. Records include ticket distribution/sales, contracts and agreements, and other related records. (Minimum retention: 6 years after event occurs or is cancelled)

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 4-2004, f. & cert. ef. 9-1-04; OSA 3-2012, f. & cert. ef. 10-29-12

### **166-150-0055**

#### **County Health — Developmental Disabilities Records**

(1) Adult Foster Home Provider: Series documents the administration of a system of adult foster homes which provide care for developmentally disabled clients in residential settings. Adult foster homes are licensed annually and, therefore, subject to an annual inspection and evaluation process in order to maintain the license to provide foster care. Series may include records such as license applications; inspection reports; fire drill records; facility information; references; progress notes; correspondence; meeting notes; financial records; annual license evaluation; annual agreement or contract; and a copy of the annual license. (Minimum retention: 6 years after expiration of contract or agreement)

(2) Developmental Disabilities Intake Reports: Series documents the initial contact with a potential client in order to determine if the person is eligible for developmental disability programs. Series may include records such as an information sheet; application; signed release forms for other records such as school records, psychological reports, social security, and skill assessments; progress notes; letter of decision; and appeals of the decision. If the person is eligible for service, the intake report file becomes part of the Developmental Disabilities Service Records. (Minimum retention: (a) If eligible for DD programs: Transfer to Developmental Disabilities Service Records (b) All other cases: 10 years)

(3) Developmental Disabilities Service Records: Series documents services provided to persons with developmental disabilities. This county agency is the entry point for all developmentally disabled eligible persons and determines the needs and appropriate programs for the client. Services include intake and case management, crisis services, and family support services. Services such as residential, vocational, and transportation services, may be contracted out. Information contained in the records may include applications for service; referrals; progress notes; medical records; individual service plans (ISP); diagnostic and evaluation results; and financial and legal records. (Minimum retention: (a) Individual Service Plans: 10 years (b) All other records if death date is known: 7 years after date of death (c) All other records if case is closed, inactive, or death date is unknown: 70 years)

(4) Family Support Records: Series documents the screening of applications for financial aid to support the families of clients in developmental disability programs. Series includes the application and other records including progress notes, financial information, family assessment, and treatment and support plans. (Minimum retention: 5 years)

(5) Protective Service Reports: Series documents investigations of clients over the age of 18 and enrolled in developmental disability programs who are suspected of having received physical or sexual abuse. Records may include investigation reports, police reports, and interview notes. A copy of the report goes to the State Mental Health and Developmental Disabilities Services Division. (Minimum retention: (a) Interview notes for substantiated criminal findings: 10 years (b) Interview notes for unsubstantiated findings: 3 years (c) Reports: 20 years)

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 4-2004, f. & cert. ef. 9-1-04

### **166-150-0060**

#### **County Health — Mental Health Records**

(1) Mental Health Reports: Series documents internal reviews conducted by mental health services providers to document their activities. Series may include reports concerning quality assurance reviews and random reviews of cases to insure compliance with federal regulations or staffing reviews of serious incidents, such as the death of a client. (Minimum retention: 5 years after last service or until 21st birthday whichever is longer)

(2) Mental Health Service Records: Series documents the diagnosis and treatment services provided to children, adults, or families with emotional problems or mental illness. Services provided may include outpatient treatment and residential services; crisis services; and coordination of regional and local inpatient services including commitment and discharge. Series may include records such as a history of previous service; referrals; testing and evaluation reports; treatment plans; progress notes; correspondence; enrollment, fee, and billing records; legal records; permission to treat; medical assessment including laboratory and other tests; emergency room services, and medication and prescription records; and school reports. (Minimum retention: 6 years after last service or until 21st birthday, whichever is longer)

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 4-2004, f. & cert. ef. 9-1-04

### **166-150-0065**

#### **County Health — Public/Community Health Records**

(1) Alcohol and Drug Service Records: Series documents services provided to clients in alcohol and drug treatment programs. These services may include residential treatment and care, outpatient services, detoxification, DUII education and treatment, sex offender treatment, methadone treatment, and other services. Series may consist of clinical records or patient files including assessment records, treatment plans, progress notes, treatment reviews, termination reports, and medical records. (Minimum retention: 6 years after last service or until 21st birth-day, whichever is longer)

(2) Board of Health Reports: Series documents the activities of the county health departments such as public or community health, mental health, environmental health, family mediation, alcohol and drug, developmental disabilities, deputy medical examiner, and fiscal administration. Series includes semi-annual reports to the County Board of Health prepared by the various departments. The reports summarize department activities, and discuss concerns and problems of future importance. Series may also contain reports on special topics such as AIDS and other issues. Reports may be sent to the Board of County Commissioners. (Minimum retention: (a) Reports filed with County Commissioners: 10 years (b) Reports not filed with County Commissioners: Permanent)

(3) Car Seat Rental Service Records: Series documents the rental of car seats for infants and young children. Information contained in the records may include name, weight, and date of birth of child; name and address of recipient; signatures; witnesses; conditions for loan; car seat number; and related documentation. (Minimum retention: (a) If car seat returned: Until return of car seat (b) If car seat is not returned: 5 years)

(4) Communicable Disease Intake Report: Series is used to identify persons with communicable diseases such as sexually transmitted diseases, HIV, tuberculosis, food-borne diseases, and others. Information contained in the report may include name of disease, patient identification, name of physician, symptoms, laboratory results, and other related data. Information from this intake report may be transferred to the investigation report or the intake report may be attached to the investigation report. (Minimum retention: 1 year)

(5) Communicable Disease Investigation Reports: Series documents investigations into reports of communicable diseases. The investigation form is used by nurses to compile information about



persons with a communicable disease. Information contained in the investigation reports (there are forms for different diseases) may include patient identification; demographics; sources of report; basis of diagnosis including clinical data, laboratory data and report, and epi-linkage; infection timeline indicating exposure and communicable periods; and other related data. The Notice of a Disease or Condition form may contain disease, patient identification, date of onset of disease, names and addresses of physician and person reporting, and other related data. Copies of both forms are sent to the Oregon Health Division. (Minimum retention: (a) Investigation Form: 5 years (b) Notice of a Disease or Condition Form: 3 years)

(6) Communicable Disease Log: Series documents communicable diseases by providing a summary of information taken from the intake report. Information contained in the log may include type of disease, patient name, date of report, and other related data. Series is used for quick reference and to compile statistics. (Minimum retention: 5 years)

(7) Complaint Correspondence Records: document formal and informal complaints involving extended investigation and/or litigation concerning environmental health issues; staff or division policies; or other perceived health problems in the community. Records may include letters, memorandum, hearing transcripts, Board of County Commissioner minutes, and other records which document or add significant information to the complaint. (Minimum retention: 10 years after resolution)

(8) Health Insurance Portability and Accountability Act: (HIPAA) Disclosure Notices Records document notification to clients about the agency's practices regarding client medical records and information under HIPAA. Records include notification forms and related records. (Minimum retention: 6 years after last service)

(9) HIV Test Records: Series documents the results of anonymous or confidential HIV tests. Information contained in the records may include test results, demographic information, patient history, number of test results, and other related data. Anonymous testing programs do not give the name of the patient, and may include only a client number and demographic information such as race, age, and sex. Confidential programs include the name and address of the patient which is then kept confidential. (Minimum retention: 2 years)

(10) Immunization and Injection Records: Series documents immunizations received by a patient. Services may include immunizations for infants, children, and adults; TB skin tests; flu and pneumonia shots; and overseas immunizations for travelers. Information contained in the records may include name and date of birth of patient; name, address, and phone number of parent/ guardian; type of vaccine; dose number; date; and other related data. Records may include ITARS (Immunization Tracking and Recall System) documentation. (Minimum retention: (a) Immunization records: 10 years (b) ITARS records: 25 years from date of last service (c) Other records: 6 years after last service or until 21st birthday, whichever is longer)

(11) Immunization Authorization Records: Series documents authorizations and parental/guardian consent for children and other patients to receive immunizations. Information contained in the records may include name and address of person receiving immunization; name and signature of patient or parent/guardian; date vaccinated; manufacturer and lot number of vaccine; site of injection; signature of provider; and other related data. (Minimum retention: 10 years)

(12) Immunization Cards Series: used to enter information about immunizations given to clients in the county's immunization database. Information includes type of vaccine, PPD results, and a clients contraindications of precautions regarding a specific vaccine. Vaccines include Measles, Mumps, Rubella; Diphtheria/Pertussis/Tetanus; Polio; Immune Globulin; Hepatitis A; Hepatitis B; Haemophilus Influenza Type B; Influenza; Pneumococcal; and Varicella. (Minimum retention: Until entered into system and verified)

(13) Interpreter Service Records: Series documents the scheduling of interpreters for needed county departments, and the services provided for payment purposes. Records may include interpreter scheduling and request forms, on-call invoices, timesheets, and related records. (Minimum retention: 2 years)

(14) Laboratory Logs Series: documents laboratory tests performed for patients. Types of laboratory tests may include hematology, urinalysis, GC cultures, wet mounts, serologies, blood typing and Rh factor, and pregnancy tests. Information contained in the logs may include name of patient, date, name of test, results of test, date of results, name of person who performed the test, and other related data. (Minimum retention: 2 years)

(15) Maternal-Child Health: (Children and Family) Service Referral Reports Series documents referrals involving maternal-child health concerns from other providers, such as physicians or hospitals. Information contained in the reports may include the name and address of the family; name and age of child; reason for referral; history and concerns; and any actions or services provided by the referral agency. If services are provided to the patient, the referral report becomes part of the Public Health Service Records. (Minimum retention: (a) If services provided: Transfer to Public Health Service Records (b) All other cases: 2 years)

(16) Medicaid Financial Screening Records: Series documents the screening of clients who appear eligible for Medicaid for a final eligibility determination by Adult and Family Services (AFS). Records contained in the series include Medicaid Financial Screening Form, which indicates the client's income status, lists of clients, and AFS forms which indicate the client's personal data as it applies to eligibility, client's understanding of rights and responsibilities, effective date of eligibility pending client's provision of appropriate documentation, narrative notes completed by screeners, information on insurance already held by client, and information relating to injuries caused by automobile accidents. (Minimum retention: 2 years)

(17) Medical Examiner Case Files: Series documents investigations into deaths by the county medical examiner, coroner, or other designated official. Series contains records on any deceased person that requires medical examiner involvement. Records include the autopsy report and the medical examiners report. Records may also include other data that is considered significant as to the manner of death such as a police report, family interview, personal identification, and disposition of unclaimed funds. (Minimum retention: (a) Pre-1965 Coroner's Reports: Permanent (b) Post-1965 case files: 25 years (c) No case file developed: 5 years)

(18) Pharmacy Logs Series: documents the dispensing or issuing of drugs such as birth control pills or antibiotics. Information contained in the log may include identification number, client name, date, name of drug, dosage, number of pills, initials of person dispensing the drug, and other related data. (Minimum retention: 3 years)

(19) Public Health Service Index: (Master Patient Index) Cards Series provides an index to patients and the services provided to them. Information contained in the index may include patient name, address, and birthdate; services provided; program; first date of service; dates admitted and discharged; health record number; and other related data. Separate indexes may be kept for different programs. (Minimum retention: 25 years after date of last service)

(20) Public Health Service Records: Series documents the services given to a patient. Series contains records for patients in specialized programs such as the Women, Infants, and Children (WIC) nutrition program; clinical services (including tuberculosis, HIV, sexually transmitted diseases, hepatitis, and immunizations); dental services; sero-wellness; family planning and pregnancy testing; car-seat rental; maternal-child health nursing services concerning high risk pregnancies, high risk infants, or young children with major health problems or disabilities; and public health field nursing services which may include counseling, teaching, and referral services concerning maternal and child health care, pregnancy and postpartum health, child development, parenting skills, and Sudden Infant Death Syndrome (SIDS). Series may include

correspondence; reports; professional notations; laboratory reports; treatment and x-ray authorizations; release of information; clinical or medical records including client identification, progress notes, and records of visits; and other related data. (Minimum retention: (a) Outpatient physical therapy and speech-language pathology service records: 6 years after last service or until 21st birthday, whichever is longer (b) Dental patient records: 7 years after last service (c) All other outpatient service records: 6 years after last service (d) Counties participating in the Medicare Advantage Program, retain all records 10 years after contract expires (42CFR 422.504)

(21) Sero-Positive Wellness Program Charts: Series documents the services and treatment provided to people with HIV. Information contained in the charts may include a record of service and treatment, laboratory results, work plans, and other related data. The records are used for counseling and education purposes. The records may be transferred to the Oregon Health Division upon closure, or they may become part of the patient's clinical file in the Public Health Service Records. (Minimum retention: 6 years after last service)

(22) Sexually Transmitted Disease Epidemiological Reports: Series documents the investigation into sexually transmitted diseases. Information is compiled on two forms. The Confidential Sexually Transmitted Disease Case Report contains information such as patient identification; diagnosis, site, and treatment of disease; provider name and address; and other related data. The Field Report (a form provided by the U.S. Department of Health & Human Services) contains information such as patient identification; exposure, referral, examination, and treatment information; interview notes; and other identifying or medical information. Copies of both records may be forwarded to the Oregon Health Division. Individuals who are seen and treated at STD clinics will have a clinical file in the Public Health Service Records. (Minimum retention: (a) If patient is treated: transfer to Public Health Service Records (b) If patient is not treated: 5 years)

(23) Tuberculosis Client Records: (Tuberculosis Registry) Series documents patients with active and inactive cases of tuberculosis. Records may contain information such as patient identification; source of specimen; drug treatment information such as dosage and dates; dates the case was opened and closed; epidemiological reports; and other related data. (Minimum retention: (a) Active cases where death date is known: retain for life of individual (b) Active cases where death date is unknown: retain for 70 years after last service (c) Inactive cases with patients on preventive drug therapy: 6 years after last service)

(24) Tuberculosis Negative Cases Epidemiological Reports: Series documents service to patients with negative tuberculosis tests, that is, patients with positive skin tests who do not have the disease and have not received treatment. Information contained in the reports may include patient name, date, x-ray report, skin test results, and other related data. (Minimum retention: 2 years; destroy reports when recorded in Tuberculosis Client Records (Registry))

(25) Tuberculosis X-Ray Authorization Records: Series documents authorizations and parental consent for children and other patients to receive tuberculosis x-rays. Information contained in the records may include patient identification, demographics, PPD test results, name of radiology lab, and related documentation. (Minimum retention: 6 years after last service)

(26) Tuberculosis X-Ray Records: Series documents x-rays used to screen and diagnose cases of tuberculosis. Records may include registration cards and x-ray film. Information contained in the records may include patient identification, demographics, medical history, x-ray results, assessment of condition, treatment plan, drugs ordered, and related documentation. (Minimum retention: (a) Active cases where death date is known: Retain for life of individual (b) Active cases where death date is unknown: Retain for 70 years after last service (c) Inactive cases with patients on preventive drug therapy: 6 years after last service)

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 4-2004, f. & cert. ef. 9-1-04; OSA 5-2006, f. & cert. ef. 12-15-06

## 166-150-0070

### County Health — Sanitation and Waste Management Records

(1) Food Handlers Registration Records: Series documents the registration of food handlers such as cooks, chefs, waiters, and cafeteria workers. Information contained in the records may include name, address, phone number, and signature of food handler; place of employment; current communicable diseases; result of examination; and other related data. (Minimum retention: 1 year after expiration or non-renewal of registration)

(2) Franchised Service Provider Case Files: Series documents the issuance of certificates for franchised garbage haulers providing services for medical or bio-hazard material, hazardous material, or municipal waste; special services; or recyclers. Case files may include correspondence, applications, bonds, maps of service area, and other related data. (Minimum retention: 3 years after expiration of franchise)

(3) Franchised Service Provider Financial Review Records: Series documents the annual or periodic review of financial records. Information contained in the records may include number and type of customers, tonnage of recycled material collected, labor costs, money collected, and other related data. The report and recommendations for proposed new or changed rates are forwarded to the Solid Waste Advisory Committee and the County Board of Commissioners. (Minimum retention: 8 years)

(4) Franchised Service Provider Performance Review Records: Series documents the periodic performance review of holders of franchised service provider certificates. Records may include complaints received by phone or mail, inspections, report, recommendations, and other related data. A copy of the report is forwarded to the Solid Waste Advisory Committee. (Minimum retention: 3 years after expiration of franchise)

(5) Land Fill Case Files: Series documents the regulation and certification of landfills. Case files may include correspondence; certificates; site plans; site assessments; operations plans; regulations or material to accept; special recommendations; violations; franchise fee records; and other related data. Records also may include a periodic review of land fills; a report which is forwarded to the Solid Waste Advisory Committee; Oregon Department of Environmental Quality site plans, operational plans, and permits; correspondence with DEQ concerning compliance conditions; and land fill records monitoring ground water, surface water, land fill gas, and storm water according to federal regulations. (Minimum retention: (a) Periodic review and report to SWAC: 5 years (b) Case files for sites not chosen: 15 years (c) Case files for all other sites: 30 years after closure)

(6) Nuisance Violation Records: Series documents nuisance violations and complaints. Types of complaints or nuisances include complaints of solid waste nuisances; accumulations on private property of household garbage, junk, or abandoned vehicles; bad odors; solid or hazardous waste or garbage problems; pesticide misuse allegations; electromagnetic fields; standing or stagnant water; rodent and insect problems; housing concerns such as substandard housing, unclean living conditions, home drug lab contamination, asbestos, lead issues (paint, food, water), radon worries, formaldehyde, carbon monoxide, illnesses thought to be caused by indoor air, sewage or drinking water issues; and other environmental concerns. Series may include complaints; investigation reports; inspections and assessments; warrants; citations, warnings, or other enforcement actions; correspondence; and other documentation. (Minimum retention: 5 years)

(7) Private Well Water Sample Records: Series documents the analysis of water samples collected from private wells. Information contained in the report on the water supply system may include dates; fees; assessor's map information; address; owner's and purchaser's names; information supplied by the seller such as plot plan, well log, and problems; results of the investigation; and other related data. A copy of the laboratory report may be attached to the report. (Minimum retention: 1 year)

(8) Public Facilities Sanitation Records: Series documents the inspection and licensing of public facilities such as swimming pools, restaurants, school and daycare food services, tourist and

travelers facilities; vending facilities including mobile units, commissaries, vending machines, and warehouses; and profit and non-profit temporary restaurants. Series may include applications; inspection reports listing type of inspection, any deficiencies, inspection score, date and time of inspection, and signatures; copies of the licenses issued; and other related data. Series may include a plan review. A copy of each license is forwarded to the Oregon Health Division. (Minimum retention: (a) Temporary restaurants: 1 year after date of event (b) Closed facilities: 2 years after closure (c) Other facilities: 7 years)

(9) Regulation Violation and Challenge Records: Series documents the violations and challenges to regulations concerning franchises, haulers and collectors, and flow control. Series may include reports, complaints, inspections and assessments of the site and of records, the citation, and other related data. (Minimum retention: 5 years)

(10) Septic System Sanitation Records: Series documents subsurface, individual sewage disposal (septic) systems. Series may include application; building site inspection report; site map; site evaluation; construction permit and application; plot plan; correspondence; approval or denial of permit; copy of permit; and other related data. Series may also include repair and alteration permits and records. (Minimum retention: 20 years after abandonment notification)

(11) Special and Hazardous Waste Records: Series documents the activities of programs to handle special and hazardous waste materials such as petroleum contaminated soil, industrial wastes, manufacturing by-products and wastes, chemical spills and spill cleanup material, and medical wastes. Records may include case files for special wastes that have been accepted for disposal; and rules, ordinances, regulations, criteria, and standards adopted by the agency for the control and acceptance of special and hazardous wastes. (Minimum retention: 30 years)

(12) Waste Management Annual Plans and Reports: Series documents annual plans, which contain implementation goals and objectives designed to meet state and regional mandates concerning landfills; disposal and transfer stations; hauling and collection of wastes; recycling including waste reduction, refuse, composting, and resource recovery; and regulations. Series also documents annual reports to state and local entities and biannual reports to the Environmental Protection Agency. Reports document the program or primary functional activities and accomplishments of the office for the previous year. They are often compiled from monthly, quarterly, or other subsidiary activity reports. Information contained in the plans and reports may include statistics, narratives, graphs, diagrams, and other related data. (Minimum retention: (a) Annual Reports: 50 years (b) Annual Plans: 20 years)

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 4-2004, f. & cert. ef. 9-1-04

## 166-150-0075

### County Health — Vital Statistics

(1) Birth Abstracts Series: documents selected information abstracted from the birth certificate. The abstract may include name of the child and parent(s), sex of child, place and date of birth, residence address of parent(s), and alphabetical index. (Minimum retention: 2 years)

(2) Birth Records Series: is used to record births occurring within the county. Series contains certificates, indexes, and other records listing births. Information contained in the records may include name of child, mother, and father, state of residence of parents, and name of physician or attendant. (Minimum retention: (a) Through 1915: Permanent (b) After 1915: retain the original record 1 week, then send to the Oregon Health Division (c) After 1915: retain copies 6 months)

(3) Death Abstracts Series: documents selected information abstracted from the death certificate. The abstract may include name of the decedent, place and date of death, name of the decedent's spouse, if any, and alphabetical index. (Minimum retention: 2 years)

(4) Death Records Series: is used to record deaths occurring within the county. Series contains certificates, indexes, and other records listing deaths, including fetal deaths or stillbirths. Information contained in the records may include name, address, place of death, spouse, cause of death, attendant, date of death, date of birth, sex, race, and cemetery. (Minimum retention: (a) Through 1915: Permanent (b) After 1915: retain original record 1 week, then send to the Oregon Health Division (c) After 1915: retain copies 6 months)

(5) Paternity Affidavits Series: establishes paternity by identifying the natural father of a child born out-of-wedlock. The affidavit includes the name, birthdate, and birthplace of child; name and birthdate of mother; name, birthdate, and state of birth of father; new name of child to appear on the birth certificate; signatures of mother and father; and certification with seal of notary. (Minimum retention: Transfer to Oregon Health Division)

(6) Report and Abstract of Birth and Death Cards: Documents abstracted information from official death and birth certificates. Used for reference to requests for information about recent births and deaths. All information duplicated on official certificates held by the Health Division, Vital Statistics section. (Minimum retention: 2 years)

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 4-2004, f. & cert. ef. 9-1-04

## 166-150-0080

### County Juvenile Department Records

(1) Delinquent Case Files, Adjudicated (Formal): Series documents cases of minors who fall under the jurisdiction of the Juvenile Department because they have committed an act, which would be a criminal offense if done by an adult, and whose cases are adjudicated by the Juvenile Court. Records may include but are not limited to police reports, correspondence, formal accountability agreements, intake assessments, referrals from other agencies, school records, psychological evaluations, fingerprints, disposition records, counselor's record of client contact, social histories, card files, court reports, court orders, petitions and pleadings, risk assessments, referrals to residential placement centers, and related documentation. SEE ALSO Juvenile Temporary Custody Records in the Law Enforcement section. (Minimum retention: (a) Until court ordered expunction (ORS 419A.262) (b) If the crime is defined by ORS 419A.260(J): Retain until court ordered expunction (c) If case not expunged: Until the individual is 25 years of age and the case closed for 3 years)

(2) Delinquent Case Files, Informal: Series documents cases of children who fall under the jurisdiction of the Juvenile Department, but whose cases have not been adjudicated by the Juvenile Court. Minors are referred to the department by the police if they have committed an act that would constitute a criminal offense if committed by an adult. Informal delinquent cases are those cases in which no official court action was taken and may include cases that were not legally sufficient to adjudicate and therefore no action was taken by the District Attorney. Records include but are not limited to police reports, correspondence, formal accountability agreements, intake assessments, referrals from other agencies, school records, psychological evaluations, fingerprints, victim restitution records. Supervision fee records are transferred to the offender's case file after the case has been terminated. SEE ALSO Juvenile Temporary Custody Records in the Law Enforcement section. (Minimum retention: (a) Until court ordered expunction (ORS 419A.262) (b) If case is not expunged: Until the individual is 18 years of age and the case has been closed for 3 years)

(3) Dependency Case Files: Series documents cases involving children who have been placed in the custody and/or supervision of the State Office for Services to Children and Families by the Juvenile Court because of their welfare was endangered. Although the county Juvenile Department may not provide services, they maintain a file on the child for informational purposes, in case the child later becomes involved in criminal activities, or because the court directs the Juvenile Department to perform investigations such as home studies or custody studies. The Juvenile Department



may act as liaison between the court and the State Office for Services to Children and Families for assisting in the legal intervention for the child. Records may include but are not limited to petitions, citizen review board reports, court reviews, legal correspondence from attorneys, working notes, related documentation, and correspondence. (Minimum retention: (a) Until court ordered expunction (ORS 419A.262) (b) If case is not expunged: Until case closed for 10 years or individual is 23 years of age)

(4) Detention Use Reports: Series documents the use of detention facilities by the Juvenile Department. The log which tracks use of detention facilities is compiled monthly and may include but is not limited to the name of the youth, reason for detention, dates of detention and release, and the name of the probation officer assigned to the youth. Statistics are used for budgeting purposes and for reporting to the community and to the county commissioners. (Minimum retention: Until the individual is 18 years of age)

(5) Informal Restitution Records: Series documents the payment of restitution to victims in informal cases involving children who fall under the jurisdiction of the Juvenile Department, but whose cases have not been adjudicated by the Juvenile Court. Records may include but are not limited to the name and address of the youth, name and address of the victim, amount owed, payment schedule, and related documentation. When the case is terminated, victim restitution records are placed in the offender's case file. (Minimum retention: 3 years after payment or deemed uncollectible)

(6) Supervision Fees: Series documents payment of supervision fees paid by the youth to the Juvenile Department upon order of the court. Records include payment information and are transferred to the youth's case file when the case is terminated. (Minimum retention: 3 years after payment or deemed uncollectible)

(7) Special Programs (Diversion Programs): Series describes programs that are implemented by county juvenile departments that act as diversions to first and second time misdemeanor offenders. The programs are individual to each respective county department and may not exist in every county juvenile department. Programs may include but are not limited to assault diversion, trespass diversion, anger management and conflict resolution, work crew programs, victim offender mediation, and intake programs for low-risk offenders. (Minimum retention: Until the individual is 18 years old)

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 4-2004, f. & cert. ef. 9-1-04

## 166-150-0085

### County Museums and Historical Societies Records

(1) Annual Reports: Series provides a record of the primary functional activities and accomplishments of the museum and historical society for the previous year. Reports may include narratives, statistics; graphs; diagrams; member lists; descriptions of programs; events and exhibits; and annual financial statements. (Minimum retention: Permanent)

(2) Board Member Personnel Records: Series documents the appointment or election and subsequent personnel actions for board members. Records may include appointment letters, resumes, applications, personnel action forms, job descriptions, and employee data sheets. (Minimum retention: 10 years after final term expires)

(3) Board of Director's Records: Series documents the activities and decisions of the board responsible for governing museum and historical society operations or for advising its operations. Records may include minutes, agendas, tape recordings, and Board Committee records. Records may also include constitution and by-laws, intergovernmental agreements, organization charts, draft and approved budgets. (Minimum retention: (a) Retain minutes, agendas, resolutions, indexes, and exhibits (not retained permanently elsewhere in agency records): Permanently (b) Retain audio or visual recordings: 1 year after minutes prepared and approved (c) Retain exhibits not pertinent to minutes: 5 years)

(4) Committee Records: Series documents the activities, decisions, and reports of staff committees that oversee or advise programs or functions of the museum and historical society. Com-

mittees may include but are not limited to acquisitions, finance, membership, exhibits, education, and facility. Records may include committee agendas, minutes, proposed budgets, reports and correspondence. (Minimum retention: 10 years)

(5) Copyright and Reproduction Records: Series provides a record of the activities, policies and procedures related to copyright ownership and reproduction of museum owned objects and publications, and of the museum's use of items owned by other organizations. Series also documents agreements with other parties for private or commercial use, reproduction, publication and sale of written materials and photographs of museum owned objects and publications. Records may include reproduction, resale and publication policies and procedures, contracts and agreements, use restriction forms, photograph release forms, photographic service request forms, requests for permission to reproduce or publish photographs or documents, fee schedules, correspondence, and work orders for purchase of printed materials. (Minimum retention: (a) Fee schedules and work orders: 3 years (b) All other records: 5 years after superseded or expired)

(6) Development Program Records: Series provides a record of administration of the museum and historical society development program. The development program raises funds and other resources for support of the organization and its programs through cultivation of individual, corporate, government and foundation support and special events. The program also develops, submits and reports on grants. Records may include publicity and promotion records, reports, budgets, grant records, fund raising event and project records, records of gifts in kind and financial donations, mailing lists, bulk mailing records, and correspondence. (Minimum retention: (a) Endowment records: 10 years after funds disbursed and account audited (b) All other records: 5 years)

(7) Director's Records: Series provides a record of the administrative activities of the museum director such as executive leadership of the organization, financial and personnel management, policy development, budget development and approval, public contact and lobbying. Records may include correspondence, memos, policies, statistical and narrative reports, draft budget data, and financial reports. (Minimum retention: 5 years)

(8) Exhibit Records: Series documents the planning, development, installation and maintenance of temporary and permanent on-site and off-site exhibitions, research of materials and objects, and publication of exhibits. Records may include exhibit contracts, design and installation records, permanent and temporary exhibit inventory listings, exhibit catalogs, art catalogs, photographs and slides, exhibit scheduling records, brochures, research records, price lists, and correspondence. SEE ALSO Equipment Maintenance Records in the Equipment and Property Records section. (Minimum retention: (a) Brochures, exhibit catalogs, installation photographs and slides, and inventory lists: Permanent (b) All other records: 10 years after exhibit ends or is removed)

(9) Loans and Collections Insurance Records: Series documents insurance coverage as part of risk management for museum collections and loan objects. Records may include insurance policies, riders, certificates of insurance, correspondence, damage and loss claims, and reports. (Minimum retention: (a) Damage loss and claim records: 5 years after claim paid and resolved (b) All other records: 5 years after superseded or expired)

(10) Member Records: Series documents administration of the museum and historical society's membership program and the status of its membership. Records may include publicity and promotion records, individual member records, membership rosters, reports, membership drive records, mailing lists, address changes, bulk mailing records, and correspondence. (Minimum retention: (a) Individual member records: 5 years after membership ends (b) Address changes: until entered and verified (c) All other records: 5 years)

(11) Permanent Collection Records: Series documents the accession, use, care, maintenance, storage and disposition of objects in the permanent collection. Series also provide a record of deaccession of objects no longer in the collection. Records may include acquisition and deaccession policies and procedures,

appraisal and authenticity records, accession and catalog worksheets, hardcopy and/or electronic catalog records, accession records, deaccession records, deeds of gift, donor records, temporary custody receipts, inventory and location records, condition/conservation records, photographs of objects, conservation records, collections use records, and library shelf lists and finding aids. (Minimum retention: (a) Catalog worksheets: until entered in catalog records and verified (b) Inventory and location records: until superseded or obsolete (c) Temporary custody receipts: until accessioned, or disposition of object (d) All other records: Permanent)

(12) Research Inquiry and Response Records: Series provides a record of research requests received and responses made to them by museum staff. Records may include written or electronic inquiries and responses. Information may include name of researcher, subject of inquiry or request, and reply. (Minimum retention: 1 year)

(13) Temporary Loan Records: Series documents the processing and documentation of incoming objects loaned from outside sources and objects being loaned out from the permanent collection. Records may include policies and procedures, loan requests and agreements, facilities reports, insurance records, descriptions of objects received or loaned out, inspection and conditions reports, acknowledgments and receipts, lender lists, photographs and videotapes of objects, inventory listings, deeds of gift, packing and shipping records, damage reports, and insurance reports. Records may also include U.S. and foreign customs forms. (Minimum retention: (a) Policies, procedures and facility reports: 2 years after superseded or obsolete (b) All other records: 5 years after object returned or insurance claim paid)

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 4-2004, f. & cert. ef. 9-1-04; OSA 3-2012, f. & cert. ef. 10-29-12

### 166-150-0090

#### County Veterans Service Offices Records

(1) Contact and Inquiry Index Records: Series used to assign, track and retrieve information about claimants seeking veterans' benefits through county Veterans Services Officers. Some contacts do not result in formal action. Records consist of index cards or information sheets, or an electronic index. Information may include veteran's name, birth date, social security number, service number, claim numbers, date file started, dates actions performed, power of attorney designee, beneficiaries names, file status (active/inactive), death date, date file closed and related information. (Minimum retention: 10 years after final case activity)

(2) Death Certificates: Series provides a record of the death of a veteran and is used to help determine eligibility of heirs and dependents for veterans benefits and to provide copies to heirs and dependents and for reference. Records include copies of death certificates which show deceased name, certificate number, date of birth, date and location of death, cause of death, and certifying signatures. Records may be kept separately or in Veterans Case Files. (Original State of Oregon Death Certificates are at the Oregon Health Division.) (Minimum retention: 20 years)

(3) Military Discharge Records: Series used to verify and document a veteran's discharge from military service and to determine eligibility to apply for veterans' benefits. Records consist of DD 214 forms and a manual or electronic index. Information includes name, service dates, branch, military history, service number, birth date, Social Security Number, discharge terms, and related information. Records may be kept separately or in Veterans Case Files. (Minimum retention: 75 years after discharge)

(4) Statistical Reports: Series documents activity levels for various services provided to veterans. Records are used to report to state and federal veterans' departments, county commissioners and others, to prepare budgets, and for research. Records consist of statistical reports. Information may include various categories of services and numbers of activities performed, such as phone, mail and in person inquiries, office visits, home and nursing home visits, interviews, files opened/closed, claims filed, counseling provided and referrals. (Minimum retention: 10 years)

(5) Veterans' Case Files: Series used to document activities and services performed for veterans and their dependents, heirs and beneficiaries. Series also provides a record of documentation received regarding the eligibility of veterans for state and federal benefits. Records may include but are not limited to interview worksheets; biographical and service information about the veteran and family; interview and contact records (file face sheets); military, Veterans Administration, and civilian medical records; copies of applications and claim forms; military service records including form DD 214s; income verification; residence verification; release authorizations; medal award forms; state and federal benefits award and denial notices; VA claims deadlines sheets; inquiry status sheet; transmittal sheets; copies of service records; copies of marriage and death certificates; loan records; and correspondence. (Minimum retention: (a) DD214s: 75 years after discharge (b) Death Certificates: 20 years (c) Service and medical records: 20 years (d) All other records: 10 years after last activity)

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 4-2004, f. & cert. ef. 9-1-04

### 166-150-0095

#### District Attorney Records

It should be noted that the District Attorney in each Oregon County is an official employee of the State. Due to the status of the District Attorney position, the State Archives would recommend utilizing the State Agency General Records Retention Schedule for all financial records produced in county District Attorney offices.

(1) 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 of Attorney General Opinions. (Minimum retention: 5 years)

(2) Case or Docketed Files: Records document criminal cases tried and filed by the District Attorney for the county. Records may contain but are not limited to police reports, copies of court documents, computerized criminal histories, District Attorney notes, court exhibits, and related correspondence. Information may include defendant's name, date of birth, address and social security number; victim's name, date of birth, address and social security number; and description of the crime and crime scene. (Minimum retention: (a) Retain cases of murder, treason, or Class A felony, with a judgment of guilty: 60 years or 3 years after sentence expires, whichever is longer (b) Retain all other felonies, with a judgment of guilty: 3 years after sentence expires (c) Retain felony cases, dismissed or with judgment of not guilty: 3 years (d) Retain misdemeanor cases: 3 years after termination (e) Retain violation cases: 1 year after termination (f) Retain support enforcement cases: 3 years after all support paid)

(3) Civil Forfeiture and Asset Seizure Files: Records document cases involving seizure of assets for civil forfeiture. Records contain police reports, District Attorney notes, legal pleadings and notices, descriptions and pictures of property and/or cash, and Asset Forfeiture Oversight Advisory Committee forms and reports. Records may contain information regarding the incident leading to seizure, owner's and interested parties' personal information, and statistical and budget information. (Minimum retention: 5 years)

(4) Denied Prosecution Files: Series documents correspondence between District Attorney's office and an outside investigative agency (police department) concerning the inability to prosecute cases based on a lack of evidence. These documents are generated in response to police investigations and consist mainly of correspondence and case descriptions. (Minimum retention: 1 year)

(5) District Attorney Opinions: Series documents official recommendations, advice or opinions of the District Attorney issued to local officials. Records may include requests for opinions, opinions, letters of advice, and grand jury notes. Topics may include establishment, modification or discontinuance of policies or services, and studies, plans, research, or discussions of facilities,

services, or issues in the criminal justice system. (Minimum retention: Permanent)

(6) Grand Jury Records: Series describes the documents produced by the Grand Jury in relation to individual cases. The records document the progress and deliberations within the grand jury. Grand Jury Proceedings may include notes, votes, subpoenas, and dockets. These records are not released into the general criminal files and are retained separately from the respective criminal files. (Minimum retention: (a) Retain notes, votes, and dockets: 10 years (b) Retain subpoenas and member lists: 1 year)

(7) Grand Jury Reports: Series documents reports filed by the grand jury at the completion of the mandated tours of public institutions and courts. ORS 132.440 requires that the grand jury inquire into the condition and management of every correctional and juvenile facility in the county as defined in ORS 162.135 at least once a year. Information may include tour date, facility name, and any findings of the grand jury. (Minimum retention: (a) Retain reports not filed with the courts: 20 years (b) Retain reports filed with the court: 2 years)

(8) Indictment Returned Lists: Series documents lists of grand jury indictments returned, schedules of people awaiting grand jury hearings, or cases pending hearings or trial. Information may include names of people awaiting hearings, and names of cases pending or of returned indictments. (Minimum retention: 2 years)

(9) Investigation Files: Records document criminal cases investigated, but not tried, by the District Attorney. Records may contain but are not limited to police reports, computerized criminal histories, District Attorney notes, grand jury notes, and related correspondence. Information may include suspect's name, date of birth, address and social security number; victim's name, date of birth, address and social security number; and description of the crime and crime scene. (Minimum retention: (a) Retain cases of murder or treason: Permanent (b) Retain class A felony cases: 25 years (c) Retain class B felony cases: 10 years (d) Retain class C felony cases and support enforcement cases: 5 years (e) Retain accident and death investigations: 3 years (f) Retain misdemeanor cases: 2 years (g) Retain violations cases: 1 year)

(10) Mental Commitment Hearing Files: Records document cases involving incidents or possibly crimes involving mentally ill persons. Records may include police reports, mental health evaluations and referrals, legal pleadings, commitment orders, District Attorney notes, subpoenas, and correspondence. Information may include person's personal information, a victim's personal information (if applicable), and/or witness information. (Minimum retention: 5 years)

(11) Multi-Disciplinary Team Records: Records document the activities and management of the county Multi-Disciplinary Team (MDT). Respective MDTs may have members from city, county, or state agencies. Records may include grant and account records, meeting minutes, annual reports and budgets, member lists, interagency agreements, and correspondence. (Minimum retention: 5 years)

(12) Official Business Register: Series documents the scheduling and status of actions, suits, or legal proceedings involving the District Attorney. Information may include names of individuals or cases, dates or court events, grand jury dockets, and cases scheduled. (Minimum retention: 25 years)

(13) Public Records Disclosure Request Records: Series documents public appeals to the District Attorney when initial requests for access to public documents was initially denied. Records may include but are not limited to requests for disclosure, types of records requested, request logs, notation of transfer to another district, approvals, denials, copies of petitions to the District Attorney for review of disclosure denials, District Attorney Orders to grant or deny disclosure, correspondence, and related documentation. (Minimum retention: (a) Approved requests: 2 years (b) Denied requests: 2 years after last action)

(14) State Breathalyzer Permits: Series documents the maintenance of copies of the state breathalyzer permits issued to local law enforcement personnel by the state to perform breathalyzer tests. Information includes name of individual permit issued to, date of

issuance, and expiration date. (Minimum retention: Retain most current copy)

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 4-2004, f. & cert. ef. 9-1-04; OSA 1-2014, f. & cert. ef. 2-25-14

## 166-150-0100

### Emergency Management Records

(1) Alert and Notification Records: Records documenting any written emergency warnings/notifications issued by the county, the Oregon Emergency Management Division, National Oceanic and Atmospheric Agency (NOAA), or the Federal Emergency Management Agency (FEMA). Subjects may include landslides, earthquakes, windstorms, floods, fires, and other hazards. (Minimum retention: 30 days)

(2) Civil Preparedness Guidance (CPG) and State and Local Guide (SLG) Records: Records issued by the Federal Emergency Management Agency (FEMA) to provide guidance to state and local agencies on appropriate elements of emergency management programs. These guidelines (known as CPGs or SLGs) provide mandatory policies and procedures for federally funded emergency management programs. (Minimum retention: Until superseded or obsolete)

(3) Disaster Preparedness Planning and Recovery Records: Records documenting plans and procedures for the continuity of government in case of a major disaster which has destroyed or compromised the operations of the agency. Components of the recovery plan include but are not limited to physical plant repair and restoration; equipment restoration; electronic data restoration including steps to reload data, recover data, and reconnect networks; reestablish telephone connections; essential records protection; and related procedures and needs dealing with risk management, public relations, and financial issues. (Minimum retention: Until superseded or obsolete)

(4) Emergency Exercise Records: Records documenting emergency training exercises performed on a regular basis, as required by the State and Local Assistance and Emergency Management Assistance Programs. Documentation usually includes statements of purpose, scenario narratives, major and detailed sequences of events, messages and inputs (simulation material), evaluation points, critique and follow-up actions reports, lists of players, and names of controllers and evaluators. (Minimum retention: 4 years after annual or final expenditure report submitted)

(5) Emergency and Disaster Incident Records: Records documenting actions taken with respect to emergency planning and response activities during and after emergency incidents. Used for planning, analysis, and reference. Types of incidents may include floods, storms, hazardous material releases, fires, public utility failures, earthquakes, and others. Records often include photographs, damage reports, response reports, incident action plans, resource ordering and tracking records, financial documentation, logs, messages, notes, and related documents. (Minimum retention: (a) Designated or declared emergencies: Permanent (b) Non-designated emergencies: 5 years)

(6) Emergency Management Assistance Activity Reports: Reports documenting the agency's emergency management work plan. These are created on a quarterly basis as required by the Federal Emergency Management Agency (FEMA). The reports provide a narrative of emergency management program elements that were accomplished annually, along with supporting documentation (samples of completed work). Subjects include personnel, equipment, current projects, progress reports, training, and others. (Minimum retention: 3 years after annual or final expenditure report submitted)

(7) Emergency Management Assistance Staff Pattern Records: Records documenting the agency's personnel involved in the emergency management program. It is submitted annually to the Oregon Emergency Management Division and is the basis for determining eligibility for funded staffing support for Emergency Management Assistance jurisdictions. Records include appropriate Federal Emergency Management Agency (FEMA) forms and



related documents. (Minimum retention: 3 years after annual or final expenditure report submitted)

(8) Emergency Operations and Management Plans Records: documenting the development, implementation, and updating of emergency operations and management plans. The plans are required by the federal government as part of a Comprehensive Cooperative Agreement (CCA) and must be reevaluated and updated at least every four years. Records often include adopted plans, notes, outlines, drafts, correspondence, and related documents. SEE ALSO Disaster Preparedness Planning and Recovery Records in this section. (Minimum retention: (a) Adopted plans: Until superseded or obsolete (b) Other records: 3 after annual or final expenditure report submitted)

(9) Hazard Analysis Records: Records documenting potential natural and manmade hazards in an area. The Federal Emergency Management Agency (FEMA) requires documentation for federally funded Emergency Management Assistance jurisdictions. Types of hazards include earthquakes, droughts, fires, floods, nuclear incidents, and others. Records include government forms and related documents. Information includes geographic descriptions of locations, definitions of hazards, vulnerability identifications, hazard histories, potential maximum threats, probabilities, and related data. (Minimum retention: 30 years)

(10) Hazard Shelter Records: Records documenting the condition of buildings designated to be used as hazard shelters in case of emergency. Used for emergency planning and reference. Records may include documents issued by federal and state emergency management agencies, as well as related materials such as sketches and photographs. Information usually includes address, building name, structural dimensions, building composition, potential occupancy, inspection results, and related data. (Minimum retention: Until superseded or obsolete)

(11) Public Education Program and Publications Records: Records related to the design and implementation of emergency management educational and outreach programs and presentations provided to the public by the agency. Often includes class descriptions, instructional materials, course outlines, class enrollment and attendance records, reports, speeches, audio-visual records, brochures, pamphlets, booklets, newsletters, and related documents. (Minimum retention: (a) Reports, booklets, newsletters, and speeches: Permanent (b) Brochures, pamphlets, and leaflets: Until superseded or obsolete (c) Retain program development records: 5 years (d) Retain class enrollment and attendance records 2 years (e) Retain other records: 1 year)

(12) Resource Lists, Emergency Management: Lists documenting emergency resources such as manpower, equipment, supplies, and services. Includes names, daytime and nighttime phone numbers, and addresses of suppliers and vendors as well as contact names. (Minimum retention: Until superseded or obsolete)

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 4-2004, f. & cert. ef. 9-1-04

## 166-150-0105

### Equipment and Property Records

(1) Building Records: Series documents building configuration and may also document real property equipment installed, hazardous chemicals used, radiation hazards housed in the building, and emergency response procedures. Records may include asbuilts, remodeling, major repair, and engineering blueprints, chemical identification data, and safety materials such as copies of Material Safety Data Sheets (MSDS). (Minimum retention: Life of structure)

(2) Damaged/Stolen Property Records: Used to prepare reports relating to damaged or stolen property. Records may include yearly risk report, restoration fund inventory report, policy manual, property transfer report, self-insurance manual, real property report, money and negotiable securities report and a general risk survey. (Minimum retention: 4 years)

(3) Deed Instruments: Documents conveyance or encumbrance of an interest in real property. May include deeds; condominiums, plats, and partition plants; leases; contracts; easements; covenants,

conditions, restrictions; options, and affidavits. Depending on local filing practices, this series also may be included as part of the County Clerk's Public Recordings. (Minimum retention: (a) Retain Instruments recorded as part of County Clerk's Public Recordings: until property no longer owned by the agency (b) Retain Instruments not recorded with the County Clerk: Permanently)

(4) Deeds to Agency-Owned Land: Recorded evidence of agency ownership of public lands and right-of-ways. Exhibits may include maps and legal descriptions, title transfers, and significant related correspondence. Information typically includes a description of property, signatures of previous owner and agency representative, and date of transfer. Depending on local filing practices, this series also may be included as part of the County Clerk's Public Recordings. (Minimum retention: 3 years after property is no longer owned by the agency)

(5) Easements: Recorded grants by property owners to the agency for use of private property for public uses. Examples consist of street, utility, bikeway, sewer, storm drain, and landscaping easements. May include maps or other exhibits. Information includes property owner's name and signature, location of property, type of easement, terms, and date of signing. Depending on local filing practices, this series also may be included as part of the County Clerk's Public Recordings. (Minimum retention: (a) Retain Easements recorded as part of County Clerk's Public Recordings: until property no longer owned by the agency (b) Retain Easements not recorded with the County Clerk: Permanently)

(6) Fuel Records: Records documenting the amount of gasoline, diesel, and oil used by agency-owned vehicles. Often includes logs, reports, and related documents. (Minimum retention: 2 years)

(7) Equipment Calibration Records: Records documenting the maintenance and calibration of equipment and instruments used to undertake and monitor technical operations. Useful to verify equipment reliability and for reference by regulatory agencies. May include logs, reports, and related records. Information often includes date, type of equipment maintained or calibrated, tests performed, repairs needed, comments, and related data. (Minimum retention: Life of equipment)

(8) Equipment Maintenance Records: Records may include purchase orders, lease agreements, warranties, vendor statements, service contracts, charge call bills, fax activity reports, property disposition requests, invoices for equipment repair, purchase request forms, and memoranda. SEE ALSO Vehicle Maintenance Records in this section. (Minimum retention: 1 year after equipment disposed of)

(9) Property Dedication Records: Recorded dedication of private property for public uses such as transportation facilities (streets, sidewalks, bikeways) and parks. May include dedication agreements, maps, correspondence, and important related materials. (Minimum retention: Permanent)

(10) Property Disposition Records: Records documenting disposition of agency-owned non-real property, usually through public auction, competitive bidding, or destruction. Information often includes date, department, description of item, value, disposition, reason for disposition, condition, and authorization. SEE ALSO Real Property Transaction Records in this section and Grant Records in the Financial Records section for documents related to the disposition of real property. (Minimum retention: 3 years after disposition of property)

(11) Property Vacation Records: Recorded property vacations, including streets, alleys, easements, public utilities, subdivisions, and right-of-ways. May include petitions to vacate, maps, descriptions of property, staff reports, approval orders, and related significant correspondence. (Minimum retention: Permanent)

(12) Real Property Transaction Records: Records documenting acquisitions, dispositions, and reallocations of real property and right-of-ways by the agency for urban renewal projects, parks, sewers, streets, water lines, traffic signals, and other reasons. Records may include offer letters, options, agreements of short duration, staff reports, appraisal reports and reviews, inspection reports, letters of transmittal, summaries, and related records. SEE

ALSO Deeds to Agency-Owned Land in the Clerk — Recording section. (Minimum retention: 10 years after substantial completion)

(13) Technical Manuals Specifications, and Warranties: Owners manuals and warranties for agency-owned vehicles and equipment. Manuals often include specifications, operating instructions, and safety information. Warranties include terms of coverage for repair or replacement of equipment. (Minimum retention: (a) Manuals: Until disposition of vehicle or equipment (b) Warranties: Until expiration)

(14) Vehicle Maintenance and Repair Records: Records document the maintenance and repair history of all agency-owned vehicles. Records may include reports, summaries, and similar records usually compiled from daily work records on a monthly or quarterly basis. Information often includes a description of work completed, parts and supplies used, date of service, date purchased, price, vehicle number, make and model, and other data. SEE ALSO Contracts and Agreements in the Administrative Records section for contract records related to private companies maintaining and repairing agency-owned vehicles. SEE ALSO Daily Work Records in the Public Works-Operations and Maintenance section and Work Orders in this section. (Minimum retention: 2 years after disposition of vehicle)

(15) Vehicle Title and Registration Records: Records documenting ownership and registration of all agency vehicles with the Oregon Division of Motor Vehicles. (Minimum retention: (a) Retain titles until vehicle is sold or disposed of (b) Retain registration records until superseded or disposition of vehicle)

(16) Vehicle Usage and Expense Records: Records documenting usage and expenses associated with agency-owned vehicles. Used for maintenance, budgeting, and planning. Information may include vehicle number, make, and model, beginning and ending mileage, driver's name and signature, fuel used, repairs needed, and other data. (Minimum retention: 3 years)

(17) Waivers of Remonstrance: Agreements made by private citizens/property owners to forego their rights to remonstrate (oppose/protest) against certain agency actions in exchange for other considerations. Often relates to the extension of water or sewer service beyond certain areas that later may be annexed or formed into local improvement districts. Waivers usually include name and signature of grantor, location of property, purpose of document, date, and signature of agency representative. (Minimum retention: 6 years after expiration)

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 4-2004, f. & cert. ef. 9-1-04

## 166-150-0110

### Financial Records

**NOTE:** Inclusion of a record series in this schedule does not require the series to be created. If a record is created electronically, it can be retained in electronic format only as long as the retention period is 99 years or less.

(1) Accounts Payable Records: Records documenting payment of agency bills for general accounts excluding grants. Includes reports, invoices, statements, vouchers, purchase orders, payment authorizations, receipt records, canceled checks or warrants, and similar records. SEE ALSO Grant Records in this section for records documenting expenditure of grant funds. (Minimum retention: 3 years)

(2) Accounts Receivable Records: Records documenting revenues owed to the agency by vendors, citizens, organizations, governments, and others to be credited to general accounts excluding grants. Also documents billing and collection of moneys. May include reports, receipts, invoices, awards, logs, lists, summaries, statements, and similar records. Information often includes, receipt amount, date, invoice number, name, account number, account balance, adjustments, and similar data. SEE ALSO Grant Records in this section for records documenting receipt of grant funds. (Minimum retention: 3 years after collected or deemed uncollectible)

(3) Audit Reports, External: Records documenting annual audits of the financial position of the agency conducted by external

auditors in accordance with statutory requirements described in ORS 297.405 through 297.555. Subjects include accounting principles and methods, the accuracy and legality of transactions, accounts, etc., and compliance with requirements, orders, and regulations of other public bodies pertaining to the financial condition or operation of the agency. Information includes accountant's summary, combined financial statements, schedules, balance sheet details, comments, recommendations, and related data. SEE ALSO Internal Audit Records in the Administrative section. (Minimum retention: Permanent)

(4) Balance Status and Projection Reports: Reports created for internal use documenting the status of funds, bank accounts, investments, and other accountings of agency funds. Includes budget allotment and fund reconciliation reports. Also includes projection records related to future receipts and disbursements. Reports are generated on a daily, weekly, monthly, quarterly or similar basis. Information includes date, account balances, type and summary of activity, and related data. (Minimum retention: 3 years)

(5) Bond Records (Employee): Records documenting the posting of fidelity, performance, or position bonds to guarantee the honest and faithful performance of elected officials, individual employees, or groups of employees. Details of bonds vary, however information usually includes name and position(s) of individual or group, amount of coverage, effective and expired dates, and related data. (Minimum retention: 6 years after expiration)

(6) Budget (Adopted) Records: Documenting the final annual financial plan approved by a governing body for all agency expenditures. Information may include budget message, financial summaries, revenues and expenditures, operating programs, debt service, position and wage analysis, overhead allocations, organization charts, previous actual and budgeted amounts, and related data. Duplicate copies should be retained as needed. (Minimum retention: (a) County budgets filed with the County Clerk: Permanent (b) Special district and other budgets: 2 years)

(7) Budget Preparation Records: Records documenting the preparation of department budget requests presented to the specified governing body. May include staff reports, budget instructions, worksheets, surveys, allotment reports, spending plans, contingency plans, budget proposals, financial forecasting reports, and similar records. (Minimum retention: 2 years)

(8) 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) (Minimum Retention: (a) Retain original paper instrument 30 days, destroy (b) Retain ACH transaction or IRD 6 years, destroy)

(9) Competitive Bid Records: Records document the publication, evaluation, rejection and award of quoted bids to vendors and other entities. Records may include but are not limited to requests for proposals (RFPs), requests for qualifications (RFQs), invitations to bid (ITBs), requests for information (RIFs), bid exemption documents, bid and quote lists, notices of bid opening and award, comparison summaries, spreadsheets, tabulation worksheets, bid advertising records, tally sheets, bid specifications, correspondence, and related records. SEE ALSO Purchasing Records in this section. (Minimum retention: (a) Retain accepted bids 10 years after substantial completion (as defined by ORS 12.135(3)) (b) Retain other accepted bids: 6 years after bid awarded or canceled (c) Retain rejected bids and bid exemptions: 2 years after bid awarded or canceled)

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

(11) Credit Slips: Slips issued to citizens who have withdrawn from agency-sponsored classes or activities and are due credit for all or part of fees paid. Information usually includes name of class or activity, date, expiration date, name and address of citizen, and related data. (Minimum retention: 3 years after credit expired or redeemed)

(12) Financial Impact Analysis Records: Records documenting the financial analysis of various agency practices. Useful for planning future budget proposals. Records include reports, studies, worksheets, and similar records. Subjects may include the impact of specific ballot measures, proposals to increase permit fees, sick leave use analysis, and the agency's relationship with various utilities. (Minimum retention: 3 years)

(13) Financial Reports: Reports documenting the general financial condition and operation of the agency. Includes information on the value of all agency owned property and an accounting of all income and expenditures in relation to the final budget. Records may include monthly, quarterly, annual and similar reports. (Minimum retention: (a) Annual reports: Permanent (b) Other reports: 3 years)

(14) General Ledgers: Records documenting the summary of accounts reflecting the financial position of the agency. Information often includes debit, credit, and balance amounts per account, budget, fund, and department numbers, and totals for notes receivable, interest income, amounts due from other funds, federal grants received, bank loans received, cash in escrow, deferred loans received, cash, encumbrances, revenue, accounts receivable, and accounts payable, as well as other data. (Minimum retention: (a) Year end ledgers: 10 years (b) Other general ledgers: 3 years)

(15) Gift and Contribution Records: Records documenting gifts and contributions given to the agency by sources outside of government. Records may include memorial donation records related to money to be used by the agency in the name of an individual. Often contains donor and acknowledgement letters, acquisition lists itemizing purchases with contributed money (books, art, equipment, etc.) checks, receipts, and related records. (Minimum retention: (a) For retention of conditional gift, contribution and donation records: see Contracts and Agreements in the Administrative Records section (b) Retain other records: 3 years)

(16) 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 come from federal or state governments or foundations or other funding sources. Records may include but are not limited to applications including project proposals, 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; equipment inventories; financial reports, accounting records, audit reports, expenditure reports, and related correspondence and documentation. (Minimum retention: (a) Retain final reports from significant (as defined by county or special district policy) grants to the county or special district: Permanent (b) Retain records documenting the purchase and/or disposal of real property: 10 years after substantial completion (as defined by ORS 12.135(3)), or 3 years after final disposition, or as specified in agreement, whichever is longer (c) Retain other grant records: 3 years after annual or final expenditure report submitted and approved or, as specified in agreement, whichever is longer (d) Retain unsuccessful grant applications: 1 year after rejection or withdrawal)

(17) Improvement Records, Administrative and Financial: Records documenting the non-technical and financial administration of assessable and non-assessable county improvements including capital improvements, local improvement districts (LID), urban renewal, and economic improvement districts. Records often include affidavits of posting, notices or proposed assessment, certificates of mailing, interested party letters, bid quotes, reports, and awards, expense reports, purchase orders, requisitions, cost analyses, construction and maintenance bonds and insurance, and related administrative and financial records not located elsewhere in this schedule. SEE ALSO Assessment Dockets, Ledgers, and Registers; Bond Authorization Records; and other record series in the Financial section for records documenting legislative actions such as resolutions of intent to assess and ordinances for improvements.

(Minimum retention: (a) Retain records of project cost: 3 years after disposal or replacement of facility, structure, or system (b) Retain all other improvements 10 years after substantial completion (as defined by ORS 12.135(3))

(18) Inventory Records: Inventory records documenting the capitalized assets and expendable property 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 often contains 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 control inventories. SEE ALSO Grant Records for inventories of property purchased with grant funds. For inventories documenting other special uses, see Historic Structure Inventory Records in the Planning and Development section; Bridge Inspection Records in the Public Works-Engineering section; and Property and Evidence Control and Disposition Records in the Law Enforcement section. (Minimum retention: (a) Retain records of capitalized assets: 3 years after disposal or replacement of asset (b) Retain records of expendable property: 3 years or until superseded, whichever is longer)

(19) 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. (Minimum retention: 3 years)

(20) Purchasing Records: Records documenting orders, authorizations, and evidence of receipt of the purchase of goods and services by the agency. Includes purchase orders and requests, purchase authorizations, requisitions, contract release orders, material and cost specifications, central stores or printing orders, telephone service orders, and similar records. SEE ALSO Competitive Bid Records in this section; and Grant Records in this section for records documenting expenditure of grant funds and Improvement Administrative and Financial Records in this section for related purchasing records. (Minimum retention: 3 years)

(21) Signature Authorization Records: Records documenting the authorization of designated employees to sign fiscal and contractual documents. Useful as an aid for management control over expenditures. Information usually includes authorization date, name, sample signature, position, remarks, conditions, and related data. (Minimum retention: 6 years after authorization superseded or expired)

(22) Subsidiary Ledgers, Journals, and Registers: Records documenting details of transactions such as those related to receipts and expenditures on a daily, monthly, quarterly or similar basis. Includes journals, ledgers, registers, day books, and other account books that provide backup documentation to the general ledger. May include details of revenues, expenditures, encumbrances, cash receipts, warrants, and others. (Information often includes date, payee, purpose, fund credited or debited, check number, and similar or related data. SEE ALSO Grant Records in this section for records documenting transaction of grant funds. (Minimum retention: (a) Year end payroll register: 75 years (b) Trust fund ledgers: 3 years after trust fund closed (c) Other subsidiary ledgers, journals, and registers: 3 years)

(23) Travel Records, Employee: Records documenting requests, authorizations, reimbursements, and other actions related to employee travel. Includes expense reports and receipts, vouchers, requests, authorizations, and related documents. Retention applies to private vehicle usage as well. Information often includes estimated costs, prepayments, final costs, destination, method of transportation, travel dates, approval signatures, and related data. (Minimum retention: 3 years)

(24) Unclaimed Property Report Records: 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. (Minimum Retention: 3 years after the property is remitted to the Department of State Lands)

(25) Vendor Lists: Lists documenting vendors providing goods and services to the agency. Information usually includes vendor name of person or company, address, and phone number, name of contact person, as well as a description of goods or services provided. (Minimum retention: Until superseded or obsolete)

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 4-2004, f. & cert. ef. 9-1-04; OSA 2-2005, f. & cert. ef. 5-10-05; OSA 1-2010, f. 7 cert. ef. 5-27-10; OSA 3-2012, f. & cert. ef. 10-29-12

## 166-150-0115

### Fire and Emergency Medical Services

(1) Activity Reports, Fire and Emergency Medical Services (EMS): Individual Shift, project, or other activity reports or logs filed on a daily, weekly, monthly, or similar basis. Useful for reference, performance monitoring, compiling annual reports, planning and budgeting, and briefing subsequent shifts. Information usually includes name, shift, date, description of activities, and various statistical categories for tracking department emergency responses, training, public outreach, inspections, maintenance, and other work. (Minimum retention: 2 years)

(2) Ambulance Licensing Records: Records documenting application by the agency to the Oregon Health Division for licenses to operate ambulances. May also include records related to applications submitted to the agency by private ambulance services for operation in areas that have ordinances regulating ambulance services as defined in ORS 823.220. Records often include applications, licenses, affidavits of compliance, certificates of insurance, bonds, and related documents. Information includes name and address, person, or company, and a description of the ambulance, including make, year, registration number, as well as related data. (Minimum retention: 2 years after denial, revocation, or expiration)

(3) Automobile Display Permits: Permits issued to allow the display of automobiles or any vehicles which carry fuel inside public or commercial buildings. Permits usually include date of display or expiration date, location, name, address, and telephone number of person or organization requesting the permit, conditions related to the display, comments, and other information. (Minimum retention: 2 years after permit denied, revoked or expired)

(4) Base Camp Expenditure Records: Series documents expenses incurred for operation of base camps. Used to monitor costs of operations and for budget preparation. Contains base camp cost report, unit operational cost report, base camp/food service report, recorder food supplies and staples report, and related records. Includes date, unit, items requested, quantity purchased, cost, and related information. (Minimum retention: 4 years)

(5) Burning Permits: Permits issued to individuals for open air burning within the area serviced by the agency fire department. Information may include name, phone number, address, amount and location of burn, fire protection equipment and conditions required, date, and signatures of permittee and issuing officer. (Minimum retention: 2 years after denial, revocation, or expiration)

(6) Controlled Substance Inventory and Tracking Records: Series documents the possession, storage, use and tracking of controlled substances purchased by or surrendered to the department, pursuant to 21 CFR 1304.04. Records may include but are not limited to logs; inventory reports; sign-in, sign-out sheets; substance administration data; and substance name, quantity, manufacturer, and expiration dates. (Minimum retention: 3 years, or until superseded, whichever is longer).

(7) Emergency Equipment Procurement Case Records: Series is used to record information on the use of civil defense equipment from the federal government by the county. Contains loan agreement, project application, procurement agreement, transfer order, and transfer report. Includes date, type of equipment, equipment numbers, location, reason for loan, maintenance information,

and related information. (Minimum retention: 3 years after equipment returned or disposed of)

(8) Emergency Medical Incident Records: Records documenting services provided by the agency fire and emergency medical services department to sick or injured people. May include pre-hospital care reports, medical aid liability release forms, and related documents. Information often includes name and address of patient, location of incident, description of illness or injury, actions taken, and related data. (Minimum retention: 10 years)

(9) Explosives Storage and Use Permits: Records documenting the issuance of permits authorizing the use of explosives for construction and demolition projects, fireworks, theatrical pyrotechnics, and other applications. Records may include permits, applications, insurance verifications, and related documents. Information often includes name and address of permittee, location of use, amount and type of explosives used, conditions, and related data. (Minimum retention: 2 years after permit denied, revoked, or expired)

(10) Fire and Security Alarm System Records: Records documenting the agency fire department role in issuing permits, testing, and maintaining fire and security alarms that connect to an agency alarm system. May include permits, applications, malfunction reports, maintenance reports, and related documents. Permit information often includes name and address of property owner, name and address of company installing the system, permit number, alarm location, and date. Maintenance information often includes date, malfunction (if any), tests conducted, corrective actions taken, location of alarm, and related data. (Minimum retention: (a) Permit records: 2 years after expiration (b) Other records: 2 years)

(11) Fire Investigation Records: Records documenting investigations conducted by the agency fire department. May include investigative reports, supplemental reports, photographs, maps, drawings, correspondence, memoranda, laboratory reports, notes, and other significant related records. (Minimum retention: (a) Records documenting fires involving loss of life: 75 years (b) Other records: 10 years)

(12) Fire Reports: Reports documenting each fire responded to by the agency fire department. These reports are required by the State Fire Marshal. Subjects include cause, casualties, and property loss. Information includes date, run number, location of fire, weather conditions, owner's name and address, property damage, loss estimate, and other data. Includes additional reports if injuries occurred. (Minimum retention: 10 years)

(13) Grass and Weed Control Records: Records documenting agency enforcement of regulations designed to help prevent fires caused by overgrown grass, weeds, or shrubs. May include complaints, inspection reports, notices, violations, contractor mowing bills, receipts, and related records. Information includes name of property owner, address of property, name of complainant, date and expiration of notice, name of fire personnel inspecting property, date, time, and method of grass and weed removal, charges, signature of contractor, and related data. (Minimum retention: 3 years after last action or final payment)

(14) Hazardous Material Emergency Incident Records: Records documenting agency response to hazardous material emergencies. Subjects usually pertain to spills and other accidental releases. Includes reports, complaints, and similar documents. Information often includes location, date and time, type of pollutant, extent of pollution, cause, action taken, person reporting pollution, witnesses, related injuries, name and address of responsible party and related data. (Minimum retention: Permanent)

(15) Hazardous Substance Employer Survey Summaries: Records documenting the storage and use of hazardous materials within the area served by the fire department. Usually consists of summaries of employer surveys conducted by the State Fire Marshal as well as related records generated by the agency. Information includes employer name and location, emergency phone numbers and procedures, location, type, and quantity of hazardous substances, and related data. State employer surveys are updated each year. (Minimum retention: Until superseded or obsolete)

(16) Inspection and Occupancy Records: Records documenting fire prevention inspections performed periodically by the agency

fire department. Inspections determine if any violations of fire code are present in premises within the area served by the department. Usually filed by address. Inspection records may include reports, notices, citations, and related documents. Information often includes occupancy name, location, person contacted, violations found, inspector's name, number of days to correct violations, comments, and other data. Also may include occupancy and pre-fire planning records such as floor plans, sketches, reports, lists, and related documents. Information often includes address, name of property owner, description and fire history of property, name of occupant, potential hazards or exposures, regulated substances, fire escapes, water supply, sprinklers, roof construction, and other data useful in fire fighting situations. (Minimum retention: Retain current and previous inspection reports or 10 years whichever is longer)

(17) Maps, Fire and Emergency Medical Services: Maps and related records maintained by the agency fire department for address location reference and for tracking various trends such as fire frequency and location, arson fires, and others. Includes lists, books, and other methods of address location. Some maps may have historic value. For appraisal assistance, contact the State Archives. (Minimum retention: Until superseded, obsolete, or no longer needed)

(18) Public Education Program Records, Fire and EMS: Records related to the design and implementation of educational and other outreach programs provided to the public by the agency fire department. Often includes class descriptions, instructional materials, course outlines, class enrollment and attendance records, reports, speeches, and related records. (Minimum retention: (a) Class enrollment and attendance records: 2 years (b) Other records: Until superseded or obsolete)

(19) Public Education Publications, Fire and EMS: Publications created by the agency fire department and distributed to the public as part of the department's public education program or other outreach effort. Often used in conjunction with presentations. Subjects may include CPR, electric wiring, fire prevention, fire safety for children, Christmas fire safety, and others. (Minimum retention: (a) Retain brochures, pamphlets, and leaflets: until superseded or obsolete (b) Retain one copy of all others: Permanently)

(20) Regulated Substances Storage and Use Records: Records documenting the storage and use of regulated substances such as gasoline, crude oil, fuel oil, and diesel oil. May include applications, permits, inspection reports and related records for agency regulation of above ground storage tanks as well as reports of substance releases from underground storage tanks. Agencies that administer their own underground storage tank program as described in ORS 466.730 may have additional records such as underground storage tank applications, permits, inspection reports, and related documents. SEE ALSO Inspection and Occupancy Records in this section for regulated substance storage and use records related to structures. (Minimum retention: (a) Records related to underground storage tanks: 25 years after tank removed (b) Records related to above ground storage tanks: 5 years)

(21) Search and Rescue Mission Case Files: Series records information about search and rescue missions undertaken by the county. Records include Oregon search and rescue mission report, criminal complaint (incident) report, mission roster, lost/missing person report, equipment involved, description of events, and related information. (Minimum retention: 3 years)

(22) Search and Rescue Unit Case Records: Series records administrative and general information about individual search and rescue units. Contains monthly membership update, membership roster, operational cost report, volunteer activity report, volunteer's personal expense record, and related records. Information includes unit number, personnel names and addresses, hours worked, activities, expenses incurred, and related information. (Minimum retention: 6 years)

(23) Search Rosters: Series tracks movements of participants of search and rescue missions. Includes name, date, location, time in and out, and related information. (Minimum retention: 3 years)

(24) State Fire Marshal Exemption Records: Records documenting partial or full agency exemption from statutes, rules, and regulations administered by the State Fire Marshal. Exemptions are granted if the agency enacts and enforces adequate regulations to conform with state and national fire standards defined in ORS 476.030(4). Certificates are renewed every two years. Usually includes applications, supporting documentation, reports, exemption certificate, and related documents. (Minimum retention: 2 years after denial, revocation, or expiration)

(25) Youth Fire Prevention and Intervention Records: Series documents multi-disciplinary prevention and intervention services provided to children who have a history of or are at risk for setting fires. Community-based services are provided under the guidance of the Office of State Fire Marshal. SEE ALSO County Juvenile Department Records section. (Minimum retention: (a) Until court ordered expunction (ORS 419A.262), (b) If case is not expunged: 5 years after last action, or youth reaches age of majority, whichever is longer).

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 4-2004, f. & cert. ef. 9-1-04; OSA 3-2012, f. & cert. ef. 10-29-12

## 166-150-0120

### Housing and Community Development Records

(1) Community Development Project Records: Records related to the assessment, funding determination, planning, design, and construction of various homeowner improvement projects, including facilities, structures, and systems. Records include work plan, and specifications, bid and contract information, project management/monitoring records, feasibility studies, plans, amendments, inspector reports, change orders, status reports, and related records. May be useful for litigation, reference, or budget planning. (Minimum retention: 10 years after substantial completion, or 3 years after final disposition, or as specified in agreement, whichever is longer)

(2) Environmental Review Records: Series documents individual environmental impact review studies for community development and transit projects in accordance with the National Environmental Policy Act (NEPA). Records may include duplicate materials from project records, environmental assessments, evaluations, determinations, reporting information to the federal Department of Housing and Urban Development (HUD), supporting documentation, and related records. (Minimum retention: Permanent)

(3) Housing Authority Bylaws, Rules, and Policies: Documents defining the powers and purposes of the housing authority, as well as implementation policies in accordance with federal and state laws. Includes bylaws. May also include rules and policies on confidentiality, purchasing, tenant grievances, and other subjects. (Minimum retention: Permanent)

(4) Housing Authority Individual Tenant History Records: Files documenting the history of individual tenant and housing authority actions from application to separation from the program. May contain application, landlord references, rental agreements, leases, periodic reexamination and hardship data, income verification, billing statements, maintenance requests, damage complaints, eviction notices, grievance hearing records, and significant related material. (Minimum retention: 5 years after separation from program)

(5) Housing Authority Program Management Records: Records documenting the activities and status of various programs administered by the housing authority (Section 8, etc.). Records may include staff meeting records and reports, waiting lists, maintenance records, tenant statistics, and related significant records generated in the administration of housing authority programs not specified elsewhere in the schedule. (Minimum retention: 3 years after annual or final expenditure report submitted)

(6) Housing Authority Property Management Records: Records documenting the actions of the housing authority in managing housing not owned by the agency. May include applications for funding, sub-grants, insurance policies, contracts, and non-profit organization records such as articles of incorporation, bylaws, bud-

gets, minutes, agendas, as well as related significant records. (Minimum retention: 6 years after expiration)

(7) Housing Authority Rejected Assistance Application Records: Rejected applications and related records from individuals seeking assistance from the housing authority. Application information may include name, age, occupation, social security number, size of unit needed, assets, annual income, and related information. Records may also include verification forms and related significant records. (Minimum retention: 3 years)

(8) Housing Development Project Records: The Housing Development Program utilizes funding from the federal HOME Investment Partnership Program to expand the supply of decent and affordable housing, particularly rental housing, for very low- and low-income citizens. Records related to the assessment, funding determination, planning, design, and construction of various housing development projects, including facilities, structures, and systems, as well as documentation on the acquisition of existing housing structures for housing. Information includes work plan, and specifications, bid and contract information, project management/monitoring records, feasibility studies, plans, amendments, inspector reports, change orders, status reports, and related records. (Minimum retention: 10 years after substantial completion of new structures or acquisition of existing housing units)

(9) Housing Rehabilitation Loan Records: County Housing Rehabilitation Programs provide low-income homeowners with loans for needed and critical home repairs. To qualify for the program, a household's total annual gross income must be below HUD's Section 8 income limits. Series documents client application, verification of income, credit report information, deeds of trust, project specifications and work plan, copy of agency agreement with homeowner, financial information by loan type; DPL, CHIP, or Rental Rehabilitation, Cancelled Housing Rehabilitation and related records/correspondence. (Minimum retention: (a) Deferred Payment Loans (DPL): 5 years after homeowner leaves home, sells home, transfers the title, refinances the mortgage, or a change of use (b) County Home Improvement Program Loans (CHIP): 5 years after loan pay-off or foreclosure (c) Rental Rehab Loans: 5 years after loan pay-off or foreclosure (d) Cancelled Housing Rehabilitation Loans: 10 years after loan cancellation)

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 4-2004, f. & cert. ef. 9-1-04; OSA 3-2012, f. & cert. ef. 10-29-12

## 166-150-0125

### Information and Records Management Records

(1) Computer System Maintenance Records: Records document the maintenance of computer systems and are used to ensure compliance with any warranties or service contracts; schedule regular maintenance and diagnose system or component problems; and document systems backups. 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, and backup tape inventories, and related documentation. SEE ALSO Technical Manuals, Specifications, and Warranties in the Public Works-Operations and Maintenance section. (Minimum retention: (a) Records related to system or component repair or service: Life of the system or component (b) Records related to regular or essential records backups: 1 year after superseded or obsolete)

(2) Computer System Program Documentation: Records document the addition, modification, or removal of software from a computer system. Records usually fall into six categories: Records that document operating systems; Records that document the in-house creation and modification of application programs; Records that document the structure and form of data sets; Records that document the use of commercial software packages; Records that document the structure of the system; and Records that document system-to-system communication. Records may include but are not limited to system overviews, operation logs, job listings, operator instruction manuals, system development logs, system specifications and changes (including narrative and flow chart descriptions), con-

version notes, data set logs, data set inventories, data set 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, commercial software manuals, and related correspondence and documentation. SEE ALSO Software Management Records in this section. (Minimum retention: (a) Retain migration plans: until superseded or obsolete (b) Retain other records: 1 year after system superseded or obsolete)

(3) Computer System Security Records: Records documenting the security of the computer systems. Includes employee access requests, passwords, access authorizations, encryption keys, and related documentation. (Minimum retention: 3 years after superseded)

(4) Computer System Wiring Records: Records documenting the wiring of the computer network system. Includes blueprints or drawings of building computer system wiring, cables, computer equipment connections, and related documentation. (Minimum retention: Current plus previous version)

(5) Filing System Records: Records document the establishment, maintenance, alteration, or abolition of filing systems. Records may include but are not limited to include master file lists, organizational charts, program descriptions, and correspondence. (Minimum retention: 3 years after superseded or abolished)

(6) Forms Development Records: Records document the development of new or revised forms. Records may include but are not limited to sample forms, drafts, revisions, form logs/listings, proposals, authorizations and illustrations. (Minimum retention: Until superseded or obsolete)

(7) Information Service Subscription Records: Records document subscriptions to information services. Records may include but are not limited to subscriptions, invoices, and correspondence. (Minimum retention: 3 years)

(8) Information System Planning and Development Records: Records document the planning and development of 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 the institution fulfill its missions, are cost effective, conform to adopted information standards, and integrate with existing institution information systems. Records may vary according to the level of documentation required for each system, but may include information technology plans, feasibility studies, cost-benefit analyses, institution studies and surveys, information management project records, system specifications and revisions, software evaluations, component proposals, technical literature, vendor literature and proposals, and correspondence. (Minimum retention: (a) Implemented systems: Life of the system (b) Unimplemented systems: 3 years)

(9) Microfilm and Imaging Quality Control Records: Records document that microfilm or digital images produced by or for counties and special districts conforms to the specifications required by Oregon Administrative Rules (OAR) chapter 166. Records may include but are not limited to microfilmed and digitally imaged records lists, microfilm reel indexes, service bureau transmittals, film inspection reports, methylene blue certifications, camera/processor/duplicator inspection reports, equipment and operator logs, and correspondence. (Minimum retention: Same as related microfilm or digital images)

(10) Records Management Records: Records document the authorized retention, scheduling, inventory, and disposition of public records. Records may include but are not limited to records retention schedules, inventory worksheets, schedule authorizations, procedure guidelines, transmittals, destruction authorizations, reports, and correspondence. (Minimum retention: (a) Destruction records: Permanent (b) Record retention schedules: 5 years after superseded (c) Other records: 5 years)

(11) Software Management Records: Records document the use of software in information systems to insure that institution 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 purchase records, software inventories, software licenses, site licenses, and correspondence. (Minimum retention: 2 years after software disposed of or upgraded)

(12) Telecommunications System Management Records: Records document the creation, modification, or disposition of telecommunications systems. Records may include but are not limited to equipment records, Federal Communications Commission records, repair order forms, system planning records, telecommunications maintenance contracts, telecommunications service orders, and correspondence. (Minimum retention: (a) Repair and service orders: 4 years (b) Other records: 1 year after system superseded or obsolete)

(13) User Support Records: Records documenting troubleshooting and problem-solving assistance provided by information systems personnel to users of the systems (computer, telecommunications, etc.) Records may include assistance requests, resolution records, and related documentation. Information may include name of requester, date, time, location, and description of problem and resolution. (Minimum retention: 1 year)

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 4-2004, f. & cert. ef. 9-1-04

### 166-150-0130

#### Justice and Family Courts

(1) Civil Files: Series documents cases heard in the Justice Court relating to small claims and civil filings up to \$2500.00. Records include original charge, filing of plaintiff, hearing records, satisfaction, penalty bio-sheet, records of payment, correspondence, motions, judgments, orders, and petitions. (Minimum retention: (a) Retain records prior to 1940 permanently (b) Retain records after 1940 6 years as long as there is no outstanding judgment)

(2) Couples Counseling/Mediation Client Files: Records document the counseling and mediation process for couples experiencing marital problems or who have formally filed for separation or dissolution. Record may contain information on couples' history, financial information, session notes, reports to the Court, if applicable, and summarizations of any agreements reached by the couple through mediation. (Minimum retention: 6 years after completion of counseling/mediation sessions or dissolution of marriage)

(3) Criminal Files Series: documents cases heard in the Justice Court relating to misdemeanors, criminal felonies arraigned and if in custody, and violations. Records include original charge, filing of plaintiff, hearing records, satisfaction, penalty bio-sheet, records of payment, correspondence, motions, judgments, orders, and petitions. (Minimum retention: (a) Retain records prior to 1940: Permanently (b) Retain records after 1940: 6 years as long as there is no outstanding judgment)

(4) Docket Books Series: used to track cases through the Justice Court. Information includes docket number, plaintiff and defendant names, date filed, and scheduled hearing and trial dates. (Minimum retention: (a) Retain records prior to 1940: Permanently (b) Retain records after 1940: 6 years as long as there is no outstanding judgment)

(5) Marriage Records Documents: licenses issued and solemnization of marriages by the Justice Court. Includes (Health Division, Vital Records Unit) Record of Marriage, Consent to the Marriage of a Minor, Affidavit that there is no Parent or Guardian in Oregon, Waiver of Waiting Period, and related records. The official copy of the marriage license is filed with the county clerk. (Minimum retention: (a) Retain Clerk's copy: Permanent (b) Retain court copy: 1 year after filed with the clerk)

(6) Parent Education Client Files: Records document the classes for parents who file for divorce or separation or changes in custody or visitation. Records include payment history, class attendance information, and copy of completion certificate. (Minimum retention: 6 years after class completion)

(7) Search Warrants Series: documents an official order issued by the Justice Court to legally search private property to aid in the investigation of law enforcement officials. Information includes

judge's name, date, and purpose of warrant. (Minimum retention: Retain 2 years after warrant served or recalled by the court)

(8) Traffic Citations Series: is used to document the full payment of traffic fines in court. Information includes citation number, amount paid, whom citation issued to, infraction type, issuing officer, and receipts. (Minimum retention: Retain 3 years after citation paid in full)

(9) Youth and Family Mediation: Case Records Record documents mediation provided to families and youths for conflict resolution. Record may contain family and youth backgrounds and histories, any criminal histories, mediator session and case notes and reports, and court reports if applicable. (Minimum retention: Until youth(s) reach 21 years of age)

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 4-2004, f. & cert. ef. 9-1-04

### 166-150-0135

#### Law Enforcement

(1) Activity Reports, Law Enforcement: Individual officer, shift, and other activity reports usually filed on a daily, weekly, monthly, or annual basis. Useful for reference, performance monitoring, compiling annual reports, planning and budgeting, and for briefing subsequent shifts or activities. Applies to various duties such as dispatch, confinement, investigations, and patrol. Information usually includes name, shift, date, activities, and various statistical categories for tracking the number of arrests, phone calls, mileage, and other indicators. Also includes monthly and annual law enforcement or uniform crime reports summarizing statistics on criminal activity and office operations. Information may include date, categories, totals, and related data. (Minimum retention: (a) Annual reports and monthly reports for years in which no annual report exists: Permanent (b) Other reports: 2 years)

(2) Alarm Records: Records documenting the licensing, use, and response to security alarms. Licenses and permits usually contain name and address of holder, type of alarm, location, instructions to officers responding to call, names of individuals to be contacted when alarm sounds, fee charged, and related data. Other records may include alarm response reports and false alarm reports. False alarm reports are used to document ordinance violations concerning the number of false alarms in a given period. (Minimum retention: (a) Alarm licensing and permit records: 3 years after expiration or revocation (b) Other records: 3 years)

(3) Animal Control Records: Records document activities relating to animal control. Records may include reports, logs, lists, cards, receipts, and related correspondence. Records may relate to dog or cat licenses, lost and found animals, animals running at large, and bite reports. Animal license information usually includes name, address and phone number of owner, name and description of animal, vaccination dates, and related information. (Minimum retention: (a) Licensing records: 3 years after expiration (b) Other records and reports: 2 years)

(4) Arrest Warrant Log Records: Records documenting the status of arrest warrants as served, unserved, or recalled by the court. May include logs, validation listings, checkout sheets, and related records. Logs usually include date of warrant, subject's name, charge, date, warrant served or recalled, and related information. (Minimum retention: Until superseded or obsolete)

(5) Arrest Warrant Records: Records related to a written order made by the court on behalf of the commanding law enforcement officials to bring a specified individual before the court. May also include detainer requests, informational documents related to the wanted person, teletypes, and other records relevant to the service of warrants. Warrant information includes date, court, judge's name, individual's name and date of birth, charge, and related data. (Minimum retention: Until served, recalled, or cancelled by the court)

(6) Bail Records: Records document the receipt of bail monies or recognizance bonds by the county as stipulated in ORS 135.720. Records may include logs of monies received, names of individuals posting bonds and inmate it applies to, staff member who accepted

payment, and dollar totals of deposits made to the State Court. (Minimum retention: 3 years)

(7) Block Home Program Records: Records documenting the application for and review, denial, or approval of block home designations. The Block Home Program is designed to provide safety and protection to school age children. The department conducts background checks on applicants. Information often includes date, name, address, date of birth, Social Security number, educational and work background, police record check, approval or denial decision, and related data. (Minimum retention: (a) Approved application records: 2 years after withdrawal from program (b) Denied application records: 2 years)

(8) Booking Records: Books, logs, or other records documenting the confinement and release of individuals held in an agency correctional facility. Information usually includes name, charges, date of confinement, date of release, physical condition, and related data. Booking records related to individuals known to be dead need not be retained. (Minimum retention: (a) Homicides: 20 years (b) Felonies: 10 years (c) Misdemeanors: 5 years)

(9) Briefing Records: Records document internal communications between supervisors and shift workers or between staffs on different shifts to alert them to problems, issues, or activities. This can include jail, patrol, and other agency staff. Records may include briefing logs and teletype/computer messages. (Minimum retention: (a) Retain messages of interest to law enforcement agency not warranting inclusion in INCIDENT CASE FILES or other record series: 1 year other record series: 1 year (b) Retain all other messages: Until read)

(10) Bulletins from other Agencies: Bulletins, circulars, and related records received from federal, state, other state, and local law enforcement agencies. Usually contains descriptions and photographs of fugitives, missing persons, or stolen property. May also include other information of interest to the department. (Minimum retention: Until superseded or obsolete)

(11) Chaplain/Religious Counsel: Records document the role of the agency or jail chaplain/religious counsel, volunteer chaplains, or groups that volunteer their time to the agency for religious purposes. Duties may include counseling of staff and/or inmates, counseling of family members of staff and/or inmates, victim's assistance, death notifications, crisis intervention, and special services, including weddings and funerals. Records may include individual guidance records, schedules, activity reports, authorizations of inmate articles (i.e. prayer feathers, medicine bags, wedding rings, etc.), and marriage and death records. (Minimum retention: (a) Retain inmate counseling records: 3 years after inmate release (b) Retain all other counseling records: 1 year)

(12) Civil Emergency/SWAT Team Records: Records document the planning for and performance of hostage negotiations, riot response, bomb threats, or other tactical situations. Records may include maps rosters, equipment inventory, training records, and situation reviews. (Minimum retention: 3 years)

(13) Civil Enforcement Case Files: Record of actions taken relating to a specific civil case. Information may include attempts at service, actual service information, and documentation of enforcement actions taken under the provisions of the order. (Minimum retention: 3 years after action completed)

(14) Computer Inquiry Records: Logs or other hard copy records documenting requests made to other agencies involving missing persons, wanted persons, stolen vehicles, and other subjects. (Minimum retention: Until superseded or obsolete)

(15) Computer Validation Records: Logs or similar hard copy records detailing validation requests and proof of verification for NCIC or other law enforcement information networks. Useful to document maintenance of network standards. (Minimum retention: 5 years or until audited by NCIC or other applicable law enforcement network, whichever is shorter)

(16) Concealed Weapons Permit Records: Records documenting issuance of concealed handgun licenses and renewals as specified in ORS 166. Records include license applications, license renewal applications, copies of identification, background check results, license revocations and denials, and related records. Information

must include the applicant's legal name, current address and telephone number, date and place of birth, hair and eye color, height and weight, applicant's residence address or addresses for the previous three years, photograph of applicant, fingerprints of applicant, and applicant's signature. (Minimum retention: (a) Revoked permits: 4 years after revocation or denial (b) All other records: 2 years after expiration or transfer of permit)

(17) Crime Analysis Records: Records documenting department efforts to anticipate, prevent, or monitor possible criminal activity. May include reports, statistical summaries, trend or prediction information, photographs, sound and video tape recordings, and related documents. Subjects often include crime patterns or modes of operation, analysis of particular crimes, criminal profiles, forecasts, movements of known offenders, alerts from other agencies, and others. (Minimum retention: (a) Major crime analyses or studies: 10 years (b) Other records: Until superseded or obsolete)

(18) Crime Prevention Community Policing Organization Records: Mailing lists, plans, evaluations, notes, reports, and other records documenting community organizations, associations, individual volunteers, and others engaged in or interested in crime prevention efforts. Information is also used to develop community support for law enforcement programs and events. Records include presentations, publications, brochures, and newsletters. (Minimum retention: Until superseded or obsolete)

(19) Crime Prevention Community Policing Event Records: Records document annual or one-time events organized by the agency or participated in where personnel are available to answer questions and provide educational information. Examples include National Night Out, safety fairs, bicycle rodeos, and open houses. Records include site information, schedules, volunteer rosters, and event evaluations. (Minimum retention: (a) Records of events considered significant and/or historical by local officials: Permanent (b) Retain all other event records: 1 year)

(20) Crime Prevention and Community Policing Program Records: Records documenting department efforts to train citizens in crime prevention. May contain training and media presentation records including lesson plans, outlines, tests, evaluations, speeches, and related records. Subjects usually include neighborhood watches, home security, and others. (Minimum retention: (a) Retain significant program records: 5 years (b) Retain class enrollment and attendance records: 2 years (c) Retain other records: 1 year)

(21) Crime Prevention Security Survey Records: Records documenting citizen requested officer surveys of homes and businesses and subsequent recommendations related to security. Usually contains a detailed checklist of problems or security defects. Subjects often includes areas of potential break in, blocked exits, landscaping that can hide crime, and similar topics. Survey usually is compiled into a report that is sent to the owner or renter. (Minimum retention: 2 years)

(22) Crime Prevention Vacation House Inspection Records: Records documenting the inspection of homes and other properties while the occupants are away. Information often includes name, address, date received, vacation beginning and ending dates, emergency contact information, special conditions at the house or property, dates and times officers checked the house or property, and related data. (Minimum retention: 30 days after inspections end)

(23) Criminal Arrest History Records: Records documenting information on the accumulated criminal arrest history of individuals which may be useful in current or future investigations. Records may include summary sheets or cards, arrest reports, fingerprint cards, mug shots, and related documents. Information often includes name, aliases, residence, sex, age, date and place of birth, height, weight, hair and eye color, race, scars, marks, tattoos, abnormalities, date of arrest, offense committed, habits, closest relatives or friends, and more. Records may be destroyed earlier if individual is known dead. (Minimum retention: (a) Homicides: 20 years (b) Felonies: 10 years (c) Misdemeanors: 5 years)

(24) Criminal History Dissemination Records: Logs and other records documenting the dissemination of criminal histories and other law enforcement information to other agencies or criminal

information systems. May include teletype and computer message logs. Information includes date of release, subject of information, recipient of information, reason information was requested, and identification numbers. (Minimum retention: Until case completed or suspended)

(25) Criminal Intelligence System Database Records: Records documenting possible and proven criminal activity by individuals, groups, organizations, and businesses for use by local government law enforcement agencies. Information is categorized into file groupings as defined by OAR 137-090-0080 after collection and evaluation. Retentions are based on procedures detailed in 137-090-0160. Includes investigatory reports, statistical reports, correspondence, memoranda, and related records. Information includes suspect identification, alleged activity, location, date, source validity, and other data. Sources include law enforcement and regulatory agencies, and private citizens. (Minimum retention: (a) "Permanent Files" as defined by 137-090-0080: 5 years (b) "Temporary Files" as defined by 137-090-0080: 1 year (c) "Working Files" as defined by 137-090-0080: 30 working days)

(26) Debriefings: Records documenting law enforcement operations, which are distributed in order to improve communication. Records include, but are not limited to, mission sheets, after action reports and operations order records. (Minimum retention: 3 years)

(27) Detoxification Confinement Logs: Logs listing names of individuals held because of drunkenness and released when sober. Includes dates and times confined and released, name of individual, and related information. (Minimum retention: 2 years)

(28) Dog Handler Reports: Records documenting training and performance of dogs involved in law enforcement operations. Note: For limitations, see ORS 131.125, 131.155, 166.715-177.735, and other applicable statutes. (Minimum retention: 1 year after statute of limitations on case expires)

(29) Electronic Home Detention Records: Records documenting the application and use of electronic monitors for inmates selected for electronic home detention monitoring. Documentation includes computerized tracking reports, printouts and computer schedules; documentation on offender violations, including unauthorized absences or activities; notifications to apprehend and control any absconding offenders; system troubleshooting notations and other related correspondence. (Minimum retention: 3 years after removal of monitor)

(30) Emergency Telephone Calls Continuous Audio Files: Records document incoming emergency calls, law enforcement and emergency dispatches, radio activity, and 9-1-1 calls. Files are maintained on a 24 hour basis. Recordings of serious incidents may warrant longer retention for legal reasons. These should be transferred onto a separate medium and retained until legal action is resolved. (Minimum retention: 7 months)

(31) Equipment Issued/Quartermaster Records: Records documenting equipment issued to an agency law enforcement agency and other agency personnel. Items include but are not limited to handcuffs, keys, uniforms, badges, personal protective and fire fighting equipment, and lockers. May include inventories, optional equipment lists, data sheets, and other records. Information often includes date, employee name, number, and section, description of equipment, and related data. (Minimum retention: Until superseded or obsolete)

(32) Expunged or Sealed Records: Records documenting the arrest and/or conviction of a person who petitions and is granted by the court an order sealing or otherwise disposing of any related records according to ORS 137.225. "Upon entry of such an order, the applicant for purposes of the law shall be deemed not to have been previously convicted, or arrested as the case may be, and the court shall issue an order sealing the record of conviction or other official records in the case, including the records of arrest whether or not the arrest resulted in further criminal proceeding." Also applies to records related to juveniles as outlined in ORS 419A.260 and 419A.262. (Minimum retention: (a) Dispose expunged records according to the directive of the court (b) Retain expungement orders 75 years or according to the directive of the court (c) Retain sealed records 75 years or according to the directive of the court)

(33) Field Interrogation Reports: Informational reports written by a law enforcement officer related to individuals, events, or vehicles for which the officer does not have probable cause for enforcement. Information usually includes name and address of person contacted, physical description of person or vehicle, officer's name, location of contact, date and time, witnesses, reason for contact, and related data. (Minimum retention: 1 year)

(34) Fingerprint Cards: Cards containing fingerprints, palmprints, toeprints, and other personal identifiers of arrested individuals. Used for identification and apprehension of suspects in criminal investigations. May also include fingerprints of private security personnel working in an area. Information often includes name, address, date and place of birth, Social Security number, alias, occupation, employer, name of individual taking prints, and related data. Fingerprint cards of individuals known to be dead need not be retained. Fingerprint cards are currently transmitted to the Oregon State Police and maintained there. (Minimum retention: Until transmission to the Oregon State Police verified)

(35) Fingerprint Cards, Latent: Cards containing latent fingerprints and palmprints found at crime scenes without identification of suspects. These are compared against cards on file at the agency. Usually contains information related to the crime, location, date and time, and other details of the case. (Minimum retention: (a) Unnatural death: 75 years (b) Sexual felonies defined in ORS 131.125: 27 years (c) Other felonies: 6 years (d) Other offenses: 3 years)

(36) Handgun Dealers' Sales Records: Records documenting purchases of handguns from dealers. May include duplicate register sheets mailed by the dealer to the law enforcement agency and triplicate register sheets mailed by the dealer to the State Police for criminal records checks and then forwarded to the agency. Information includes series number, sheet number, sales person, Date and time, city/county, make, serial number, caliber, name of purchaser, date of birth, address, height, occupation, race, color of eyes and hair, local address (if traveling), and signatures of purchaser and sales person. ORS 166.412(7) states that "the department may retain a record of the information obtained during a request for a criminal records check for no more than five years." (Minimum retention: 3 years)

(37) Impounded and Abandoned Vehicle Records: Records documenting vehicles impounded by the department related to accidents, abandonment, recovered stolen vehicles, vehicles used in the commission of crimes, and other reasons. May include reports, notifications, information cards or sheets, receipts, and related records. Information often includes the make, model, year, color, identification number, tag number, and condition of the vehicle and contents, reason for impounding, location of impoundment, charge, if any, towing company used, release conditions, name and address of individual to whom vehicle was released, and other data. (Minimum retention: 3 years after disposition for records not included in Incident Case Files)

(38) Incident Case File Indexes: Indexes to incident case files used as cross references between case numbers, names, dates, modus operandi, and other descriptive information. (Minimum retention: Until superseded or obsolete)

(39) Incident Case Files: Central case files documenting complaints or other actions or incidents investigated by the department. Usually filed by case number. Records may include investigative reports, fingerprint cards, original arrest reports, supplemental reports, photographs, correspondence, teletypes, court orders, court dispositions, officer notes, laboratory reports, DUI test records including chemical analyses (also known as intoxilyzer or breathalyzer test records), citizen arrest certificates, copies of warrants, search warrants, and booking sheets, property/evidence reports, custody reports, and other related documents. Information usually includes suspect identification, alleged activity, location, date, validity of source information and other data. Sources include law enforcement and regulatory agencies and private citizens. SEE ALSO Juvenile Temporary Custody Records in this section. (Minimum retention: (a) Retain cases involving crimes with no statutes of limitations: 75 years after case closed (b) Retain Missing



Persons Reports: Until cleared (c) Retain all other cases: until statute of limitations expires)

(40) Indemnity Bonds: Copies of insurance bonds issued to indemnify the law enforcement agency against claims of wrongful actions in civil seizure cases. (Minimum retention: 2 years after seizure has been completed and a return has been made to the court of issuance)

(41) Informant Case Files: Records documenting information about informants used by department personnel. May include reports, correspondence, payment records, fingerprint cards, signature cards, letters of understanding on informant activities, and related records. (Minimum retention: Until superseded or obsolete)

(42) Inmate Accountability Records: Logs, lists, rosters, and other records documenting inmate counts, cell locations, and status, as well as related information. May include logs detailing status of individual inmates such as those awaiting action or on hold status, released on their own recognizance, or released on security. May also include rosters documenting the location of all inmates by head counts at regular intervals. (Minimum retention: 1 year)

(43) Inmate Case File Indexes: Indexes used to access inmate case files. Usually cross referenced by name, case number, and other identifiers. (Minimum retention: Until superseded or obsolete)

(44) Inmate Case Files: Records documenting non-medical information on inmates confined in an agency correctional facility. Often contains date of entry, date of release, incident reports, release receipt indicating return of property, court commitment and release orders, behavioral information, and other relevant information concerning the arrest and confinement of an individual. (Minimum retention: 3 years after release)

(45) Inmate Grievances: Records documenting the receipt of, investigation of and actions taken in regard to inmate grievances. (Minimum retention: 3 years after last action)

(46) Inmate Meal Records: Records documenting menus used to plan and schedule inmate meals. May include listings of those inmates who received meals. Information may include month, day, meal, menu, inmates served, and related data. (Minimum retention: 6 months)

(47) Inmate Medical Records: Records documenting outpatient medical treatment given to inmates. Often contains treatment log, prescriptions, health questionnaires, laboratory reports, x-ray reports, medical reports from other facilities, medication records and related records. Information may include inmate's name, date of treatment, description of treatment, medications given and information regarding the medication dispensed and related data. (Minimum retention: 6 years after inmate release)

(48) Inmate Program Records: Records documenting the education, recreation and miscellaneous programs that inmate participated in while at the facility. (Minimum retention: 3 years)

(49) Inmate Telephone and Mail Records: Logs and other records documenting telephone calls and mail sent and received by inmates. Information may include name of inmate, date and time of telephone call or mail, and related data. (Minimum retention: 1 year)

(50) Inmate Visitor Records: Records documenting information about visitors to inmates confined in an agency correctional facility. May include logs, request slips, and related records. Information often includes date, time in, visitor's signature and address, object of visit, time out, and related data. (Minimum retention: 1 year)

(51) Inmate Work Programs: Records documenting the control of and participation of inmate work programs. (Minimum retention: 3 years)

(52) Internal Investigations Case Files: Records documenting investigations of department personnel for violations of laws, rules, or policies and may include findings and dispositions of investigations. Records often contain complaints, correspondence, investigatory reports, interviews, hearing summaries and testimony, and related documents. Information usually includes name of employee investigated, reason, location of violation, date, accomplices' names and addresses, witnesses' names and addresses,

action taken, and related data. (Minimum retention: (a) Investigations resulting in Termination: 10 years after employee separation (b) Investigations resulting in disciplinary action or exoneration: 2 years after resolution (c) Unfounded Investigations: 1 year)

(53) Jail Monitoring Records: Records include audio and video recordings of prisoners booked into the jail facility. Video recordings are also made during inmate altercations and incidents where the Corrections Emergency Response Team (C.E.R.T.) members are utilized for inmate control. These recordings typically contain footage of use of force that are used in staff training sessions, but may also serve as evidence in criminal proceedings. (Minimum retention: (a) Prisoner booking videos: 30 days (b) C.E.R.T. training videos: Until superseded or obsolete (c) C.E.R.T. videos as evidence in criminal proceedings: destroy by order of the court)

(54) Jail Canteen, Commissary or Kitchen Records: Records documenting the routine operations and control of jail canteens, commissary and kitchens. Includes inventory control records, inmate accounting records, and other related files. (Minimum retention: 3 years or until audited, whichever is longer)

(55) Juvenile Offender/Victim Restitution Records: Records documenting the facilitation of restitution for crime victims of first time juvenile offenders. Typical cases may include criminal mischief, vandalism, minor assault, theft, and harassment. Information may include name, address, and phone number of person filing complaint, case number, date of activity, narration of the complaint, name of offender, date case closed, and other data. (Minimum retention: 5 years after last action, or youth reaches age of majority, whichever is longer)

(56) Juvenile Temporary Custody Records: Records documenting children taken into temporary custody by the department as defined in ORS 419B.150 through 419B.175. The action is not considered an arrest. Information may include the name, age, and address of the child, the name and address of the person having legal or physical custody of the child, reasons for and circumstances under which the child was taken into temporary custody, and other data. SEE ALSO Delinquent Case Files, Adjudicated (Formal); and Delinquent Case Files, Informal in the County Juvenile section. (Minimum retention: 3 years)

(57) Lost and Found Property Records: Records documenting agency receipt and maintenance of lost and found or abandoned property such as money, bicycles, automobiles, and other items not related to a crime. Includes receipts, inventory lists, destruction logs, property reports, and related records. (Minimum retention: 2 years after disposition)

(58) Maps, Law Enforcement: Maps and related records maintained for reference and for tracking various trends. Examples include but are not limited to Neighborhood Watch Program maps, Block Home Program maps, street number location maps and books, parking meter maps, and maps plotting reported crimes in a given area. (Minimum retention: Until superseded or obsolete)

(59) Marine Enforcement Reports: Records document the marine enforcement activities of the county sheriff's department. Information includes types of waterway and watercraft violations, citations issued and other related information. (Minimum retention: (a) Annual Reports: 5 years (b) Monthly Reports: Retain until annual report created)

(60) Master Name Index Records: Records documenting information on each individual who has been field interrogated or arrested, suspects or accomplices in crimes, victims, complainants, and witnesses to incidents. Information may include name, address, date of birth, race, sex, date and time of incident or contact, incident number, and related data. (Minimum retention: Until superseded or obsolete)

(61) Mug Shots: Photographs and negatives of arrested individuals used for identification and apprehension of suspects in criminal investigations. Mug shots of individuals known to be dead need not be retained. (Minimum retention: (a) Retain homicides: 20 years (b) Retain felonies: 10 years (c) Retain misdemeanors: 5 years)

(62) Neighborhood Dispute Resolution Records: Records documenting a county's dispute resolution program to handle complaints by citizens about concerns or disputes with neighbors or merchants. Typical cases may include animal control, landlord/tenant issues, noise, harassment, property disputes, and business/consumer issues. Records may include budget, activity, and statistical reports, mediation training information, evaluation and intake records, service referrals, resolution agreements, and follow-up surveys. Information may include name, phone number, and address of person filing complaint, case number, date of activity, narration of request or complaint, name and address of offender, action taken, and other data. (Minimum retention: (a) Retain case records 5 years after last action (b) Retain other records 2 years)

(63) Officer Notes: Notes written by officers during the course of a shift containing information which may or may not be included in an official report. May pertain to contacts, incidents, unusual circumstances, and other subjects. Useful for referral in writing reports and testifying in court. Information includes names, dates, times, vehicles, activities, locations, and related data. Note: Officer notes recorded on handheld electronic organizers (e.g. Palm Pilots) are public records under ORS 192. Information on electronic organizers is subject to the same retention as the paper record unless the information is kept in another format for the duration of the retention period. (Minimum retention: 2 years)

(64) Officer Weapon Registration Records: Records documenting weapons assigned to law enforcement officers. Information includes officer's name, and the make, model, serial number, and caliber of the weapon. (Minimum retention: Until superseded or obsolete)

(65) Patrol Car Camera Videotapes: Records document patrol activities. Patrol officers may manually activate cameras when calls come in or cameras may automatically activate upon rapid vehicle acceleration or deceleration. (Minimum retention: (a) Retain tapes used as evidence until case reaches final disposition (b) Retain tapes used for internal investigations until investigation ends (c) Retain all other tapes 30 days)

(66) Pawn Broker and Second Hand Dealer Reports: Reports submitted to the department documenting merchandise bought and sold by dealers. Useful in tracing stolen items. Information includes name, address, identification, and personal description of pledgor, as well as the date, dealer's name, and description of article. (Minimum retention: 2 years)

(67) Peer Court Records: Records documenting the peer court system where youths who have committed certain first time misdemeanors or violations are judged through a court system of their peers (aged 12–17 years). Records may include policy and procedures manuals, budget, activity and statistical reports, guidelines and instructions for participants, applications to participate in the program, juvenile consent form, intake interview form, defendant questionnaire, summary report, attorney's analysis, jury verdict record, bailiff record, clerk's record, community service log, judge's notes, officer's status reports, defendant evaluation, parent evaluation, and related documentation. SEE ALSO Policy and Procedure Manuals and Guidelines in the Administrative section. (Minimum retention: (a) Case records: 5 years after final disposition of case, or youth reaches age of majority, whichever is longer (b) Participant guidelines and instructions: Until superseded or obsolete (c) Other records: 2 years)

(68) Photo Identification Records: Photographs and other records used to identify agency employees, private security personnel, contract workers, and others. May include photographs taken for agency identification cards, driver's license photographs, and information such as name, date of birth, physical description, identification number, driver's license number, and other data. (Minimum retention: Until superseded or obsolete)

(69) Photo Radar Records: Records documenting traffic infractions by drivers that have been photographed by the county sheriff's photo radar equipment. Records may include photographic negatives and prints, copies of citations, copies of drivers' licenses, forms to dismiss, logs, and related documentation. (Minimum

retention: (a) Retain photo radar citations issued and logs: 2 years (b) Retain photo radar citations not issued 30 days)

(70) Polygraph Records: Records documenting polygraph tests given to criminal suspects, prospective employees and others. Includes pre-examination records, examination questions for individuals interviewed, statements of consent, polygraph analysis reports, examiner's original test questions, examination chart tracing reports, polygraph results charts, conclusions, interviewee statements, and background information. (Minimum retention: (a) Retain cases involving crimes with no statute of limitations 75 years (b) Retain all other cases 1 year after statute of limitations expires)

(71) Property and Evidence Control and Disposition Records: Records used to track property and evidence coming into department possession. Documents receipt, storage, and disposition of personal property and physical evidence from defendants, victims, and others. May include evidence photographs documenting crime scenes, accidents, and other incidents. Records often include receipt forms, evidence control sheets, property reports, destruction lists, property consignment sheets, seized firearm logs, homicide evidence inventories, and other documents. Information usually includes case number, tag number, date and time, property or evidence description, storage location, release date, and other data. (Minimum retention: (a) Retain cases involving crimes with no statute of limitations 75 years (b) Retain all other cases 1 year after statute of limitations expires)

(72) Property Registration Records: Records documenting the registration of property for identification in case of theft, loss, or burglary. Property includes but is not limited to bicycles, televisions, cameras, stereos, and guns. Information may include name, address, and phone number of owner, date, description of property, serial number, and related data. (Minimum retention: Until registration is expired, superseded or obsolete)

(73) Property Sales/Deed Records: Documents sale and conveyance of real and personal property by the enforcement agency. May include certificates of levy, notices of sale, publication proofs, mailing receipts, copy of judgment and execution, certificate of sale, return of service, and copy of deed issued. (Minimum retention: 6 years)

(74) Scene Reconstruction Visuals: Exhibits and other visual aids created for use in court. Crime scenes were reconstructed and photographed in order to visually present information. (Minimum retention: (a) Retain cases involving crimes with no statute of limitations: Retain 75 years after case closure (b) Retain all other cases: Retain 1 year after statute of limitations expires)

(75) Subpoenas: Records document subpoenas issued to law enforcement personnel to appear in court for the purpose of testifying. Information contains date of issuance, date requested, and location. (Minimum retention: Until court appearance)

(76) Surveillance Tapes: Records documenting the routine monitoring of courts and other facilities through the use of video recordings. These recordings contain daily footage of activities in the courthouse or other county facilities and may also serve as evidence in criminal proceedings. (Minimum retention: (a) Retain tapes used as evidence: until case reaches final disposition (b) Retain tapes used for internal investigations: until investigation ends (c) Retain all other tapes: 30 days)

(77) Teletype Messages: Incoming and outgoing teletype messages concerning a variety of subjects of interest to the department. Subjects include incidents, meetings, arrests, warrant confirmation and others. Information includes date, time, originating agency, and text. (Minimum retention: (a) Retain messages of interest to law enforcement agency not warranting inclusion in INCIDENT CASE FILES or other record series: 1 year (b) Retain all other messages: Until read)

(78) Towed Vehicle Records: Rotation lists and related records documenting tow truck requests and responses. Information usually includes date, name of requestor, name of towing company called, location, and other data. Records may also include documentation of vehicles towed from private property at the request of citizens.

This information is used to prevent towed vehicles from being reported as stolen. (Minimum retention: 1 year)

(79) Traffic, Transit and Other Citation Logs: Logs listing various information related to citations issued by the department. Usually includes type of citation, ticket number, name of violator, date of issue, and officer's name. (Minimum retention: 1 year)

(80) Traffic, Transit and Other Citations: Department copies of citations issued for traffic, transit, motor vehicle, and other violations. Includes Uniform Traffic Citations, parking citations, and others. Information includes city and county, date and time, name and address, date of birth, sex, occupation, license number, state, year, make and model of vehicle, location of violation, law allegedly violated, conditions, name of officer issuing citation, and related data. (Minimum retention: 2 years)

(81) Traffic, Transit Violation Warning Records: Series documents warnings issued for alleged traffic, transit and other minor offenses. Records are often used to identify repeat offenders and support follow-up investigations. Information includes date, time, category, name, address, phone number, date of birth, race, sex, hair and eye color, height, weight, drivers license number, make and model of vehicle, location of violation, description of violation, signatures, and related data. (Minimum retention: 1 year)

(82) Transportation of Prisoner Records: Records documenting the movement of prisoners from one place to another. Includes times, dates, employee in charge, prisoners transported, locations where prisoners were transported, etc. (Minimum retention: 3 years)

(83) Used Firearm Transfer Records: Records document the sale or transfer of a firearm. Information includes business name and address, individual purchasing or trading firearm, time and date of transaction, firearm description, including serial number, caliber, form of identification presented by the seller/trader, and dealer and seller/trader signatures and phone numbers. (Minimum retention: 1 year)

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 6-2004, f. & cert. ef. 11-15-04; OSA 3-2012, f. & cert. ef. 10-29-12;

OSA 1-2014, f. & cert. ef. 2-25-14

## 166-150-0140

### Library

(1) Accession Records: Information related to library acquisitions. Documentation for book accessions usually includes author, title, publisher, jobber, year purchased, purchase price, and other bibliographic and accession data. Non-book media contain other pertinent information. (Minimum retention: Until superseded or obsolete)

(2) Borrower Registration Records: Records used to grant citizens library cards and privileges as well as to control circulation of library holdings. Individual borrower registration information may include name, address, telephone number, date of birth, signature, expiration date, identification number, and related data. (Minimum retention: Until superseded or 1 year after expiration)

(3) Catalogs: Finding aids which provide patrons with access to library holdings by subject, title, keyword, and author. Usually includes author's name, title of book or other media, call number, bibliographic description, and related information. (Minimum retention: Until superseded or obsolete)

(4) Circulation Records: Records documenting information pertinent to the circulation of materials such as books, magazines, record albums, compact disks, dvd's, audio and video tapes, and computer software. May include patron identification, date circulated and date due. (Minimum retention: Until transaction is completed)

(5) Inter-library Loan Records: Records documenting materials borrowed and loaned by the library through an interlibrary loan program in response to patron and other library requests. May include requests, notices, tracking logs, and other records. (Minimum retention: 6 months after materials returned to owner library)

(6) Library Publications: Publications distributed to the public to advertise library services, programs, and activities. May include brochures, newsletters, activities calendars, bookmobile schedules, special events flyers, and other records. (Minimum retention: (a)

Retain brochures, pamphlets, and leaflets until superseded or obsolete (b) Retain one copy of all others permanently)

(7) Master Shelf Lists/Inventories: Records document inventories of all library holdings, including volumes and titles added or withdrawn from the collection. Usually arranged by call number, showing title, author, accession number, publisher, date bought, cost, and number of copies. Used as an inventory control by library personnel. (Minimum retention: Until superseded or obsolete)

(8) Library Reports: Statistical and narrative monthly reports documenting collection, registration, circulation, lost books, children's programs, and other activities. Useful in program planning and budget preparation. May include various reports such as circulation statistics by category (non-fiction, fiction, magazines, etc.), books reserved, photocopies made, overdue notices mailed, borrowers registered, and volunteer hours. May also include narrative reports addressing new activities, services, events, and issues. (Minimum retention: (a) Retain reports summarizing activities on an annual basis: Permanently (b) Retain other reports: 2 years)

(9) Oregon State Library Annual Reports: Agency copy of a report filed with the Oregon State Library in satisfaction of ORS 357.520 to monitor library programs. Includes statistics on circulation, patrons served, interlibrary loan transactions, children's programs, and other subjects. (Minimum retention: Permanent)

(10) Overdue Book Records: Records used to monitor status of overdue books and other media. Also used to notify patrons to return overdue library materials. Often includes notices and lists. Lists document long overdue materials and can be useful in collection action. (Minimum retention: Until materials returned, or debts reconciled or deemed uncollectible)

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 4-2004, f. & cert. ef. 9-1-04

## 166-150-0145

### 9-1-1/Public Safety Answering Point Records

(1) Briefing Records: Records document internal communication between supervisors and shift workers or between staff on different shifts to alert them to problems, issues, or activities. Records may include but are not limited to briefing logs, teletype messages, and bulletins from other agencies. (Minimum retention: 7 days)

(2) Data Management System Records: Records document the maintenance and update of current information used to provide and direct incident response within a 9-1-1/public safety answering point service area. Information may include but is not limited to address data, response unit's assignments, response codes, responsible person data, and related documentation. (Minimum retention: Until superseded or obsolete)

(3) Dispatch Incident Records: Records document specific incidents when a call is received by the 9-1-1/public safety answering point and subsequent response activities. Information may include but is not limited to caller's name; address, and telephone number; details of incident or complaint; call taker/dispatcher name; which agency responded and when; and incident disposition. Additional information received through an enhanced system is the Automatic Number Identification and Automatic Location Identification (ANI/ALI) which includes the telephone subscriber name, subscriber's telephone number, and subscriber's telephone service location. (Minimum retention: 2 years)

(4) Enhanced 911 Service Plans: Records document the planning, development, and implementation of enhanced 9-1-1/public safety answering point systems. Plans and any subsequent amendments are required to be submitted to the Oregon State Police, Emergency Management Division for approval. The plan may be periodically revised and updated. Records may include but are not limited to preliminary and final plans, drafts and worksheets, correspondence, and other records described in OAR 104-080-0020. (Minimum retention: (a) Approved plans and amendments: 5 years after superseded or obsolete (b) Preliminary plans, drafts, worksheets, and supporting materials: Until plan approved by Oregon State Police, Emergency Management Division)

(5) Master Street Address Guide (MSAG) Maintenance Forms: Records document the 9-1-1/public safety answering point's



notification to the phone service provider about the addition of new streets or revision to existing streets on the Master Street Address Guide (MSAG). The MSAG is maintained by the phone service provider or its independent contractor. Forms are usually maintained by the agency's MSAG Coordinator. Information may include but is not limited to new or updated address, customer, and responder information. (Minimum retention: 2 years)

(6) Master 24-Hour Audio Files: Files document recorded incoming emergency and non-emergency calls; law enforcement, fire, and emergency medical services dispatches; radioactivity; and 9-1-1/public safety answering point calls. Files are maintained on a 24-hour basis. (Minimum retention: 7 months)

**NOTE:** Specific recordings of incidents may warrant longer retention for legal reasons

(7) Operational Logs Records: document chronological tracking of activities related to 9-1-1/public safety answering point operations. Records may include but are not limited to radio logs, telephone logs, tow logs, and criminal background check request logs. (Minimum retention: 1 year)

(8) Premise Information Records: Records document information about specific premises or locations that emergency responders need to know in advance of arrival at an incident site. Information may include but is not limited to hazardous materials storage locations, whether building plans were submitted to the fire department, unique information about buildings such as utility shutoffs, and related documentation. (Minimum retention: 2 years, or until renewed, superseded, or expired, whichever is sooner)

(9) Quality Assurance Records: Records document the evaluation, analysis, and assessment about the performance and quality of services provided by the 9-1-1/public safety answering point system. Records may include but are not limited to system evaluations, system performance reports, satisfaction surveys and questionnaires, quality improvement reports and recommendations, quality assurance committee minutes, and related documentation. (Minimum retention: (a) Survey instruments: 2 years, or until summary report completed, whichever is sooner (b) Other records: 2 years)

(10) Statistical Reports: Records document the compilation of statistical data about the actions and activities of the 9-1-1/public safety answering point system. Data may be compiled on a daily, weekly, monthly, quarterly, and/or annual basis and may be used for analysis, evaluation, and budget development purposes. Information may include but is not limited to data about response times, number of calls received and dispatched, and responses by individual agency. (Minimum retention: (a) Data instruments used to compile statistics: Until statistical report completed (b) Daily and weekly reports: Until compiled into monthly reports (c) Monthly and quarterly reports: 1 year (d) Annual reports: 10 years)

(11) System Error/Malfunction Records: Records document 9-1-1/public safety answering point electronic systems errors or malfunctions and subsequent corrective action. Records may include but are not limited to enhanced system error reports, trouble logs, work orders, correspondence, and related documentation. (Minimum retention: 2 years)

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 4-2004, f. & cert. ef. 9-1-04

## 166-150-0150

### Parks and Recreation

(1) Chemical Application Records: Records documenting the application of chemicals such as pesticides, herbicides, and fertilizers to parks and other property. Information usually includes date used, weather conditions, application area, chemical applied, mix ratio, and coverage rate. (Minimum retention: 3 years after application)

(2) Park and Facility Inspection Records: Records documenting periodic inspection of parks and facilities to check for damage and recommend repairs and maintenance. Includes inspections of play equipment, lighting, sidewalks, restrooms, storage areas, picnic tables, swimming pools, and other property and equipment. Records often include inspection worksheets or checklists, reports, and

related documents. Information includes property or equipment location and description, type of inspection, recommended repair, dates of inspection, and other data. (Minimum retention: 2 years)

(3) Park and Facility Use Permits: Permits issued to individuals or organizations for special uses of parks and facilities. Examples include fun runs, bicycle races, events with more than a specified number of participants, events including amplified sound, and those at which alcoholic beverages will be served. May also include other special use permits such as for the use of metal detectors and other equipment on park property. (Minimum retention: 2 years after denial, revocation, or expiration of permit)

(4) Park Caretaker Records: Records documenting the maintenance, construction, operation, and rehabilitation of county parks, waysides, and recreational areas. The park caretaker provides visitors with parks related information through distribution of publications and educational presentations. The caretaker may also issue permits and collect fees, and issue citations and written warnings. SEE ALSO Permit and License Records, Agency-Issued in Administrative section. (Minimum retention: 3 years after caretaker separation)

(5) Participant Registration and Attendance Records: Records documenting registration and attendance of participants in various agency sponsored events, activities, and classes. Records may include registration forms or cards, class or activity rosters, and related documents. Information usually includes name, dates, and times of class or activity, fee paid, and name, address, phone number, and signature of participant. Further information may include pertinent medical data, date of birth, signature of parent or guardian, and more. (Minimum retention: 3 years)

(6) Rental and Loan Records: Records documenting the rental or loan of agency owned facilities or equipment. Examples include short term rental of facilities and structures as well as rental or loan of sports equipment, tools, gardening implements, and other items. Records often include applications, calendars, lists, receipts, and related documents. Information usually includes name, address, and phone number of renter or borrower, description of facility or equipment, date and time rental or loan expires, signature, and other data. (Minimum retention: 3 years)

(7) Swimming Pool Operation and Maintenance Records: Records documenting the operation and maintenance of agency swimming pools. Information includes results of pool water quality tests described in OAR 333-060-0200(3), date and time of filter backwash, dates during which the pool was emptied and/or cleaned, and periods of recirculation equipment operation and/or malfunction and repair. May also include records documenting inspection and maintenance of safety equipment. (Minimum retention: 2 years after facility closes)

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 4-2004, f. & cert. ef. 9-1-04

## 166-150-0155

### Payroll Records

(1) Deduction Authorization Records: Records documenting employee application and authorization for voluntary payroll deductions, direct bank deposits, and related actions. Payroll deductions are directly deposited or remitted to the authorized financial institution, insurance company, or other agency or vendor. Records may include insurance applications, enrollment cards, deduction authorizations, approval notices, deduction terminations, and related records. (Minimum retention: 3 years after superseded, terminated, or employee separates)

(2) Deduction Registers: Registers or records serving the same function of documenting voluntary and/or required deductions from the gross pay of agency employees. Types of deductions include federal income and social security taxes, state tax, workers' compensation, union dues, insurance, deferred compensation, credit union, parking permit, prewritten checks, garnishments, levies, charitable contributions, and others. Information may include employee name and number, pay period, social security number, total deductions, net pay, check number, and related data.

(Minimum retention: (a) Registers documenting state and federal taxes: 5 years (b) Other registers: 3 years)

(3) **Employee Time Records:** Records documenting hours worked, leave hours accrued, and leave hours taken by agency employees. Information usually includes employee name and social security number, hours worked, type and number of leave hours taken, total hours, dates, and related data. SEE ALSO Leave Applications in this section. (Minimum retention: 4 years)

(4) **Federal and State Tax Records:** Records, in addition to those itemized in this section, used to report the collection, distribution, deposit, and transmittal of federal and state income taxes as well as social security tax. Examples include the federal miscellaneous income statement (1099), request for taxpayer identification number and certificate (W-9), employer's quarterly federal tax return (941, 941E), tax deposit coupon (8109), and similar federal and state completed forms. (Minimum retention: (a) For the retention of records documenting expenditure of grant funds: see Grant Records in the Financial section (b) Retain other records: 4 years)

(5) **Garnishment Records:** Records documenting requests and court orders to withhold wages from employee earnings for garnishments, tax levies, support payments, and other reasons. Usually includes original writs of garnishment, orders to withhold for the Oregon Department of Human Resources, federal or state tax levies, recapitulations of amounts withheld, and related records. Information usually includes employee name and number, name of agency ordering garnishment, amount, name of party to whom payment is submitted, dates, and related data. (Minimum retention: 3 years after resolution)

(6) **Leave Applications:** Applications or requests submitted by employees for sick, vacation, compensatory, personal business, family and medical leave, long term leave, and other leave time. Information usually includes employee name, department, date, leave dates requested, type of leave requested, and related data. SEE ALSO Employee Time Records in this section. (Minimum retention: 3 years)

(7) **Leave Balance Reports:** Reports documenting individual employee accrual and use of sick, vacation, compensatory, personal business, family and medical leave, and other leave time. Information usually includes employee name and number, social security number, leave beginning balance, leave time accrued, leave time used, ending balance, and related data. SEE ALSO Employee Benefits Records in the Personnel section. (Minimum retention: (a) Year-end leave balance reports: 75 years after date of hire (b) Other reports: 4 years)

(8) **Payroll Administrative Reports:** Reports, statistical studies, and other records designed and used for budget preparation, projections, workload and personnel management, research, and general reference. Often consists of recapitulation reports organizing wages, deductions, and other data into categories such as quarter-to-date, year-to-date, fiscal year-to-date, department, division, section, employee/employer contributions, and others. (Minimum retention: 3 years)

(9) **Payroll Registers:** Registers or records serving the same function of documenting the earnings, deductions, and withholdings of agency employees. Information usually includes employee name and number, social security number, hours worked, rate, overtime, vacation value, leave taken or accrued, various allowances, gross pay, federal and state withholding, voluntary deductions, net pay, and related data. (Minimum retention: (a) Retain year-end, or month-end if no year-end payroll registers: 75 years (b) Retain other payroll registers: 3 years)

(10) **Unemployment Compensation Claim Records:** Records documenting claims submitted by former agency employees for unemployment compensation. Usually includes claims, notices, reports, and related records. May also include records generated by the appeal of claim determinations. (Minimum retention: 3 years)

(11) **Unemployment Reports:** Records documenting employee earnings on a quarterly basis. Used to document costs and charges in the event of an unemployment compensation claim. Information

includes employee name, social security number, quarterly earnings, days worked, totals, and other data. (Minimum retention: 3 years)

(12) **Wage and Tax Statements:** Annual statements documenting individual employee earnings and withholdings for state and federal income taxes and social security tax. Also known as federal tax form W-2. Information includes agency name and tax identification number, employee name and social security number, wages paid, amounts withheld, and related data. (Minimum retention: 5 years)

(13) **Withholding Allowance Certificates:** Certificates documenting the exemption status of individual agency employees. Also described as W-4 forms. Information includes employee name and address, social security number, designation of exemption status, and signature. (Minimum retention: 5 years after superseded or employee separates)

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 4-2004, f. & cert. ef. 9-1-04

## **166-150-0160**

### **Personnel Records**

(1) **Affirmative Action Records:** Records documenting agency compliance with the statutes and regulatory requirements of the U.S. Equal Employment Opportunity Commission. May include plans, updates, policy statements, reports, and supporting information. (Minimum retention: (a) Plans, updates, and policy statements: Permanent (b) Other records: 3 years)

(2) **Benefits Continuation Records:** Records document notifications to employees or dependents informing them of their rights to continue insurance coverage after termination of during disability or family leave. Continuation may be under COBRA or another provision. Notice is also sent to a third party administrator who administers the extended coverage. The records typically consist of notices sent and correspondence. Records may be filed with the Employee Benefits Records or Employee Personnel Records. SEE ALSO Employee Payroll Records in the Payroll section. (Minimum retention: 3 years after employee separation of eligibility expired)

(3) **Collective Bargaining Records:** Records documenting negotiations between the agency and employee representatives. May include contracts, reports, negotiation notes, arbitration findings, cost analyses, minutes, tape recordings, and related significant records. (Minimum retention: (a) Contracts and minutes: 75 years after contract expires (b) Other records: 6 years after contract expired)

(4) **Comparable Worth Study Records:** Records documenting the analysis, study, and resolution of pay equity, alleged job discrimination, and related issues involving the agency and its employees. May include job content questionnaire summaries, position allocation reports, personnel reclassification studies, job category listings, study outlines, graphs, tables, and significant related records. (Minimum retention: (a) Final study or report: Permanent (b) Other records: 5 years)

(5) **Criminal Background Check Records:** Records document the pre-employment or periodic criminal records checks performed on prospective or current staff, faculty, and volunteers. Records may include but are not limited to a log recording when background checks are done and whom they are done on, and 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 personally identifiable information, indication of existence or absence of criminal record, and related documentation. (Minimum retention: (a) Retain background check log: until superseded or obsolete (b) Retain all other records: 90 days)

(6) **Disciplinary Action Records:** Records documenting termination, suspension, progressive disciplinary measures, and other actions against employees. May include statements, investigative records, interview and hearing records, findings, and related records. May be filed with Employee Personnel Records. (Minimum retention: (a) Retain investigations resulting in termination: 10 years after employee separation (b) Retain investigations resulting

in disciplinary action or exoneration: 3 years after resolution (c) Retain unfounded investigations: 3 years)

(7) 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. (Minimum retention: (a) Retain positive test results: 5 years (b) Retain negative test results: 1 year)

(8) Employee Benefits Records: Records document an individual agency employee's benefit information such as selection of insurance plans, retirement, pension, and disability plans, flexible benefits, 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, year-end leave balance reports, and related documentation. Records may be filed with the Employee Personnel Record. SEE ALSO Payroll Section. (Minimum retention: (a) Year-end leave balance reports and official copy of retirement enrollment records: 75 years after date of hire (b) Other records: 3 years after employee separation or eligibility expired)

(9) Employee Medical Records: Records document an individual employee's work related medical history. These records are not personnel records and must be kept physically separate from employee personnel records — in a separate location, as required by the Americans with Disabilities Act. 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, drug testing records, first-aid incident records, physician statements, release consent forms, and related correspondence. SEE ALSO Hazard Exposure Records in this section. (Minimum retention: (a) Hazard exposure records: 30 years after separation (29 CFR 1910.1020) (b) Other records: 6 years after separation)

(10) Employee Personnel Records: Records document an individual employee's work history. Records may include but are not limited to applications; notices of appointment; employment applications; training and certification records; records of health limitations; salary schedules; tuition reimbursement records; personnel actions; performance appraisal evaluations; letters of commendation and recommendation; letters of reprimand; notices of disciplinary action; notices of layoff; letters of resignation; home address and telephone disclosures; emergency notification forms; grievance and complaint records; and related correspondence and documentation. SEE ALSO Disciplinary Action Records; Employee Benefits Records; Employee Medical Records; Grievance and Complaint Records; Recruitment and Selection Records; and Volunteer Worker Records in this section. SEE ALSO Oaths of Office in the County Clerk-General section. (Minimum retention: (a) Retain letters of reprimand and notices of disciplinary action 3 years (b) Retain all other records 6 years after separation)

(11) Employee Recognition Records: Recognition of employees for special service to the agency. May include service awards, recognition certificates, commendations, award nominations, lists of past recipients, and presentation or ceremony records and photographs. Some records in this series may have historic value. For appraisal assistance contact the Oregon State Archives. SEE ALSO Employee Suggestion Award Records in this section. (Minimum retention: 6 years)

(12) Employee Suggestion Award Records: Records documenting an employee suggestion program where employees may submit suggestions that improve effectiveness, efficiency, and economy in agency operations. Employees may receive awards for adopted suggestions. Records may include suggestion forms and evaluations, award information, and related documentation. SEE ALSO Employee Recognition Records in this section. (Minimum

retention: (a) Adopted suggestions: 2 years (b) Suggestions not adopted: 1 year)

(13) Employment Eligibility Verification Forms (I-9): Records document the filing of U.S. Immigration and Naturalization Service Form I-9 form that verifies that an applicant or employee is eligible to work in the United States. Information includes employee information and verification data such as citizenship or alien status and signature, and employer review and verification data such as documents that establish identity and eligibility, and employer's signature certifying that documents have been checked. (Minimum retention: 3 years after date of hire or 1 year after employee separation, whichever is longer (8 CFR 274a.2))

(14) Equal Employment Opportunity Compliance Records: Reports and records maintained by the agency with 15 or more employees in compliance with the U.S. Equal Opportunity Commission regulations. Contains EEO-4 reports and all records related to the completion of the reports. (Minimum retention: 3 years)

(15) Equal Employment Opportunity Complaint Records: Case files maintained in relation to discrimination complaints made against the agency. Records may include complaints, reports, exhibits, withdrawal notices, copies of decisions, hearings and meetings records, and related documentation and correspondence. (Minimum retention: 3 years after final decision issued)

(16) Equal Employment Opportunity Policy Development Records: Records documenting the adoption and administration of agency programs to set personnel policies and procedures within the scope of the Civil Rights Act of 1964 and the Equal Employment Opportunity Act of 1972. May contain antidiscrimination committee meeting records and reports, workplace analyses, discrimination complaint policies and procedures, and related records. (Minimum retention: (a) Plans, updates, and policy statements: Permanent (b) Other records: 3 years)

(17) Grievance and Complaint Records: Grievances or complaints filed by current employees, terminated employees, applicants, or private citizens regarding employment practices. Often relates to interpretations and alleged violations of employment contracts. Records often include complaints, investigation records, interview and hearing reports, arbitrator's findings and decisions, tape recordings, and related records. (Minimum retention: 3 years)

(18) Hazard Exposure Records: Records document an agency employee's exposure to hazardous conditions such as chemicals, toxic substances, bloodborne 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 this section. (Minimum retention: 30 years after separation (29 CFR 1910.1020))

(19) Hearing Test Records: Records documenting employee participation in the State Hearing Conservation Program as required by the Oregon Workers' Compensation Division. The program applies to employees exposed to working conditions that may impair hearing. Contains measurement records that include audiogram number, employee's name and department, technician's name, date tested, and remarks. Also contains hearing test results which include employee's name, department, job classification, length of service, phone number, date of birth, previous hearing condition, exposure to sound levels, results of noise exposure and audiometer tests, comments, and related information. (Minimum retention: Until employee separation (29 CFR 1910.95))

(20) Layoff Records: Series documents procedures and computations used in laying off agency employees. May include service credit computations, service credit lists, and layoff ranking lists. Related records may be filed in Employee Personnel Files. (Minimum retention: 3 years)

(21) Photo Identification Records: Photographs and other records used to identify agency employees, private security person-



nel, contract workers, and others. May include photographs taken for agency identification cards, driver's license photographs, and information such as name, date of birth, physical description, identification number, driver's license number, and other data. (Minimum retention: Until superseded or obsolete)

(22) Position Description, Classification, and Compensation Records: Records document the description, classification, reclassification, and compensation of agency jobs and positions, a process also known as desk auditing. Usually includes details of duties and responsibilities of each position, time percentage breakdowns of tasks, skills and abilities needed for each position, and related records documenting the development, modification, or redefinition of each job or position. Records often include reports, job analyses, interview data, selection criteria, authorizations, agreements, and significant related records. (Minimum retention: 3 years after superseded or obsolete)

(23) Recruitment and Selection Records: Records document the recruitment and selection of agency employees. Records may also document the recruitment and selection of contracted service providers such as attorneys, auditors, insurance agents, labor consultants, and others. Records may include but are not limited to job announcements and descriptions, applicant lists, applications and resumes, position advertisement records, civil service and other examination records, classification specifications, affirmative action records, interview questions, interview and application scoring notes, applicant background investigation information, letters of reference, civil service records, position authorization forms, certification of eligibles, recruitment summary records (job announcement, position description, documentation relating to the announcement and test, and test items and rating levels), and related correspondence and documentation. SEE ALSO Employee Personnel Records and Employment Eligibility Verification Forms (I-9) in this section. (Minimum retention: (a) Retain announcement records, position description, and records documenting creation of test and rating scale 10 years (b) Retain unsolicited applications and resumes 3 months if not returned to solicitor (c) Retain unsuccessful applications and other records 3 years after position filled or recruitment cancelled)

(24) Training Program Records: Records related to the design and implementation of training programs provided to employees by the agency. May include class descriptions, instructor certifications, planning documentation, instructional materials, course outlines, class enrollment and attendance records, and related significant records. (Minimum retention: (a) Significant program records: 5 years (b) Class enrollment and attendance records: 2 years (c) Other records: 1 year)

(25) Volunteer Program Records: Records documenting the activities and administration of volunteer programs and volunteers in the agency. May include volunteer hour statistics, volunteer program publicity records, insurance requirement information, inactive volunteer files, and related records. SEE ALSO Volunteer Worker Records in this section for records related to individual volunteers. (Minimum retention: Retain 5 years)

(26) Volunteer Worker Records: Records documenting work performed for the agency by citizens without compensation for their services. May include agreements, applications, skill test results, training documentation, task assignment and monitoring records, and related information. (Minimum retention: 3 years after separation)

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 4-2004, f. & cert. ef. 9-1-04

## 166-150-0165

### Planning

(1) Comprehensive Plan Records: Records indicating the types of uses and activities allowed in particular land designations. Used to guide long term growth and development and to comply with state and federal laws. Usually contains public hearings records, plans, amendments, staff reports, periodic review records, maps, photographs, and other significant records. (Minimum retention: Permanent)

(2) Conditional Use Records: Applications and decisions related to requests for certain land uses within a zone that require special review and approval. May include applications, site plans, zoning maps, staff reports, administrative action reports, and related significant records. (Minimum retention: 10 years after expiration, revocation, or discontinuance of use)

(3) Design and Development Review Records: Architectural reviews of exterior renovations or new construction within particular geographical areas. Used to ensure integration of visual architectural standards. May include design review board or commission records such as minutes, agendas, and exhibits. Records also may include applications, site plans, staff reports, maps, review and appeal records, tape recordings, and related significant documents. Three dimensional exhibits such as sample boards of brick, tile, and other building materials are not public records. (Minimum retention: (a) Retain minutes, agendas, resolutions, indexes, and exhibits (not retained permanently elsewhere in agency records): Permanently (b) Retain audio or visual recordings: 1 year after minutes prepared and approved (c) Retain exhibits not pertinent to minutes: 5 years (d) Retain all other records if permit issued and structure completed: 2 years after substantial completion (as defined by ORS 12.135(3)) (e) Retain if no permit issued: 180 days (f) Retain if permit issued, but structure not started or completed: 2 years)

(4) Enterprise Zone Records: Records documenting the creation and management of enterprise zones by the agency or in conjunction with other agencies. Designation used to encourage business growth by providing tax, permit, and regulatory relief to development within the zone. May include reports, applications for zone status, nominations for federal status, and significant related records. (Minimum retention: (a) Retain reports summarizing results or activities permanently (b) Retain other records 4 years after zone designation expires)

(5) Flood Plain Permit Records: Permits issued for construction within a flood plain zone. Records also may include elevation certificates, applications, review records, check lists, and other significant documents. Permit information usually includes date, permit holder's name and address, U.S. map number, type of structure, and related data. (Minimum retention: (a) Retain permits and elevation certificates, 10 years after the life of the structure or area determined not to be a flood plain, whichever is longer (b) Retain other records 10 years)

(6) Historic Structures Inventory Records: Records documenting the results of inventory projects to designate historic properties within a particular geographic area. Inventory is in conjunction with Oregon Land Conservation and Development Commission Goal 5 procedures. Information usually includes street address, legal description, neighborhood, owner's name and address, date constructed, historic and architectural significance, and references used. (Minimum retention: Until superseded or obsolete)

(7) Historic Structures Rehabilitation Project Reviews: Routine reviews of proposals for rehabilitation of structures that have been designated historically significant or are 50 years old. Used to meet grant funding conditions and to protect the historical integrity of structures. Reviews often include address of structure, legal description, owner's name and address, proposed work, rehabilitation specialist's evaluation, violations noted, photographs, and related information. May also contain significant related correspondence. (Minimum retention: 3 years after project closed)

(8) Land Use Hearings Officer Records: Records documenting appeals to the agency's hearings officer and decisions reached concerning variances and changes to the zoning code and comprehensive plan. May refer to conditional uses, zone changes, partitions, code variances, and other proposed actions. Records may include applications, hearings minutes, findings of fact, agendas, exhibits such as maps, reports, photographs, etc., tape recordings, and significant related records. (Minimum retention: (a) Retain minutes, agendas, resolutions, indexes, and exhibits (not retained permanently elsewhere in agency records): Permanent (b) Retain audio or visual recordings: 1 year after minutes prepared and approved (c) Retain exhibits not pertinent to minutes: 5 years)

(9) Neighborhood/Citizen Association Charters and Bylaws: Charters and bylaws documenting the creation and organization of neighborhood associations designed to meet citizen involvement requirements and goals set by state and federal agencies concerned with urban development and land use issues. Usually includes articles of incorporation, amendments, and significant related records. (Minimum retention: Permanent)

(10) Partition Records: Records documenting the partitioning of land into two or three parcels. Includes both major and minor partitions. Records often contain applications, staff reports, technical notes, approval orders, maps, and related significant records. (Minimum retention: (a) If approved and agency conditions met: Permanent (b) If not: 10 years after expiration or revocation)

(11) Sign Review Records: Records documenting planning department review of sign construction. Often contains descriptions, drawings, photographs, reports, applications, and related significant records. (Retention: For the life of the structure)

(12) Subdivision Records: Records documenting actions on requests to divide one piece of land into four or more lots. Often includes applications, site locations, descriptions of requests, site plans, staff reports, appeals reports, decision statements, maps, and related significant records. Records documenting actions on requests to divide one piece of land into four or more lots. Often includes applications, site locations, descriptions of requests, site plans, inspection reports, appeals reports, decision statements, maps, photographs, bonds and assurances, insurance records, engineering reports, test records, and related significant records. (Minimum retention: (a) If approved and agency conditions met: Permanent (b) If not: 10 years after expiration or revocation)

(13) Temporary Use Records: Records documenting action on permits for temporary activities in commercial and industrial zones such as allowing temporary placement of structures incidental to construction. Records often contain applications, permits, staff reports, technical notes, approval orders, and other significant documents. (Minimum retention: 5 years after permit expiration)

(14) Urban Renewal Plans and Reports: Plans and reports mandated by ORS 457.085 to provide descriptions and justifications for proposed development in urban renewal areas within a particular geographic area. Includes plans, amendments, reports, hearings records, impact statements, feasibility studies, maps, relocation studies, and related significant records. (Minimum retention: Permanent)

(15) Urban Renewal Project Records: Records documenting individual renewal projects within urban renewal areas. Projects include but are not limited to construction, demolition, and rehabilitation of buildings, streets, and utilities. May include project area committee documents, reports, and related records, project plans, design reviews, maps, photographs, consultant studies, feasibility studies, agreements, and other significant records. Some records may have historic value. (Minimum retention: (a) Retain agreements: 10 years after substantial completion (as defined by ORS 12.135(3)) (b) Retain other records: 50 years)

(16) Variance Records: Applications and decisions in cases of minor deviations from zone code requirements. Often includes applications, site locations, description of requests, site plans, zoning maps, staff reports, and significant related records. (Minimum retention: 10 years after expiration, revocation, or discontinuance of use)

(17) Withdrawn Land Use Application Records: Records document land use applications and supporting documentation withdrawn by the applicant before a decision has been issued by the county or special district. Records may include but are not limited to applications, site location descriptions, site plans, maps and correspondence. (Minimum retention: 180 days if not returned to applicant at the time of withdrawal).

(18) Zone Change Records: Applications and decisions related to rezoning land within the scope of an existing comprehensive plan. Often includes applications, staff reports, technical notes, approval orders, and related significant records. (Minimum retention: (a) Applications, findings of fact, and decision documents: Permanent (b) Other records: 10 years after approval or denial)

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 4-2004, f. & cert. ef. 9-1-04; OSA 3-2012, f. & cert. ef. 10-29-12

## 166-150-0170

### Public Works Records — Engineering

(1) Aerial Photographs: Color and black and white photographs and negatives documenting topographical and physical features of a particular geographic area. Useful for planning and land management purposes. Information often includes date, location, frame sequence numbers, and other descriptive information. (Minimum retention: Permanent)

(2) Bench Mark Records: Bench marks placed by the agency or the United States Geological Survey to denote elevations above sea level. Records may include books, maps, cards, and other documents. Information includes location monument number, elevation, description, and related data. Usually filed numerically by bench mark number. (Minimum retention: Permanent)

(3) Bridge Inspection Records: Records related to bridge inspections required by the United States Department of Transportation 23 CFR 650.305. Inspections generally are done every two years. Records may include reports prepared in accordance with federal standards, photographs, correspondence and significant related documents. May also include bridge inventory records described in 23 CFR 650.311. (Minimum retention: 2 years after bridge removed from service)

(4) Engineering Project Technical Records: Records related to the planning, design, and construction of various agency improvement projects, including facilities, structures, and systems. Examples include those documenting both assessable and non-assessable improvements such as but not limited to streets, sidewalks, traffic lights, street lights, bikeways, water lines and wells, water and wastewater treatment facilities, buildings, and sewers. May be useful for litigation, reference, or budget planning. Records often include impact statements, feasibility studies, plans, amendments, policy and procedure manuals, field test and laboratory reports, inspector reports, change orders, status reports, and related records. (Minimum retention: 10 years after substantial completion, as defined by ORS 12.135(3))

(5) Maps, Plans, and Drawings: Maps, plans, and drawings created by the agency or contracted specifically for the agency. These include various types of maps such as system schematic, as built, topographic, planimetric, orthophoto, resource, and others. System schematic maps represent locational and other information about major systems such as water and sewer. Other maps are often derived from aerial photographs and represent physical features such as building footprints, edge of pavement, and contours. Series also includes as built plans, drawings, and details documenting agency engineering and construction projects. (Minimum retention: (a) Final versions: Permanent (b) Working maintenance maps: Until superseded or obsolete (c) Non-agency created maps: Until superseded or obsolete)

(6) Master Plans Records: Documenting the present and projected needs of the agency for water, sewer, storm drainage, street, bikeway, and other systems. Often includes an implementation schedule for construction. Records often include plans, reports, evaluations, cost analyses, drawings, and significant related documents. Subjects may include rates, inventory evaluations, system rehabilitation or replacement, distribution of services, and others. (Minimum retention: Permanent)

(7) Right-of-Way Permit Records: Permits issued for private use or construction on public right-of-ways such as streets, sidewalks, and adjacent land. Examples of activities may include house moving, and block parties and other uses. Information can include owner's name, address, and phone number, contractor's name, address, and phone number, location and description of activity, permit conditions, fee amount, date, signatures, and related data. (Minimum retention: (a) Construction related records: 10 years after substantial completion (as defined by ORS 12.135(3)) of project (b) Retain other records: 2 years after expiration, revocation, or discontinuance of use)

(8) Wetlands Conservation Planning Records: Records documenting the identification, delineation and management of wetlands

on agency property or right-of-ways. May include plans, amendments, annual reports, consultant reports, and significant related records. Wetlands conservation plans include descriptions, maps, inventories, and assessments of wetlands, as well as mitigation plans, policies, specifications, and monitoring provisions for managing wetlands. See ORS 196.678 for further description. (Minimum retention: Permanent)

(9) Wetlands Removal and Fill Permits Records: documenting agency application and receipt of permits regulating the removal or fill of material from wetlands on agency property or right-of-ways. Permits are issued by the Oregon State Division of Lands for up to five years before renewal is required. Includes applications, permits, and significant related records. Applications may include maps, project plans, spoils disposal plans, public use and need analyses, impact studies, and related records. Permits may include approvals and any attached conditions. (Minimum retention: 30 years)

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 4-2004, f. & cert. ef. 9-1-04

## 166-150-0175

### Public Works Records — Operations and Maintenance

(1) Backflow Prevention Device Test Records: Records documenting test results on backflow prevention devices designed to protect the water system from pollution related to substances backing into water lines. Information usually includes date, type and size of device, serial number, location, test records, line pressure, name of tester, name and address of device owner, and related data. (Minimum retention: 10 years)

(2) Buildings and Grounds Maintenance and Repair Records: Records of all maintenance and repairs to buildings, grounds, and right-of-ways owned or leased by the agency. Used to verify that repairs were made. May include summaries, logs, reports, and similar records usually compiled from daily work records on a monthly or quarterly basis. Information often includes location, narrative of work completed, materials used, personnel completing work, authorization, dates of activities, and related data. SEE ALSO Daily Work Records in this section, and Administrative and Financial Improvement Records in the Financial section. (Minimum retention: (a) Records requiring engineering stamps: 2 years after life of structure (b) Other records: 2 years)

(3) Cross Connection Control Survey Records: Records documenting the monitoring of potential or actual water system health hazards from pollution entering water pipes from other pipes. Records may include reports, surveys, checklists, and related documents. Information often includes address, contact person, business name, date, inspector, type of facility, description of protection, comments, corrections made, and other data. (Minimum retention: 1 year after disconnection or 10 years, whichever is longer)

(4) Delivery Tickets: Tickets issued by suppliers to verify delivery of supplies or materials (concrete, road base, gravel, topsoil, etc.) Information usually includes date, time, amount and type of supplies received, and related data. (Minimum retention: 2 years)

(5) Fill and Leaf Delivery Records: Records documenting citizen requests and agency delivery of fill material and leaves to private property. Often includes conditions, signature, address, and phone number of property owner, number of loads requested, desired dumping location, and related information. (Minimum retention: 2 years)

(6) Hydrant Records: Records documenting the location, specifications, maintenance, testing, and repair of water hydrants in the water system. May include lists, charts, logs, reports, and related records. Information often includes location, make, description (main size, valve size, flow capacity, etc.), maintenance and repair narratives, dates, authorizations, and related data. (Minimum retention: (a) Location and specification records: Until hydrant permanently removed from service (b) Maintenance, test, and repair records: 2 years)

(7) Permit-Required Confined Space Program Records: Records document OSHA program outlined in CFR

29.1910.146(e)(6) requiring employers to issue safety permits for employees entering potentially hazardous confined spaces, such as sewers. Records include permit, preentry testing data, field notations, and observations. (Minimum retention: 1 year)

(8) Sewer and Storm Drainage Maintenance and Repair Records: Records documenting the maintenance and repair of agency sewers and storm drains. May include summaries, reports, and similar records usually compiled from daily work records on a monthly or quarterly basis. Information often includes location, narrative of work completed, amount and type of material used, personnel completing work, dates of activities, authorization, and related data. SEE ALSO Permit Required Confined Space Program Records in this section. (Minimum retention: (a) Records requiring an engineering stamp: 2 years after sewer or storm drain permanently removed from service (b) Other records: 2 years)

(9) Sewer Smoke Test Records: Records documenting smoke tests undertaken to verify hookup to main sewer lines, check condition of pipes, or determine effectiveness of backflow prevention devices. Information often includes maps or diagrams of lines tested, location of leaks detected, inspector's name, pipe size, and related data. (Minimum retention: 10 years)

(10) Sewer Television/Videoscan Inspection Records: Reports documenting television inspections used to determine the condition of sewer lines. Inspections locate problems and defects so that corrective measures can be taken. Often consists of periodic inspections of existing lines, final inspections of newly constructed lines, and inspections at the end of warranty periods. Records usually contain videotapes and written reports. Information often includes date, type of inspection, conditions found, repairs needed, distances from manholes, and related data. (Minimum retention: (a) Written reports: 10 years or until superseded or obsolete, whichever is first (b) Video tapes: 1 year after written report submitted)

(11) Temporary Access/Construction Easement Records: Records documenting temporary easements allowing entrance and work on property not owned by the easement holder. Permits usually apply to agency crews and utility workers. Information can include applicant name, address, and phone number, contractor name and license number, utility involved, location, description of work, security deposit, surface restoration material used, signature, date, comments, permit number, and related data. (Minimum retention: 5 years after easement expires)

(12) Valve Maintenance Records: Records documenting the location, specifications, maintenance, and repair of valves in the water and sewer systems. May include lists, charts, drawings, reports, logs, and related records. Information often includes valve location, identification number, run of pipe, size, make, year installed, depth, turns to open and normal position, narratives of valve maintenance and repair, tests run, personnel completing work, dates, and related data. (Minimum retention: (a) Location and specification records: Until valve permanently removed from service (b) Maintenance and repair records: 5 years)

(13) Water Line Maintenance and Repair Records: Records documenting the maintenance and repair of agency-owned water lines. May include reports, summaries, and similar documents usually compiled from daily work records on a monthly or quarterly basis. Information often includes, location, narrative of work completed, amount and type of materials used, personnel completing work, dates of activities, authorization, and related data. (Minimum retention: (a) Records requiring an engineering stamp: 2 years after water line permanently removed from service (b) Other records: 10 years)

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 4-2004, f. & cert. ef. 9-1-04; OSA 3-2012, f. & cert. ef. 10-29-12

## 166-150-0180

### Public Works Records — Public Utilities

(1) Utility Account Change Records: Records documenting routine information changes to customer accounts. Includes name, address, and similar change orders for current and final accounts. (Minimum retention: 2 years)



(2) Utility Application/Disconnect Records: Applications completed by customers requesting water, sewer, power, garbage, or other agency provided services. Information usually includes customer's name, address, and phone number, meter information, date, and approval signatures. (Minimum retention: 3 years)

(3) Utility Billing Adjustment Records: Records documenting adjustments to customer water, sewer, power, garbage, or other agency provided service billings for debits, credits, refunds, returned checks, and related reasons. Information usually includes customer's name and address, type of adjustment, justification, amount changed, authorizing signatures, and other data. (Minimum retention: 3 years)

(4) Utility Customer Security Deposit Records: Records documenting customer payment of a security deposit to receive water, sewer, power, garbage, or other services. Information usually includes date, amount of deposit, customer's name, address, and account number, date account closed, refund date, amount of deposit confiscated, reason for confiscation, and related data. (Minimum retention: 3 years after refund or last action)

(5) Utility Installation and Connection Records: Records documenting the connection of specific properties to water, sewer, power, or similar systems. Does not apply to temporary stoppages or disconnections service. May include applications, permits, and similar records. Information often includes applicant's name and address, permit number, fee charged, service level, type of structure, pipe size, meter size and number, and related data. (Minimum retention: 2 years after physical disconnection)

(6) Utility Line Location Request Records: Records documenting requests and agency action to locate underground lines in the vicinity of a construction site. Information often includes name of person requesting location; planned and actual date and time of location; notations of water, sewer, storm drains, and other line locations; name and signature of person locating lines; and related data. (Minimum retention: 2 years)

(7) Utility Meter Installation, Maintenance and Repair Records: Records documenting the installation, maintenance, and repair of agency operated water and power meters. May include logs, summaries, and similar records usually compiled from daily work records on a monthly or quarterly basis. Information often includes address, narrative of work completed, personnel completing work, dates, and related data. (Minimum retention: 5 years)

(8) Utility Meter Test and Calibration Records: Records documenting the testing and calibration of agency operated water and power meters for accuracy. May include logs, reports, lists, charts, and similar records. Information can include address, test and calibration results, repairs needed, comments, and related data. (Minimum retention: Life of the equipment)

(9) Utility Service Bill Remittance Stubs: Bill stubs received with payments for water, sewer, power, garbage, and other agency provided services. These document receipt and posting of customer payments. Information usually includes account number, name, service address, payment received, and receipt date and number. (Minimum retention: 3 years)

(10) Utility Service Billing Register Records: Documenting transactions on the water, sewer, power, garbage, or other agency provided service account of each customer. Useful for reference to assure accurate customer billings. Information often includes customer's name, service address, meter reading, water or power usage, utility changes, payments, adjustments, prior balance due, current balance due, and related data. (Minimum retention: 3 years)

(11) Utility Service Meter Books Records: Documenting the readings of customer water or power meters by agency employees for billing purposes. Information usually includes name of meter reader, meter reading, date read, account number, billing code, final reading, reason for turnover, meter changes, and related data. (Minimum retention: 3 years)

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 4-2004, f. & cert. ef. 9-1-04

## 166-150-0185

### Public Works Records — Traffic Engineering and Maintenance Records

(1) Alternative Transportation Committee Meeting Records: Records documenting the proceedings of the board of committee responsible for making recommendations to the county on alternative transportation issues, as described in Oregon's Public Meetings Law (ORS 192.610 to 192.710). Alternative modes of transportation include walking, public transit, and bicycling among others. Committee may provide input on footpath development as well. Records usually include minutes, agendas, exhibits, tape recordings, and related items. Subjects may include design, location, construction maintenance, projected needs, and development of master plans for alternative transportation mediums. (Minimum retention: (a) Retain minutes, agendas, resolutions, indexes, and exhibits (not retained permanently elsewhere in county records): Permanently (b) Retain audio or visual recordings: 1 year after minutes prepared and approved (c) Retain other records and exhibits not pertinent to minutes: 5 years)

(2) Bridge and Culvert Maintenance and Repair Records: Records documenting maintenance and repairs on bridges and culverts. Includes pedestrian and bicycle bridges. May include summaries, reports, logs, and related records usually compiled from daily work records on a monthly or quarterly basis. Information often includes location, narrative of work completed, materials used, personnel completing work, authorization, dates of activities, and related data. SEE ALSO Daily Work Records in this section. (Minimum retention: (a) Records with engineering stamps documenting structural maintenance or repairs: 2 years after bridge or culvert permanently removed from service (b) Other records: 2 years)

(3) Crosswalk Records: Records documenting the location and use of crosswalks. Useful in determining the need for and placement of existing and proposed crosswalks. May include reports, maps, studies, and related records. (Minimum retention: 2 years after superseded or obsolete)

(4) Railroad Crossing Records: Records documenting agency activities in relation to railroad crossings. Records may include crossing plans and drawings, Oregon Public Utility Commission (PUC)/Oregon Dept. of Transportation (ODOT) public hearings records and rulings, reports and studies, accident records, and related documentation and correspondence. Records may also include documentation of corrective action taken in response to PUC/ODOT inspection reports. Oversight responsibility of railroad and rail safety responsibilities was transferred from the PUC to ODOT in 1995. (Minimum retention: Permanent)

(5) Speed Zone Records: Records documenting the establishment and review of speed zones. Includes zones set by the Oregon State Speed Control Board and those established by the agency under OAR 701-010-0010. Records may include reports, photographs, proposals, orders, maps, accident summaries, and related documents. Considerations include pedestrian and bicycle movements, environmental impact, adjacent land use, and other factors. (Minimum retention: 2 years after superseded or obsolete)

(6) Street Banner Records: Records documenting proposals for and installations of banners on streets, often in relation to civic events or celebrations. Records may include plans, maps, proposals, reports, applications, and other documents. Applications usually include applicant's name, address, and phone number, organization name, banner message, display period requested, signature of official approving permit, and related information. (Minimum retention: 2 years)

(7) Street and Road Condition Inventory Records: Inventory records documenting the condition of streets, roads, curbs, shoulders, sidewalks, bikeways, alleys, etc. Useful for reference and planning. Information can include street or road name, location, year surveyed, constructed, and surfaced, bed and surface type, surface size, condition, and other data. (Minimum retention: 5 years after annual audit report issued)

(8) Street Light Inventory Records: Inventory records of all street lights in an area. Information can include addresses, pole

numbers, and map numbers of lights, types of lights, dates of purchase and installation, notes, and other data. (Minimum retention: Until superseded or obsolete)

(9) Street Light Maintenance and Repair Records: Records documenting maintenance and repairs on street lights. May include reports, summaries, and similar records usually compiled from daily work records on a monthly or quarterly basis. Information often includes location, narrative of work completed, equipment repaired or replaced, supplies used, personnel completing work, authorization, dates of activities, and related data. SEE ALSO Daily Work Records in this section. (Minimum retention: 3 years after annual audit report issued)

(10) Street Light Request and Survey Records: Records documenting requests by citizens for the installation of street lights, as well as surveys to assess need and feasibility. Often includes request forms, correspondence, surveys, reports, and related records. (Minimum retention: 2 years after last action)

(11) Street Maintenance and Repair Records: Records documenting maintenance and repairs of agency-owned streets and sidewalks. May include reports, summaries, and similar documents usually compiled from daily work records on a monthly or quarterly basis. Information often includes location, narrative of work completed, amount of materials used, personnel involved, authorization, dates of activities, and related data. SEE ALSO Daily Work Records in this section. (Minimum retention: (a) Records requiring an engineering stamp: 10 years after substantial completion (as defined by ORS 12.135(3)) (b) Other records: 2 years)

(12) Street Surface Maintenance Records: Records documenting routine and special street sweeping, cleaning, snow removal, sanding, leaf removal, and similar work. Often includes reports, summaries and similar records. Information can include date and time, area covered, broom down time and mileage, traveling time and mileage, operator's name, equipment used, amount of sand applied, amount of leaves removed, weather conditions, and related data. (Minimum retention: 3 years)

(13) Traffic Accident Analysis Records: Records documenting the study of traffic accidents. Useful in identifying hazardous locations and determining possible corrective action. Records may include various statistical data on accidents related to fixed objects, parked automobiles, complicated intersections, bridges, pedestrians, streets/highways/roads, and other factors. May also include records of individual accidents documenting site, date, direction, driver's sex and age, weather, vehicle type, and related information. SEE ALSO Survey Field Records in the County Surveyor Records section. (Minimum retention: (a) Reports and summaries: 10 years (b) Other records: 5 years)

(14) Traffic Control Equipment Maintenance and Repair Records: Records documenting maintenance and repair of traffic signals and signs in an area. May include reports, summaries, and similar records. Information often includes location, narrative of work completed, equipment repaired or replaced, supplies used, personnel completing work, dates of activities, and related data. (Minimum retention: (a) Traffic signals: 3 years after equipment permanently removed from service (b) Traffic signs: 3 years)

(15) Traffic Control Equipment Inventory Records: Records documenting the location, type, and use traffic control equipment. Often includes an inventory of all traffic signs and signal equipment. Also may include information noting the timing intervals of traffic signals for red, green, yellow, and pedestrian cycles, type of equipment, date of purchase and installation, location, notes, and other data. (Minimum retention: 2 years after superseded or obsolete)

(16) Traffic Research and Study Records: Records documenting data gathering and analysis concerning traffic patterns, speed, direction, and other topics. May include information on vehicles, bicycles, and pedestrians for a given location and period of time. Usually includes machine and manual traffic counts, reports, summaries, and related records. SEE ALSO Engineering Project Technical Records in the Public Works-Engineering section. (Minimum retention: (a) Reports and summaries: 10 years (b) Other records: Until information is summarized or obsolete)

(17) Transit System Records: Records document transit system routes, stops, stations and crossings in a particular geographic area, related transit schedules and amenities. Also may contain records related to agency review and approval or denial of individual stops or crossings, and service changes proposed by a transit district. Records may include reports, surveys, decision statements, notifications to affected individuals and property owners, and related records. SEE ALSO Meeting Records, Governing Body, and Special District Ordinances in the Administrative Records section. (Minimum retention: (a) Stop, station and crossing review records: 2 years after denied or approved and stop or crossing removed (b) Transit system maps: Until superseded or obsolete)

(18) Truck Route Records: Records documenting the designation of truck routes for transporting goods within and through a particular geographical area. May include reports, maps, studies, and related documents. Subjects often include hazardous materials, triple trailer trucks, log trucks, buses, and others. (Minimum retention: 2 years after superseded or obsolete)

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 4-2004, f. & cert. ef. 9-1-04; OSA 3-2012, f. & cert. ef. 10-29-12

## 166-150-0190

### Public Works Records — Wastewater Treatment

(1) Annual Inspection Records: Records documenting annual inspections of agency wastewater treatment operations by the Oregon Department of Environmental Quality to monitor compliance with National Pollution Discharge System (NPDES) permit conditions. May include reports and supporting documentation. Information includes date, location, areas evaluated during inspection, summary of findings, pretreatment requirements review, sampling checklists, flow measurements, laboratory assurance checklists, and related data. (Minimum retention: (a) Reports: Permanent (b) Other records: 5 years)

(2) Confined Spaces Permits: Records used to document that employers have issued permits according to the requirements outlined in 29 CFR 1910.146 relating to the testing for hazardous materials in confined spaces (sewers). Permits must be issued prior to employees' entrance into the confined space. Records may include but are not limited to permit, preentry testing data, field notations and observations. In addition, the employer is required to make note of any problems encountered during an entry operation on the pertinent permit so that appropriate revisions to the permit space program can be made. (Minimum retention: 1 year (29 CFR 1910.146(e)(6)))

(3) Discharge Monitoring Records: Records documenting the amount of pollution discharged from the agency's wastewater treatment facility. Reports are submitted to the U.S. Environmental Protection Agency and the Oregon Department of Environmental Quality. May also include supporting documentation. Information includes date, period covered, permit number, discharge number, frequency of analysis, sample type, and average and maximum quantities and concentrations of solids, ammonia, chlorine, nitrogen, and other chemicals, as well as other data. (Minimum retention: (a) Reports: Permanent (b) Other records: 5 years)

(4) Hazardous Situation Permits: Records document the issuance of a permit by the employer notifying employees that they may be exposed to hazardous substances and/or conditions in confined spaces, most notably a sewer. Records include permit, preentry testing data, field notations and observations. (Minimum retention: 1 year after permit cancelled (29 CFR 1910.146(e)(6)))

(5) Industrial Pre-treatment Permits: Permits issued by the agency to private industries allowing the discharge of specific pollutants under controlled conditions. Often contains applications, permits, addenda, modifications, and related supporting documentation. Information may include influent and effluent limits, chemical analysis data, water flow, test and recording requirements, definitions and acronyms, compliance schedules, and related data. (Minimum retention: (a) Permits, addenda, and modifications: Permanent (b) Other records: 5 years after expiration or revocation)

(6) Mobile Waste Hauler Dumping Records: Records documenting the dumping of septic pumpings and other wastes from

various sources at the agency waste treatment facility. Usually includes logs, manifests, and similar documents. Information often includes name and signature of hauler, quantity of wastes dumped, location at which wastes were pumped, and related data. (Minimum retention: 5 years)

(7) National Pollution Discharge Elimination System Permits: Records documenting the application for and issuance of a permit to the agency under the Clean Water Act allowing discharge of specific pollutants under controlled conditions. Often contains applications, permits, addenda, modifications, and related supporting documentation. Information includes influent and effluent limits, chemical analysis records, water flow, test and recording requirements, definitions and acronyms, compliance schedules, and related data. (Minimum retention: (a) Permits, addenda, and modifications: Permanent (b) Other records: 5 years after expiration or revocation)

(8) Sewage Sludge Application Site Logs: Logs documenting the agricultural application of sewage sludge to approved sites. OAR 340-050-0035(1) requires that agencies maintain these logs permanently. Subjects include agronomic loading calculations related to maximum application of nitrogen in pounds per acre per year, and ultimate site life loading calculations tracking the amount of heavy metals applied. (Minimum retention: Permanent)

(9) Sewage Sludge Management Plans: Plans submitted to the Oregon Department of Environmental Quality by the agency to engage in sludge disposal or application activity. Information includes method of sludge removal, land application or disposal sites, sludge stability determination methods, projected sludge storage basin use, sludge analyses, application rates, and heavy metal limitations. (Minimum retention: Permanent)

(10) Strip and Circle Chart Records: Records documenting the continuous monitoring of various wastewater treatment operations. May include strip charts, circle charts, and similar monitoring records. Information often pertains to pump flows, influent and effluent water flows, secondary total flow, influent pH, chlorine residue, and related subjects. (Minimum retention: 3 years)

(11) Wastewater Treatment Operations Records: Program records not listed elsewhere in this schedule which document wastewater treatment operations. Created on a daily, monthly, and annual basis. Usually consists of reports, logs, log sheets, and related records. (Minimum retention: (a) Annual reports: Permanent (b) Other records: 5 years)

(12) Water Pollution Control Facilities (WPCF) Permit Records: Records documenting the application for and issuance of a Water Pollution Control Facilities permit to the agency by the Oregon Department of Environmental Quality. The permit authorizes the agency to construct and operate a disposal system with no discharge to navigable waters. Examples include sewage lagoons, septic tanks, and drain fields. Records often include applications, permits, addenda, modifications, and related supporting documentation. (Minimum retention: (a) Permit, addenda, and modifications: Permanent (b) Other records: 5 years after expiration or revocation)

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 4-2004, f. & cert. ef. 9-1-04

## 166-150-0195

### Public Works Records — Water Treatment

(1) Consumer Confidence Reports: Records documenting the presence of any contaminants in county water over the course of a year. Reports are mailed to county residences and businesses receiving county water. (Minimum retention: 5 years)

(2) Non-Compliance Corrective Action Records: Records documenting action taken by the agency to correct violations of primary drinking water regulations. May include reports, logs, and related records. (Minimum retention: 3 years after last action (40 CFR 141.33))

(3) Sanitary Survey Records: Records documenting surveys examining the overall condition of the agency water system. May be conducted by the agency, private consultants, or county, state, or federal agencies. Records may include written reports, summaries,

and related significant documents. (Minimum retention: (a) Retain reports: Permanently (b) Retain other records 5 years)

(4) Secondary Contaminant Reports: Reports documenting the analysis of water samples to determine the level of secondary contaminants. Secondary contaminants are those which at levels generally found in drinking water do not present a health risk but may affect taste, odor, and color of water, as well as stain plumbing fixtures and interfere with water treatment processes. Information may include date, report number, analyst, time of sample collection, contaminant levels, and related data. (Minimum retention: 10 years)

(5) Variance and Exception Record: Records documenting variances and exceptions granted to the agency by regulatory agencies concerning water treatment operations. Information may include date, conditions of variance or exception, expiration date, and related data. (Minimum retention: 5 years after expiration or revocation of variance or exception)

(6) Water Bacteriological Quality Analysis Reports: Reports documenting water samples taken from various locations throughout the water system and supply sources for bacteriological tests. Information includes location, collection date, person taking samples, sample type, analysis date, laboratory name, person performing analysis, analytical method used, and the results of the analysis. (Minimum retention: 5 years)

(7) Water Chemical and Radiological Analysis: Records documenting water samples taken from various locations throughout the water system and supply sources for chemical and radiological tests. Information includes location, collection date, person collecting sample, sample type, analysis date, laboratory name, person conducting analysis, analytical method used, and results of the analysis. (Minimum retention: 10 years)

(8) Water Consumption Reports: Reports documenting statistics of daily water consumption. Useful for prediction of future flows and peak demands. Information may include water consumption in millions of gallons and cubic feet from treatment plants, springs, artesian wells, pumped wells, and reservoirs. (Minimum retention:

(a) Annual reports: Permanent (b) Information summarized in annual report: 1 year (c) Information not summarized in annual report: 10 years)

(9) Water Quality Complaint Records: Records documenting complaints received from the public about the quality of agency provided water. Information often includes name, address, and phone number of complainant, nature of complaint, location, description of water, name of person responding to complaint, narrative of investigation, and resolution. (Minimum retention: 3 years after last action)

(10) Water Treatment Operations Records: Program records not listed elsewhere in this schedule that document water treatment operations. Created on a daily, monthly, and annual basis. Usually consists of reports, logs, log sheets, and related records. Subjects may include amount and types of chemicals used, filter rates, and others. (Minimum retention: (a) Annual reports: Permanent (b) Other records: 5 years)

(11) **Water Turbidity Reports** Reports documenting the analysis of water samples to determine the level of cloudiness caused by suspended particles. Information may include date, report number, analyst, time of sample collection, turbidity unit values for routine and check samples, and related data. (Minimum retention: 10 years)

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 4-2004, f. & cert. ef. 9-1-04

## 166-150-0200

### Risk Management Records

(1) Contractor Liability Insurance Verification Records: Letters or certificates of coverage provided by insurance companies declaring that specific contractors are covered by appropriate liability insurance. Information usually includes insurance company name and address, issue date, expiration date, amount of coverage, type of coverage, special provisions, signature of insurance company representative, and related data. (Minimum retention: (a)



If related to county or special district improvement project: 10 years after substantial completion, (as defined by ORS 12.135(3))  
(b) Other records: 6 years after expiration)

(2) Contractor Performance Bond Records: Records documenting the posting of performance guarantees or surety bonds by contractors performing work for the agency. May include letters, certificates, copies of bonds, and similar records. Information usually includes name of individual or company covered, amount of coverage, effective and expires dates, name of bonding agent, authorized signatures, and related data. (Minimum retention: (a) If related to county or special district improvement project: 10 years after substantial completion, (as defined by ORS 12.135(3)) (b) Other bond records: 6 years after expiration)

(3) Hazard Communications Program Records: Records documenting participation in the Hazard Communications Program as required by the Oregon Occupational Safety and Health Administration (OR-OSHA). These records may be useful as documentation for exposure and other claims because they include chemical content, safe handling instructions, and other facts about a product at a given time in the past. Usually includes plans, reports, and material safety data sheets (MSDS). Information included in the material safety data sheets includes product name, manufacturer's address and phone number, hazardous ingredients contained, ingredient description, carcinogenicity, quantity of ingredients, fire and explosion data, health hazard data, radioactivity data, spill and leak pressures, safe handling and use information, special use precautions and related data. (Minimum retention: 75 years after superseded or obsolete)

(4) Hazardous Substance Employer Survey Records: Series documents the locations, quantities, and individuals responsible for specific hazardous chemicals housed by an agency. This record is sent to the State Fire Marshal. Records include hazardous chemical compositions, lot numbers, and emergency disposition instructions. (Minimum retention: Until superseded or obsolete)

(5) Incident Reports: Series documents incidents which result in an investigation of fraud. Information includes correspondence documenting incident, investigation report, and resolution/final determination. (Minimum retention: 5 years)

(6) Injury Reports, Public Use: Records documenting injuries sustained by non-employees on county or special district property such as parks, courthouses, libraries, and administrative buildings. Information usually includes date, time, location, and description of injury, name, address, phone number, sex, and age of injured person, witnesses, date reported, and related data. (Minimum retention: (a) If claim filed: See Liability Claims Records (b) If no claim filed: 3 years)

(7) Insurance Fund Claims: Series documents requests for payment of insurance claims from insurers. Records may include Auto/Liability/Property Claim Reports, estimates of repairs, accident reports, police reports, and correspondence. (Minimum retention: 5 years)

(8) Insurance Policy Records: Records documenting the terms and conditions of insurance policies between the agency and insurers. Types of insurance include liability, property, group employee health and life, motor vehicle, workers' compensation, flood, and others. Records usually include policies, endorsements, rate change notices, agent of record, and related documents. (Minimum retention: (a) Group employee health and life, property, and liability insurance: 75 years after expiration if no claims pending (b) Other insurance: 6 years after expiration if no claims pending)

(9) Liability Claims Records: Records documenting various types of liability claims filed against the agency. These include personal injury, property damage, motor vehicle accident, false arrest, and others. Records often include reports, photographs, summaries, reviews, notices, audio and videotapes, transcriptions of recorded statements, memoranda, correspondence, and related documents. (Minimum retention: (a) If action taken: 10 years after case closed, dismissed, or date of last action (b) If no action taken: 3 years)

(10) Liability Waivers Records: Documenting the release of the agency from liability related to various activities that include citizen involvement. Examples include but are not limited to riding

in police or emergency medical services vehicles, participating in agency sponsored runs or other activities such as recreational classes including canoeing, kayaking, tennis, basketball, and others. Information usually includes release terms, date, signatures, and related information. (Minimum retention: 3 years)

(11) Master Material Safety Data Records: Series documents all hazardous chemicals used and held by an agency. Records include hazardous materials safety sheets, safety instructions, and emergency instructions. (Minimum retention: Until superseded or obsolete)

(12) Occupational Injury and Illness Records: Series documents occupational injuries and illnesses, as required by the Oregon Occupational Safety and Health Administration (OR-OSHA). Records may include logs and summaries, serious injury reports, injury cost reports, and annual occupational injuries and illnesses surveys. SEE ALSO Workers' Compensation Claim Records in this section. (Minimum retention: 6 years)

(13) Personnel Accident Incident Reports: Series used to report employee accidents to agency supervisors. Records may include SAIF accident reports, accident reports, occupational injury report and investigation, and employee identification and physical assessment form. (Minimum retention: 10 years after case closed)

(14) Property Damage Records: Reports, photographs, and other records documenting damage to agency property such as signs, trees, picnic tables, buildings, fountains, and fences. Information often includes type and location of property damaged, description of damage, date and time of damage (if known), name and address of individual who caused damage (if known), value of damage, billing costs, and related data. (Minimum retention: (a) If litigated: see Civil Case Files in the Counsel or District Attorney section for retention (b) If not litigated: 3 years after date of last action)

(15) Risk Factor Evaluation Records: Series is used to assess various risk factors for an agency and determine appropriate insurance needs. Records may include studies, worksheets, yearly risk reports, restoration fund inventory reports, policy manuals, property transfer reports, self insurance manuals, real property reports, money and negotiable securities reports, a general risk survey and correspondence. (Minimum retention: 4 years)

(16) Safety Inspection and Compliance Records: Series provides a record of safety inspections and documents agency compliance with state and local safety regulations. Records may include reports on building, fire alarm system, elevator, boiler, transit, and construction inspections performed by state and local agencies as well as citations received by the agency. Also includes follow-up actions and correspondence. (Minimum retention: 10 years)

(17) Safety Program Records: Records document the agency's program to promote safety on agency-owned property and systems. Records may include 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. SEE ALSO Engineering Project Technical Records in the Public Works Records — Engineering section. (Minimum retention: (a) Retain safety policies, plans, and procedures: 5 years after superseded or obsolete (b) Retain inspection reports, evaluations and recommendations: 10 years (c) Retain committee minutes, exhibits, and agendas: 3 years (d) Retain other records: 5 years)

(18) State Accident Insurance Fund (SAIF) Claim Records: Series documents 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 case histories, employer's payroll reports, SAIF premium reports, hearing transcripts, notices of claim acceptance, injury reports, supervisor's accident investigation reports, SAIF injury report summaries, opinions and orders, appeal letters, claim adjustment documentation, physician's reports, cost statements, and associated correspondence. (Minimum retention: 6 years after claim closure)

(19) State Accident Insurance Fund (SAIF) Injury Reports: Series documents the information submitted to the State Accident

Insurance Fund about personal injuries incurred by agency employees. (Minimum retention: 1 year)

(20) Vehicle Accident Records: Records documenting accidents involving agency vehicles. May include dispatch reports with information such as name and address of parties involved, date and time, complaint, description of damage, and other data. Records may also contain motor vehicle accident reports which include the driver's name, address, phone number, date of birth, and driver's license number, as well as passenger and witness names, description of events, make and model of vehicle(s), vehicle identification number, and related data. Photographs and correspondence also may be part of these records. (Minimum retention: (a) If litigated: SEE Civil Case Files in Legal Counsel section (b) If not litigated: 3 years)

(21) Workers' Compensation Claim Records: Records documenting the processing of individual employee claims of job related injuries or illnesses, but not those describing actual medical conditions. Includes records satisfying the procedural requirements of the State Workers' Compensation Division and the State Workers' Compensation Board, as well as those of (depending on agency arrangements) the State Accident Insurance Fund (SAIF), private insurance providers, or self-insurance. Records may include claim disposition notices, claim reporting and status forms; injury reports; determination orders; insurance premium data; hearing requests; safety citations; inspection reports; medical status updates and reports; investigation reports; reimbursement and payment records; and related correspondence and documentation. SEE ALSO Employee Medical Records in the Personnel section for records describing the job related injury or illness and the related subsequent medical condition of the employee. These often include workers' compensation accident reports, medical reports, vocational rehabilitation evaluations, disability determinations and related records. (Minimum retention: (a) Records describing injuries and illnesses: SEE Employee Medical Records in the Personnel Records section (b) Other records: 6 years after claim closed or final action)

(22) Workers' Compensation Program Records: Series used to provide a record of an agency's occupational injury/accident claims, safety compliance inspections, insurance coverage, and related reimbursement issues. Records may include claim disposition notices, claim reporting/status forms, injury reports, WCD Determination Orders, insurance premium data, hearing requests, safety citations, inspection reports, medical status updates, investigation records, and correspondence. (Minimum retention: 6 years)

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 4-2004, f. & cert. ef. 9-1-04; OSA 3-2012, f. & cert. ef. 10-29-12

## 166-150-0205

### Surveyor Records

(1) Bench Marks Records: Records document bench marks placed by the United States Geological Survey, United States Corps of Engineers, Oregon Department of Transportation, a city surveyor's office, or the County Surveyor's office to denote elevations above sea level. Records may include books, maps, cards, and other documents. Information contained in the records includes location, monument number, elevation, description, and related data. Series may include horizontal control surveys. Records are usually filed numerically by bench mark number. (Minimum retention: Permanent)

(2) Corner Restoration (Bearing Tree) Records: Records identify specific characteristics of government corners and their accessories. Records may include the original description of the corner; description of the new corner; dates and names of witnesses; field notes or diagrams of the corner, brass cap, or accessories; and photographs. (Minimum retention: Permanent)

(3) County Road Records: Records document the official description of county roads determined by surveying and mapping county roads and city streets which are extensions or segments of county roads. Records include road surveyor field notes, field books, maps, and road registers. Information may include legal description of the road; road name and number; plans and profiles; and may also include records of the petition and resolution process

and reference to corner and road monuments. (Minimum retention: Permanent)

(4) Land Division Plats: Plats are used to create the title identity to a piece of land and may include subdivision, partition, condominium, or cemetery plats. Records include map and accompanying survey narrative, property description, declaration by owner, dedication of streets to public use, and approval by public bodies. Records may also include plat and partition checking files which include subdivision guarantees, closure sheets, fee checks and receipts, findings, and decisions. Records may also include post monumentation records including deposits, requests for release of funds and interior corner monumentation documents. The plats are produced by registered professional land surveyors. The original is filed with the County Clerk and generally a true and exact copy is filed with the County Surveyor. (Minimum retention: (a) Final Accepted Plats Permanent (b) All other plat records: 3 years)

(5) Records of Survey Records: identify land boundaries and disclose the finding, establishment, or restoration of survey corners or monuments. Records include maps and accompanying survey narrative and description of corners. The surveys are produced by registered professional land surveyors and then reviewed, accepted, and filed by the County Surveyor. Records may be called Bearing Tree Records or Survey Maps and may include donation land claims and other federal land grant surveys such as GLO (General Land Office) or BLM (Bureau of Land Management) surveys. Records may also include the Global Positioning System (GPS) and other surveys produced with new technologies and required to be filed with the County Surveyor. (Minimum retention: Permanent)

(6) Reference Maps: Maps may include copies of highway, railroad, topographical, flood plain, and other maps used for reference. (Minimum retention: Retain until superseded or obsolete)

(7) Survey Field Records: Records include detailed field notes and other records related to surveys done for boundary work, local improvement districts, special requests, and other purposes such as dams, canals, and power lines. Field records may include investigative surveys made of crime or accident scenes at the request of law enforcement officials; notes on traverses, boundary and right-of-way location, construction (including levels, cuts, and grades), and other information; as well as sketches related to the survey. (Minimum retention: (a) Boundary and right-of-way location records: Permanent (b) All other records: 10 years after substantial completion of project)

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 4-2004, f. & cert. ef. 9-1-04; OSA 2-2008, f. & cert. ef. 5-30-08

## 166-150-0210

### Treasurer/Controller

(1) Bancroft Bond Records: Documents long-term property owner financing of assessments levied for county improvements. May include applications for installment financing, receipts of payment of property assessment, and foreclosure records. (Minimum retention: (a) Bond Receipts: 2 years (b) All other records: two years after final payment, redemption, sale, or action)

(2) Bank Transaction Records: Records documenting the current status and transaction activity of agency funds held at banks. May include account statements, deposit and withdrawal slips, checks, and related records. Information includes bank and account numbers, transaction dates, beginning balance, check or deposit amount, document numbers, adjustments, description of transaction, ending balance, and related data. SEE ALSO the Financial Records section. (Minimum retention: 3 years)

(3) Bond Expenditure Reports: Records documenting all information relating to the expenditures of bond proceeds, including the bond principle and interest. Also includes earning process of investments, checks issued and related information. SEE ALSO the Financial Records section. (Minimum Retention: 3 years)

(4) Bonds and Coupons, Paid: Records documenting paid bonds and coupons issued for capital improvements financed by property tax levies, special assessments, and utilities user payments.

Debt types include general obligation, special assessment, water and sewer, tax allocation, and others. The paid (canceled or redeemed) bonds and coupons are received from paying agents and include bond number, maturity date, series number, interest payable date, dollar amount, sale conditions, and related information. Series includes related information contained in official transcripts. SEE ALSO the Financial Records section. (Minimum retention: 3 years)

(5) Bonds Issued Registers: Registers or similar records documenting all agency bond issues and related information. Useful for ensuring accurate information about the overall indebtedness of the agency. Information often includes bond number, date paid, place of payment, maturity date, date registered, and related data. SEE ALSO the Financial Records section. (Minimum retention: 3 years after final payment)

(6) Investment Records: Records documenting and tracking various investments made by the agency. Often contains bank statements documenting investment information, journal entries, confirmations of purchase of U.S. Treasury Bills, confirmations of deposit in local investment pool, and deposit slips, correspondence, and memoranda related to specific investments. SEE ALSO the Financial Records section. (Minimum retention: 3 years)

(7) Revenue Sharing Records: Evidence of receipt and administration of federal and/or state revenue sharing funds including those from state liquor and cigarette taxes. Used to track how funds are spent, for budgeting future funds and for other uses. May include transmittals, affidavits of publication, planned and actual use reports, supporting documentation used to qualify for revenue sharing funds, and related records. (Minimum retention: 3 years)

(8) Tax Turnover Records: Documents amounts paid to each taxing district based on the Tax Collection and Distribution schedule calculated by the Tax Collector. Includes date of distribution, district name, and amount distributed. May also include percentage of collection and distribution, year of tax, and adjustments. SEE the Financial Records section.

(9) Trust Fund Records: Records documenting bequests to the agency or funds held in trust by the agency for specific parties. Used to determine trust fund spending for reporting to trustees. May include wills, other legal documents, expenditure records, chronologies, resolutions establishing trust funds by the agency, records documenting subject matter approved for purchase, acquisition lists, and related records. Some records may have historic value. SEE ALSO the Financial Records section. (Minimum retention: Records not duplicated elsewhere in agency records: 3 years after trust fund closed)

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 4-2004, f. & cert. ef. 9-1-04; OSA 1-2014, f. & cert. ef. 2-25-14

## 166-150-0215

### Vector Control Records

(1) Aerial Spray Reports: Reports documenting the acreage sprayed by air, the amount of chemical used to spray, and the cost of air time and materials used. Includes pounds used per acre, date and time, area maps, plane rate, pilot, application cost, total cost, invoice number, and operator. (Minimum retention: 3 years)

(2) Chemical Inventory Records: Records documenting chemicals stored and used by Vector Control for use in their rodent and mosquito control programs. Records include asset transfer forms, product inventories, chemical use records, acquisition records, correspondence, and related records. (Minimum retention: 3 years (ORS 634.146))

(3) Field Technicians Daily Reports: Records documenting pest breeding sources and daily work performed by the field technician. These reports include copies of topographic maps and other data collected by field technicians (Minimum retention: 3 years)

(4) Field/Operational Data Maps: Maps documenting pest breeding sources, in order to determine locations for field technicians. These maps are updated yearly, and depict all known pest breeding sources within the geographic areas. (Minimum retention: 3 years)

(5) Fish Stocking Permits Records: documenting the distribution of fish to county residents for mosquito larvae control. Permits are required by the State Department of Fish and Wildlife and governed by OAR 635-007-0620. Permits show recipient's name and address, shipping location, number transferred, and authorizing signatures. Also includes an annual list of stocking done. (Minimum retention: (a) Stocking list: retain 5 years (b) Other records retain 10 years)

(6) Pest Breeding Site Monitoring Records: Records documenting Vector Control's monitoring of sites likely to breed mosquitoes and other pests. Records include breeding site master list, storm drain master list, daily checking record, monthly checking summary, larvae and mosquito sampling records, and related records. (Minimum retention: Permanent)

(7) Pest Complaints Records: documenting citizen complaints about pests, Vector Control's response, spraying, etc. Common complaints include sites likely to breed mosquitoes and other pests, rats on property, sewer breaks, dog feces, and illegal dumping. Records include standard complaint form, inspector assignment form, recheck form, hearing officer order, notice of violation, notice of civil penalty assessment, abatement notice, hearing notice, inspector's report, phone messages, evidence (usually photographs), and related records. Information includes type of complaint, complainant's name and address, description of complaint, date of complaint, inspection date, inspector's name, and description of complaint resolution. (Minimum retention: 5 years)

(8) Pesticide Application Records: Records documenting 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. (Minimum retention: 2 years after report submitted to ODA, destroy)

(9) Pesticide And Application Equipment Technical Information Records: documenting proper use of pesticides and their chemical makeup. Includes technical information sheets issued by manufacturers, application and use information, equipment specifications, reports and articles about the use of certain pesticides, and related correspondence. (Minimum retention: 30 years)

(10) Pesticide Use Plans: Used to fulfill state Department of Fish and Wildlife requirements concerning the application of pesticides. Plan shows type(s) of pesticide applications, area of application(s), proposed date of application(s), reasons for use, predicted environmental impact, and related information. (Minimum retention: Permanent)

(11) Specified Animal Permit Records: Records documenting permits issued for certain animals (bees, exotic animals, domesticated animals, and livestock). Records include copy of annual permit, application, and copies of fee receipts. May also include complaint, notice of violation, inspection records, and related correspondence. (Minimum retention: (a) Retain fee records: 3 years (b) Retain all other records: 6 years after permit revoked or non-renewal)

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 4-2004, f. & cert. ef. 9-1-04

## DIVISION 200

### CITY GENERAL RECORDS RETENTION SCHEDULE

#### 166-200-0200

##### City Records

This General Schedule prescribes minimum retention periods for public records created and maintained by the cities of Oregon. Retention periods apply to the record copy of all public records, regardless of medium or physical format, created or stored by the above specified agencies. Please note the exceptions to this General Schedule listed in OAR 166-030-0027 before disposing of records. The asterisks (\*) found in this schedule indicate that the



record may be classified as “vital” or “essential” in the event of a disaster.

Stat. Auth.: ORS 192 & 357  
 Stats. Implemented: ORS 192.005 - 192.170 & 357.805 - 357.895  
 Hist.: OSA 2-2014, f. & cert. ef. 8-7-14; OSA 1-2015, f. & cert. ef. 1-27-15

**166-200-0205**

**Accounting — Bonds**

Accounting documents the financial transactions of the city to ensure the integrity, accuracy and control of city funds. Bonds document the repayment of funds provided to the city with external funds to finance long-term investments, or, in the case of government bonds, to finance current expenditures.

(1) Bond Foreclosure Records (166-200-0035(5)) — Minimum retention: 3 years after final payment, redemption, sale, or action.

(2) Bond Records (166-200-0035(4), (7), (9)) — Minimum retention: 3 years after final payment.

(3) Bonds Registers and Receipts (166-200-0035(6), (8)) — Minimum retention: 3 years after annual audit report issued.

Stat. Auth.: ORS 192 & 357  
 Stats. Implemented: ORS 192.005 - 192.170 & 357.805 - 357.895  
 Hist.: OSA 2-2014, f. & cert. ef. 8-7-14

**166-200-0210**

**Accounting — Disbursements**

Accounting documents the financial transactions of the city to ensure the integrity, accuracy and control of city funds. Disbursements document the payments and transactions of city purchases.

(1) Accounts Payable Records (166-200-0010(23); 166-200-0050(1), (13); 166-200-0075(6)) — Minimum retention: 3 years after annual audit report has been completed.

(2) Credit Slips (166-200-0050(11)) — Minimum retention: 3 years after credit expired or redeemed.

(3) Emergency Management Assistance Expense Records (166-200-0030(6)) — Minimum retention: 3 years after annual or final expenditure report submitted.

(4) Purchasing Records (166-200-0050(22), (29) and (166-200-0010(23), (24)) — Minimum retention: 3 years.

Stat. Auth.: ORS 192 & 357  
 Stats. Implemented: ORS 192.005 - 192.170 & 357.805 - 357.895  
 Hist.: OSA 2-2014, f. & cert. ef. 8-7-14

**166-200-0215**

**Accounting — Financial Reporting**

Accounting documents the financial transactions of the city to ensure the integrity, accuracy and control of city funds. Financial Reporting is used to communicate the financial activities of the city to its staff, leadership and the general public.

(1) Assessment Balance Reports (166-200-0035(1)) — Minimum retention:

(a) Annual reports or similar cumulative summaries, retain permanently;

(b) All other reports, retain 3 years.

(2) Assessment Dockets, Ledgers, and Registers (166-200-0035(3)) — Minimum retention: 3 years after final payment.

(3) Audit Reports, External Records (166-200-0050(3)) — Minimum retention: Permanent.

(4) Balance Status and Projection Reports (166-200-0050(4)) — Minimum retention: 3 years after annual audit report issued.

(5) Bank Transaction Records\* (166-200-0050(5)) — Minimum retention:

(a) For retention of records documenting grant transactions, see Grant Records in this section;

(b) All other records, retain 3 years after annual audit report issued.

(6) City Improvement Administrative and Financial Records\* (166-200-0050(8)) — Minimum retention:

(a) Records of project cost, retain 3 years after disposal or replacement of facility, structure, or system;

(b) All other improvement records, retain 10 years after substantial completion as defined by ORS 12.135(3).

(7) Emergency Management Assistance Fiscal Reports (166-200-0030(7)) — Minimum retention:

(a) If used for billing, retain 3 years;

(b) If not used for billing, destroy.

(8) Financial Reports (166-200-0050(14)) — Minimum retention:

(a) Annual reports, retain permanently;

(b) All other financial reports, retain 3 years after annual audit report issued.

(9) General Ledgers\* Records (166-200-0050(15)) — Minimum retention:

(a) Year-end ledgers\*, retain 10 years;

(b) All other general ledger, retain 5 years.

(10) Internal Audit Records (166-200-0010(11)) — Minimum retention: 10 years

(11) Real Property Transaction Records\* (166-200-0050(23)) — Minimum retention: 10 years after transaction completed and final audit accepted.

(12) Subsidiary Ledgers, Journals, and Registers Records (166-200-0050(26)) — Minimum retention:

(a) Year-end payroll register, retain 75 years;

(b) Trust fund ledgers, retain 3 years after trust fund closed;

(c) Other subsidiary ledgers, journals, and registers, retain 3 years.

(13) Unclaimed Property Report (166-200-0050(28)) — Minimum Retention: 3 years after the property is remitted to the Department of State Lands.

(14) Utility Account Change Records (166-200-0045(1)) — Minimum retention: 2 years.

(15) Utility Application/Disconnect Records (166-200-0045(2)) — Minimum retention: 3 years.

(16) Vendor Lists (166-200-0050(30)) — Minimum retention: Until superseded or obsolete.

Stat. Auth.: ORS 192 & 357  
 Stats. Implemented: ORS 192.005 - 192.170 & 357.805 - 357.895  
 Hist.: OSA 2-2014, f. & cert. ef. 8-7-14

**166-200-0220**

**Accounting — Grants**

Accounting documents the financial transactions of the city to ensure the integrity, accuracy and control of city funds. Grants relate to funds received or disbursed by the city for a specific project or undertaking.

(1) Grant Records (166-200-0050(17)) Minimum retention:

(a) Final reports from significant (as defined by city policy) grants to the city, retain permanently;

(b) Records documenting the purchase and/or disposal of real property, retain 10 years after substantial completion, or 3 years after final disposition, or as specified in agreement, whichever is longer;

(c) Other grant records, retain 3 years after annual or final expenditure report submitted and approved or, as specified in agreement, whichever is longer;

(d) Unsuccessful grant applications, retain 1 year after rejection or withdrawal.

Stat. Auth.: ORS 192 & 357  
 Stats. Implemented: ORS 192.005 - 192.170 & 357.805 - 357.895  
 Hist.: OSA 2-2014, f. & cert. ef. 8-7-14

**166-200-0225**

**Accounting — Reconciliation**

Accounting — documents the financial transactions of the city to ensure the integrity, accuracy and control of city funds. Reconciliation — documents the settlement, bankruptcy and lien actions for the city.

(1) Assessment Deferral Records (166-200-0035(2), (3)) — Minimum retention: 3 years after final payment.

(2) Bankruptcy Notices\* Records (166-200-0050(6)) — Minimum retention: 3 years from discharge of debt.

(3) Lien Records (166-200-0135(11)) — Minimum retention: 3 years after lien paid in full.

(4) Lien Search Records (166-200-0050(20)) — Minimum retention: 2 years after date of search.

(5) Utility Service Records — (166-200-0045(1), (2)) — Minimum retention: 3 years.

Stat. Auth.: ORS 192 & 357  
 Stats. Implemented: ORS 192.005 - 192.170 & 357.805 - 357.895  
 Hist.: OSA 2-2014, f. & cert. ef. 8-7-14

### 166-200-0230

#### Accounting — Revenue

Accounting documents the financial transactions of the city to ensure the integrity, accuracy and control of city funds. Revenue documents the invoicing, cashing and reconciliation of monies owed to the city.

(1) Accounts Receivable Records\* (166-200-0050(2); 166-200-0010(9), 166-200-0075(6)) — Minimum retention: 3 years after collected or deemed uncollectible.

(2) Check Conversion Records (166-200-0050(7)) — Minimum Retention:

(a) Retain original paper instrument 120 days;

(b) Retain Automated Clearing House (ACH) transaction or Image Replacement Document (IRD), 6 years.

(3) Credit and Debit Receipts (166-200-0050(10)) — Minimum Retention: Retain 3 years after transaction.

(4) Gift and Contribution Records (166-200-0050(16)) Minimum retention:

(a) For retention of conditional gift, contribution and donation records, see Contracts and Agreements in the Recorder-General section;

(b) All other records, retain 3 years.

(5) Investment Records (166-200-0050(19)) — Minimum retention: 3 years after investment ends.

(6) Revenue Sharing Records\* (166-200-0050(24)) — Minimum retention: 3 years.

(7) Trust Fund Records (166-200-0050(27)) — Minimum retention: Records not duplicated elsewhere in city records, retain 3 years after trust fund closed.

(8) Utility Bill Records (166-200-0045(3), (4), (5), (6), and (7)) — Minimum retention: 3 years.

(9) Utility Customer Security Deposit Records (166-200-0045(6)) — Minimum retention: 3 years after refund or last action.

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 2-2014, f. & cert. ef. 8-7-14

### 166-200-0235

#### Administrative

Administrative documents the activities related to the day to day operations of the city.

(1) City Awards and Recognitions — Minimum Retention:

(a) Applications and submitted records, retain 5 years;

(b) Notification of Award, retain 10 years.

(2) Delivery Records (166-200-0110(6), (8)) — Minimum retention: 2 years.

(3) Index/Finding Aid Records (166-200-0010(9)) — Minimum retention: Until superseded or obsolete.

(4) Mailing Lists (166-200-0010(14)) — Minimum retention: Until superseded or obsolete.

(5) Meeting Records, Boards, Commissions, Committee, and Governing Bodies\* (166-200-0010(15), (16); 166-200-0095(15), (16); 166-200-0115(13); 166-200-0135(5)) — Minimum retention:

(a) Minutes\* (except executive session minutes), agendas, resolutions, indexes, and exhibits (not retained permanently elsewhere in city records) permanently;

(b) Executive session minutes, retain 10 years;

(c) Audio or visual recordings 1 year after minutes prepared and approved;

(d) Other records and exhibits not pertinent to minutes, retain 5 years.

(6) Meeting Records, Staff (166-200-0010(17)) — Minimum retention: 2 years.

(7) Notary Public Log Book (166-200-0010(20)) — Minimum retention: 10 years after date of commission expiration.

(8) Organizational Records (166-200-0010(21)) — Minimum retention: Permanent.

(9) Participant Registration and Attendance Records (166-200-0080(5)) — Minimum retention: 3 years.

(10) Professional Membership Records (166-200-0010(24)) — Minimum retention: 3 years.

(11) Project Files — Minimum retention:

(a) Projects that develop into city sponsored projects (i.e. public works, street improvement, capital construction, etc.) see that section of the schedule for appropriate retention;

(b) All other projects, retain 10 years, destroy.

(12) Publications (166-200-0010(27); 166-200-0030(11); 166-200-0065(7)) — Minimum retention:

(a) Routine, general informational publications retain until superseded or obsolete; 1 year;

(b) Publications documenting special events or information with long term value, retain permanently.

(13) Public Programs Education Records (166-200-0030(10)) — Minimum retention: 3 years.

(14) Registered Contractor Lists (166-200-0025(11)) — Minimum retention: Until superseded or obsolete.

(15) Requests and Complaints (166-200-0015(6); 166-200-0110(28)) — Minimum retention: 2 years after last action.

(16) Special Event and Celebration Records (166-200-0010(34)) — Minimum retention:

(a) Records documenting significant aspects of the event, retain permanently;

(b) Other records, retain 2 years after event.

(17) Surveys, Polls, and Questionnaires (166-200-0010(35)) — Minimum retention:

(a) Summary reports and abstracts, retain 3 years;

(b) All other records, retain until summary report is completed or 3 years, whichever is sooner.

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 2-2014, f. & cert. ef. 8-7-14; OSA 1-2015, f. & cert. ef. 1-27-15

### 166-200-0240

#### Airport

Airport documents the activities associated with the operation of a municipal airport and may include records detailing the city's compliance with Federal Aviation Administration (FAA) requirements.

(1) Airport Certification Records (166-200-0015(2)) — Minimum retention:

(a) Certification manuals or specifications, retain permanently;

(b) All other records, retain 2 years after expiration.

(2) Airport Federal Aviation Reports (166-200-0015(5)(c)) — Minimum retention: 5 years.

(3) Airport Law Enforcement Action Records (166-200-0015(7)) — Minimum retention: 2 years.

(4) Noise Compatibility Program Records (166-200-0015(9)) — Minimum retention:

(a) Program records described in 14 CFR 150.23 (e), retain permanently;

(b) All other records, retain 5 years after program approved.

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 2-2014, f. & cert. ef. 8-7-14

### 166-200-0245

#### Budgeting

Budgeting documents the development, monitoring and analysis of the city's estimated future revenue and expenditures.

(1) Adopted Budget (166-200-0040(1)) — Minimum retention: Permanent.

(2) Budget Preparation Records (166-200-0040(3)) — Minimum retention: 2 years.

(3) Financial Impact Analysis Records (166-200-0040(4)) — Minimum retention: 3 years.

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 2-2014, f. & cert. ef. 8-7-14

**166-200-0250**

**Building Records**

Building Records document actions on real property owned or used by the city or private interests.

(1) Building Board of Appeals Records (166-200-0025(2)) — Minimum retention:

(a) Minutes, agendas, resolutions, indexes, and exhibits (not retained permanently elsewhere in city records), retain permanently;

(b) Audio or visual recordings, retain 1 year after minutes prepared and approved;

(c) All other records and exhibits not pertinent to minutes, retain 5 years.

(2) Building Code Violation Records (166-200-0025(3)) — Minimum retention: 10 years after last action.

(3) Building Inspection Records (166-200-0025(4)) — Minimum retention:

(a) Final inspections, retain for the life of the structure;

(b) All other inspections, retain 2 years.

(4) Building Plans, City Owned Structures (166-200-0025(8))

— Minimum retention:

(a) If permit issued and structure completed, retain for the life of the structure;

(b) If no permit issued, retain 180 days;

(c) If permit issued, but structure not started, completed, or permit expired, retain 180 days after expiration date.

(5) Building Plans, Nonresidential (166-200-0025(7)) — Minimum retention:

(a) If permit issued and structure completed, retain 10 years after substantial completion [as defined by ORS 12.135(3)];

(b) If no permit issued, retain 180 days;

(c) If permit issued, but structure not started, completed, or permit expired, retain 180 days after expiration date.

(6) Building Plans, Residential (166-200-0025(9)) — Minimum retention:

(a) If permit issued and structure completed, retain 2 years after substantial completion;

(b) If no permit issued, retain 180 days;

(c) If permit issued, but structure not started or permit has expired, retain 180 days after expiration date.

(7) Certificates of Occupancy (166-200-0025(10)) — Minimum retention: Life of the structure.

(8) Unsafe Building Records (166-200-0025(12)) — Minimum retention: 5 years after final action.

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 2-2014, f. & cert. ef. 8-7-14

**166-200-0255**

**Communications and Distributions**

Communications and Distributions document the communication of the city's mission and activities to the public, their employees and other agencies.

(1) Citizen Awards (166-200-0070(2)) — Minimum retention: 6 years.

(2) Communications Logs (166-200-0010(5)) — Minimum retention: 1 year.

(3) Legal Notices (166-200-0130(7)) — Minimum retention:

(a) One copy of city voters' pamphlet, retain permanently;

(b) All other records, retain 4 years.

(4) Press Releases (166-200-0010(19)) — Minimum retention:

(a) Policy and historic news releases, retain permanently.

(b) Routine news releases, retain 2 years.

(5) Public Notice Records\* (166-200-0010(26)) — Minimum retention: 3 years.

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 2-2014, f. & cert. ef. 8-7-14

**166-200-0260**

**Compliance**

Compliance documents adherence to established statutes, rules, policies and procedures.

(1) Contractor Liability Insurance Verification Records (166-200-0140(2)) — Minimum retention:

(a) If related to city improvement project, retain 10 years after substantial completion, as defined by ORS 12.135(3);

(b) All other records, retain 6 years after expiration.

(2) Contractor Performance Bond Records (166-200-0140(3)) — Minimum retention:

(a) If related to city improvement project retain 10 years after substantial completion, as defined by ORS 12.135(3);

(b) All other bond records, retain 6 years after expiration.

(3) Employee Bond Records\* (166-200-0050(12)) — Minimum retention: 6 years after expiration.

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 2-2014, f. & cert. ef. 8-7-14; OSA 1-2015, f. & cert. ef. 1-27-15

**166-200-0265**

**Contracts**

Contracts document the solicitation, negotiation and purchasing goods and services for cities and employees.

(1) Collective Bargaining (166-200-0090(3)) — Minimum retention:

(a) Contracts and minutes, retain 75 years after contract expires;

(b) Other records, retain 6 years after contract expires.

(2) Competitive Bid Records (166-200-0050(9)) — Minimum retention:

(a) Accepted city improvement bids 10 years after substantial completion [as defined by ORS 12.135(3)];

(b) All other accepted bids 6 years after bid awarded or canceled;

(c) Rejected bids and bid exemptions, retain 2 years.

(3) Contracts and Agreements (166-200-0135(4); 166-200-0120(8)) — Minimum retention:

(a) Collective bargaining contract records, retain 75 years after contract expires;

(b) Construction contract records, retain 10 years after substantial completion;

(c) All other contract records, retain 6 years after expiration.

(4) Franchise Records (166-200-0135(9)) — Minimum retention: 6 years after expiration.

(5) Insurance Policy Records (166-200-0140(6)) — Minimum retention:

(a) Group employee health and life, property, and liability insurance, retain 75 years after expiration if no claims pending;

(b) All other insurance records, retain 6 years after expiration if no claims pending.



(6) Lease Records (166-200-0135(10)) — Minimum retention:

- (a) Leases denied or not completed, retain 2 years;
- (b) All other leases, retain 6 years after expiration.

(7) Rental and Loan Records (166-200-0080(6)) — Minimum retention: 3 years.

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 2-2014, f. & cert. ef. 8-7-14

#### 166-200-0270

##### Information Management

Information Management documents the planning, implementation and management of technology and information management and telecommunications systems.

(1) Computer System Migration Plans — Minimum retention: retain until superseded or obsolete.

(2) Computer System Program Documentation (166-200-0060(2)) — Minimum retention: retain 1 year after system superseded.

(3) Computer System Wiring Records (166-200-0060(4)) — Minimum retention: Current plus previous.

(4) Data Management System Records (166-200-0145(2)) — Minimum retention: Until superseded or obsolete.

(5) Information Service Subscription Records (166-200-0060(7)) — Minimum retention: 2 years.

(6) Information System Planning and Development Records (166-200-0060(8)) — Minimum retention:

- (a) Implemented systems, retain for the life of the system;
- (b) Unimplemented systems, retain 3 years.

(7) Software Management Records (166-200-0060(11)) — Minimum retention: 2 years after software disposed of or upgraded.

(8) Telecommunications System Management Records (166-200-0060(12)) — Minimum retention: 1 year after system superseded or obsolete.

(9) User Support Records (166-200-0060(13)) — Minimum retention: 1 year.

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 2-2014, f. & cert. ef. 8-7-14

#### 166-200-0275

##### Legal

Legal documents the advice and management of the agency's legal affairs; including the development, review and interpretations of statutes and rules. Legal includes both internal and outside counsel.

(1) Attorney's Civil and Criminal Case Files (166-200-0020(1), (2)) — Minimum retention: 10 years after case closed, dismissed, or date of last action.

(2) Dispute Resolution Records (166-200-0020(3)) — Minimum retention: 3 years.

(3) Land Use Board of Appeals (LUBA) Case Files (166-200-0020(4)) — Minimum retention: 10 years after final decision.

(4) Legal Opinions (166-200-0020(5)) — Minimum retention: Permanent.

(5) Public Records Disclosure Request Records (166-200-0050(6)) — Minimum retention: retain 2 years after last action.

(6) Signature Authorization Records\* (166-200-0020(25)) — Minimum retention: 6 years after authorization superseded or expired.

(7) Tort Claim Notices (166-200-0020(7)) — Minimum retention: 3 years after claim closed.

(8) Victim/Witness Assistance Program Records (166-200-0020(8)) — Minimum retention: 5 years.

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 2-2014, f. & cert. ef. 8-7-14

#### 166-200-0280

##### Library

Library documents the operations and management of the city's public library.

(1) Accession Records (166-200-0065(1)) — Minimum retention: Until superseded or obsolete.

(2) Borrower Registration Records (166-200-0065(2)) — Minimum retention: Until superseded or 1 year after expiration or non-use.

(3) Catalogs (166-200-0065(3)) — Minimum retention: Until superseded or obsolete.

(4) Circulation Records (166-200-0065(4)) — Minimum retention: Until superseded or obsolete.

(5) Inter-Library Loan Records (166-200-0065(5)) — Minimum retention: 6 months after materials returned to owner library.

(6) Master Shelf Lists/Inventories (166-200-0065(9)) — Minimum retention: Until superseded or obsolete.

(7) Overdue Book Records (166-200-0065(11)) — Minimum retention: Until materials returned or debts reconciled or deemed uncollectible.

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 2-2014, f. & cert. ef. 8-7-14

#### 166-200-0285

##### Mayor/Council

Mayor/Council documents the activities and decisions of the city's elected officials.

(1) Appointment Records (166-200-0070(1)) — Minimum retention:

- (a) Mayor or councilor appointments, retain permanently;
- (b) Commissioners and other positions, if appointed, retain 6 years after separation;

(c) All other positions, if not appointed, retain 1 year.

(2) Legislative Issues Records (166-200-0070(3)) — Minimum retention: 4 years.

(3) Proclamations (166-200-0070(4)) — Minimum retention:

(a) Proclamations requested by outside groups or organizations, retain 1 year;

(b) All other proclamations, retain permanently.

(4) Sister City Records (166-200-0070(5)) — Minimum retention:

- (a) Ceremonial agreements, retain permanently;
- (b) Financial records, retain 3 years.

(5) State of the City Addresses (166-200-0070(6)) — Minimum retention: Permanent.

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 2-2014, f. & cert. ef. 8-7-14

#### 166-200-0290

##### Municipal Court

Municipal Court documents the operations of the courts as well as the proceedings of cases presented before the court.

(1) Appeals Records — (166-200-0075(1)) — Minimum retention:

(a) DUII case records, retain 10 years after case closed, dismissed or date of last action;

(b) All other records, retain 5 years after case closed, dismissed or date of last action.

(2) Court Appointed Attorney Application Records (166-200-0075(4)) — Minimum retention: 1 year.

(3) Court Appointed Attorney Lists (166-200-0075(5)) — Minimum retention: Until superseded or obsolete.

(4) Court Orders and Procedural Rules (166-200-0075(7)) — Minimum retention: Current plus previous orders and rules.

(5) Docket/Trial Calendars (166-200-0075(8)) — Minimum retention: 90 days.

(6) DUII Case Files (166-200-0075(9)) — Minimum retention: 10 years after case closed or dismissed or date of last action.

(7) DUII Diversion Program/Conviction Summary Records (166-200-0075(10)) — Minimum retention: 5 years.

(8) Jury Records (166-200-0075(11)) — Minimum retention: 3 years.

(9) Municipal Court Criminal Case Files (166-200-0075(12)) — Minimum retention: 10 years after case closed or dismissed or date of last action.

(10) Municipal Court Expunged or Sealed Records (166-200-0075(13)) — Minimum retention:

(a) Expunged records, retain according to the directive of the court;

(b) Expungement orders, retain 10 years or according to the directive of the court;

(c) Sealed records, retain 10 years or according to the directive of the court.

(11) Ordinance Violation Case Files (166-200-0075(14)) — Minimum retention:

(a) Citations issued, retain 5 years after case closed or dismissed or date of last action;

(b) Records of citations not issued, retain 1 year after date of last action.

(12) Parking Citation Records (166-200-0075(15)) — Minimum retention: 3 years after satisfied, dismissed or deemed uncollectible.

(13) Traffic Citation Case Files (166-200-0075(17)) — Minimum retention: 5 years after case closed, dismissed or date of last action.

(14) Trial Proceedings Records/Register of Actions (166-200-0075(18)) — Minimum retention:

(a) Criminal cases, retain 10 years after case closed, dismissed, or date of last action;

(b) Non-criminal cases, retain 5 years after case closed, dismissed or date of last action.

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 2-2014, f. & cert. ef. 8-7-14

## 166-200-0295

### Payroll

Payroll is responsible for the management of accounting functions related to employee compensation and benefits as well as, the actual compensation of city employees.

(1) Deduction Authorization Records (166-200-0085(1)) — Minimum retention: 3 years after superseded, terminated, or employee separates.

(2) Deduction Registers (166-200-0085(2)) — Minimum retention: Registers documenting state and federal taxes, retain 5 years.

(3) Employee Time Records (166-200-0085(3)) — Minimum retention:

(a) For the retention of records documenting the expenditure of grant funds, see Grant Records;

(b) Other records, retain 4 years.

(4) Federal and State Tax Records (166-200-0085(4)) — Minimum retention: 5 years.

(5) Garnishment Records (166-200-0085(5)) — Minimum retention: 3 years after resolution.

(6) Leave Applications (166-200-0085(6)) — Minimum retention: 3 years.

(7) Leave Balance Reports (166-200-0085(7)) — Minimum retention:

(a) Year-end leave balance reports, retain 75 years after date of hire;

(b) All other reports, retain 4 years.

(8) Payroll Administrative Reports (166-200-0085(8)) — Minimum retention: 3 years.

(9) Payroll Registers (166-200-0085(9)) — Minimum retention: (a) Year-end, or month-end if no year-end payroll registers, retain 75 years;

(b) All other payroll registers, retain 2 years.

(10) Unemployment Records (166-200-0085(10), (11)) — Minimum retention: 3 years.

(11) Wage and Tax Statements (166-200-0085(12)) — Minimum retention: 5 years.

(12) Withholding Allowance Certificates (166-200-0085(13)) — Minimum retention: 5 years after superseded or employee separation.

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 2-2014, f. & cert. ef. 8-7-14

## 166-200-0300

### Permitting, Licensing and Certifying

Permitting, Licensing and Certifying is responsible for the application, administration and oversight of permissions granted to or by the city.

(1) Building Permit Applications (166-200-0025(5)) — Minimum retention:

(a) If permit issued, retain 2 years;

(b) If no permit issued, retain 180 days.

(2) Building Permits (166-200-0025(6)) — Minimum retention:

(a) Permits for completed structures, retain for the life of the structure;

(b) Demolition permits, retain 10 years after demolition;

(c) All other permits, retain 2 years after revoked or expired.

(3) Concealed Weapons Permits (166-200-0100(12)) — Minimum retention:

(a) Denied applications and list of permits issued, retain 5 years;

(b) All other records, retain 2 years.

(4) Flood Plain Permits (166-200-0095(5)) — Minimum retention:

(a) Permits and elevation certificates, retain 10 years after the life of structure or until area determined not to be a flood plain, whichever is longer;

(b) All other records, retain 10 years.

(5) Industrial Pretreatment Permits (166-200-0120(4)) — Minimum retention:

(a) Permits, addenda, and modifications, retain permanently;

(b) All other records, retain 5 years after expiration or revocation.

(6) Liquor License Records (166-200-0135(12)) — Minimum retention: 2 years after approval or denial.

(7) National Pollution Discharge Elimination System Permits (166-200-0120(6)) — Minimum retention:

(a) Permit, addenda, and modifications, retain permanently;

(b) All other records, retain 5 years after expiration or revocation.

(8) Permit and License Records, City Issued\* (166-200-0010(22); 166-200-0055(1), (2), (3), (6); 166-200-0080(3); 166-200-0100(2)) — Minimum retention: 3 years after expiration.

(9) Right-of-Way Permit Records (166-200-0105(8)) — Minimum retention:

(a) Construction related records, retain 10 years after substantial completion [as defined by ORS 12.135(3)] of project;

(b) All other records, retain 2 years after expiration, revocation, or discontinuance of use.

(10) Temporary Access/Construction Easement Records (166-200-0120(20)) — Minimum retention: 2 years after easement expires.

(11) Temporary Use Records (166-200-0095(22)) — Minimum retention: 5 years after permit expiration.

(12) Vehicle Title and Registration Records (166-200-0135(19)) — Minimum retention:

(a) Titles, retain until vehicle is sold or disposed of;

(b) Registration records, retain until superseded or disposition of vehicle.

(13) Water Pollution Control Facilities (WPCF) Permit Records (166-200-0120(13)) — Minimum retention:

(a) Permit, addenda and modifications, retain permanently;

(b) All other records, retain 5 years after expiration or revocation.

(14) Wetlands Removal and Fill Permits (166-200-0105(11)) — Minimum retention: 30 years.

Stat. Auth.: ORS 192 & 357

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

### 166-200-0305

#### Personnel — Administration

Personnel provides advice and assistance in the interpretation and application of state and federal personnel laws, policies and procedures. Personnel is also responsible for the overall management of employees and volunteers of the city. Administration is responsible for the oversight of employees and the policies used to ensure compliance with state, federal and local employment practices.

(1) Affirmative Action Records (166-200-0090(1)) — Minimum Retention:

- (a) Plans, updates and policy statements retain permanently;
- (b) All other records retain 3 years.

(2) Comparable Worth Records (166-200-0090(4)) — Minimum retention:

- (a) Final study or report, retain permanently;
- (b) All other records retain 5 years.

(3) Criminal Background Check Records (166-200-0090(5)) — Minimum retention:

- (a) Background check log retain until superseded or obsolete;
- (b) All other records retain 90 days.

(4) Disciplinary Action Records (166-200-0090(6)) — Minimum retention:

(a) Investigations resulting in disciplinary action or exoneration retain 3 years after resolution;

(b) Investigations resulting in termination retain 10 years after employee separation.

(5) Employee Personnel Records (166-200-0090(10)) — Minimum retention: retain 6 years after separation.

(6) Employee Recognition/Wellness Program Records (166-200-0090(11)) — Minimum retention: 6 years.

(7) Employee Suggestion Award Records (166-200-0090(12)) — Minimum retention: retain 2 years.

(8) Employment Eligibility Verification Forms (I-9) (166-200-0090(13)) — Minimum retention: 3 years after date of hire or 1 year after employee separation, whichever is longer.

(9) Equal Employment Opportunity (EEO) Compliance Records (166-200-0090(15)) — Minimum retention: 3 years.

(10) Grievance and Complaint Records (166-200-0090(17); (166-200-0090(14)) — Minimum retention: 3 years after final decision issued.

(11) Photo Identification Records (166-200-0090(19)) — Minimum retention: Retain until updated or employee separates.

(12) Recruitment and Selection Records (166-200-0090(21)) — Minimum retention: retain 3 years after position filled or recruitment canceled.

(13) Unsolicited Employment Applications and Resumes (166-200-0090(21)) — Minimum retention: retain 3 months if not returned to the solicitor.

(14) Volunteer Program Records (166-200-0090(23)) — Minimum retention: 4 years.

(15) Volunteer Worker Records (166-200-0090(24)) — Minimum retention: 4 years after separation.

(16) Wellness Program Records — Minimum retention: 2 years

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 2-2014, f. & cert. ef. 8-7-14

### 166-200-0310

#### Personnel — Compensation and Classification

Personnel provides advice and assistance in the interpretation and application of state and federal personnel laws, policies and procedures. Personnel is also responsible for the overall management of employees and volunteers of the city. Compensation and Classification documents the process of ensuring that employees are fairly classified and compensated according to city, state and federal rules and policies.

(1) Employee Benefits Records (166-200-0090(2), (8)) — Minimum retention:

(a) Year end leave balance reports and official copy of retirement enrollment records, retain 75 years after date of hire;

(b) All other records retain 3 years after employee separation or eligibility expired.

(2) Position Description, Classification, and Compensation Records (166-200-0090(20)) — Minimum retention: 3 years after updated or position abolished.

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 2-2014, f. & cert. ef. 8-7-14

### 166-200-0315

#### Personnel — Medical

Personnel provides advice and assistance in the interpretation and application of state and federal personnel laws, policies and procedures. Personnel is also responsible for the overall management of employees and volunteers of the city. Medical is responsible for managing all individual employees medical records, including those relating to injuries and illnesses that may be job related and for monitoring employees' exposure to hazardous substances in a confidential and secure manner.

**NOTE:** These records must be kept physically separate from the employee personnel files

(1) Drug Testing Records (166-200-0090(7)) — Minimum retention:

(a) Positive drug tests retain 5 years;

(b) Negative drug tests retain 1 year.

(2) Employee Hazard Exposure Records (166-200-0090(9)(a), (18)) — Minimum retention: 30 years after separation.

(3) Employee Medical Records (166-200-0090(9)(b)) — Minimum retention: retain 6 years after separation.

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 2-2014, f. & cert. ef. 8-7-14

### 166-200-0320

#### Planning and Development

Planning and Development documents the city's objectives and the means for obtaining them.

(1) Comprehensive Plan Records (166-200-0095(1)) — Minimum retention: Permanent.

(2) Conditional Use Records (166-200-0095(2)) — Minimum retention: 10 years after expiration, revocation, or discontinuance of use.

(3) Design and Development Review Records (166-200-0095(3)) — Minimum retention:

(a) Minutes, agendas, resolutions, indexes, and exhibits (not retained permanently elsewhere in city records), retain permanently;

(b) Audio or visual recording, retain 1 year after minutes prepared and approved;

(c) Exhibits not pertinent to minutes, retain 5 years;

(d) If no permit issued, retain 180 days;

(e) If permit issued, but structure not started or completed, retain 2 years;

(f) All other records if permit issued and structure completed, retain 2 years after substantial completion [as defined by ORS12.135(3)].

(4) Enterprise Zone Records (166-200-0095(4)) — Minimum retention:

(a) Reports summarizing results or activities, retain permanently;

(b) All other records, retain 4 years after zone designation expires.

(5) Historic Structures Rehabilitation Project Reviews (166-200-0095(8)) — Minimum retention: 3 years after project closed.

(6) Housing Authority Individual Tenant History Records (166-200-0095(11)) — Minimum retention: 5 years after separation from program.

(7) Housing Authority Program Management Records (166-200-0095(12)) — Minimum retention: 3 years after annual or final expenditure report submitted.



(8) Housing Authority Property Management Records (166-200-0095(13)) — Minimum retention: 6 years after expiration.

(9) Housing Authority Rejected Assistance Application Records (166-200-0095(14)) — Minimum retention: 3 years.

(10) Master Plans ((166-200-0105(6)) — Minimum retention: Permanent.

(11) Sewage Sludge Management Plans (166-200-0120(10)) — Minimum retention: Permanent.

(12) Sign Review Records (166-200-0095(20)) — Minimum retention: Life of the structure.

(13) Strategic Plans — Minimum retention: 10 years.

(14) Subdivision and Partition Records (166-200-0095(18), (21)) — Minimum retention:

(a) If approved and city conditions met, retain permanently;

(b) If not approved, retain 10 years after expiration or revocation;

(c) Withdrawal request letters, retain 3 years;

(d) Withdrawn applications, retain 180 days if not returned to applicant at time of withdrawal.

(15) Urban Renewal Project Records (166-200-0095(25)) — Minimum retention: 25 years after district sunsets.

(16) Variance and Exception Records (166-200-0095(26); 166-200-0125(7)) — Minimum retention: 10 years after life of structure or expiration, revocation, or discontinuance of use.

(17) Wetlands Conservation Planning Records ((166-200-0105(10)) — Minimum retention: Permanent.

(18) Withdrawn Land Use Application Records (166-200-0095(26)) — Minimum retention: 180 days if not returned to applicant at time of withdrawal.

(19) Zone Change Records (166-200-0095(28)) — Minimum retention:

(a) Applications, findings of fact, and decision documents, retain permanently;

(b) All other records, retain 10 years after approval or denial.

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 2-2014, f. & cert. ef. 8-7-14

#### 166-200-0325

##### Policy

Policy documents the development of city plans, policies, legislation and rules and coordinates communication to staff regarding policy efforts and decisions.

(1) Disaster Preparedness Planning and Recovery Records (166-200-0030(3)) — Minimum retention: Until superseded or obsolete.

(2) Emergency Operations and Management Plans (166-200-0030(13)) — Minimum retention:

(a) Adopted plans, retain until superseded or obsolete;

(b) All other records, retain 3 years after annual or final expenditure report submitted.

(3) Equal Employment Opportunity Policy Records (166-200-0090(16)) — Minimum retention:

(a) Plans, updates and policy statements, retain permanently;

(b) All other records, retain 3 years.

(4) Housing Authority Bylaws, Rules, and Policies (166-200-0095(9)) — Minimum retention: Permanent.

(5) Neighborhood/Citizen Association Charters and Bylaws (166-200-0095(16)) — Minimum retention: Permanent.

(6) Policy and Procedure Manuals (166-200-0135(15)) — Minimum retention: 2 years after superseded or obsolete.

(7) Policy Statements and Directives (166-200-0135(16)) — Minimum retention: Permanent.

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 2-2014, f. & cert. ef. 8-7-14

#### 166-200-0330

##### Professional Development

Professional Development is responsible for providing or sponsoring training and training opportunities for city employees, employees of other agencies and the general public.

(1) Class Enrollment and Attendance Records ((166-200-0010(32); (166-200-0030(10); 166-200-0090(22); (166-200-0100(15)) — Minimum retention: 2 years.

(2) Employee Training Program Records (166-200-0090(22)) — Minimum retention:

(a) Significant program records, retain 5 years;

(b) All other records, retain 2 years.

(3) Professional Membership Records (166-200-0010(24)) — Minimum retention: 3 years.

(4) Program Accreditation Records (166-200-0010(25)) — Minimum retention: Retain current and one previous accreditation cycle, destroy.

(5) Seminar and Conference Records (166-200-0010(32), (33)) — Minimum retention: 3 years.

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 2-2014, f. & cert. ef. 8-7-14

#### 166-200-0335

##### Property Management — Hazardous Materials

Property Management is responsible for the inventory, general maintenance and disposition of agency properties. Hazardous Materials document the monitoring and reporting on the uses of hazardous substances and applications on city owned or leased property.

(1) Chemical Application Records (166-200-0080(1)) — Minimum retention: 3 years after application.

(2) Grass and Weed Control Records (166-200-0055(15)) — Minimum retention: 3 years after last action or final payment.

(3) Hazard Analysis Records (166-200-0030(14)) — Minimum retention: Until superseded or obsolete.

(4) Hazard Shelter Records (166-200-0030(15)) — Minimum retention: Until superseded or obsolete.

(5) Hazardous Material Emergency Incident Records (166-200-0055(16)) — Minimum retention: Permanent.

(6) Hazardous Substance Employer Survey Summaries (166-200-0055(17)) — Minimum retention: 3 years after superseded or obsolete.

(7) Regulated Substances Storage and Use Records (166-200-0055(19)) — Minimum retention:

(a) Records related to underground storage tanks, retain 25 years after tank removed;

(b) Records related to above ground storage tanks, retain 5 years.

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 2-2014, f. & cert. ef. 8-7-14

#### 166-200-0340

##### Property Management — Inventory

Property Management is responsible for the inventory, general maintenance and disposition of agency properties. Inventory is the process of documenting and tracking actual property owned by the city.

(1) Capitalized Assets Inventory Records\* (166-200-0050(18)(a)) — Minimum retention: retain 3 years after disposal or replacement of asset.

(2) Cemetery Records\* (166-200-0010(4)) — Minimum retention: Permanent.

(3) Expendable Property Records (166-200-0050(18)(b)) — Minimum retention: retain 3 years or until superseded, whichever is longer.

(4) Historic Structures Inventory Records (166-200-0095(7)) — Minimum retention: Until superseded or obsolete.

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 2-2014, f. & cert. ef. 8-7-14

#### 166-200-0345

##### Property Management — Maintenance and Disposition

Property Management is responsible for the inventory, general maintenance and disposition of agency properties. Maintenance

and Disposition documents the maintenance and disposition of equipment and property owned by the city.

(1) Backflow Prevention Device Test Records (166-200-0110(1)) — Minimum retention: 10 years.

(2) Bridge and Culvert Maintenance and Repair Records (166-200-0110(2)) — Minimum retention:

(a) Records with engineering stamps documenting structural maintenance or repairs, retain 2 years after bridge or culvert permanently removed from service;

(b) All other records, retain 2 years.

(3) Bridge Inspection Records (166-200-0105(2)) — Minimum retention: 2 years after bridge removed from service.

(4) Computer System Maintenance Records (166-200-0060(1)) — Minimum retention:

(a) Records related to system or component repair or service, retain for the life of the system or component;

(b) Records related to regular or essential records backups, retain 1 year after superseded or obsolete.

(5) Equipment Calibration Records (166-200-0110(25); 166-200-0120(3); 166-200-0125(2)) — Minimum retention: Life of the equipment.

(6) Equipment Issued Records (166-200-0100(23)) — Minimum retention: Until superseded or obsolete.

(7) Equipment Maintenance and Repair Records (166-200-0010(37); 166-200-0110(7); 166-200-0120(3)) — Minimum retention: 3 years after disposition of equipment.

(8) Facilities and Grounds Inspection Records (166-200-0080(2), (7); 166-200-0110(12)) — Minimum retention: 2 years.

(9) Facilities and Grounds Maintenance and Repair Records (166-200-0080(7); 166-200-0110(3)) — Minimum retention:

(a) Records requiring engineering stamps, retain 2 years after life of structure;

(b) All other records, retain 2 years.

(10) Hydrant Records (166-200-0110(10)) — Minimum retention:

(a) Retain location and specification records until hydrant permanently removed from service;

(b) Retain maintenance, test and repair records 2 years.

(11) Maintenance Request/Complaint Records (166-200-0110(11)) — Minimum retention: 2 years after last action.

(12) Property Disposition Records (166-200-0050(21)) — Minimum retention: 3 years after disposition of property.

(13) Radar Equipment Certification and Maintenance Records (166-200-0100(60)) — Minimum retention: 2 years after disposition of equipment.

(14) Sewer and Storm Drainage Maintenance and Repair Records (166-200-0110(13)) — Minimum retention:

(a) Records requiring engineering stamps, retain 2 years after life of structure;

(b) All other records, retain 2 years.

(15) Sewer Smoke Test Records (166-200-0110(14)) — Minimum retention: 10 years.

(16) Sewer Television/Videoscan Inspection Records (166-200-0110(15)) — Minimum retention:

(a) Written reports, retain 1 year after the life of the sewer line;

(b) Videotapes, retain 1 year after written report submitted.

(17) Street and Road Condition Inventory Records (166-200-0110(16)) — Minimum retention: 5 years after annual audit report issued.

(18) Street Maintenance and Repair Records (166-200-0110(17)) — Minimum retention:

(a) Records requiring engineering stamps, retain 10 years after substantial completion;

(b) All other records, retain 2 years.

(19) Street Surface Maintenance Records (166-200-0110(18)) — Minimum retention: 3 years after annual audit report issued.

(20) Streetlight Inventory Records (166-200-0115(7)) — Minimum retention: Until superseded or obsolete

(21) Streetlight Maintenance and Repair Records (166-200-0110(19)) — Minimum retention: 3 years after annual audit report issued.

(22) Technical Manuals, Specifications, and Warranties (166-200-0010(36)) — Minimum retention:

(a) Manuals, retain until disposition of vehicle or equipment;

(b) Warranties, retain until expiration.

(23) Traffic Control Equipment Maintenance and Repair Records (166-200-0110(21)) — Minimum retention:

(a) Traffic signal records, retain 2 years after equipment permanently removed from service;

(b) Traffic sign records, retain 2 years.

(24) Utility Meter Installation, Maintenance, and Repair Records (166-200-0110(24)) — Minimum retention: 5 years.

(25) Valve Maintenance Records (166-200-0110(26)) — Minimum retention:

(a) Location and specification records, retain until valve permanently removed from service;

(b) Maintenance and repair records, retain 2 years.

(26) Water Line Maintenance and Repair Records (166-200-0110(27)) — Minimum retention:

(a) Records requiring an engineering stamp, retain 2 years after water line permanently removed from service;

(b) All other records, retain 2 years.

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 2-2014, f. & cert. ef. 8-7-14

## 166-200-0350

### Public Safety

Public Safety documents the responsibilities for law and code enforcement, fire services, emergency management and jail services. For policy related records see Policy (OAR 166-200-0325)

(1) 9-1-1 Data Management System Records (166-200-0145(2)) — Minimum retention: Until superseded or obsolete.

(2) 9-1-1 Operational Logs (166-200-0145(7)) — Minimum retention: 1 year.

(3) 9-1-1 System Error/Malfunction Records (166-200-0145(11)) — Minimum retention: 2 years.

(4) Alarm Records (166-200-0100(2)) — Minimum retention:

(a) Alarm licensing and permit records, retain 3 years after expiration;

(b) All other records, retain 2 years.

(5) Alert and Notification Records (166-200-0030(1)) — Minimum retention: 30 days.

(6) Animal Control Records (166-200-0100(3)) — Minimum retention:

(a) Dog licenses, retain 3 years after expiration;

(b) Other records, retain 2 years.

(7) Arrest Warrant Log Records (166-200-0100(4)) — Minimum retention: Until superseded or obsolete.

(8) Arrest Warrant Records (166-200-0100(5)) — Minimum retention: Until served, recalled or cancelled by the court.

(9) Block Home Program Records (166-200-0100(6)) — Minimum retention:

(a) Approved application records, retain 2 years after withdrawal from program;

(b) Denied application records, retain 2 years.

(10) Booking Records (166-200-0100(7)) — Minimum retention:

(a) Homicides, retain 20 years;

(b) Felonies, retain 10 years;

(c) Misdemeanors, retain 5 years.

(11) Briefing Records (166-200-0145(1)) — Minimum retention: 7 days.

(12) Bulletins From Other Agencies (166-200-0100(8)) — Minimum retention: Until superseded or obsolete.

(13) Civil Preparedness Guidance (CPG) and State and Local Guide (SLG) Records (166-200-0030(2)) — Minimum retention: Until superseded or obsolete.

(14) Community Policing and Problem Solving Records (166-200-0100(9)) — Minimum retention:

- (a) Agreements, retain 6 years after expiration;
- (b) All other records, retain 2 years.
- (15) Computer Inquiry Records (166-200-0100(10)) — Minimum retention: Until superseded or obsolete.
- (16) Computer Validation Records (166-200-0100(11)) — Minimum retention: 5 years or until audited by NCIC or other applicable law enforcement network, whichever is shorter.
- (17) Controlled Substance Inventory and Tracking Records (166-200-0055(4)) — Minimum retention: 3 years, or until superseded, whichever is longer.
- (18) Crime Analysis Records (166-200-0100(13)) — Minimum retention:
  - (a) Major crime analyses or studies, retain 10 years;
  - (b) All other records, retain 1 year.
- (19) Crime Prevention Community Organization Records (166-200-0100(14)) — Minimum retention: Until superseded or obsolete.
- (20) Crime Prevention Program Records (166-200-0100(15)) — Minimum retention:
  - (a) Significant program records, retain 5 years;
  - (b) Class enrollment and attendance records, retain 2 years;
  - (c) All other records, retain 1 year.
- (21) Crime Prevention Security Survey Records (166-200-0100(16)) — Minimum retention: 2 years.
- (22) Crime Prevention Vacation House Inspection Records (166-200-0100(17)) — Minimum retention: 30 days after inspections end.
- (23) Criminal Arrest History Records (166-200-0100(18)) — Minimum retention:
  - (a) Homicides, retain 20 years;
  - (b) felonies, retain 10 years;
  - (c) Misdemeanors, retain 5 years.
- (24) Criminal History Dissemination Records (166-200-0100(19)) — Minimum retention: Until case completed or suspended.
- (25) Criminal Intelligence Records (166-200-0100(20)) — Minimum retention:
  - (a) “Permanent files” as defined by OAR 137-090-0080, retain 5 years;
  - (b) “Temporary files” as defined by OAR 137-090-0080, retain 1 year;
  - (c) “Working files” as defined by OAR 137-090-0080, retain 30 working days.
- (26) Detoxification Confinement Logs (166-200-0100(21)) — Minimum retention: 2 years.
- (27) Dispatch Incident Records (166-200-0145(3)) — Minimum retention: 2 years.
- (28) Emergency and Disaster Incident Records\* (166-200-0010(8)) — Minimum retention: Permanent.
- (29) Emergency Exercise Records (166-200-0030(4)) — Minimum retention: 3 years after annual or final expenditure report submitted.
- (30) Emergency Management Assistance Staff Pattern Records (166-200-0030(8)) — Minimum retention: 3 years after annual or final expenditure report submitted.
- (31) Emergency Management Resource Lists (166-200-0030(12)) — Minimum retention: Until superseded or obsolete.
- (32) Emergency Medical Incident Records (166-200-0055(5)) — Minimum retention: 10 years.
- (33) Emergency Telephone Calls Continuous Audio Tapes (166-200-0100(22); 166-200-0145(5)) — Minimum retention: 7 months Note: Specific recordings of incidents may warrant longer retention for legal reasons.
- (34) Enhanced 9-1-1 Service Plans (166-200-0145(4)) — Minimum retention:
  - (a) Approved plans and amendments, retain 5 years after superseded;
  - (b) Preliminary plans, drafts, worksheets and supporting materials, retain until plan approved by Oregon Emergency Management.
- (35) Expunged or Sealed Records, Police (166-200-0100(24)) — Minimum retention:
  - (a) Dispose of expunged records according to the directive of the court;
  - (b) Expungement orders, retain 10 years or according to the directive of the court;
  - (c) Sealed records, retain 10 years or according to the directive of the court.
- (36) Fingerprint Cards (166-200-0100(26)) — SEE ALSO Latent Fingerprint Cards in this section — Minimum retention:
  - (a) Homicides, retain 20 years;
  - (b) Felonies, retain 10 years;
  - (c) Misdemeanors, retain 5 years;
  - (d) Retain other cards until superseded or obsolete.
- (37) Fire and Emergency Medical Services Maps (166-200-0055(8)) - Minimum retention: Until superseded or obsolete.
- (38) Fire and Security Alarm System Records (166-200-0055(12)) — Minimum retention: Retain 2 years.
- (39) Fire Investigation Records (166-200-0055(13)) — Minimum retention:
  - (a) Records documenting fires involving loss of life, retain 75 years;
  - (b) Other records, retain 10 years.
- (40) Incident Case File Indexes (166-200-0100(29)) — Minimum retention: Until superseded or obsolete.
- (41) Incident Case Files (166-200-0100(30)) — Minimum retention:
  - (a) Cases involving crimes with no statute of limitations, retain 75 years after case closed;
  - (b) Protective custody files, retain until minor’s age of majority or emancipation;
  - (c) All other cases, retain until statute of limitations expires.
- (42) Informant Case Files (166-200-0100(31)) — Minimum retention: Until superseded or obsolete.
- (43) Inmate Accountability Records (166-200-0100(32)) — Minimum retention: 1 year.
- (44) Inmate Case File Indexes (166-200-0100(33)) — Minimum retention: Until superseded or obsolete.
- (45) Inmate Case Files (166-200-0100(34)) — Minimum retention: 5 years.
- (46) Inmate Meal Records (166-200-0100(35)) — Minimum retention: 6 months.
- (47) Inmate Medical Records (166-200-0100(36)) — Minimum retention: 7 years.
- (48) Inmate Telephone and Mail Logs (166-200-0100(38)) — Minimum retention: 1 year.
- (49) Impounded and Abandoned Vehicle Records (166-200-0100(28)) — Minimum retention: Retain records not included in Incident Case File, 2 years after disposition of vehicle.
- (50) Inspection and Occupancy Records (166-200-0055(18)) — Minimum retention: Retain current and previous inspection reports or 10 years, whichever is longer.
- (51) Internal Investigations Case Files (166-200-0100(40)) — Minimum retention:
  - (a) Investigations resulting in termination, retain 10 years after employee separation;
  - (b) Investigations resulting in disciplinary action or exoneration, retain 3 years after resolution;
  - (c) Unfounded investigations, retain 3 years.
- (52) Juvenile Offender/Victim Restitution Records (166-200-0100(41)) — Minimum retention: 5 years after last action, or youth reaches age of majority, whichever is longer.
- (53) Juvenile Temporary Custody Records (166-200-0100(42)) — Minimum retention: 3 years.
- (54) Latent Fingerprint Cards (166-200-0100(43)) — SEE ALSO Fingerprint Cards in this section — Minimum retention:
  - (a) Cases involving crimes with no statute of limitations, retain 75 years after case closed;
  - (b) All other cases, retain 1 year after statute of limitations expires.



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(55) Lost and Found Property Records (166-200-0100(45)) — Minimum retention: 2 years after disposition.

(56) Maps, Police (166-200-0100(46)) — Minimum retention: Until superseded or obsolete.

(57) Master 24 Hour Audio Tapes (166-200-0145(5)) — Minimum retention: 7 months.

(58) Master Name Index Records (166-200-0100(47)) — Minimum retention: Until superseded or obsolete.

(59) Master Street Address Guide (MSAG) Maintenance Forms (166-200-0145(6)) — Minimum retention: 2 years.

(60) Mug Shots (166-200-0100(48)) — Minimum retention:

(a) Retain homicides 20 years;

(b) Retain felonies 10 years;

(c) Retain misdemeanors 5 years.

(61) Neighborhood Dispute Resolution Records (166-200-0100(49)) — Minimum retention:

(a) Case records, retain 5 years after last action;

(b) All other records, retain 2 years.

(62) Officer Notes (166-200-0100(50)) — Minimum retention: 2 years.

(63) Officer Weapon Registration Records (166-200-0100(51)) — Minimum retention: Until superseded or obsolete.

(64) Patrol Car Video Files (166-200-0100(52)) — Minimum retention:

(a) Tapes used as evidence, retain until case reaches final disposition;

(b) Tapes used for internal investigations, retain until investigation ends;

(c) All other tapes, retain 30 days.

(65) Pawn Broker and Second Hand Dealer Reports (166-200-0100(53)) — Minimum retention: 2 years.

(66) Peer Court Records (166-200-0100(54)) — Minimum retention:

(a) Case records, retain 5 years after final disposition of case, or youth reaches age of majority, whichever is longer;

(b) Participant guidelines and instructions, retain until superseded or obsolete;

(c) All other records, retain 2 years.

(67) Photo Radar Records (166-200-0100(55), (56)) — Minimum retention:

(a) Photo Radar Logs, retain 3 years;

(b) Photo radar citations issued, retain 2 years;

(c) Photo radar citations not issued, retain 30 days.

(68) Polygraph Records (166-200-0100(57)) — Minimum retention:

(a) Case involving crimes with no statute of limitations, retain 75 years after case closed;

(b) All other cases, retain 1 year after statute of limitations expires.

(69) Premise Information Records (166-200-0145(8)) — Minimum retention: 2 years, or until renewed, superseded, or expired, whichever is sooner.

(70) Property and Evidence Control and Disposition Records (166-200-0100(58)) — Minimum retention:

(a) Cases involving crimes with no statute of limitations, retain 75 years after case closed;

(b) All other cases, retain 1 year after statute of limitations expires.

(71) Property Registration Records (166-200-0100(59)) — Minimum retention: Until registration is expired, superseded, or obsolete.

(72) State Fire Marshal Exemption Records (166-200-0055(20)) — Minimum retention: 2 years after denial, revocation, or expiration of exemption.

(73) Teletype Messages (166-200-0100(61)) — Minimum retention: Retain messages not warranting inclusion in Incident Case Files, or other record series 30 days.

(74) Towed Vehicle Records (166-200-0100(62)) — Minimum retention: 1 year.

(75) Traffic and Other Citation Logs (166-200-0100(63)) — Minimum retention: 1 year.

(76) Traffic and Other Citations (166-200-0100(64)) — Mini-

mum retention: 3 years.

(77) Traffic Violation Warning Records (166-200-0100(65))

— Minimum retention: 1 year.

(78) Used Firearm Transfer Records (166-200-0100(66)) —

Minimum retention: 1 year.

(79) Youth Prevention and Intervention Records (166-200-

0055(21)) — Minimum retention:

(a) Until court ordered expunction (ORS 419A.262);

(b) If case is not expunged: 5 years after last action, or youth

reaches age of majority, whichever is longer.

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 2-2014, f. & cert. ef. 8-7-14; OSA 1-2015, f. & cert. ef. 1-27-15

**166-200-0355**

**Public Works — Engineering**

Public Works is responsible for the management of the city's infrastructure. Engineering documents the technical specifications necessary to complete certain functions within city government.

(1) Aerial Photographs (166-200-0105(1)) — Minimum retention: Permanent.

(2) City Benchmark Records (166-200-0105(1)) — Minimum retention: Permanent.

(3) Engineering Project Technical Records (166-200-0105(4)) — For appraisal assistance, contact the Oregon State Archives. — Minimum retention:

(a) Records of project cost, retain 3 years after disposal or replacement of facility, structure, or system;

(b) All other records, retain 10 years after substantial completion [as defined by ORS 12.135(3)].

(4) Maps, Plans, and Drawings, City Created (166-200-0105(5)) — Minimum retention: retain permanently.

(5) Survey Field Records (166-200-0105(9)) — Minimum retention:

(a) General surveys and right-of-way location records, retain permanently;

(b) All other construction records, retain 10 years after substantial completion [as defined by ORS 12.135(3)] of project;

(c) For retention of law enforcement surveys, see Incident Case Files in the Police section.

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 2-2014, f. & cert. ef. 8-7-14

**166-200-0360**

**Public Works — Operations**

Public Works is responsible for the management of the city's infrastructure. Operations document the day to day management of the city's infrastructure.

(1) Cross Connection Control Survey Records (166-200-0110(4)) — Minimum retention: 1 year after disconnection or 10 years, whichever is longer.

(2) Discharge Monitoring Records (166-200-0120(2)) — Minimum retention:

(a) Reports, retain permanently;

(b) All other records, retain 5 years.

(3) Fuel Records (166-200-0110(9)) — Minimum retention: 2 years.

(4) Strip and Circle Chart Records (166-200-0120(11); 166-200-0125(6)) — Minimum retention: 3 years.

(5) Utility Installation and Connection (166-200-0110(22)) — Minimum retention: 2 years after physical disconnection.

(6) Utility Line Location Request Records (166-200-0110(23)) — Minimum retention: 2 years.

(7) Wastewater Treatment Operations Records (166-200-0120(12)) — Minimum retention:

(a) Annual reports, retain permanently;

(b) All Other records, retain 5 years.

(8) Water Treatment Operations Records (166-200-0125(12)) — Minimum retention:

(a) Annual reports, retain permanently;

(b) All other records, retain 5 years.

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 2-2014, f. & cert. ef. 8-7-14

**166-200-0365**

**Public Works — Traffic Engineering**

Public Works is responsible for the management of the city's infrastructure. Traffic Engineering documents the technical specifications necessary to manage the flow of city traffic.

(1) Crosswalk Records (166-200-0115(2)) — Minimum retention: 2 years after superseded or obsolete.

(2) Railroad Crossing Records (166-200-0115(3)) — Minimum retention: Permanent.

(3) Special Event Traffic Records (166-200-0115(4)) — Minimum retention: 2 years after event.

(4) Speed Zone Records (166-200-0115(5)) — Minimum retention: 2 years after superseded or obsolete.

(5) Street Banner Records (166-200-0115(6)) — Minimum retention: 2 years.

(6) Streetlight Request and Survey Records (166-200-0115(8)) — Minimum retention: 2 years after last action.

(7) Traffic Accident Analysis Records (166-200-0115(9)) — Minimum retention:

(a) Reports and summaries, retain 10 years;

(b) All other records, retain 5 years.

(8) Traffic Control Equipment Inventory Records (166-200-0115(10)) — Minimum retention: 2 years after superseded or obsolete.

(9) Traffic Research and Study Records (166-200-0115(11)) — Minimum retention:

(a) Reports and summaries, retain 10 years;

(b) All other records, retain until information is summarized or obsolete.

(10) Transit System Records (166-200-0115(12)) — Minimum retention:

(a) Review records, retain 2 years after denied or approved and stop or crossing removed;

(b) Transit system maps, retain until superseded or obsolete.

(11) Truck Route Records (166-200-0115(14)) — Minimum retention: 2 years after superseded or obsolete.

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 2-2014, f. & cert. ef. 8-7-14

**166-200-0370**

**Public Works — Wastewater and Water Treatment**

Public Works is responsible for the management of the city's infrastructure. Wastewater Treatment documents the management of wastewater and water treatment activities to ensure all rules, laws and codes are being followed. For operational records, please see Public Works — Operations (OAR 166-200-0360) and for reports relating to wastewater and water treatment see Reporting (OAR 166-200-0385)

(1) Annual Inspection Records (166-200-0120(1)) — Minimum retention:

(a) Reports, retain permanently;

(b) All other records, retain 5 years.

(2) Mobile Waste Hauler Dumping Records (166-200-0120(5)) — Minimum retention: 5 years.

(3) Non-Compliance Corrective Action Records (166-200-0125(3)) — Minimum retention: 3 years after last action.

(4) Public Facilities Grease Trap Inspection Records (166-200-0120(7)) — Minimum retention:

(a) 1 year after date of inspection;

(b) Closed facilities, retain 2 years after closure.

(5) Sanitary Survey Records (166-200-0125(4)) — Minimum retention:

(a) Reports, retain permanently;

(b) All other records, retain 5 years.

(6) Sewage Sludge Records (166-200-0120(9)) — Minimum retention: Permanent.

(7) Water Quality Complaint Records (166-200-0125(11)) — Minimum retention: 3 years after last action.

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 2-2014, f. & cert. ef. 8-7-14; OSA 1-2015, f. & cert. ef. 1-27-15

**166-200-0375**

**Recorder — Elections**

Recorder is responsible for the care and management of all city records. Elections documents the administration of city elections and that process is conducted in a manner that complies with all state and federal elections laws.

(1) Abstract of Votes (Record of Elections) (166-200-0130(1)) — Minimum retention: Permanent.

(2) Election Filings (166-200-0130(3)) — Minimum retention: 4 years.

(3) Election Preparation Records (166-200-0130(4)) — Minimum retention: 2 years.

(4) Help America Vote Act Identification Records (166-200-0130(5)) — Minimum retention: Until verified by county elections official.

(5) Initiative, Referendum, and Recall Records (166-200-0130(6)) — Minimum retention:

(a) Signature verification records, retain 6 years;

(b) Signature sheets including verification, if measure approved, retain 6 years after election;

(c) Signature sheets, if measure not approved, retain 90 days after election or 90 days after deadline for sufficient signatures;

(d) Petitions qualified to ballot, retain permanently;

(e) Petitions not qualified to ballot, retain 6 years.

(6) Poll Books (166-200-0130(8)) — Minimum retention: Records created prior to 1931, retain permanently.

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 2-2014, f. & cert. ef. 8-7-14; OSA 1-2015, f. & cert. ef. 1-27-15

### 166-200-0380

#### Recorder — General

Recorder is responsible for the care and management of all city records. General documents the management and care of the city's public records.

(1) Annexation Records (166-200-0135(1)) — Minimum retention: Permanent.

(2) City Charter (166-200-0135(2)) Minimum retention: Permanent.

(3) City Code (166-200-0135(3)) — Minimum retention: Permanent.

(4) Deeds to City-Owned Land (166-200-0135(7)) — Minimum retention:

(a) Record of sale or property transfer and legal property description, retain permanently;

(b) All other records, retain until property sold and any applicable audits have been completed.

(5) Easements (166-200-0135(8)) — Minimum retention: Permanent.

(6) Index/Finding Aid Records (166-200-0010(10)) — Minimum retention: Until superseded or obsolete.

(7) Filing System Records (166-200-0060(5)) — Minimum retention: 5 years after superseded or abolished.

(8) Forms Development Records (166-200-0060(6)) — Minimum retention: Until superseded or obsolete.

(9) Microfilm Quality Control Records (166-200-0060(9)) — Minimum retention: Same as related microfilm.

(10) Oaths of Office (166-200-0135(13)) — Minimum retention: 6 years after most recent oath expired.

(11) Orders — Minimum retention: Permanent

(12) Ordinances (166-200-0135(14)) — Minimum retention: Permanent.

(13) Property Dedication Records (166-200-0135(17)) — Minimum retention: Permanent.

(14) Property Vacation Records (166-200-0135(18)) — Minimum retention: Permanent.

(15) Records Management Records (166-200-0060(10)) — Minimum retention:

(a) Destruction records, retain 25 years;

(b) Index/Finding Aid Records (166-200-0010(10)) Until superseded or obsolete;

(c) Filing System Records (166-200-0060(5)) 5 years after superseded or abolished;

(d) Other records, retain 5 years after superseded or obsolete.

(16) Council Resolutions (166-200-0135(6)) — Minimum retention: Permanent.

(17) Waivers of Remonstrance (166-200-0135(20)) — Minimum retention:

(a) If waiver has an expiration date, retain 6 years after expiration date;

(b) If waiver carries no expiration date, retain 6 years after completion of project.

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 2-2014, f. & cert. ef. 8-7-14; OSA 1-2015, f. & cert. ef. 1-27-15

### 166-200-0385

#### Reporting

Reporting documents the communication to the city council, mayor and citizens on activities undertaken by city employees in relation to their job.

(1) Activity Reports — (166-200-0010(2); 166-200-0100(1)) Minimum retention: 2 years.

(2) Airport Activity Reports (166-200-0015(1)) — Minimum retention:

(a) Retain annual reports permanently;

(b) All other reports, retain 2 years.

(3) Airport Self-Inspection Reports (166-200-0015(5)) — Minimum retention:

(a) Reports documenting incidents, retain 2 years;

(b) Self-inspection reports, retain 1 year;

(c) Federal Aviation reports, retain 5 years;

(d) All other reports, retain 6 months.

(4) Annual Reports (166-200-0010(3)) — Minimum retention: Permanent.

(5) Building Activity Reports (166-200-0025(1)) — Minimum retention:

(a) Reports summarizing activities on an annual basis, retain permanently;

(b) All other reports, retain 2 years.

(6) Consumer Confidence Reports (166-200-0125(1)) — Minimum retention: 5 years.

(7) Emergency Management Assistance Activity Reports (166-200-0030(5)) — Minimum retention: 3 years after annual or final expenditure report submitted.

(8) Field Interrogation Reports (166-200-0100(25)) — Minimum retention: 1 year.

(9) Fire and Emergency Medical Services (EMS) Activity Reports (166-200-0055(7)) — Minimum retention:

(a) Reports summarizing activities on an annual basis, retain permanently;

(b) Other reports, retain 2 years.

(10) Fire Reports (166-200-0055(14)) — Minimum retention: 10 years.

(11) Injury Reports, Public Use (166-200-0140(5)) — Minimum retention:

(a) If claim filed, see Liability Claims Records in this section for retention;

(b) If no claim filed, retain 3 years.

(12) Law Enforcement Activity Reports (166-200-0100(44)) — Minimum retention:

(a) Annual reports and monthly reports for years in which no annual report exists, retain permanently;

(b) Other reports, retain 2 years.

(13) Library Reports (166-200-0065(8)) — Minimum retention: retain 2 years.

(14) Navigational Facilities Maintenance and Operation Reports (166-200-0015(8)) — Minimum retention: 2 years after equipment permanently removed from service.

(15) Notice to Airmen (NOTAM) Reports (166-200-0015(10)) — Minimum retention: 1 year after notice removed.

(16) Oregon State Library Annual Reports (166-200-0065(108)) — Minimum retention: Permanent.

(17) Pawn Broker and Second Hand Dealer Reports (166-200-0100(53)) — Minimum retention: 2 years.

(18) Quality Assurance Reports (166-200-0145(9)) — Minimum retention:

(a) Survey instruments, retain 2 years, or until summary report completed, whichever is sooner;

(b) All other records, retain 2 years.

(19) Secondary Contaminant Reports (166-200-0125(5)) — Minimum retention: 10 years.

(20) Statistical Reports (166-200-0145(10)) — Minimum retention:

(a) Data instruments used to compile statistics, retain until statistical report completed;



(b) Daily and weekly reports, retain until compiled into monthly reports;

(c) Monthly and quarterly reports, retain 1 year;

(d) Annual reports, retain 10 years.

(21) Urban Renewal Plans and Reports (166-200-0090(24)) — Minimum retention: Permanent.

(22) Water Bacteriological Quality Analysis Reports (166-200-0125(8)) — Minimum retention: 5 years.

(23) Water Chemical and Radiological Analysis Reports (166-200-0125(9)) — Minimum retention: 10 years.

(24) Water Consumption Reports (166-200-0125(10)) — Minimum retention:

(a) Annual reports, retain permanently;

(b) Information summarized in annual report, retain 1 year;

(c) Information not summarized in annual report, retain 10 years.

(25) Water Turbidity Reports (166-200-0125(13)) — Minimum retention: 10 years.

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 2-2014, f. & cert. ef. 8-7-14

### 166-200-0390

#### Risk Management — Claims

Risk Management is responsible for the management of claims, insurance, risk factor analysis and development of safety programs for the city. Claims document the management and potential payout of liability and property claims covered by the city's Insurance Fund.

(1) City Vehicle Accident Records (166-200-0140(1)) — Minimum retention:

(a) If litigated see Civil Case Files in the Attorney section for retention;

(b) If not litigated, retain 3 years.

(2) Liability Claims Records (166-200-0140(7)) — Minimum retention:

(a) If action taken, retain 10 years after case closed, dismissed, or date of last action;

(b) If no action taken, retain 3 years.

(3) Liability Waivers (166-200-0140(8)) — Minimum retention: 3 years.

(4) Occupational Injury and Illness Records (166-200-0140(9)) — Minimum retention: 6 years.

(5) Property Damage Records (166-200-0140(10)) — Minimum retention:

(a) If litigated, see Civil Case Files in the Attorney section for retention;

(b) If not litigated, retain 3 years after date of last action.

(6) Workers' Compensation Claim Records (166-200-0140(13)) — Minimum retention:

(a) For retention of records describing injuries and illnesses, see Employee Medical Records in the Personnel section;

(b) All other records, retain 6 years after claim closed or final action.

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 2-2014, f. & cert. ef. 8-7-14

### 166-200-0395

#### Risk Management — Safety

Risk Management is responsible for the management of claims, insurance, risk factor analysis and development of safety programs for the city. Safety is responsible for developing city safety programs that are designed to educate employees on reducing risks from on the job injuries and making the workplace safer for city employees.

(1) Hazard Communications Program Records (166-200-0140(4)) — Minimum retention: 75 years after superseded or obsolete.

(2) Mitigation Program Records\* — (166-200-0010(18)) — Minimum retention:

(a) Adopted plans\*, retain permanently;

(b) Other records, retain for the life of the structure.

(3) Risk Survey and Inspection Records (166-200-0140(11)) — Minimum retention:

(a) Records documenting the formation or change of policy, retain permanently;

(b) All other records, retain 5 years.

(4) Safety Program Records (166-200-0140(12)) — Minimum retention:

(a) Safety policies, plans, and procedures, retain 5 years after superseded;

(b) Inspection reports, reports, evaluations, and recommendations, retain 10 years;

(c) Committee minutes, exhibits, and agendas, retain 3 years;

(d) All other records, retain 5 years.

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 2-2014, f. & cert. ef. 8-7-14

### 166-200-0400

#### Scheduling

Scheduling documents the process used to assign and track city facilities use and employee activities.

(1) Activity and Room Scheduling and Reservation Records (166-200-0010(1)) — Minimum retention: 1 year.

(2) Work Schedules and Assignments (166-200-0010(40)) — Minimum retention: 2 years.

(3) Desk Calendars and Notes (166-200-0010(7)) — Minimum retention: 1 year.

(4) Docket/Trial Calendars (166-200-0075(8)) — Minimum retention: 90 days.

(5) Daily Work Records (166-200-0110(5)) — Minimum retention: 1 year.

(6) Routing and Job Control Records (166-200-0010(29)) — Minimum retention: 1 year.

(7) Work Orders (166-200-0010(39)) — Minimum retention:

(a) Work completed by city personnel, retain 1 year;

(b) Work completed by outside vendors, retain 3 years.

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 2-2014, f. & cert. ef. 8-7-14

### 166-200-0405

#### Security

Security documents the management of the agency's facilities, employees and visitors to ensure a secure environment.

(1) Airport Security Program Records (166-200-0015(4)) — Minimum retention:

(a) Program records described in 49 CFR 1542, retain permanently;

(b) All other records, retain 2 years after superseded or obsolete.

(2) Computer System Security Records (166-200-0060(3)) — Minimum retention: 3 years after superseded or obsolete.

(3) Key and Keycard Records\* (166-200-0010(12)) — Minimum retention: 2 years after key is turned in.

(4) Security Records (166-200-0010(31)) — Minimum retention: 2 years.

(5) Video Surveillance Tapes (166-200-0100(67)) — Minimum retention:

(a) Tapes used as evidence, retain until case reaches final disposition;

(b) Tapes used for internal investigations, retain until investigation ends;

(c) All other tapes, retain 30 days.

(6) Visitor Logs (166-200-0010 (38); 166-200-0100(39)) — Minimum retention: 1 year.

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 2-2014, f. & cert. ef. 8-7-14

## 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 166-030-0045. Please note the exceptions to this General Schedule listed in 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 or resources, regardless of format. Records may include but are not limited to schedules, desk calendars, reservation logs, lists, requests, and related records. *Scheduling information recorded in a personal day planner or personal electronic device may be a public record under ORS Chapter 192.* (Retention: Retain 1 year, destroy).

(6) **Communication Logs** Logs document communications made or received through a variety of electronic devices, including but not limited to telephone, smart phone, facsimile (fax), radio, computer-aided dispatch, pager, and teletype, AND are not otherwise specified in the state agency general records retention schedule (OAR 166 Division 300). Logged information may include time, date and disposition of communication, name of caller, number called or received, and action taken. SEE ALSO Correspondence in this section (Retention: Retain 1 year, destroy).

(7) **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).

(8) **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).

(9) **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.)

(10) **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).

(11) **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).

(12) **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).

(13) **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).

(14) **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).

(15) **Lobbyist Records** Records document lobbyist and lobbyist employer activities and are used to report these activities to the Oregon Government Ethics 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).

(16) **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).

(17) **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).

(18) **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).

(19) **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).

(20) **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).

(21) **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).

(22) **Professional Membership Records** Records document agency-paid individual or institutional memberships and activities in professional organizations. (Retention: Retain 6 years, destroy).

(23) **Public Records Disclosure Request** 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).

(24) **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).

(25) **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).

(26) **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).

(27) **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).

(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: 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; OSA 3-2012, f. & cert. ef. 10-29-12

## 166-300-0020

### Facilities/Property Records

(1) **Asset Inventory Records** 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 30 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) **Gift Tracking Records** Series documents gifts to agency officials, employees and volunteers, and are used to document compliance with the ethics and disclosure requirements found in ORS Chapter 244. Records may include but are not limited to spreadsheets, correspondence, and supporting documentation. Information may include the name of the person or entity offering, pro-



viding or receiving the gift; source of the gift; date of the gift; amount or value of the gift; and related circumstantial information. (Retention: Retain 3 years, destroy).

(28) **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).

(29) **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).

(30) **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).

(31) **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).

(32) **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).

(33) **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).

(34) **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).

(35) **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 dis-

bursements, copies of receipts and invoices. (Retention: Retain 6 years, destroy).

(36) **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).

(37) **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).

(38) **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).

(39) **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).

(40) **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).

(41) **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).

(42) **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).

(43) **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).

(44) **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).

(45) **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).



(46) **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).

(47) **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; OSA 3-2012, f. & cert. ef. 10-29-12

## 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: Records documenting operating systems; Records documenting the in-house creation and modification of application programs; Records documenting the structure and form of datasets; Records documenting the use of commercial software packages; Records documenting the structure of the system; and 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 & 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 166-306-0010; 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. *Oregon Statewide Payroll Services maintains the statewide record copy of 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 & 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 166-307-0010; OSA 5-2002, f. & cert. ef. 10-14-02; OSA 3-2012, f. & cert. ef. 10-29-12

## 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 EE0-4 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 3 years after superseded or obsolete, 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 & 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 166-308-0010; OSA 5-2002, f. & cert. ef. 10-14-02; OSA 3-2012, f. & cert. ef. 10-29-12

## 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 document 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

## DIVISION 350

## BOARD AND COMMISSION 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 & 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. 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

**166-350-0005****Board and Commission Records — General**

This General Schedule is applicable to the records of state boards and commissions. Retention periods apply to the record copy of all public records, regardless of medium or physical format, created or stored by the above specified agencies. Please note the exceptions to this General Schedule listed in OAR 166-030-0026 before disposing of records.

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 2-1998, f. & cert. ef. 3-6-98

**166-350-0010****Board and Commission Records**

(1) **Appeal and Review Records:** Series documents reviews of decisions made by the board or commission or appeals to the board or commission concerning decisions made by state agencies, local governments, or special districts. Records may include but are not limited to narrative history or description of case; minutes and testimony; exhibits; reports and findings of fact; final orders, opinions, conclusions, or decisions; audio recordings; working papers; hearing schedules and lists of participants; and related correspondence and documentation. (Retention: Case files: 50 years, destroy; Working files: Until case is closed, destroy; Audio recordings: five years or until transcribed, destroy).

(2) **Board and Commission Member Records:** Series documents board and commission activities and serves as a reference source for board and commission members. Records may include but are not limited to correspondence, plans, statements of goals and objectives, minutes, committee reports, budgets, financial statements, reports, and other reference material. Records are often compiled in a notebook for each member. (Retention: four years, destroy).

(3) **Board and Commission Members Personnel Records:** Series documents the appointment or election and subsequent personnel actions of board and commission members. If the office is appointive, records may include appointment letters from the governor or agency director and confirmation by the Senate if required. If the office is elective, election records may be included. Records may also include but are not limited to resumes; applications; personnel actions; interest forms for executive appointments; job descriptions; employee data sheets; and related correspondence and documentation. (Retention: 10 years after final term expires, destroy).

(4) **Board and Commission Meeting Minutes:** Series documents the official proceedings of the board or commission meetings. Records may include agendas; minutes; meeting notices; items for board action; contested case hearings schedules; committee reports; exhibits; and related correspondence and documentation. Records may also include audio recordings of meetings used to prepare summaries. (Retention: Minutes: Permanent, transfer to State Archives after 10 years; Audio recordings: one year after transcribed, destroy; Other records: five years, destroy).

(5) **Board and Commission Formation and Organizational Records:** Series documents the formation and organization of the board or commission. Records may include but are not limited to by-laws; position and policy statements; mission and goal statements; rules and regulations; work plans; and related documentation. (Retention: Permanent, transfer to State Archives after 10 years).

(6) **Commodity Assessment Records:** Series documents the assessment of fees to handlers, growers, and processors of agricultural products to fund the production and market research, educational, and promotional activities of the agricultural commodity commission. Records include the amount produced or processed and the commission's assessment per unit of production. Records also include the report sent to the Bureau of Census on a quarterly basis of the assessment amounts collected from the growers and processors. (Retention: 10 years, destroy).

(7) **Commodity Promotion Records:** Series documents the activities of the agricultural commodity commission to promote the marketing and sale of agricultural commodities. Records may include newsletters; circulars; advertisements; seminar reports; trip records; promotional statistical reports; marketing budgets; special events records; press releases; and related documentation and correspondence. (Retention: Trip records, marketing budgets, press releases: 10 years, destroy; Other records: Permanent, transfer to State Archives after 10 years).

(8) **Complaint and Disciplinary Records, Individual:** Series documents complaints brought against licensed and unlicensed individuals alleging professional practice violations and any resulting disciplinary actions. Types of complaints may include violations of laws, rules, or ethical standards; negligence; practicing outside scope of activities to which licensed; breach of confidentiality; and incompetence. Records may include investigation records; complaint forms; narrative description of complaint; complaint log; complaint disposition; hearings and appeals records; audio tapes; disciplinary actions such as suspension or revocation; and related correspondence and documentation. Access to these records may be restricted per ORS 192.501–192.502. (Retention: Audio tapes: four years or until transcribed, destroy; Other records: 25 years, destroy).

(9) **Complaint and Investigation Records, Establishment:** Series documents complaints brought against establishments alleging violation of laws and administrative rules that govern operation of the establishment. Records may include but are not limited to correspondence; description of complaint; case files; legal notices and orders; hearing records; audio recordings and transcripts; license and certificate records; exhibits; investigative reports; working notes and files; investigation committee records, minutes, and agendas; and related correspondence and documentation. Access to these records may be restricted per ORS 192.501–192.502. (Retention: 10 years after investigation is closed, destroy).

(10) **Crop Production and Acreage Records:** Series documents the number of acres devoted to production of an agricultural commodity and the amount of production. Records may include but are not limited to crop production register, acreage survey, type of crop, year, total acreage, total production, name and address of grower, and related correspondence and documentation. (Retention: five years, destroy).

(11) **Education Program Review Records:** Series documents the review of public and private educational programs, including college and university certification programs, to determine if licensure requirements, continuing education standards, or teacher certification requirements are being met. Records may include but are not limited to correspondence; reports from the college about its faculty, students, and curriculum; catalogs; self-study evaluations; lists of accredited schools; course listings and descriptions; program descriptions and literature; seminar and workshop agendas; and related correspondence and documentation. (Retention: five years, destroy).

(12) **Examination and Administration Records:** Series documents the administration of license examinations. Examinations may be administered locally by the licensing board, by an outside examination service, or by a national board. Records may include but are not limited to examination order sheets; shipping receipts; sign-in sheets; correspondence with applicants; master copy of exams; development of exam and exam question records; sample exams with answers; examination booklets; and related correspondence and documentation. Records may also include results of the examination including a roster listing student name, ID number, and examination score. Records may include statistical data and analysis of exam scores and statistics on the administration of the exam in other states. Examination scores may also be found in the individual licensee files in Licensing Records. Access to these records may be restricted per ORS 192.501(4). (Retention: Exam roster: 75 years, destroy; Other records: 10 years, destroy).

(13) **Incomplete License Application Records:** Series documents the application process that was initiated but never completed

by the applicant. Series may include incomplete, pending, inactive, or denied status applications. Series includes the records of applicants whose files may lack one or more of the following: application, fee, documents such as certificate of education, and examination scores. Applicants may also lack the necessary education and experience, have low exam scores, or fail to satisfy other qualifications. (Retention: five years, destroy).

(14) **Inspection Records, Establishment:** Series documents inspections of establishments to ensure compliance with laws and administrative rules that govern operation of the establishment. Types of establishments may include mortuaries, cemeteries, crematoriums, funeral homes, or barber and beauty shops. Records may include but are not limited to inspection ledgers; case files; advertisements; contracts; corporation history; inspection reports; license and certificate records; equipment checks; and related correspondence and documentation. (Retention: five years after last inspection, destroy).

(15) **Licensee Rosters:** Series documents persons who are licensed by the board. Records consist of a list which may include licensee name, address, and phone number; license status (current, lapsed, or inactive); type of license; license number; employer name, address, and phone number; method of licensure; dates of initial licensure, renewal, or expiration; audit number; and related documentation. Roster may be published in the form of a directory. (Retention: five years after superseded, destroy).

(16) **Licensing Records, Establishment:** Series documents the application process and licensure history of establishments regulated by state law and administrative rule. Types of establishments may include cemeteries, barber and beauty shops, mortuaries, crematoriums, funeral homes, pharmacies, animal euthanasia sites, dog kennels, drug manufacturers, or drug wholesalers. Records may include but are not limited to license and certificate records; applications; inspection reports; background investigations; staff resumes; reports; lists of licensed establishments; and related correspondence and documentation. (Retention: Cemetery, crematory, mortuary, and immediate disposition facility records: Permanent, transfer to State Archives after administrative need ends; Other establishments: five years after license expires or becomes inactive, destroy).

(17) **Licensing Records, Individual:** Series documents the process of licensing individuals who have met the professional standards of the licensing board. The licensing process may include application, evaluation, testing, training, licensing, and certification. Series indicates type of license and may include applications; certificate of education or college transcripts; verification of national or out-of-state licensure; examination scores; cashing information on fees paid; copies of individual licenses; blank licenses and license audit records; verification of work and supervisory experience; resumes; continuing education records; and background investigative reports. Series may also include renewal notices; copies of licenses or temporary permits; special certification or permit documentation; apprentice and intern licensing records; and related correspondence and documentation. Records are arranged alphabetically by licensee name. (Retention: five years after license has lapsed or becomes inactive, destroy).

(18) **Lobbyist Records:** Series is used to document lobbyist and lobbyist employer activities and to report these activities to the Ethics Commission. Records may include but are not limited to expenditure reports; registration statements; termination records; guidelines; correspondence; and related documentation. Series includes active, inactive, and terminated files. (Retention: Expenditure reports: five years, destroy; Other records: five years after last activity or termination, destroy).

(19) **Reports and Studies:** Series provides a record of findings, assessments, recommendations, research activities, studies, accomplishments, goals, and other activities of the board or commission. These reports or studies are reported to the public; the commission's umbrella or oversight agency; other agencies and organizations; the governor or legislature; or the federal government. Series may include project evaluation reports; public surveys; program or plan summaries; progress or performance reports; biennial,



annual, or monthly reports; workload studies; photographs; monitoring reports; needs assessment studies; project outlines and schedules; administrative histories; statistics; working papers and drafts; and related correspondence, and documentation. (Retention: One copy of final report, product, or study: Permanent, transfer to State Archives after 10 years; Working papers, background documentation, and draft material: three years after final document produced, or as required by government or agency, destroy).

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 2-1998, f. & cert. ef. 3-6-98

## DIVISION 400

### EDUCATIONAL SERVICE DISTRICTS, SCHOOL DISTRICTS, AND INDIVIDUAL SCHOOL RECORDS

#### 166-400-0010

##### Administrative Records

**NOTE:** Inclusion of a records series in this schedule does not require the series be created. If a record is created electronically, it can be retained in electronic format only as long as the retention period is 99 years or less.

(1) **Activity and Room Scheduling Records** document scheduling and reservations related to public participation and use of various agency activities, events, classes and facilities. Includes schedules, logs, lists, requests, and similar records. Minimum retention: 1 year.

(2) **Activity Reports, General** Daily, weekly, monthly, or similar reports documenting the activities of employees. Useful for compiling annual reports, planning and budgeting, monitoring work progress and other purposes. Usually tracks type of activity, employees and/or volunteers involved, time spent on activity, work completed, and related information in narrative or statistical form. Minimum retention: 2 years.

(3) **Annual Reports** document the program or primary functional activities and accomplishments of the office for the previous year. These are often compiled from monthly, quarterly, or other subsidiary activity reports. Usually includes statistics, narratives, graphs, diagrams, and similar information. Minimum retention: Permanent.

(4) **Association and Organization Membership Records** document the membership and participation of the school, district, or ESD in professional and educational associations and organizations. Records may include but are not limited to meeting announcements and agendas; promotional information; meeting, workshop, and conference records; rules and regulations; reports; proposals and planning records; surveys and questionnaires; meeting minutes; and related documentation and correspondence. This series does not include individual faculty or staff membership records unless such membership is paid for by the school, district, or ESD. Minimum retention: 3 years after school year in which records were created.

(5) **Audit Records, Internal** Records document the examination of the agency's fiscal condition, internal control, and compliance policies and procedures. Records may also document performance or other financially related audits by agency or contracted auditors. Records may include audit reports, supporting documentation, comments, and correspondence. Minimum retention: 10 years.

(6) **Bond Election Records** document the process whereby bond measures to finance school construction and improvements are approved by the voters. Records may include but are not limited to certified copies of election results; county election filing forms; precinct and district maps; election tax levy history; type of election; proposals; assessor's certification; statistical reports to the Oregon Department of Education; and related correspondence and documentation. SEE ALSO Bond Records in the Financial Records section. Minimum retention: 5 years after school year in which bond matures.

(7) **Calendars and Scheduling Records** document planning, scheduling and similar actions related to meetings, appointments, trips, visits and other agency activities. Includes calendars, appointment books, notes, telephone messages, diaries, and similar records,

regardless of format. Depending on content, some telephone messages and similar records may merit inclusion in related program or project files. This applies to records that contain significant information that is not summarized or otherwise included in reports or similar documents. *Calendar and Scheduling information recorded in a personal day planner or personal electronic device may be a public record under ORS Chapter 192.* Minimum retention: 1 year.

(8) **Child Care Facility License Records** document the annual licensing of school child care facilities by the Employment Department, Child Care Division. Records may include but are not limited to sanitation inspection reports; fire safety reports; fire and other emergency drill records; staff development and training records; staff criminal history checks; staff qualification forms; time sheets, staff first aid cards; staff driving records; staff orientation records; official license; Child Care Division inspection reports and certification; and related correspondence and documentation. Minimum retention: (a) If license expired or renewed: 1 year after expiration or renewal (b) If license revoked: 3 years after revoked.

(9) **Committee and Board Meeting Records** document the activities, decisions, and proceedings of regularly scheduled, special, executive session, or emergency meetings of governing bodies and committees of the school, district, or ESD. Governing bodies may include boards, advisory councils, commissions, site councils, committees, advisory groups, and task forces. Records may include but are not limited to meeting minutes, agendas and agenda packets, exhibits, resolutions, staff reports, sound recordings, membership lists, meeting books, significant correspondence and memorandum, and other supporting documentation. SEE ALSO Budget Records in the Financial Records section. Minimum retention: (a) School board meeting minutes and agendas: Permanent (b) Exhibits, other minutes, and supporting records: 5 years after school year in which records were created (c) Sound recordings, if transcribed or abstracted: 1 year after minutes approved.

(10) **Committee and Board Member Records** document the election or appointment of school, district, or ESD board, budget committee, and other committee members. Records may include but are not limited to date of election and installation, length of term, zone or district represented, and related biographical information about each board or committee member. Minimum retention: 5 years after term expires.

(11) **Conference and Workshop Records** document conferences, seminars, workshops, and training activities attended or sponsored by school, district, or ESD personnel. Records may include but are not limited to agendas, reports, speeches, program records, conference or seminar descriptions and schedules, participant lists, fee records, planning records, evaluations, registration material, handouts, and related correspondence and documentation. Records may also include documentation of attendance for certification, continuing education, or in-service training requirements. Minimum retention: (a) Significant program records - school, district, or ESD sponsored: 5 years after school year in which records were created (b) Other records: 2 years after school year in which records were created.

(12) **Contracts and Agreements** Records document the negotiation, execution, completion, and termination of legal agreements between the school, district, or ESD and other parties, including the Oregon Department of Education. Records include the official contract or agreement, amendments, exhibits, addenda, legal records, contract review records, and related correspondence and documentation. Records do not include leases or property records. Minimum retention: (a) Contracts or agreements documenting building construction, alterations, or repair: 10 years after substantial completion as defined by ORS 12.135(3). (b) Other contracts and agreements: 6 years after expiration.

(13) **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 Educational Service Districts, School Districts and Schools General Records Retention Schedule (OAR 166-400) or in educational service districts, school districts and schools

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.

(14) **Eighth Grade Examination Records** document the examinations given to eighth grade students. Records may include but are not limited to examinations; examinations registers; diploma lists; and related documentation. These records are no longer being created. Minimum retention: Permanent.

(15) **Fax Reports** Records document facsimile transactions of the agency. Reports may also be used for billing purposes. Information includes date and time fax transmitted or received and recipient/sender's fax number. Minimum retention: (a) Retain if used for billing: 3 years (b) Retain all other reports: 1 year.

(16) **Food/Nutrition Service Program Records** document the operation of school food/nutrition service programs. Records may include but are not limited to operations reports; child nutrition program reviews; food service financial records; food supply inventory records; free and reduced price lunch applications and reimbursement claim records; meal production and menu records; meal ticket inventory records; sanitation inspection reports; summer food services records; and related documentation and correspondence. Minimum retention: 3 years (or as specified by 7 CFR 210.7-28 and 225.6-16).

(17) **Health Log Book Records** document the daily activities of and visits to the Health Room/School Nurses Office. Record may include but not limited to student's name, time of visit, reason for visit/ailment, action taken, parental notification, was student sent home or returned to class. Minimum retention: Retain 6 years after school year in which created, destroy.

(18) **Immunization Records, Administrative** Records document the review and report of the immunization status of students to the County health department and the exclusion of students who do not meet the minimum immunization requirements. Records may include but are not limited to the annual Primary Review Summary, school copies of Exclusion Orders for No Record, school copies of Exclusion Orders for Incomplete Information/Insufficient Information, and related documentation. SEE ALSO Student Immunization Records in the Student Education Records section. Minimum retention: 1 year.

(19) **Legal Case Records** document a school, district, or ESD's legal actions by in-house or outside counsel. Records may include but are not limited to litigation records, correspondence, staff opinions, research findings, and background notes relating to specific cases. Cases may include but are not limited to Tort Liability Claims, Civil Service Commission cases, unemployment and discrimination cases, bid protests and contract disputes, student/parent complaints, and employee complaints. Minimum retention: 10 years after final disposition of case.

(20) **Legal Opinion and Advice Records** document the legal opinions and advice given to schools, districts, or ESDs by a lawyer or the Attorney General. Records may include legal advice given to private schools. Records may include but are not limited to requests for opinions; opinions; letters of advice; and related correspondence. Minimum retention: (a) Retain copies of legislative bills, statutes: 6 years (b) Retain Administrative Rule Preparation Records: 10 years after appeal of rule (c) Retain all other records: Permanent.

(21) **Legislative Tracking Records** document the development and monitoring of legislation which may have an impact on the programs or policies of a school, district, or ESD. Records may include but are not limited to concept statements, proposals, bill logs, fiscal and organizational impact analysis papers, copies of bills, testimony summaries, committee reports, agendas, record of

action, and related correspondence and documentation. Minimum retention: 2 years.

(22) **Lobbyist Records** document lobbyist and lobbyist employer activities, and are used to report these activities to the Oregon Government Ethics Commission. Records may include but are not limited to expenditure reports, registration statements, termination records, guidelines, and correspondence. Minimum retention: (a) Retain expenditure reports: 4 years (b) Retain all other records: 5 years after last activity.

(23) **Mitigation Program Records** document the establishment and maintenance of the agency mitigation programs, plans, and procedures. Records may include mitigation plans and strategies, policies, procedures, seismic surveys and structural upgrade records of agency facilities, project reports, hazard mitigation grant records, and related documentation, which may include capital improvement records. SEE ALSO the Emergency Management section. Minimum retention: (a) Retain adopted plans: Permanent (b) Retain all other records: For the life of the structure.

(24) **Notary Public Log Books** Records document notarial transactions completed by a notary public and employed by a government agency. *Agencies may retain logbooks by agreement with the notary after their separation from employment. Agencies retaining notary public log books without notary agreements should consult their legal counsel and/or the Secretary of State, Corporation Division for retention instruction.* Minimum retention: 7 years after date of commission expiration.

(25) **Oregon School Register Records** document student enrollment, attendance, and membership in elementary and secondary schools and forms the basis for student attendance reporting to the Oregon Department of Education. The register contains student's name and other personally identifiable information, attendance, indication of student non-residency or withdrawal, program membership, whether student was promoted or retained at end of school year, and related information. Minimum retention: Permanent.

(26) **Organization Records** document the lines of organizational hierarchy and administrative responsibility within a program, school, district, or ESD. Records may include but are not limited to drafts and final charts or diagrams, statements, studies, and related documentation. Minimum retention: 4 years after superseded or obsolete.

(27) **Parent-Teacher Organization Records** document the history, development, policies, and actions of parent-teacher organizations under the jurisdiction of the District. Records may include but are not limited to minutes; constitutions and by-laws; committee records; budget and accounting records; handbooks; officer and member rosters; scrapbooks; photographs; and related documentation and correspondence. Minimum retention: (a) Retain minutes, constitutions, by-laws, and committee records 10 years after school year in which records were created. (b) Retain all other records 3 years after school year in which records were created.

(28) **Policy and Planning Records** document the development, assessment, and review of school, district, or ESD policies, programs, and activities. Records may include but are not limited to board policy and district-wide administrative rules; authorizing bulletins and advisories; mission, policy, and goal statements; finalized policy statements and directives; by-laws; regulations; strategic plans; management plans; and related documentation. Minimum retention: (a) Retain annual board adopted policy and district-wide administrative rules, official copy: Permanent (b) Retain planning documents: 10 years (c) Retain working papers and draft material: 1 year after school year in which final document produced.

(29) **Policy Statements and Directives** Series documents review, assessment, development, and authorization of an agency's formal policies and procedures that have been approved by a governing body. Records may include authorizing bulletins and advisories, mission and goal statements, manuals, and final policy statements and directives. Information often includes policy and procedure numbers, revision dates, subject identification, narrative description, authorization information, and effective date. SEE

ALSO Policy and Procedure Guidelines and Manuals in this section. Minimum retention: 10 years after superseded or obsolete.

(30) **Procedure Manuals** Records document internal development and guidelines for consistency and continuity in the operation of a school, district, or ESD department or office. Records may include but are not limited to manuals documenting departmental and program procedures; basic secretarial/clerical instructional procedures; handbooks; desk manuals; emergency response plans; safety plans and procedures; and related documentation and correspondence. Minimum retention: (a) Retain routine clerical manuals: 2 years after superseded or obsolete (b) Retain manuals relating to specific construction and/or engineering projects: 10 years after substantial completion, as defined by ORS 12.135(3) (c) Retain one copy of all other manuals: Permanent.

(31) **Professional Membership Records** document institutional or agency-paid individual memberships and activities in professional organizations. Minimum retention: 3 years.

(32) **Public Notice Records** document compliance with laws requiring public notice of government activities. Subjects include assessments, elections, land use changes, public meetings and hearings, sale of property, and others. Records include public or legal notices, certificates, affidavits of publication, and similar documents. SEE ALSO Competitive Bid Records in the Financial section for public notices related to bid openings and awards. Minimum retention: 3 years.

(33) **Reports and Studies** Records document the school, district, or ESD's curriculum offerings, programs, services, problems, projects, student achievements, financial status, staffing, operations, and activities. Reports may be required to be submitted to the Oregon Department of Education or to other state, federal, or private agencies. Reports may be annual reports compiled from monthly, quarterly, or other subsidiary activity reports. Records may include but are not limited to narrative and statistical reports, studies, performance measures, annual reviews, surveys, plans, proposals, progress reports, evaluation reports, financial data and reports, staffing reports, student attendance accounting reports, accreditation studies, summaries, and other types of reports and documentation. Minimum retention: (a) Retain annual reports and studies with historical value or policy implications: Permanent (b) Retain other reports and studies: 5 years or as required by government or agency (c) Retain working papers and draft material: 1 year after school year in which final document produced.

(34) **Requests and Complaints** Records document complaints or requests concerning a variety of agency responsibilities not specified elsewhere in this general schedule. Information often includes name, phone number, and address of person making request or complaint, narration of request or complaint, name of person responding to request or complaint, dates of related activities, and other data. (If a specific request or complaint is listed in another records series under a functional area such as law enforcement in this general schedule, the retention period specified in that functional area supersedes the retention period listed in this series.) SEE ALSO Correspondence. Minimum retention: 2 years after last action.

(35) **Routing and Job Control Records** used to control the routine flow of documents and other items and actions in and between offices in the agency. Includes routing slips, job control records, status cards, receipts for records charged-out, batch slips, and similar records. Minimum retention: 1 year.

(36) **School Census Records** document the number of students of school age within the county, district, or school. Records may contain but are not limited to the names, ages, birth dates, and address of students; information about the parents or guardians; and related documentation. The actual census-reporting requirement ended in 1971 and this record is no longer being created. Minimum retention: Permanent.

(37) **School, District, Or ESD History Records** document important organizational changes, significant events, celebrations, programs, and projects of the ESD, district, or school. Records may include but are not limited to newsletters, press releases, publications, reports and articles, institution histories, biographies and records of

past administrators, faculty, or staff, photographs, scrapbooks, newspaper clippings, and related documentation. SEE ALSO Publications in this section. Minimum retention: Permanent.

(38) **Special Education Census Reports** document the number of special education students served by the school and district included in annual census reports to the Oregon Department of Education. Records may include but are not limited to annual reports and district summary reports which includes total number of students and students per district, age of students, and handicapping condition of students; student census information; placement and services provided records; agency information; number of special education teachers; and related documentation. Minimum retention: 5 years after school year in which records were created.

(39) **Special Event and Celebration Records** document agency-sponsored celebrations of special and historic occasions such as centennials, pioneer days, and similar events. Provides a record of planning and promotional efforts, public attendance and response, major speeches and dedications, and other significant aspects of the celebration. These significant records may include studies, publications, photographs, attendance summaries, final reports, and other significant documents. This series also includes routine documentation related to implementing the promotion and organization of the event. These often include lists, rosters, correspondence, memoranda, volunteer information, and related records. Records may also include scrapbooks, but does not include newscippings. Newscippings are not public records and may be discarded. Minimum retention: (a) Retain records documenting significant aspects of the event: Permanent (b) Retain all other records: two years after event.

(40) **Staff Meeting Records** document the activities, decisions, and proceedings of school, district, or ESD staff meetings. Records may include but are not limited to minutes, agendas, notes, reports, and related documentation. Minimum retention: Until end of school year.

(41) **Standardization Records** document the process of standardization visits from the Oregon Department of Education to schools, districts, or ESDs. Records may include but are not limited to self-evaluation reports, on-site inspection reports; waiver authorizations; letters of concern; plans of correction; schedules; and related correspondence and documentation. Minimum retention: 6 years after school year in which records were created.

(42) **Student Information and Demographic Records** document the composition of the student population in a variety of sequences, groupings, and lists. Records include demographic profiles of students; student record cards; and other manual or computer produced lists organized by school, class, special program, or other grouping. Records may include but are not limited to student identification information including name, address, birth date, birthplace, parents, and guardians; student demographics including gender, ethnicity, and age; attendance; enrollment dates; previous school attended; student grades and transcript data; health and immunization information; handicapped status; and related documentation. Minimum retention: (a) Retain years ending in 0 and 5 Permanent (b) Retain all others 5 years.

(43) **Student Organization Administrative Records** document the history, development, and policies of student organizations, including student clubs, government, and publications. Records may include but are not limited to student organization annual review forms; minutes; constitutions and bylaws; committee, subcommittee, and task force records; student senate bill and resolution records; handbooks; officer and member rosters; scrapbooks; photographs; and related documentation and correspondence. SEE ALSO Student Organization Financial Records in the Financial Section. Minimum retention: (a) Retain constitution and bylaws: Until superseded or obsolete (b) Retain all other records: 2 years after school year in which records were created.

(44) **Superintendent of Schools Records** document the official and financial affairs of the superintendent of schools concerning teachers, students, and schools located in the county. Records may include but are not limited to annual statements on the condition of common (public) schools in the county; school



district boundary records; school district accounts; book purchases; and related documentation. Information contained in the records may include financial information, school curricula, boundary descriptions, facilities, and enrollment and attendance data. These records are no longer being created. Minimum retention: Permanent.

(45) **Surveys, Polls, and Questionnaires** Records document the measurement of public opinion by or for the agency related to various issues, actions, and concerns. May include surveys, polls, questionnaires, summaries, abstracts and significant related records. Examples of summaries include studies which incorporate the significant results of public opinion surveys, abstracts of questionnaires designed to determine the skills and interests of citizens volunteering for agency service, and other records which distill survey data into summary form. Minimum Retention: (a) Retain summary reports and abstracts: 3 years (b) Retain all other records: Until summary report is completed or 3 years, whichever is sooner.

(46) **Test Administration Records** document the administration of assessment, placement, diagnostic, credit by exam, and other tests. Records may include but are not limited to rosters of test takers; testing rules and regulations; test administration records; examiner's manuals; exams and tests; test order and payment records; placement and test results; summary reports of results; and related correspondence and documentation. Minimum retention: 3 years after school year in which records were created.

(47) **Work Order Records** document requests and authorizations, according to existing contracts or agreements, for needed services and repairs to agency property and equipment. May include copy center work orders, printing orders, telephone service and installation requests, repair authorizations, and similar records. Minimum Retention: (a) Retain work completed by county personnel: 1 year (b) Retain work completed by outside vendors: 3 years.

(48) **Work Schedule and Assignment Records** document the scheduling and assigning 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. May include calendars, schedules, lists, charts, rosters, and related records. Minimum retention: 5 years.

(49) **Year 2000 (Y2K) Planning Records** document the planning and development of agency 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 includes type of systems vulnerable to Y2K, level of priority, and party responsible for system solution or troubleshooting. Minimum retention: Destroy.

Stat. Auth.: ORS 192 & 357, Other Auth. Code of Federal Regulations Title 34  
Stats. Implemented: ORS 192 & 357  
Hist.: OSA 6-1997, f. & cert. ef. 4-22-97; Renumbered from 166-405-0010,  
OSA 1-2006, f. & cert. ef. 4-17-06; OSA 1-2008, f. & cert. ef. 1-30-08; OSA 3-  
2012, f. & cert. ef. 10-29-12

## 166-400-0015

### Curriculum and Instruction Records

**NOTE:** Inclusion of a records series in this schedule does not require the series be created. If a record is created electronically, it can be retained in electronic format only if the retention period is 99 years or less.

(1) **Course Descriptions** Records document the list and description of school courses offered to students. Information may include course content descriptions; number of units' granted; required or elective status; goals, competencies and standards for standard and modified diplomas; and other information relative to educational plans. Minimum retention: 10 years after school year in which records were created

(2) **Curriculum Development** Records document the development and approval process for staff or faculty to develop or revise program curriculum or to update curriculum strategies and instruction. Records may include but are not limited to support documentation, reviews, reports, approvals, and related correspondence and documentation. Minimum retention: 3 years after superseded or obsolete.

(3) **Instructional Materials Selection and Adoption Records** Records document the selection and adoption of textbooks and other instructional materials by schools, districts, and ESDs.

Records may include but are not limited to adoption authorization records; lists of state adopted textbooks including titles of books, authors, and publishers; and related documentation. SEE ALSO Supplemental Materials Selection and Adoption Records in the Library and Media Records section. Minimum retention: 6 years after school year in which records were created.

(4) **Teacher Daily Instructional Plans** Records document the instruction of students as planned on a daily basis by teachers. Records may include but are not limited to instructional plans and related documentation and correspondence. Minimum retention: 1 year after school year in which records were created.

(5) **Talented and Gifted Program (TAG) Records** Records document district and school efforts to provide TAG education programs and opportunities for students identified as Talented and Gifted under state guidelines. The records document district and ESD efforts to provide Talented and Gifted Education instruction that challenges high-end learners and meets each student's learning needs. Resources and support materials for districts, schools, teachers, parents, and students are included. SEE ALSO Educational Programs Student Records in Student Education Records section for individual participating student records. Minimum retention: 5 years after school year in which records were created.

Stat. Auth.: ORS 192 & 357, Other Auth. Code of Federal Regulations Title 34  
Stats. Implemented: ORS 192 & 357  
Hist.: OSA 6-1997, f. & cert. ef. 4-22-97; Renumbered from 166-406-0010,  
OSA 1-2006, f. & cert. ef. 4-17-06

## 166-400-0020

### Property and Equipment Records

**NOTE:** Inclusion of a records series in this schedule does not require the series be created. If a record is created electronically, it can be retained in electronic format only if the retention period is 99 years or less.

(1) **Architectural Drawings, Blueprints, and Maps Records** document a detailed graphic record of the land and buildings of a school, district, or ESD. The records are a primary source tool for improvement and maintenance projects on existing buildings and/or land, including athletic fields, and for new construction. Records may include but are not limited to drawings; maps; photographs; architectural blueprints; sketches; preliminary planning drawings; as-built drawings and blueprints; surveys; drawings reflecting changes to original plans; soil testing maps; and any other type of graphic representation and related documentation produced relating to buildings, systems, and land. Minimum retention: Life of the structure.

(2) **Asbestos Management Records** Records document the identification and proper handling of asbestos material within school, district, or ESD buildings. Records may include but are not limited to federal inspection reports and management plans required by the Environmental Protection Agency, contact reports, laboratory test results, work orders, project checklists, work precautions, site schematics, and related documentation. The management plan may contain response actions, operations and maintenance, and periodic surveillance plans. SEE ALSO Hazardous Materials Management Records in this section. Minimum retention: (a) Retain management plan: 3 years after superseded or obsolete (b) Retain records of measurements taken to monitor employee exposure to asbestos: 30 years after employee separation per 29 CFR 1910.1020 (c) Retain all other records: 5 years after building or property disposed of

(3) **Building and Grounds Repair, Remodeling, and Construction Records** Records document the condition, repair, and routine maintenance of school, district, or ESD buildings and grounds. Records also document remodeling, improvement, and non-capital construction projects. Records may include but are not limited to floor plans; specifications; layouts; building inspection reports; building permits; maintenance agreements; work logs; and related correspondence and documentation. Records may also include records of remodeling or construction due to American Disabilities (ADA) Act requirements. Minimum retention: (a) Retain floor plans, layouts, specifications, final inspection reports, permits for completed structures: Life of the structure (b) Retain other permits: 2 years after revoked or expired (c) Retain contracts and agreements documenting building construction, alterations, or

repair: 10 years after substantial completion (d) Retain all other records: 4 years

(4) **Capital Construction Project Records** Records document the planning, administration, and implementation of current and potential capital construction projects by schools, districts, or ESDs; to project needs for projects; and as a reference to projects once they have been completed. Records may include but are not limited to project descriptions and requirements; plans and plan reviews; project schedules; contract change orders; bid documentation; building permits; contracts and agreements with architects, engineers, consultants, vendors, and contractors; materials and soils reports; progress reports; insurance reports; payment schedules; summary reports; certificates of occupancy; memos; final acceptance statements; and related correspondence and documentation. Minimum retention: (a) Retain contracts and agreements documenting building construction, alterations, or repair: 10 years after expiration as defined by ORS 12.135(3). (b) Retain all other records: Life of the structure

(5) **Damaged/Stolen Property Records** Used to prepare reports relating to damaged or stolen property. Records may include yearly risk report, restoration fund inventory report, policy manual, property transfer report, self-insurance manual, real property report, money and negotiable securities report and a general risk survey. Minimum retention: 4 years

(6) **Equipment Loan Records** Records document the loan of district owned equipment to students. Equipment may include but is not limited to musical instruments and athletic equipment. Records may include loan agreements, parental consent forms, approval forms, return forms, logs, overdue records, and related documentation and correspondence. SEE ALSO Audio-Visual Materials and Equipment Loan Records in the Library and Media Records section. Minimum retention: (a) Retain overdue records: Until equipment is returned or debts reconciled or deemed uncollectible (b) Retain all other records: 2 years after school year in which equipment is returned. (c) Retain loan agreements: 6 years

(7) **Equipment Records** Records document equipment owned by the school, district, or ESD and provides support documentation for warranty, operation, maintenance, service, and repair. Records may include but are not limited to shipping or packing slips; vendor information; operating manuals; warranties and guarantees; specifications; serial numbers; maintenance agreements or contracts; lease agreements; service reports; maintenance records; damaged/stolen property records; and related correspondence and documentation. SEE ALSO Vehicle Maintenance Records in the Transportation Records section. Minimum retention: 2 years after disposal of equipment

(8) **Facility Use Records** Records document the application for and use of school, district, or ESD facilities by outside individuals or organizations. Records may include but are not limited to the application and contract for using facilities. Information may include name of individual or organization requesting occupancy, type of activity, dates and hours of projected use, facility name and location, use permits, conditions of use, acknowledgment of responsibility for damage or liability resulting from occupancy, insurance documentation, fees and charges, request approval, correspondence, and support documentation. Minimum retention: (a) Retain approved application records: 3 years after school year in which records were created (b) Retain denied applications: 1 year after school year in which records were created

(9) **Hazardous Materials Management Records** Records document the chain of custody of hazardous materials within a school, district, or ESD and relate to the identification, location, safe handling, storage, transportation, and disposal of hazardous waste materials including PCBs, laboratory chemicals, cleaning solvents, and pesticides. Records may include but are not limited to Environmental Protection Agency/Department of Environmental Quality monitoring forms, Department of Transportation Hazardous Waste Manifest forms, material safety data sheets, invoices, work orders, purchase orders, and other working papers. Records document that use and storage of hazardous materials and hazardous waste management has been performed in accordance with state

and federal regulations. SEE ALSO Asbestos Management Records in this section. Minimum retention: (a) Retain material safety data sheets: Until superseded or obsolete (b) Retain all other records: 6 years after school year in which records were created.

(10) **Inventory Records** Records document the expendable and non-expendable property, supplies, equipment, and other items owned by the school, district, and ESD. Examples include but are not limited to buildings, real estate, vehicles, equipment, furniture, and supplies. Records may include but are not limited to description, purchase information, value, purchase price, replacement cost, depreciation, quantity, location, date of acquisition, shipping records, and related correspondence and documentation. SEE ALSO Library and Media Inventory Records in the Library and Media Records section. Minimum retention: 2 years after superseded or obsolete.

(11) **Property Disposition Records** Records document the disposition of non-real property and equipment owned by the school, district, or ESD. Disposition is usually through public auction, competitive bidding, or destruction. Records may include but are not limited to description of property, expendable property inventory listings, disposition, disposition requests and notices, equipment transfer records, reason for disposition, condition, authorization, and related correspondence and documentation. Minimum retention: 3 years after disposition of property.

(12) **Property Records** Records document the purchase, ownership, and sale of land or buildings by the school, district, or ESD. Records may include but are not limited to titles and deeds; title search records; property descriptions; title insurance policies and forms; easements; right of ways; appraisals; records of sale; and related documentation and correspondence. SEE ALSO Facility and Equipment Records section and Lease Records in the Financial Records section. Minimum retention: 3 years after property is no longer owned by agency.

(13) **Underground Storage Tank Management Records** Records document the description, location, operation, testing, maintenance, and final disposition of underground storage tanks owned by schools, districts, or ESDs. Records may include documentation of corrective procedures undertaken in the event of spills, leaks, or corrosion. Minimum retention: 25 years after removal

(14) **Utilities Systems Operating And Maintenance Records** Records document the operations and maintenance of school, district, or ESD utility systems. Records may include but are not limited to equipment operations logs, mechanical readings charts, permits, equipment maintenance histories, and related correspondence and documentation. Minimum retention: (a) Retain permits: 5 years (b) Retain all other records: Until equipment is no longer in service.

(15) **Work Orders Records** document requests and authorizations for services and/or repairs to school, district, or ESD property and equipment. Records may include but are not limited to repair requests and authorizations, material lists, work order schedules, copy center work orders, printing orders, telephone service orders, and related correspondence. Information includes location and type of work, priority rating, approval signatures and dates, and time and cost estimates. Minimum retention: 3 years after school year in which records were created.

Stat. Auth.: ORS 192 & 357, Other Auth. Code of Federal Regulations Title 34  
Stats. Implemented: ORS 192 & 357  
Hist.: OSA 6-1997, f. & cert. ef. 4-22-97; Renumbered from 166-407-0010,  
OSA 1-2006, f. & cert. ef. 4-17-06

## 166-400-0025

### Financial Records

**NOTE:** Inclusion of a records series in this schedule does not require the series be created. If a record is created electronically, it can be retained in electronic format only if the retention period is 99 years or less.

(1) **Accounts Payable Records** Records document outstanding liabilities and provides a record of payment of bills by the school, district, or ESD, including payments from student body fund accounts, disbursed by school personnel. Records may include but are not limited to invoices, invoice vouchers, statements, vouchers, journal entry forms, purchase orders, payment authorizations,

check requests, check registers, reports of receipt of goods or service, canceled checks or warrants, daily batch lists, and related correspondence and documentation. Minimum retention: (a) Retain records documenting expenditure of federal funds: 5 years after final or annual expenditure report accepted (b) Retain all other records: 4 years.

(2) **Accounts Receivable Records** Records document billings and collections and provide a record of money owed to or received by the school, district, or ESD, including receivables for student body fund accounts collected by school personnel, for goods or services rendered. Records may serve as subsidiary ledgers of original entry or input which record the amounts received for goods and services. Records may include but are not limited to aging reports used to monitor accounts which are outstanding and overdue, invoices, invoice registers, billing records, receipts, receipts registers, cash receipt records; account edit sheets, and related documentation. Minimum retention: (a) Records documenting recovery of federal supplied funds: 3 years after final or annual expenditure report accepted (b) All other records: 3 years after collected or deemed uncollectible.

(3) **Audit Reports** Records document the examination of a school, district, or ESD's financial condition by internal or independent auditors. Audits include an examination of the fiscal condition, internal controls and compliance with policies and procedures, accounting principles and methods, the accuracy and legality of transactions, and performance audits. Records may include but are not limited to audit reports (including those completed for student body fund accounts), supporting documentation, accountant's summary, financial statements, balance sheet details, comments, summaries, recommendations, preparation records, and related correspondence and documentation. Minimum retention: (a) Audit report, official copy: Permanent (b) Grant fund audit records: 5 years after final or annual expenditure report accepted (c) Other records: 4 years.

(4) **Bank Transaction Records** Records document the current status and transaction activity of school, district, or ESD funds held in bank accounts, including accounts for student body funds. Records may include but are not limited to account statements, deposit and withdrawal slips, redeemed, void, or canceled checks, check registers, interest payments, reconciliation worksheets or spreadsheets, and related documentation. Minimum retention: (a) Records documenting grant fund transactions: 5 years after final or annual expenditure report accepted (b) Other records: 3 years.

(5) **Bond Records** Records document the authorization and payment of bonds to finance school construction and improvements. Records may include but are not limited to authorizations, supporting financial documentation, bond ratings, and sample copies of bonds issued; paid bonds, coupons, and receipts; bond registers; and related documentation. SEE ALSO Bond Election Records in the Administrative Records section. Minimum retention: 3 years after final payment.

(6) **Budget Preparation Records** Records document the planning, development, estimation, and proposed budget requests for schools, districts, and ESDs. Records may include but are not limited to budget requests, spreadsheets, expenditure projection work papers and reports, budget proposals, budget development schedules, allotment reports, decision packages, spending plans, funding analysis, revenue projection reports, compensation plan proposals, contingency plans, fiscal impact analysis, and related correspondence and documentation. Minimum retention: 2 years.

(7) **Budget Records** Records document the annual financial plan approved by schools, districts, and ESDs. Records may monitor allotments, apportioned fiscal distributions, and expenditures. Records may include but are not limited to budget allotment reports, adopted budgets, budget messages, revenue and expenditure tracking records, status reports, operating programs, debt service, position and wage analysis, summaries, annual report to Oregon Department of Education, and related correspondence and documentation. Minimum retention: (a) Adopted budget, official copy: 20 years (b) Other records: 3 years.

(8) **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). Minimum Retention: (a) Retain original paper instrument 30 days, destroy (b) Retain ACH transaction or IRD 6 years, destroy.

(9) **Competitive Bid Records** Records document the publication, evaluation, rejection and award of quoted bids to vendors and other entities. Records may include but are not limited to requests for proposals (RFPs), requests for qualifications (RFQs), invitations to bid (ITBs), requests for information (RFIs), bid exemption documents, bid and quote lists, notices of bid opening and award, comparison summaries, spreadsheets, tabulation worksheets, bid advertising records, tally sheets, bid specifications, correspondence, and related records. SEE ALSO Purchasing Records in this section. Minimum retention: (a) Retain accepted bids 10 years after substantial completion (as defined by ORS 12.135(3)(b) Retain other accepted bids: 6 years after bid awarded or canceled (c) Retain rejected bids and bid exemptions: 2 years after bid awarded or canceled.

(10) **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. Minimum Retention: Retain 36 months after transaction, destroy.

(11) **Credit Slips** Slips issued to citizens who have withdrawn from agency-sponsored classes or activities and are due credit for all or part of fees paid. Information usually includes name of class or activity, date, expiration date, name and address of citizen, and related data. Minimum retention: 3 years after credit expired or redeemed.

(12) **Employee Bond Records** Records document the post of fidelity, performance, or position bonds to guarantee the honest and faithful performance of school, district, and ESD employees. Information may include but is not limited to person's name, amount of coverage, dates, and related documentation. Minimum retention: 6 years after expiration.

(13) **Financial Reports** Records document the financial condition, operation, and activities of schools, districts, and ESDs. Records may include but are not limited to organization and function statements, accounting of income and expenditures, balance sheets, revenue statements, fund balance reports, notes to the financial statements, and exhibits. Exhibits may include a working trial balance by fund type, adjustments to accounting data, cash flow analysis, and other supporting documentation. Reports may also be completed for student body fund accounts. Records may include monthly, quarterly, or annual reports. Minimum retention: (a) Retain annual report, official copy: Permanent (b) Retain working papers and draft material: 1 year after acceptance of Annual Report (c) Retain all other Financial Reports 3 years.

(14) **General Ledgers** Records document all fiscal transactions of the school, district, or ESD. The ledgers summarize the accounts and reflect the financial position of the school, district, or ESD. Information often includes debit, credit, and balance amounts per account; budget, fund, and department numbers; and totals for notes receivable, interest income, amounts due from other funds, federal grants received; bank loans received, cash in escrow, deferred loan received, cash, encumbrances, revenue, accounts receivable, and accounts payable; and related documentation and data. SEE ALSO Subsidiary Ledgers, Journals, and Registers in this section. Minimum retention: (a) Retain year-end ledgers: 10 years (b) Retain all other general ledgers: 3 years.

(15) **Gift and Contribution Records** Records document gifts and contributions to the school, district, and ESD, including contributions to student body funds. Records may include but are not limited to memorial donation records related to money to be used by the institution in the name of an individual, donor and acknowledgment letters, acquisition lists itemizing purchases made with contributed money, checks, receipts, and related correspondence and documentation. Minimum retention: (a) Retain conditional gift, contribution, and donation records: 6 years after expiration of agreement or conditions met (b) Retain all other records: 3 years.



(16) **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 come from federal or state governments or foundations or other funding sources. Records may include but are not limited to applications including project proposals, 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; equipment inventories; financial reports, accounting records, audit reports, expenditure reports, and related correspondence and documentation. Minimum retention: (a) Retain final reports from significant grants to the School, District, ESD: Permanent (b) Retain records documenting the purchase and/or disposal of real property: 10 years after substantial completion (as defined by ORS 12.135(3)), or 3 years after final disposition, or as specified in agreement, whichever is longer (c) Retain other grant records: 3 years after annual or final expenditure report submitted and approved or, as specified in agreement, whichever is longer (d) Retain unsuccessful grant applications: 1 year after rejection or withdrawal.

(17) **Investment Records** Records document financial investments made by schools, districts, or ESDs. Records may include but are not limited to time certificates of deposit, interest income distribution, and tax anticipation notes. Information includes date purchased, date received, date matured, accrued interest, total interest to date, and related documentation. Minimum retention: 3 years after investment maturity.

(18) **Lease Records** Records document the lease or rental of school, district, or ESD owned property to other parties, and lease or rental of facilities from other parties. Records may include but are not limited to include leases, rental agreements, amendments, addenda, authorizations, and related correspondence and documentation. Leases are typically for office space, equipment, machinery, real estate, or facilities. Minimum retention: 6 years after expiration.

(19) **Petty Cash Fund Records** Records document petty cash activity for a school (including student body funds), district, or ESD. Records include but are not limited to requests and authorizations to establish petty cash funds, ledgers, statements, requests for disbursements, copies of receipts and invoices, and related documentation. Minimum retention: 3 years.

(20) **Purchasing Records** Records document the purchase of goods and services by a school, district, or ESD, including purchases through a student body fund account. Records may include but are not limited to purchase orders and requests; purchase authorizations; requisitions; contract release orders; price agreements; material and cost specifications; copy, print, service, and other types of work orders, receipt and delivery documentation, and related correspondence and documentation. Minimum retention: (a) Retain records documenting expenditure of federal funds: 5 years after final or annual expenditure report accepted (b) Retain all other records: 3 years.

(21) **Revenue Records** Records document application for and receipt of funds from local, state, and federal revenue sources and disbursement to the school, district, or ESD. Records include funds received directly from federal agencies or apportioned to the school, district, or ESD through the Oregon Department of Education or other state agencies. Records may include but are not limited to projection reports of forecasted revenue earnings; revenue registers listing revenue earned; fund applications and awards; performance and financial reports; supporting fiscal documentation; reimbursement requests and claim records; and related correspondence. Local revenue sources may include tax levies, tuition, local government units, adult continuing education programs, summer school programs, schools transportation and food service programs, community services programs, textbook and other rentals, and private contributions. Intermediate revenue sources may include county school funds, ESD equalization and special program funds, and state timber revenue funds. State revenue

sources may include basic school support funds, common school funds, state timber revenue funds, and special education, driver education, vocational education, and special school assistance funds. Federal revenue sources may include migrant education, Indian education, and other funds. Minimum retention: (a) Retain records of revenue from federal and state sources: 5 years after final or annual expenditure report accepted (b) Retain all other records: 3 years.

(22) **Signature Authorization Records** Records document that designated school, district, or ESD employees are authorized to sign fiscal and contractual documents, including those involving student body funds. Minimum retention: 6 years after authorization superseded or expired.

(23) **Student Organization Financial Records** Records document the budgeting, accounting, and financial affairs of student organizations including student clubs, government, and publications. Records may include but are not limited to bank statements, deposit slips, cancelled checks/vouchers, receipts, and related documentation and correspondence. Minimum retention: 3 years after school year in which records were created.

(24) **Subsidiary Ledgers, Journals, and Registers** Records document details of fiscal transactions by a school, district, or ESD such as those related to receipts and expenditures on a daily, monthly, quarterly, or similar basis. Records include journals, ledgers, registers, day books, transaction reports, trial balance reports, and other account books or reports that provide documentation for the general ledger or financial reports. Records may include details of revenues, expenditures, encumbrances, cash receipts, warrants, and other financial records. Information often includes date, payee, purpose, fund credited or debited, check number, and related data. SEE ALSO General Ledgers in this section and Payroll Registers in the Payroll Records section. Minimum retention: (a) Retain year end payroll register: 75 years (b) Retain trust fund ledgers: 3 years after trust fund closed (c) Retain all other subsidiary ledgers, journals, and registers: 3 years.

(25) **Travel Expense Records** Records document requests, authorizations, travel advances and reimbursement claims made by school, district, or ESD employees for travel and related expenses. Records may include but are not limited to travel expense reports and receipts, supporting documentation, and related correspondence. Minimum retention: 3 years.

(26) **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. Minimum Retention: 3 years after the property is remitted to the Department of State Lands.

(27) **Vendor Records** Records document vendors and suppliers providing goods and services to the school, district, or ESD. Records may include but are not limited to lists name and address of vendor or company; description of goods and services provided; catalogs; promotional and advertising materials; product specification sheets; copies of purchase orders and requisitions; packing slips; price quotations; and related correspondence and documentation. Minimum retention: Until superseded or obsolete.

Stat. Auth.: ORS 192 & 357, Other Auth. Code of Federal Regulations Title 34  
Stats. Implemented: ORS 192 & 357  
Hist.: OSA 6-1997, f. & cert. ef. 4-22-97; Renumbered from 166-408-0010,  
OSA 1-2006, f. & cert. ef. 4-17-06; OSA 1-2010, f. & cert. ef. 5-27-10; OSA 3-  
2012, f. & cert. ef. 10-29-12

## 166-400-0030

### Information and Records Management Records

**NOTE:** Inclusion of a records series in this schedule does not require the series be created. If a record is created electronically, it can be retained in electronic format only if the retention period is 99 years or less.

(1) **Computer System Maintenance** Records document the maintenance of school, school district, or ESD computer systems and is used to ensure compliance with any warranties or service contracts; schedule regular maintenance and diagnose system or component problems; and document systems backups.

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 backup tape inventories, and related documentation. Minimum retention: (a) Retain records related to system or component repair or service: Life of the system or component (b) Retain records related to regular or essential records backups: 1 year after superseded or obsolete

(2) **Computer System Program Documentation** Records document the addition, modification, or removal of software from a school, school district, or ESD computer system.

Records usually fall into six categories: 1. records that document operating systems; 2. records that document the in-house creation and modification of application programs; 3. records that document the structure and form of data sets; 4. records that document the use of commercial software packages; 5. records that document the structure of the system; and 6. records that document system-to-system communication.

Records may include but are not limited to system overviews, operation logs, job listings, operator instruction manuals, system development logs, system specifications and changes (including narrative and flow chart descriptions), conversion notes, data set logs, data set inventories, data set 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, commercial software manuals, and related correspondence and documentation. SEE ALSO Software Management Records in this section. Minimum retention: (a) Retain migration plans: until superseded or obsolete (b) Retain all other records: 1 year after system superseded or obsolete.

(3) **Computer System Security** Records Records documenting the security of the computer systems. Includes employee access requests, passwords, access authorizations, encryption keys, and related documentation. Minimum retention: 3 years after superseded

(4) **Computer System Wiring** Records Records documenting the wiring of the computer network system. Includes blueprints or drawings of building computer system wiring, cables, computer equipment connections, and related documentation. Minimum retention: Current plus previous version.

(5) **Federal Communications Commission (FCC) License** Records Records document the process of obtaining licenses for television, wireless, radio, and mobile communication frequencies from the Federal Communication Commission. Records may include but are not limited to applications, correspondence, legal opinions, license, excess capacity agreements, contract approval records, and related documentation. Minimum retention: 5 years after school year in which license expires.

(6) **Filing System Records** Records document the establishment, maintenance, alteration, or abolition of school, school district, or ESD filing systems. Records may include but are not limited to include master file lists, organizational charts, program descriptions, and correspondence. Minimum retention: 3 years after superseded or abolished.

(7) **Forms Development Records** Records document the development of new or revised forms used by a school, school district, or ESD. Records may include but are not limited to sample forms, drafts, revisions, form logs/listings, proposals, authorizations and illustrations. Minimum retention: Until superseded or obsolete.

(8) **Information Service Subscription Records** Records document school, district, or ESD subscriptions to information services. Records may include but are not limited to subscriptions, invoices, and correspondence. Minimum retention: 3 years.

(9) **Information System Planning and Development Records** Records document the planning and development of school, school district, or ESD 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 the institution fulfill its missions, are cost-effective, conform to adopted

information standards, and integrate with existing institution information systems. Records may vary according to the level of documentation required for each system, but may include information technology plans, feasibility studies, cost-benefit analyses, institution studies and surveys, system specifications and revisions, component proposals, technical literature, vendor literature and proposals, and correspondence. Minimum retention: (a) Retain implemented systems: Life of the system (b) Retain unimplemented systems: 3 years

(10) **Microfilm and Image Quality Control** Records Records document that microfilm and images produced by or for public schools, school districts, or ESDs 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, camera/processor/duplicator inspection reports, equipment and operator logs, and correspondence. Minimum retention: Same as related microfilm or digital image.

(11) **Public Records Disclosure Request Records** Records document requests for disclosure of public records and provides a record of school, district, or ESD responses. Records may include but are not limited to requests for disclosure, types of records requested, request logs, notation of transfer to another district, approvals, denials, copies of petitions to the Attorney General for review of denials of disclosure, Attorney General Orders to grant or deny disclosure, correspondence, and related documentation. Minimum retention: (a) Retain approved requests: 5 years. (b) Retain denied requests: 2 years after last action

(12) **Records Management Records** Records document the authorized retention, scheduling, inventory, and disposition of school, district, or ESD public records. Records may include but are not limited to records retention schedules, inventory worksheets, schedule authorizations, procedure guidelines, transmittals, destruction authorizations, reports, and correspondence. Minimum retention: (a) Retain destruction records permanent (b) Retain all other records 5 years after superseded.

(13) **Software Management Records** Records document the use of software in school, district, or ESD information systems to insure that institution 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 purchase records, software inventories, software licenses, site licenses, and correspondence. Minimum retention: 2 years after software disposed of or upgraded.

(14) **Telecommunications System Management** Records Records document the creation, modification, or disposition of school, district, or ESD telecommunications systems. Records may include but are not limited to equipment records, Federal Communications Commission records, repair order forms, system planning records, telecommunications maintenance contracts, telecommunications service orders, and correspondence. Minimum retention: (a) Retain repair and service order records: 4 years. (b) Retain all other records: 1 year after system superseded or obsolete

(15) **User Support Records** Records documenting troubleshooting and problem-solving assistance provided by information systems personnel to users of the systems (computer, telecommunications, etc). Records may include assistance requests, resolution records, and related documentation. Information may include name of requester, date, time, location, and description of problem and resolution. Minimum retention: 1 year

Stat. Auth.: ORS 192 & 357, Other Auth. Code of Federal Regulations Title 34  
Stats. Implemented: ORS 192 & 357  
Hist.: OSA 6-1997, f. & cert. ef. 4-22-97; Renumbered from 166-409-0010, OSA 1-2006, f. & cert. ef. 4-17-06

## 166-400-0035

### Library and Media Records

**NOTE:** Inclusion of a records series in this schedule does not require the series be created. If a record is created electronically, it can be retained in electronic format only if the retention period is 99 years or less.

(1) **Acquisition and Deaccession Records** Records document the process of requesting, purchasing, and acquiring, as well as

deaccessioning, books, periodicals, audio-visual, and other library materials. Records may include but are not limited to accession and deaccession registers; correspondence with publishers; questionnaires; request forms; bibliographic data; receipt notations; and related documentation. SEE ALSO Library Catalog Records in this section. Minimum retention: (a) Retain registers: Until superseded or obsolete (b) Retain all other records: 3 years after school year in which records were created.

(2) **Audio-Visual Materials and Equipment Loan Records** Records document the loan, rental, scheduling, and delivery of audio-visual or media material and equipment to school, district, or ESD faculty or staff. Records may include but are not limited to request forms; extension and cancellation records; borrower identification; title and material identification; shipping or delivery information; booking records; attendance and number of times media used or shown; usage statistics; accounting records concerning the cost of material; and related documentation. Minimum retention: (a) Retain extension and cancellation records: 1 month (b) Retain equipment inventories: 3 years after superseded or obsolete (c) Retain all other records: 3 years after school year in which records were created.

(3) **Circulation Records** Records document the borrowing of circulating library, audio-visual, media, and learning resource center materials by students and faculty. Records may include but are not limited to name of the borrower, title of material borrowed, due date, overdue status, overdue notices, and related documentation. Records may be exempt from public disclosure per ORS 192.502(21). Minimum retention: (a) Retain overdue records: Until material is returned or debts reconciled or deemed uncollectible (b) Retain all other records: 1 year after school year in which records were created.

(4) **Copyright and Duplication Records** Records document permission received from authors, publishers, producers, and distributors of video programs and other media and materials to allow the school, district, and ESD to duplicate the material without copyright infringement. Records may include but are not limited to agreements which state the terms and conditions, copyright releases, authorizing signatures, and related documentation and correspondence. Minimum retention: 6 years after agreement expires.

(5) **Library and Media Inventory Records** Records document approved lists of books, periodicals, audio-visual materials, and other library materials. Records may include but are not limited to annual inventories; and lists of books, periodicals, audio-visual materials, and other materials; and lists of books and materials on specific subjects. Lists document material approved for use in the school or district; materials that may be borrowed from centralized media and resource centers; and are used in the acquisition of materials. Records generally include titles, bibliographic descriptions, and identification numbers. Minimum retention: 3 years after superseded.

(6) **Library Catalog Records** Records document the maintenance, and retrieval of the holdings of the school library; professional library; teaching resource center; and audio-visual, media, or resource center of the school, district, and ESD. Records may include but are not limited to the card or electronic catalog which contains the bibliographic records of the holdings; holdings records which contain data on items in circulation; and related documentation. SEE ALSO Acquisition and Deaccession Records in this section. Minimum retention: Until superseded or disposal of material.

(7) **Supplemental Materials Selection and Adoption Records** Records document the process of evaluation, selection, and approval of supplemental educational materials for use by a school, district, or ESD and inclusion in the library, learning resource center, or media center. Records may also be used for budget, audit, and insurance purposes. Supplemental materials may include library books, periodicals, audio-visual materials, instructional computer software, and related materials. Records may include but are not limited to bibliographic data; summary of content; evaluations; evaluator records including applications, rosters, and expense records; records documenting citizen complaints about educational

material; and related correspondence and documentation. Minimum retention: 7 years after school year in which records were created.

Stat. Auth.: ORS 192 & 357, Other Auth. Code of Federal Regulations Title 34 Stats. Implemented: ORS 192 & 357

Hist.: OSA 6-1997, f. & cert. ef. 4-22-97; Renumbered from 166-410-0010, OSA 1-2006, f. & cert. ef. 4-17-06

## 166-400-0040

### School Administration Records

**NOTE:** Inclusion of a records series in this schedule does not require the series be created. If a record is created electronically, it can be retained in electronic format only if the retention period is 99 years or less.

(1) **Communication Logs** Logs document communications made or received through a variety of electronic devices, including but not limited to telephone, smart phone, facsimile (fax), radio, computer-aided dispatch, pager, and teletype, AND are not otherwise specified in this general records retention schedule (OAR 166 division 400). Logged information may include time, date and disposition of communication, name of caller, number called or received, and action taken. SEE ALSO Correspondence in the Administrative Records section. Minimum retention: 1 year

(2) **District Boundary Records** Records document the formation, consolidation, and reorganization of school districts and their boundaries. Records may include but are not limited to boundary board meeting minutes; boundary board hearing records; board decisions; maps and plats; land records; boundary descriptions; and related documentation. Minimum retention: Permanent.

(3) **District Clerk's Records** Records document the administration of the school district and the reporting of this general and financial information to the county school superintendent. The district clerk's record books may contain but are not limited to reports of annual school meetings, special school meetings, and district board meetings; financial reports, receipts, and accounts; teacher contracts; annual census of school-aged children; payroll information; summary of subjects taught; records of school boundaries; and related documentation. The school register and record books may contain but are not limited to records of visitors; records of students registration, attendance, and deportment; general school statistics; teacher salary records; program and class records; evaluations of student progress; data on parents and guardians; and related documentation. These records are no longer being created. Minimum retention: Permanent.

(4) **Interscholastic Athletic Activity Program Records** Records document student eligibility and participation in interscholastic competitive sports and athletic activities, athletic event and team publicity, and athletic events scheduling. Records may include but are not limited to team standings; win/loss records; All-Star selections; team member information; statistics; event and practice schedules; and related documentation and correspondence. Minimum retention: 5 years after school year in which records were created.

(5) **Key and Keycard Records** Records document the issuance of keys and keycards to staff to enable access to buildings and sites. Records may include but are not limited to key inventories, key issue forms, key replacement records, and key disposal records. Minimum retention: (a) Retain access and entry logs 3 years (b) Retain other records 2 years after key is turned in

(6) **Mailing Lists** Records document the compilation of names and addresses of persons and organizations by a school, district, or ESD for mailing purposes. Lists are used to facilitate billing, outreach activities, and other functions of the school, district, or ESD. Minimum retention: Until superseded or obsolete.

(7) **Parking Records** Records document parking provided for the public or school, district, or ESD staff or students. Records include parking permits and applications, special permits, permit receipts, parking citations, appeal petitions, and related correspondence and documentation. Minimum retention: (a) Retain citation records: 3 years after resolved (b) Retain all other records: 3 years.

(8) **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 related correspondence. Mini-



minimum retention: 3 years after school year in which records were created.

(9) **Press Releases** Records document school, district, or ESD information that is officially released to the media for dissemination to the public. Records may include press or news releases, public service announcements, and related documentation. Minimum retention: (a) Policy and Historic press/news releases: Permanent (b) Routine news/press releases: 2 years

(10) **Publications** Records document publications produced by a school, district, or ESD for educational or informational purposes, or to communicate information about programs, policies, services, and events. Records include publications produced by individual school staff, offices, and students. Types of publications may include but are not limited to catalogs, books, magazines, newsletters, rosters, directories, brochures, pamphlets, media guides, guidebooks, proceedings, programs, schedules, yearbooks, manuals, newspapers, calendars, and flyers. Records may include but are not limited to working papers, mock-ups, drafts, photographs, final publications, and publications on the school, district, or ESD's Internet home page. SEE ALSO Press Releases in this section. Minimum retention: (a) Retain significant publications, official copy: Permanent (b) Retain preparation records: Until published (c) Retain all other publications and records: 2 years

(11) **Scheduling Records** Records document the scheduling and reservations related to in-house participation in and use of various school, district, or ESD activities, events, classes, facilities, and meeting rooms. Records may include but are not limited to schedules, logs, lists, classroom assignments, requests, and related correspondence and documentation. Minimum retention: 2 years after school year in which records were created

(12) **Security Records** Records document security provided for school, district, or ESD building and grounds. Security may be provided by an on-site public safety office and public safety officers. Records may include but are not limited to security logs, sign-in sheets, visitor logs, security activity reports, incident reports, statistical information, and related correspondence and documentation. SEE ALSO Key Issuance Records in this section. Minimum retention: 3 years after school year in which records were created

(13) **Student Handbooks** Records document school rules and regulations and student rights and responsibilities. Information may include but is not limited to general school information, academic requirements, dress codes, rules of student conduct, freedoms, and student grievance procedures. Minimum retention: (a) Retain official copy: Permanent (b) Retain all other copies: Until superseded or obsolete.

(14) **Visitor Logs** Records document visitors to agency buildings. Records name include visitors' names, visitor badges issued, and entrance and exit times. Minimum retention: 1 year

Stat. Auth.: ORS 192 & 357, Other Auth. Code of Federal Regulations Title 34 Stats. Implemented: ORS 192 & 357

Hist.: OSA 6-1997, f. & cert. ef. 4-22-97; Renumbered from 166-405-0010, OSA 1-2006, f. & cert. ef. 4-17-06; OSA 2-2006, f. & cert. ef. 7-26-06; OSA 3-2012, f. & cert. ef. 10-29-12

## 166-400-0045

### Payroll Records

**NOTE:** Inclusion of a records series in this schedule does not require the series be created. If a record is created electronically, it can be retained in electronic format only if the retention period is 99 years or less.

(1) **Deduction Authorization Records** Records documenting employee application and authorization for voluntary payroll deductions, direct bank deposits, and related actions. Payroll deductions are directly deposited or remitted to the authorized financial institution, insurance company, or other agency or vendor. Records may include insurance applications, enrollment cards, deduction authorizations, approval notices, deduction terminations, and related records. Minimum retention: 3 years after superseded, terminated, or employee separates.

(2) **Deduction Registers** Registers or records serving the same function of documenting voluntary and/or required deductions from the gross pay of agency employees. Types of deductions include federal income and social security taxes, state tax, workers'

compensation, union dues, insurance, deferred compensation, credit union, parking permit, prewritten checks, garnishments, levies, charitable contributions, and others. Information may include employee name and number, pay period, social security number, total deductions, net pay, check number, and related data. Minimum retention: (a) Retain registers documenting state and federal taxes: 5 years (b) Retain all other registers: 3 years.

(3) **Employee Payroll Records** Records document school, district, or ESD individual employee pay history. Records include but are not limited to source documents authorizing payroll deductions and withholding such as retirement enrollment forms, insurance applications, and beneficiary designations, leave authorization records, pay related personnel action documents, garnishment orders, child support claim records, electronic deposit authorizations, work out of class and overtime authorizations, deduction reports, and correspondence. SEE ALSO Employee Personnel Records in the Personnel Records section. Minimum retention: (a) Retain PERS enrollment forms, official copy: 75 years after date of hire (b) Retain all other records: 3 years after employee separation.

(4) **Employee Time and Attendance Records** Records document school, district, or ESD employee attendance and time worked. Records may include but are not limited to time cards or sheets; monthly summary reports of employee attendance; forms used to record attendance, sick, vacation, overtime, and compensatory time; leave requests and approval forms; leave records; absence, sick, and vacation leave summary reports; overtime authorization or certification; staff attendance logs; substitute teacher logs; and related documentation and correspondence. Minimum retention: 4 years.

(5) **Federal and State Tax Records** Records, in addition to those itemized in this section, used to report the collection, distribution, deposit, and transmittal of federal and state income taxes as well as social security tax. Examples include the federal miscellaneous income statement (1099), request for taxpayer identification number and certificate (W-9), employer's quarterly federal tax return (941, 941E), tax deposit coupon (8109), and similar federal and state completed forms. Minimum retention: (a) Retain for the retention of records documenting expenditure of grant funds: see Grant Records in the Financial section (b) Retain all other records: 4 years.

(6) **Garnishment Records** Records documenting requests and court orders to withhold wages from employee earnings for garnishments, tax levies, support payments, and other reasons. Usually includes original writs of garnishment, orders to withhold for the Oregon Department of Human Resources, federal or state tax levies, recapitulations of amounts withheld, and related records. Information usually includes employee name and number, name of agency ordering garnishment, amount, name of party to whom payment is submitted, dates, and related data. Minimum retention: 3 years after resolution.

(7) **Leave Applications** Applications or requests submitted by employees for sick, vacation, compensatory, personal business, family and medical leave, long term leave, and other leave time. Information usually includes employee name, department, date, leave dates requested, type of leave requested, and related data. SEE ALSO Employee Time Records in this section. Minimum retention: 3 years.

(8) **Leave Balance Reports** Reports documenting individual employee accrual and use of sick, vacation, compensatory, personal business, family and medical leave, and other leave time. Information usually includes employee name and number, social security number, leave beginning balance, leave time accrued, leave time used, ending balance, and related data. SEE ALSO Employee Benefits Records in the Personnel section. Minimum retention: (a) Retain year-end leave balance reports: 75 years after date of hire (b) Retain all other reports: 4 years.

(9) **Payroll Administrative Reports** Records document school, district, or ESD payroll statistics, payroll budget preparation, projections, workload and personnel management, and payroll research. Records may include but are not limited to recapitulation reports organizing wages, deductions, and other data into categories

such as quarter-to-date, year-to-date, fiscal year-to-date, department, division, section, employee/employer contributions, and others. Minimum retention: 3 years.

(10) **Payroll Registers Records** document the earnings, voluntary and required deductions, and withholdings of school, district, and ESD employees. Records include but are not limited to monthly listings of all paid employees with details of their earnings and deductions. Minimum retention: (a) Retain year-end payroll register: 75 years (b) Retain leave accrual and monthly payroll registers: 10 years (c) Retain all other registers: 3 years

(11) **Unemployment Compensation Claim Records** document claims submitted by former school, district, or ESD employees for unemployment compensation. Records include but are not limited to claims, notices, reports, claim determination appeal records, and related documentation and correspondence. Minimum retention: 3 years

(12) **Unemployment Reports** Records document school, district, or ESD employee earnings on a quarterly basis. Records are used to determine the costs and charges in the event of an unemployment compensation claim. Information in the records includes employee name, social security number, quarterly earnings, days worked, totals, and other data. Minimum retention: 3 years

(13) **Wage and Tax Statements Annual** statements documenting individual employee earnings and withholdings for state and federal income taxes and social security tax. Also known as federal tax form W-2. Information includes agency name and tax identification number, employee name and social security number, wages paid, amounts withheld, and related data. Minimum retention: 5 years

(14) **Withholding Allowance Certificates** Certificates documenting the exemption status of individual agency employees. Also described as W-4 forms. Information includes employee name and address, social security number, designation of exemption status, and signature. Minimum retention: 5 years after superseded or employee separates

Stat. Auth.: ORS 192 & 357, Other Auth. Code of Federal Regulations Title 34  
Stats. Implemented: ORS 192 & 357  
Hist.: OSA 6-1997, f. & cert. ef. 4-22-97; Renumbered from 166-411-0010,  
OSA 1-2006, f. & cert. ef. 4-17-06

## 166-400-0050

### Personnel Records

**NOTE:** Inclusion of a records series in this schedule does not require the series be created. If a record is created electronically, it can be retained in electronic format only if the retention period is 99 years or less

(1) **Affirmative Action Records** Records document school, district, and ESD compliance with the statutes and regulations of the U.S. Equal Opportunity Commission dealing with affirmative action. Records may include but are not limited to plans, updates, policy statements, reports, and supporting information. SEE ALSO Equal Employment Opportunity Commission Compliance Records in this section. Minimum retention: (a) Retain plans, updates, and policy statements: Permanent (b) Retain all other records: 3 years.

(2) **Benefits Continuation Records** Records document notifications to employees or dependents informing them of their rights to continue insurance coverage after termination of during disability or family leave. Continuation may be under COBRA or another provision. Notice is also sent to a third party administrator who administers the extended coverage. The records typically consist of notices sent and correspondence. Records may be filed with the Employee Benefits Records or Employee Personnel Records. SEE ALSO Employee Payroll Records in the Payroll section. Minimum retention: 3 years after employee separation of eligibility expired

(3) **Collective Bargaining Records** Records document the negotiations and contractual agreements between a school, district, or ESD and an employee 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; minutes, sound recordings, and exhibits; published manuals; and related correspondence and documentation. Minimum retention: (a) Retain contracts: 75

years after contract expires (b) Retain all other records: 6 years after contract expires

(4) **Comparable Worth Study Records** Records documenting the analysis, study, and resolution of pay equity, alleged job discrimination, and related issues involving the agency and its employees. May include job content questionnaire summaries, position allocation reports, personnel reclassification studies, job category listings, study outlines, graphs, tables, and significant related records. Minimum retention: (a) Retain final study or report: Permanent (b) Retain all other records: 5 years

(5) **Compensation Plan Records** Records document the development, operation, and maintenance of the school, district, or ESD's personnel compensation plans. Records include compensation plans; salary surveys; merit matrixes; pay range tables; and related correspondence and documentation. Minimum retention: (a) Retain compensation plans: 20 years (b) Retain pay range tables, merit matrixes: Until superseded (c) Retain all other records: 3 years.

(6) **Criminal Background Check Records** Records document the pre-employment or periodic criminal record check made on prospective or current staff, faculty, and volunteers by schools, districts, or ESDs. Records 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 Department of Education through the FBI and Oregon Law Enforcement Data System (LEDS). The form includes name and other personal identifying information, indication of existence or absence of criminal record, and related documentation. Records may be retained as part of the Employee Personnel Record. SEE ALSO Employee Personnel Records and Recruitment and Selection Records in this section. Minimum retention: (a) Retain background check logs until superseded or obsolete (b) Retain fingerprint cards until return of card or receipt of investigation findings (c) Retain all other records 90 days, destroy.

(7) **Disciplinary Action Records** Records documenting termination, suspension, progressive disciplinary measures, and other actions against employees. May include statements, investigative records, interview and hearing records, findings, and related records. May be filed with Employee Personnel Records. Minimum retention: (a) Retain investigations resulting in termination: 10 years after employee separation (b) Retain investigations resulting in disciplinary action or exoneration: 3 years after resolution (c) Retain unfounded investigations: 3 years.

(8) **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. Minimum retention: (a) Retain positive test results: 5 years (b) Retain negative test results: 1 year.

(9) **Employee Benefits Records** Records document school, district, or ESD individual employee 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 Records section. Minimum retention: (a) Retain PERS enrollment records, official copy: 75 years after date of hire (b) Retain all other records: 3 years after employee separation or eligibility expired.

(10) **Employee Medical Records** Records document school, district, or ESD individual employee work related medical history. These records are not personnel records and must be kept physically separate from employee personnel records, in a separate location, as required by the Americans with Disabilities Act. 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 assign-

ments, documentation of work related injuries or illnesses, hearing test records, hazard exposure records, drug testing records, first-aid incident records, physician statements, release consent forms, and related correspondence. SEE ALSO Hazard Exposure Records in this section. Minimum retention: (a) Retain hazard exposure records: 30 years after separation (b) Retain all other records: 6 years after separation.

(11) **Employee Personnel Records** Records document school, district, and ESD individual employee work history. Records may include but are not limited to applications; notices of appointment; training and licensure (certification) records; records of health limitations; in service training records; salary schedules; tuition reimbursement records; personnel actions; performance evaluations; teacher evaluation reports; letters of commendation and recommendation; letters of reprimand; notices of disciplinary action; notices of layoff; letters of resignation; home address and telephone disclosures; emergency notification forms; oaths of office; grievance and complaint records; pension, retirement, disability, and leave records; and related correspondence and documentation. SEE ALSO Criminal History Check Records, Recruitment and Selection Records, Employee Medical Records, and Employee Benefits Records in this section. Minimum retention: (a) Retain employment applications (most recent and first successful), teacher licensure (certification) records, personnel actions, oaths of office, home address/telephone disclosures, emergency notification form (most recent): 75 years after date of hire (b) Retain grievance, complaint, and disciplinary records: 3 years (c) Retain all other records: 3 years after separation.

(12) **Employment Eligibility Verification Forms (I-9)** Records document the filing of U.S. Immigration and Naturalization Service Form I-9 form which verifies that an applicant or employee is eligible to work in the United States. Information includes employee information and verification data such as citizenship or alien status and signature, and employer review and verification data such as documents which establish identity and eligibility, and employer's signature certifying that documents have been checked. Minimum retention: 3 years or 1 year after employee separation, whichever is longer (8 CFR 274a-2).

(13) **Employee Recognition Records** Recognition of employees for special service to the agency. May include service awards, recognition certificates, commendations, award nominations, lists of past recipients, and presentation or ceremony records and photographs. Some records in this series may have historic value. For appraisal assistance contact the Oregon State Archives. SEE ALSO Employee Suggestion Award Records in this section. Minimum retention: 6 years.

(14) **Employee Suggestion Award Records** Records documenting an employee suggestion program where employees may submit suggestions that improve effectiveness, efficiency, and economy in agency operations. Employees may receive awards for adopted suggestions. Records may include suggestion forms and evaluations, award information, and related documentation. SEE ALSO Employee Recognition Records in this section. Minimum retention: (a) Retain adopted suggestions: 2 years (b) Retain suggestions not adopted: 1 year.

(15) **Equal Employment Opportunity Commission Compliance** Records document school, district, or ESD compliance with the U.S. Equal Employment Opportunity Commission regulations. Records may include but are not limited to reports; anti-discrimination committee meeting records and reports; workplace analyses; discrimination complaint policies and procedures; complaints; reports; exhibits; withdrawal notices; copies of decisions; hearings and meeting records; report listing number of employees by gender, race, and job classification; and related correspondence and documentation. SEE ALSO Affirmative Action Records in this section. Minimum retention: (a) Retain plans, updates, and policy statements: Permanent (b) Retain complaint records and documentation: 3 years after final decision issued (c) Retain all other records: 3 years.

(16) **Grievance Records** Records document grievances brought by or against employees of schools, districts, or ESDs.

Records may include but are not limited to notice of grievance; informal discussion notes; format hearing notes (including audio tapes); final summary statements or reports; private arbitrator or Employment Relations Board rulings; correspondence; and supporting documentation. Minimum retention: 3 years.

(17) **Hazard Exposure Records** Records document a school, district, or ESD 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 this section. Minimum retention: 30 years after separation (per 29 CFR 1910.20).

(18) **Layoff, Dismissal, and Non-Renewal** Records document the procedures and computations used in laying off, dismissing, or non-renewal of contracts of school, district, and ESD 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, documentation in support of action taken, and related correspondence. Minimum retention: 3 years after final disposition.

(19) **Personnel Research** Records document the study and analysis of personnel issues such as comparative salary, pay equity, collective bargaining, fringe benefits, manning standards, minimum qualifications, recruitment, training, job discrimination, and related issues involving the school, district, or ESD and its employees. Records may include but are not limited to questionnaires, data, summary reports, studies, surveys, and related documentation. Minimum retention: (a) Retain final study or report: Permanent (b) Retain all other records: 5 years

(20) **Photo Identification Records** Photographs and other records used to identify agency employees, private security personnel, contract workers, and others. May include photographs taken for agency identification cards, driver's license photographs, and information such as name, date of birth, physical description, identification number, driver's license number, and other data. Minimum retention: Until superseded or obsolete

(21) **Position Description and Classification Records** Records document job descriptions and the studies and evaluations of school, district, or ESD positions to determine if reclassification is appropriate. Records may include but are not limited to current and new job descriptions, organizational charts, classification specifications, desk audits, classification review reports, and related correspondence and documentation. Minimum retention: 3 years after superseded or obsolete

(22) **Recruitment and Selection Records** Records document the recruitment and selection of agency employees. Records may also document the recruitment and selection of contracted service providers such as attorneys, auditors, insurance agents, labor consultants, and others. Records may include but are not limited to job announcements and descriptions, applicant lists, applications and resumes, position advertisement records, civil service and other examination records, classification specifications, affirmative action records, interview questions, interview and application scoring notes, applicant background investigation information, letters of reference, civil service records, position authorization forms, certification of eligibles, recruitment summary records (job announcement, position description, documentation relating to the announcement and test, and test items and rating levels), and related correspondence and documentation. SEE ALSO Employee Personnel Records and Employment Eligibility Verification Forms (I-9) in this section. Minimum retention: (a) Retain announcement records, position description, and records documenting creation of test and rating scale 10 years (b) Retain unsolicited applications and resumes 3 months if not returned to solicitor (c) Retain unsuc-



cessful applications and other records 3 years after position filled or recruitment cancelled

**(23) Teacher Registration and Licensure (Certification)**

**Records** Records document the registration and licensure (certification) of school teachers, including substitute teachers. Records may include but are not limited to licensure (certification) records which list teacher name, type of license (certificate), date of licensure (certification), salary, days taught; Oregon Department of Education licensure (certification) reports which list type of license (certificate), teacher, and district; and related documentation. Early records may include county superintendent administered examination results, copies of examinations, and teacher salary information. SEE ALSO Employee Personnel Records in this section. Minimum retention: (a) Retain licensed (Certificated) Personnel Reports: 2 years after school year in which records were created (b) Retain substitute teachers records: 1 year after school year in which records were created (c) Retain all other records: 75 years after date of hire

**(24) Training Program Records** Records document the design, implementation, and administration of training programs and opportunities provided to school, district, and ESD employees, including in service training for faculty. Records may include but are not limited to class, workshop, or conference descriptions; instructor certifications; planning documentation; instructional materials; course outlines; class enrollment and attendance records; training certification forms; and related correspondence and documentation. Minimum retention: 3 years after school year in which records were created.

**(25) Volunteer Program Records** Records document the activities and administration of volunteer programs in the school, district, or ESD. Records may include but are not limited to volunteer hour statistics; volunteer program publicity records; insurance requirement records; volunteer training and orientation records; inactive volunteer files; and related correspondence and documentation. Minimum retention: (a) Retain volunteer worker records: 3 years after separation (b) Retain all other records: 5 years

**(26) Wellness Program Records** Records document the development, operation, and activities of a school, district, or ESD wellness program. Records may include but are not limited to program statements, health and safety surveys, committee minutes, newsletters, and related correspondence and documentation. Minimum retention: 3 years after school year in which records were created.

Stat. Auth.: ORS 192 & 357, Other Auth. Code of Federal Regulations Title 34  
Stats. Implemented: ORS 192 & 357  
Hist.: OSA 6-1997, f. & cert. ef. 4-22-97; Renumbered from 166-412-0010,  
OSA 1-2006, f. & cert. ef. 4-17-06

**166-400-0055**

**Safety and Risk Management Records**

**NOTE:** Inclusion of a records series in this schedule does not require the series be created. If a record is created electronically, it can be retained in electronic format only if the retention period is 99 years or less.

**(1) Accident and Injury Reports** Records document accidents, including workers' compensation accidents, and injuries to students, faculty, staff, and visitors on school, district, or ESD property, or during school related activities. Records include accident and injury reports; State Accident Insurance Fund (SAIF) accident reports; occupational injury investigations and reports; employee identification and physical assessment records; vehicle accident reports; and related correspondence and documentation. SEE ALSO Legal Case Files and Records in the Administrative Records section, and Insurance Claim Records, State Accident Insurance Fund (SAIF) Claim Records, Tort Liability Claim Records, and Workers' Compensation Claim Records in this section. Minimum retention: (a) Retain employee hazard exposure records: 30 years after employee separation (or as specified by 29 CFR 1910.20) (b) Retain other records, if no claim filed: 3 years (c) Retain other records, if claim filed: Transfer to claim record

**(2) Contractor Liability Insurance Verification Records**

Letters or certificates of coverage provided by insurance companies declaring that specific contractors are covered by appropriate

liability insurance. Information usually includes insurance company name and address, issue date, expiration date, amount of coverage, type of coverage, special provisions, signature of insurance company representative, and related data. Minimum retention: (a) Retain if related to county or special district improvement project: 10 years after substantial completion, (as defined by ORS 12.135(3)) (b) Retain all other records: 6 years after expiration)

**(3) Contractor Performance Bond Records** Records documenting the posting of performance guarantees or surety bonds by contractors performing work for the agency. May include letters, certificates, copies of bonds, and similar records. Information usually includes name of individual or company covered, amount of coverage, effective and expires dates, name of bonding agent, authorized signatures, and related data. Minimum retention: (a) Retain if related to county or special district improvement project: 10 years after substantial completion, (as defined by ORS 12.135(3)) (b) Retain all other bond records: 6 years after expiration

**(4) Disaster Preparedness Plan Records** Records document school, district, or ESD plans and procedures to take in case of a major disaster which has destroyed or compromised the operations of a school, district, or ESD. Components of the recovery plan include but are not limited to physical plant repair and restoration; equipment restoration; electronic data restoration including steps to reload data, recover data, and reconnect networks; reestablish telephone connections; essential records protection; and related procedures and needs dealing with risk management, public relations, and financial issues. Minimum retention: Until superseded or obsolete

**(5) Emergency Response and Safety Plans and Procedures** Records document a school, district, or ESD's plans to promote a safe work environment for employees; procedures to follow in the event of emergency; and student safety instruction records. Records may include but are not limited to step-by-step procedures; safety plans; fire drill reports; records instructing students about safety on school buses; and related documentation. Fire drill reports are submitted annually to the local fire bureau. Minimum retention: (a) Retain fire drill reports: 1 year after school year in which records were created (b) Retain all other records: 1 year after superseded or obsolete

**(6) Hazard Communications Program Records** Records documenting participation in the Hazard Communications Program as required by the Oregon Occupational Safety and Health Administration (OR-OSHA). These records may be useful as documentation for exposure and other claims because they include chemical content, safe handling instructions, and other facts about a product at a given time in the past. Usually includes plans, reports, and material safety data sheets (MSDS). Information included in the material safety data sheets includes product name, manufacturer's address and phone number, hazardous ingredients contained, ingredient description, carcinogenicity, quantity of ingredients, fire and explosion data, health hazard data, radioactivity data, spill and leak pressures, safe handling and use information, special use precautions and related data. Minimum retention: 75 years after superseded or obsolete

**(7) Hazardous Substance Employer Survey Records** Series documents the locations, quantities, and individuals responsible for specific hazardous chemicals housed by an agency. This record is sent to the State Fire Marshal. Records include hazardous chemical compositions, lot numbers, and emergency disposition instructions. Minimum retention: Until superseded or obsolete

**(8) Insurance Claim Records** Records document school, district, or ESD requests for payment of insurance claims involving personal injury, property damage, motor vehicle accidents, and others. Records may include but are not limited to auto, liability, and property claim reports; estimates of repairs; accident reports; police reports; photographs; summaries; reviews; audio and video recordings and transcriptions; and related correspondence and documentation. SEE ALSO Legal Case Files and Records in the Administrative Records section, and State Accident Insurance Fund (SAIF) Claim Records, Tort Liability Claim Records, and

Workers' Compensation Claim Records in this section. Minimum retention: 5 years after final disposition of claim.

(9) **Insurance Policy Records** Records document the terms and conditions of insurance policies between the school, district, or ESD and the insurers. Types of insurance include liability, property, group employee health and life, motor vehicle, workers' compensation, flood, and others. Records may include but are not limited to policies, endorsements, rate change notices, and related documentation. SEE ALSO Risk Factor Evaluation Records in this section. Minimum retention: (a) Retain property, liability, and employee group insurance: 75 years after expiration if no claims pending (b) Retain all other insurance: 6 years after expiration if no claims pending

(10) **Liability Claims Records** Records documenting various types of liability claims filed against the agency. These include personal injury, property damage, motor vehicle accident, false arrest, and others. Records often include reports, photographs, summaries, reviews, notices, audio and videotapes, transcriptions of recorded statements, memoranda, correspondence, and related documents. Minimum retention: (a) Retain if action taken: 10 years after case closed, dismissed, or date of last action (b) Retain if no action taken: 3 years

(11) **Liability Waivers Records** document the release of the school, district, or ESD from liability related to various activities that include student, volunteer, or citizen involvement. Records may include but are not limited to release forms with terms, date, signatures, and related information. Minimum retention: 3 years after school year in which records were created

(12) **Master Material Safety Data Records** Series documents all hazardous chemicals used and held by an agency. Records include hazardous materials safety sheets, safety instructions, and emergency instructions. Minimum retention: Until superseded or obsolete

(13) **Occupational Injury and Illness Records** Series is used to provide the Oregon Occupational Safety and Health Administration (OR-OSHA) with workers' compensation claim information about agency employees. Records may include logs and summaries, serious injury reports, injury cost reports, and annual occupational injuries and illnesses surveys. Minimum retention: 6 years

(14) **Risk Factor Evaluation Records** The series is used to assess various risk factors for an agency and determine appropriate insurance needs. Records may include studies, worksheets, yearly risk reports, restoration fund inventory reports, policy manuals, property transfer reports, self insurance manuals, real property reports, money and negotiable securities reports, a general risk survey and correspondence. Minimum retention: 4 years

(15) **Property Damage Reports, photographs, and other records** documenting damage to agency property such as signs, trees, picnic tables, buildings, fountains, and fences. Information often includes type and location of property damaged, description of damage, date and time of damage (if known), name and address of individual who caused damage (if known), value of damage, billing costs, and related data. Minimum retention: (a) Retain if litigated: see Civil Case Files in the Counsel or District Attorney section for retention (b) Retain if not litigated: 3 years after date of last action

(16) **Safety Committee Records** Records document the actions of workplace safety committees which oversee or advise on school, district, or ESD safety issues. Records may include but are not limited to minutes, agendas, exhibits, reports, resolutions, sound recordings, indexes, and related correspondence and documentation. Minimum retention: 3 years

(17) **Safety Inspection and Compliance Records** Records document fire and safety inspections of school, district, or ESD equipment and facilities and documents compliance with state and local safety regulations. Types of inspections may include fire and fire alarm inspections; equipment safety inspections; building inspections; elevator and boiler inspections; and related inspections. Records may include but are not limited to safety inspection reports; schedules of inspections; follow-up actions; and related correspondence and documentation. Minimum retention: 10 years.

(18) **Accident Insurance Fund Claim Records** Records document job-related injury and illness compensation claims made by school, district, and ESD employees to the Accident Insurance Fund and the resulting claim disposition. Records may include but are not limited to injury reports (Workers Compensation Division 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. Does not include workers' compensation program records. Minimum retention: (a) Retain injury reports: 1 year (b) Retain all other records: 6 years after settlement of claim.

(19) **Tort Liability Claim Records** Records document tort liability claims against the school, district, or ESD. Records may include but are not limited to accident and injury reports; liability claim summaries; invoices; correspondence; photographs; investigation reports; legal documents; statistical summary reports; reviews; notices; audio/videotapes; statements; and related documentation. SEE ALSO Legal Case Files and Records in the Administrative Records section, and Insurance Claim Records and State Accident Insurance Fund (SAIF) Claim Records in this section. Minimum retention: (a) Retain statistical reports: 5 years (b) Retain other records, if action taken: 10 years after final disposition of claim (c) Retain other records, if no action taken: 3 years

(20) **Vehicle Accident Records** Records documenting accidents involving agency vehicles. May include dispatch reports with information such as name and address of parties involved, date and time, complaint, description of damage, and other data. Records may also contain motor vehicle accident reports which include the driver's name, address, phone number, date of birth, and driver's license number, as well as passenger and witness names, description of events, make and model of vehicle(s), vehicle identification number, and related data. Photographs and correspondence also may be part of these records. Minimum retention: (a) Retain if litigated: SEE ALSO Civil Case Files in Legal Counsel section (b) Retain if not litigated: 3 years

(21) **Workers' Compensation Claim Records** Records documenting the processing of individual employee claims of job related injuries or illnesses, but not those describing actual medical conditions. Includes records satisfying the procedural requirements of the State Workers' Compensation Division and the State Workers' Compensation Board, as well as those of (depending on agency arrangements) the State Accident Insurance Fund (SAIF), private insurance providers, or self-insurance. Records may include claim disposition notices, claim reporting and status forms; injury reports; determination orders; insurance premium data; hearing requests; safety citations; inspection reports; medical status updates and reports; investigation reports; reimbursement and payment records; and related correspondence and documentation. SEE ALSO Employee Medical Records in the Personnel section for records describing the job related injury or illness and the related subsequent medical condition of the employee. These often include workers' compensation accident reports, medical reports, vocational rehabilitation evaluations, disability determinations and related records. Minimum retention: (a) Retain records describing injuries and illnesses: SEE Employee Medical Records in the Personnel Records section (b) Retain all other records: 6 years after claim closed or final action

(22) **Workers' Compensation Reports** Records document the activities of the worker's compensation program. Records include a variety of reports including but not limited to claims summary reports; status reports; Occupational Safety and Health Administration (OSHA) logs and summaries; financial reports; and related documentation. Minimum retention: (a) Retain OSHA logs and summaries, official copy: 5 years after end of year to which they relate (b) Retain all other records: 3 years

Stat. Auth.: ORS 192 & 357, Other Auth. Code of Federal Regulations Title 34  
Stats. Implemented: ORS 192 & 357  
Hist.: OSA 6-1997, f. & cert. ef. 4-22-97; Renumbered from 166-413-0010,  
OSA 1-2006, f. & cert. ef. 4-17-06



**166-400-0060****Student Education Records**

**NOTE:** Inclusion of a records series in this schedule does not require the series be created. If a record is created electronically, it can be retained in electronic format only if the retention period is 99 years or less.

(1) **Alternative School Referral Records** Records document referrals sent to alternative schools seeking placement of students whose public school attendance and/or disciplinary record has been unsatisfactory. Referral form indicates acceptance or non-acceptance of student in private alternative program; funding source; signatures of referring school principal and alternative program director; student name, age, date of birth, student number; and parent's name and address. Minimum retention: 3 years after school year in which records were created.

(2) **Student Athletic Activity Records** Records document student eligibility and participation in interscholastic competitive sports and athletic activities, athletic event and team publicity, and athletic events scheduling. Records may include but are not limited to parental consent forms; Oregon School Activities Association eligibility forms and reports; and related documentation and correspondence. Minimum retention: 5 years after school year in which records were created.

(3) **Attendance Records** Records document the attendance of students in school. Records may include but are not limited to teacher or school attendance register; classroom daily attendance sheet; weekly attendance and truancy records; excused and unexcused absence records; tardiness records; notes from parents/guardians; and related documentation. The attendance recorded on the Oregon Student Record is a summary of this information. SEE ALSO Oregon Student Record in this section. Minimum retention: 3 years after school year in which records were created.

(4) **Behavioral Records, Major (Class/Group A)** Records document major student behavioral infractions which result in the identification of students for suspensions or expulsions. Records may include but are not limited to psychological tests; personality tests; group or individual intelligence tests; individual education programs; physician statements; state or local government agency reports; and related correspondence and documentation. Minimum retention: Until student turns 21.

(5) **Behavioral Records, Minor (Class/Group B)** Records document minor student behavioral infractions which do not result in the identification of a student for suspension, expulsion, or special education services. Records may include but are not limited to minor behavioral referrals; records of conversations; parent notes regarding student behavior; written behavioral agreements; detention records; bus citations; functional behavior assessments; and related correspondence and documentation. Minimum retention: Until end of school year.

(6) **Child Abuse Reports Records** document suspected child abuse reported by school staff or faculty. Records may include but are not limited to notes and observations of the child, record of contact with the State Office for Services to Children and Families or law enforcement agency, and related documentation. Minimum retention: 3 years after school year in which records were created.

(7) **Child Care Facility Residency Records** Records document students who live or have lived in childcare facilities, which are licensed to provide care for five or more children. Records may include but are not limited to reports filed semi-annually with the Oregon Department of Education. Minimum retention: 3 years after school year in which records were created.

(8) **Certificate of Advanced Mastery (CAM) Records** Records document student progress to fulfilling the State requirements for awarding of a CAM certification. Records may include but are not limited to planning records, test results, work samples, and the CAM award. Minimum retention: Until student reaches age 21 or graduates, whichever is longer.

(9) **Certificate of Initial Mastery (CIM) Records** Records document student progress to fulfilling the State requirements for awarding of a CIM certification. Records may include but are not limited to planning records, test results, and the CIM award. Minimum retention: Until student reaches age 21 or graduates, whichever is longer.

Retention: Until student reaches age 21 or graduates, whichever is longer.

(10) **Compensatory Education Programs Student Records** Records document the placement and participation of students in compensatory educational programs, which provide a variety of supplemental education services to children. Programs may or may not be all or partially funded from federal sources. Compensatory programs may include but are not limited to Children Living in Poverty, Migratory Children, Neglected and Delinquent Children, Bilingual Education, Native Children, Parent Involvement, and Civil Rights. Records may include but are not limited to background information, grade placement, instructional and cumulative service, student profile forms, placement evaluation forms, withdrawal records and related correspondence and documentation. Minimum retention: (a) Retain records that show compliance with all federal program requirements: 5 years after school year in which records were created (b) Retain all other records: 3 years after school year in which records were created.

(11) **Compulsory Attendance Excuse Records** Records document the formal excuse of a student under sixteen years of age from compulsory school attendance. Records may include but are not limited to names and addresses of student and parent or guardian; reason for request; academic information; recommendations and approval of school district; and related correspondence and documentation. Minimum retention: Until student reaches age 21 or graduates, whichever is longer.

(12) **Educational Programs Student Records** Records document the placement and participation of students in educational programs which provide a variety of education services to children. Programs may or may not be all or partially funded from federal sources. Educational programs may include but are not limited to Talented and Gifted, Alternative Learning, Early Childhood, Professional Technical Education, School-to-Work, Cooperative Work Experience, and Distance Learning. Records may include but are not limited to background information, grade placement, instructional and cumulative service, student profile forms, placement evaluation forms, and related correspondence and documentation. Minimum retention: (a) Records that show compliance with all federal program requirements: 5 years after school year in which records were created (b) Other records: 3 years after school year in which records were created.

(13) **Grade Records** Records document student progress and grades awarded by teachers, and serve as the basis for the student's official academic record. Records may include test, assignment, paper, and homework scores; and final grades for students. Records may include but are not limited to teacher grade books; grade confirmation reports; grade change records; final grade rosters; and related documentation. SEE ALSO Report Cards in this section. Minimum retention: 6 years after school year in which records were created.

(14) **Grade Reports, Administrative Records** document grades received by students in a variety of reports organized by school, class, special program, or other grouping which are used by staff and faculty. Records may include but are not limited to administrative reports, counselors' reports, teachers' reports, grade point average reports, failure reports, honor roll reports, supplemental grade reports, class lists, and other manual or computer produced reports. Minimum retention: 3 years after school year in which records were created.

(15) **Grievance Records** Records document grievances or complaints brought forward by students against the school, district, or ESD concerning student conduct and violations of student rights and responsibilities. Records may include but are not limited to notices of grievance; written description of the complaint; informal discussion notes; formal hearing notes (including audio tapes); summary of interviews with witnesses; final summary statements; resolution of grievance; appeals documentation; and related documentation and correspondence. Minimum retention: 3 years after resolution.

(16) **Education Counseling Records** Records document the advice, assistance, evaluation, and educational planning provided



for individual students by school guidance counselors. Records may include but are not limited to school performance and attitude; educational planning records; post-high school plans and career goals; college and scholarship applications records; letters of recommendation; list of honors and activities; information necessary for referral to social service agencies; correspondence; and related documentation. Minimum retention: 3 years after school year in which records were created.

(17) **High School Dual Program Student Records** Records document student participation in programs between community colleges and high schools which offer professional, technical, and other college courses to high school students for college credit. Records may include but are not limited to program approval records; application forms; course descriptions; examinations; competency evaluations and profiles; transmittal forms; registration forms; and related documentation and correspondence. Minimum retention: 3 years after school year in which records were created.

(18) **Home Schooling Records** Records document the basic educational career of a student being educated in a home school program. Records may include but are not limited to notification form or letter of intent to educate student at home; testing information; test results; census reports to the Oregon Department of Education; non-compliance notices; and related correspondence and documentation. SEE ALSO Oregon Student Record in this section. Minimum retention: 75 years after school year in which records were created.

(19) **Inter-District Transfer Agreement Records** Records document the application process for allowing a non-resident student to attend school out of district through an inter-district transfer agreement. Records may include but are not limited to procedures, administrative guidelines, inter-district transfer agreements, certificates of residency, and related correspondence and documentation. Minimum retention: 6 years after expiration.

(20) **Intervention Programs Student Records** Records document the assessment of students considered for referral to district-approved supplemental intervention programs and to determine appropriate follow-up actions. Programs may or may not be all or partially funded from federal sources. Programs may include but are not limited to Teen Parent, Alcohol and Drug Prevention, and Violence Prevention and Intervention. Records may include but are not limited to referrals, reports by assessment providers, consent forms, treatment and other reports, program class and support group attendance records, behavioral/discipline records, and related documentation and correspondence. Minimum retention: (a) Retain records that show compliance with all federal program requirements: 5 years after school year in which records were created (b) Retain all other records: 3 years after school year in which records were created.

(21) **Non-Resident Student Records** Records document attendance of non-resident students attending district-financed programs; non-resident dependent children; and other non-resident students for whom the district does not pay tuition. Records are used to report attendance to the Oregon Department of Education and to document reimbursement claims from the Oregon Basic School Support Fund. Records may include but are not limited to attendance reports; basic school support fund reports; and related documentation. Minimum retention: 3 years after school year in which records were created.

(22) **Parent-Teacher Conference Records** Records document a teacher's report to parents or guardians of student's progress prior to end of grading period and may indicate problem areas or areas in which student is excelling. Minimum retention: 3 years after school year in which records were created.

(23) **Parental/Custodial Delegation Records** Records document who has parental or custodial responsibility for a student. Records may include but are not limited to specification of rights or abridgment of rights for non-custodial parents; restraining orders and other court documents; informal documents signed by natural parent(s); and related correspondence and documentation. Minimum retention: Until student reaches age 21 or graduates, whichever is longer.

(24) **Personal/Locker Search Records** Records document searches of a student or student's locker. Records include student name, what was searched, when, what was found, and what report was made. Minimum retention: 3 years after school year in which records were created.

(25) **Psychological Guidance and Counseling Records** Records document student psychological health care responsibilities and activities performed by school or district health professionals or non-health staff. Records that are made or maintained separately and solely by a licensed health care professional who is not employed by the educational agency or institution, and are not used for education purposes of planning, are excluded from educational record provisions. See Oregon Department of Education student health record policies for further clarification. Minimum retention: Until student turns 21 or 5 years after last action.

(26) **Registration Records** Records document registration or enrollment of students in elementary, middle, and high school. Records may include but are not limited to enrollment applications registration forms completed annually by the parent or guardian for each student at the time of admittance to school. Information contained in the records generally include student name, address, date and place of birth; parent or guardian name and address; student demographic information such as race and language spoken at home; authorization for school to act in behalf of parent or guardian in case of emergency; class scheduling data; student assignments, such as lockers, counselors, and buses; and related correspondence and documentation. Registration information may be used to create student transcripts, attendance records, and to verify or determine residency status. Minimum retention: (a) Retain completed registrations 3 years after school year in which records were created (b) Retain incomplete/withdrawn registration records 3 years after school year in which records were created.

(27) **Report Cards Records** document the periodic report by a school about a student's social, emotional, and physical progress. Information includes but is not limited to full legal name of student; teacher's name; name and address of school; indication of attendance during reporting period; grades; and other related information. This information must be recorded on the Oregon Student Record by the beginning of the next school year. SEE ALSO Grade Records and Oregon Student Record in this section. Minimum retention: (a) If information has been recorded on Oregon Student Record: 6 years after school year in which records were created (b) If information has not been recorded on Oregon Student Record: 75 years.

(28) **Special Education Student Records** Records document students participating in special education programs and early intervention special education services. Records may include speech/hearing, academic, motor, occupational and/or physical therapy, vision/hearing, interdisciplinary team, and classroom observation reports; records relating to student behavior including psychological and social work reports; assessments obtained through other agencies; contact sheets; severity rating scales; test result records; physician's statements; parental consent records; educational program meeting records; request for hearing records; eligibility statements; individualized education plans (IEP); individualized family service plans (IFSP); and related correspondence and documentation. Minimum retention: (a) Records documenting speech pathology and physical therapy services: Until student reaches age 21 or 5 years after last seen, whichever is longer (b) ESD copies, if program at district level: Transfer records to home district after end of student participation (c) Readable photocopies of records necessary to document compliance with State and Federal audits retained by the former educational agency or institution when a student transfers out of district: 5 years after end of school year in which original record was created.

(29) **Student Health Records** Records document student health care responsibilities and activities performed by school or district health professionals or non-health staff. These records are maintained by the school nurse or another individual designated by the district to maintain confidential health information. Records may include but are not limited to medication administration

records; records of nursing assessment and nursing care given in the school setting; School Health Management Plans prepared by the nurse for students with special health needs, medical records from outside health care providers and health care agencies; and psychological diagnostic test reports. Health information provided to Special Education for determining eligibility and IEP activity is maintained in the Special Education record and forwarded upon transfer of the student record. School nurse records are medical records subject to issues of confidentiality and exemption from disclosure per ORS 192.496. Health record information is protected and should be treated as other student records. Records that are made or maintained separately and solely by a licensed health care professional who is not employed by the educational agency or institution, and are not used for education purposes of planning, are excluded from educational record provisions. See Oregon Department of Education student health record policies for further clarification. SEE ALSO Student Health Screening Records and Student Immunization Records in this section. Minimum retention: Until student reaches age 21 or graduates, whichever is longer.

(30) **Student Health Screening Records** Records document the health screening status of students and mandated certifications of health. Required health screening records include vision and hearing screening results; Certificate of Immunization Status; and Tuberculosis (TB) Clearance Certificate (if required by law according to the student's birth country). Records may also include but are not limited to communications related to health and safety and directed to the school from the parent/guardian or health care provider regarding the student's attendance, participation, or activities; communications which are directed to the school by health care providers; and documentation of first aid given, and instructions sent to parents/guardians regarding these screening and first aid events. These records are part of the Student Education Record and are transferred if the student transfers to a new district. See Oregon Department of Education student health record policies for further clarification. SEE ALSO Student Health Records and Student Immunization Records in this section. Minimum retention: Until student reaches age 21 or graduates, whichever is longer.

(31) **Student Immunization Records** Records document the immunization status of an individual student. Records include but are not limited to the Certificate of Immunization Status (CIS), which includes student identification information, vaccine history, and medical and religious exemptions, and records tracking susceptible for those students not yet completely immunized. Records must be retained as part of the Student Health Screening Record and are transferred if the student transfers to a new district. SEE ALSO Student Health Screening Records and Student Health Records in this section, and Immunization Records, Administrative in the Administrative Records section. Minimum retention: (a) Retain certificate of Immunization Status (CIS): Until student reaches age 21 or graduates whichever is longer (b) Retain immunization Status Records – Susceptible (Tracking Cards): Until student attendance ends.

(32) **Oregon Student Record** Records document a core set of information about an individual student (including a home-schooled student) and his/her educational career, birth through age 21. Records include name and address of the educational agency or institution; full legal name of the student; student's birth date and place of birth; name of parents/guardians; date of entry into the school; name of school previously attended; subjects taken; marks received; credits earned; attendance; date of withdrawal from school; social security number (as provided on a voluntary basis by parent or eligible student); and such additional information as the educational agency or institution may prescribe. Minimum retention: (a) Retain original: 75 years (b) Retain readable photocopy retained by the former educational agency or institution when a student transfers out of district: 1 year.

(33) **Transfer Application Records** Records document the authorization for transfer of students between schools within the district. Records may include but are not limited to applications for transfer which generally contain name and grade of student; reasons for transfer request; name of present school; name of

school to which transfer is requested; authorizing signatures; and related correspondence and documentation. Minimum retention: 3 years after school year in which records were created.

(34) **Truancy Records** Records document non-attendance or truancy of students in elementary, middle, or high schools. Records may include but are not limited to notices of non-attendance or truancy; staff reports; investigations; hearing records; suspension notifications; and related correspondence and documentation. Minimum retention: 3 years after school year in which records were created.

(35) **Tutoring Records** Records document tutoring services provided to students. Records may include but are not limited to registration records, tutor training records, tutor personnel records, tutor class records, tutorial hours, and related documentation. Minimum retention: 3 years after school year in which records were created.

(36) **Withdrawal Records** Records document withdrawal from school by students between the ages of sixteen and eighteen by the mutual consent of parent or guardian and the school administration. Records may include but are not limited to withdrawal agreements which generally contain name and address of student and family; reason for request; student agreement not to loiter on school premises; agreement by staff to assist student with educational planning; and related correspondence and documentation. Records may also include withdrawal slips which assess student status at time of withdrawal and may include assessment of fees paid or refunded; status of textbooks, library materials, locks, and other materials used by the student; grades; attendance; and related documentation. Minimum retention: 3 years after school year in which records were created.

Stat. Auth.: ORS 192 & 357, Other Auth. Code of Federal Regulations Title 34  
Stats. Implemented: ORS 192 & 357  
Hist.: OSA 6-1997, f. & cert. ef. 4-22-97; Renumbered from 166-414-0010,  
OSA 1-2006, f. & cert. ef. 4-17-06; OSA 2-2006, f. & cert. ef. 7-26-06; OSA 3-  
2009, f. & cert. ef. 6-24-09; OSA 1-2010, f. & cert. ef. 5-27-10

## 166-400-0065

### Transportation Records

**NOTE:** Inclusion of a records series in this schedule does not require the series be created. If a record is created electronically, it can be retained in electronic format only if the retention period is 99 years or less.

(1) **Bus Driver Records** Records document the status and conditions of employment of school bus drivers. Records may include but are not limited to lists of drivers; driving permit and license information; first aid certification; driver training records, examinations, and skill evaluations; change of employment status records; and related correspondence and documentation. Records may also contain copies of physical examinations, accident reports, and insurance documentation. Records may supplement the personnel files of the bus driver. SEE ALSO Employee Personnel Records in the Personnel Records section. Minimum retention: 4 years after school year in which records were created

(2) **Bus Incident and Vandalism Reports** Records document reports of vandalism and other incidents occurring on or near school buses. Reports are submitted by the bus drivers and are used to determine action to be taken. Reports consist of a narrative account of the incident; student discipline referral form which notifies schools of disciplinary problems; and related documentation. Student behavioral records may be transferred to the student's education record. Minimum retention: 1 year after school year in which records were created

(3) **Bus Schedule and Route Records** Records document the process of establishing and monitoring bus routes and schedules. Records may include but are not limited to bus route reports providing stop to stop directions for bus drivers; driver input forms detailing changes in stop times, students dropped, safety problems, and other changes to the bus schedule; surveys of alternative routes to be used during inclement weather; reports listing stops and stop times; tiering reports which include bus lines and routes, first and last scheduled stops, and start and finish times for each route; transportation logs; and related documentation. Minimum retention: (a) Retain annual bus route reports: 5 years after school year in

which records were created (b) Retain all other records: 1 year after school year in which records were created

(4) **Bus Service Records** Records document the school bus service provided by the school district. Records may include but are not limited to dispatch files containing correspondence, reports, daily transportation forms, driver input forms, bus stop deactivation notices, bus schedule change notices, and similar documentation; release statements by parents of special education students releasing the district from responsibility for students left unattended at a bus stop; requests for school bus service for students normally ineligible for service; quarterly reports on student transportation operations including information on vehicle utilization, student loads, and vehicle distribution; transportation requirement forms requesting changes in transportation services provided by contractors or district fleet; and related documentation and correspondence. Minimum retention: (a) Retain quarterly reports: 10 years after school year in which records were created (b) Retain release forms: 3 years after school year in which records were created (c) Retain all other records: 1 year after school year in which records were created

(5) **Fuel Records** Records documenting the amount of gasoline, diesel, and oil used by agency-owned vehicles. Often includes logs, reports, and related documents. Minimum retention: 2 years

(6) **Transportation Complaint Reports** Records document complaints relating to students, drivers, schedules, or other school bus transportation problems. Records may include but are not limited to complaint forms, correspondence, and related documentation, and the district's response. Minimum retention: 3 years after school year in which complaint resolved

(7) **Transportation Safety Records** Records document safety hazards and safe routes and monitor student safety when taking school transportation. Records may include but are not limited to safety check records which detail pedestrian routes taken by student to and from school and identify number of traffic lanes, posted speeds, and types of crossings; safe stop reports which identify bus stops with safety hazards; railroad crossing reports which consist of annual reports to the Oregon Public Utility Commission which list location of railroad track crossings on school bus routes, name of railroad, and names of intersecting streets; and related documentation. Minimum retention: (a) Retain hazard reports: 1 year after school year in which hazard eliminated (b) Retain all other records: 1 year after school year in which records were created.

(8) **Vehicle Maintenance Records** Records document the maintenance of school buses and other vehicles owned by the school, district, or ESD. Records may include but are not limited to maintenance agreements; annual and semiannual inspection and certification reports; preventive maintenance inspection reports; specified routine maintenance information; reports on expenditures and costs of repairs; new bus check lists; bus breakdown records; repair notices and orders; operations reports listing gas and oil consumption, mileage, and cost of gas, oil, and maintenance; and related documentation. Minimum retention: (a) Retain annual reports: 5 years after school year in which records were created (b) Retain all other records: 3 years after disposal of vehicle.

(9) **Vehicle Records** Records document school, district, or ESD ownership and administration of vehicles such as cars, vans, trucks, and buses. Records may include but are not limited to title application materials; titles; registrations; vehicle warranties, vehicle inventories, and related documentation and correspondence. Minimum retention: (a) Retain title application materials: Until title received (b) Retain titles: Until vehicle disposed of (c) Retain all other records: 3 years after disposal of vehicle.

(10) **Vehicle Usage Records** Records document the use of school, district, or ESD owned vehicles such as cars, trucks, vans, or buses. Records may include but are not limited to scheduling records; transportation request forms; list of vehicles with vehicle number and description; mileage; billing documentation and worksheets; billing reports; and related documentation and correspondence. Minimum retention: 3 years.

Stat. Auth.: ORS 192 & 357, Other Auth. Code of Federal Regulations Title 34

Stats. Implemented: ORS 192 & 357

Hist.: OSA 6-1997, f. & cert. ef. 4-22-97; Renumbered from 166-415-0010, OSA 1-2006, f. & cert. ef. 4-17-06

## DIVISION 450

### COMMUNITY COLLEGES

#### 166-450-0000

##### Community Colleges

This General Schedule prescribes minimum retention periods for public records created and maintained by the community colleges. Retention periods apply to the official copy of all public records, regardless of medium or physical format, created or stored by the above specified agencies. Please note the exceptions to this General Schedule listed in OAR 166-030-0027 before disposing of records.

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 3-1998, f. 8-4-98, cert. ef. 8-5-98

#### 166-450-0005

##### Administrative Records

The General Schedule is applicable to the administrative records of community colleges. Retention periods apply to the official copy of all public records, regardless of medium or physical format, created or stored by the above specified agencies. Please note the exceptions to this General Schedule listed in OAR 166-030-0027 before disposing of records.

(1) **Accreditation Records, Institutional:** Records document the institutional accreditation process by the President's Office, project coordinator and college departments. The records document the information compiled for inclusion in the college's self-study and other reports provided to the evaluators as well as the response of evaluators. Records may include but are not limited to institutional data sheets, annual reports, working papers, resource notebooks, college self-study, interim and final evaluation reports, progress reports and responses by the college, and related correspondence and documentation. (Minimum retention: Self-study and final evaluation report: permanent; Other records: until accreditation completed).

(2) **Administrative Records, General:** Records document internal administration or housekeeping activities of the individual office, regardless of format. In general, these records related to the office organization, staffing, procedures, systems, and communications. These records do not serve as unique documentation of the programs or functions which caused the office to be created. Records may include but are not limited to documentation of day-to-day administration and training of office personnel; supplies, and office services; the use of office space, equipment and utilities; unit activity relating to specific and defined short-term office projects; and correspondence. *Information recorded in a personal day planner or personal electronic device may be a public record under ORS Chapter 192.* (Minimum retention: one year).

(3) **Administrative Records, Program:** Records document the daily activities and routine business of academic, service, support, and other programs developed and administered by the office department. The records are used to develop and administer programs and to communicate with other divisions, departments, and programs; other community colleges; state and federal governments; outside business and organizations; and faculty and students. Records may include but are not limited to correspondence and memoranda; reports, surveys, and policy statements, task assignments; discussion outlines and summaries; planning documents; working papers; informal and working files on student progress and administration; staff meeting records including minutes and agendas; and related correspondence. (Minimum retention: five years).

(4) **Advisory Committee Records:** Records document the activities of advisory committees which provide advice and assistance regarding professional-technical and other programs. Advisory committee members are generally selected from the community



and appointed by the college's Board of Education. The committees are designed to improve the quality and impact of instructional programs and to ensure that the skills taught are current with those in business, industry, and government. Records may include but are not limited to meeting minutes; agendas; reports; notes; working papers; transcriptions; and correspondence. (Minimum retention: Resource notebooks and working files: until superseded; Other records: three years).

(5) **Association and Organization Membership Records:** Records document the relationship and participation of college units with professional, educational, and civic associations and organizations. The college's role may be one of membership on an advisory or administrative board or participation in a task force or subcommittee. Records may include but are not limited to promotional information; rules and regulations; reports; newsletters; proposals and planning records; workshop and conference records; surveys and questionnaires; minutes and agendas; and related documentation and correspondence. This series refers to records that document the direct involvement of the college or its representative in an organization; it does not include individual staff or faculty membership records. (Minimum retention: five years).

(6) **Budget Committee Records:** Records document the process by which the college's budget is adopted by the Board of Education. Budget Committee assists the Board of Education in analyzing the administration's annual budget proposal and is composed of the seven elected members of the Board of Education, seven appointed budget committee members from each of the geographical zones in the college district, and ex-officio members representing the college administration. The Budget Committee bases its discussions on the Budget Book, which is a compilation of budgets from each of the college areas prepared by the budget officer. Public hearings on the budget are held at one of the regularly scheduled Board of Education meetings. Records include but are not limited to committee agendas and minutes; the Budget Book; recommendations from the budget officer; records of the public hearings; committee recommendations; committee membership applications; and correspondence. SEE ALSO: Budget Records in the Financial and Accounting section. (Minimum retention: Minutes, recommendations, and budget books: 20 years; Other records: two years).

(7) **College Committee Records:** Records document the activities of standing and ad hoc college committees and councils made up of members from a variety of units within the college. The committees are charged with formulating and recommending institutional policies and procedures: establishing standards and requirements; performing an advisory function; reviewing petitions, appeals, and deviations from policy; facilitating communication; or finding solutions to specific problems, barriers, or challenges. Types of committees include administrative, standing, review, advisory, steering, activities, and planning committees, councils, and task forces. Records include but are not limited to agendas; meeting minutes or notes; reports; working papers; appointment, biographical, and other information about committee members; and correspondence. SEE ALSO: Advisory Committee Records, this section. (Minimum retention: five years).

(8) **College History Files:** Records document significant events in the college or departments past. Records may include records on the formation and naming of the college; lists or descriptions of landmarks or significant college events; college histories; progress and planning reports; biographies and records of past presidents, administrators, faculty, or staff; and newsletters or other publications. Records may include but are not limited to reports; published and unpublished historical sketches; scrapbooks; ephemera; photographs; press releases; newspaper clippings; publications; list of awards received by the college; and correspondence. (Minimum retention: Permanent).

(9) **Copyright Records:** Records document application and permission to reproduce, distribute, adapt, perform, or display copyrighted material of all kinds for academic and other purposes. Approval may be for a single use, unlimited use, permission to reproduce a specified number of copies, permission for a specific date or date span, permission to use for a defined purpose or audi-

ence, or other conditions. Records may include application and approval forms; correspondence and copies of subject material -- paper and other media. (Minimum retention: five years after expiration of copyright).

(10) **Correspondence Records** that: 1. document communications created or received by a community college AND 2. directly relate to a community college program or community college administration AND 3. are not otherwise specified in the General Records Retention Schedule for Community Colleges (OAR 166 Division 450) 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. Communications not meeting the above criteria do not need to be filed and should be retained as needed).

(11) **Election Records:** Records document the process whereby tax levy, bond measures, and other issues receive voter approval. Records may include but are not limited to certified copies of election results; ballot title and wording records; county election filing forms; precinct maps; election tax levy history; election cost records; promotion and advertising records; and correspondence. SEE ALSO: Bond Records, Financial in the Financial and Accounting Records section. (Minimum retention: Clerk certified election results: five years; Election results and ballot title: Permanent).

(12) **Full-Time Equivalency Records:** This series document the numbers of students enrolled in the college in terms of full-time equivalency (FTE). The reports are used for internal statistical information and analysis and to generate reports to the federal and state governments. Reports are generated from the student academic records database and track the FTE in various departments, programs, or courses. SEE ALSO: Institutional Research and Reporting Records section, and Course Enrollment Summaries in Curriculum and Instruction Records section. (Minimum retention: 10 years).

(13) **Governing Board Records:** Records document the functions and policies of the Board of Education, Board of Directors, or other similarly named governing body of the college. The Board of Education has primary authority for establishing policies governing the operation of the college and adopting the college's annual budget. The board is composed of elected members from designated geographical zones in the college district. Records include but are not limited to original meeting minutes; oaths of office; resolutions; policies adopted, reauthorized, or disapproved; certificates of election; audio recording of meeting proceedings; and correspondence. The records may also include a booklet or package of information prepared before the board meetings. The packet may include the meeting agenda; minutes; background information about agenda items; reports; action items; and other information items. Resolutions concerning financial policies and activities may become a part of the Budget Document. SEE ALSO: Budget Planning and Preparation Records section. (Minimum retention: Official copies of minutes, agendas, oaths, resolutions, policies, and election certificates: Permanent; Audio recordings: Until transcribed or summarized in minutes; Other records: five years).

(14) **Grant Records, Administrative:** Records document the application, evaluation, awarding, administration, monitoring, and status of grants in which the college or department is the recipient, grantor, allocator, or administrator. Grants may come from local or state governments or foundation and other private funding sources. Records may include but are not limited to applications including project proposals, summaries, objectives, activities, budgets, exhibits, and award notification; grant evaluation records and recommendations concerning grant application; records of administration of grants including equipment purchasing and disposition of records; contract; records monitoring project plans and measuring achievement; and reports to the funding agency on the use of their grant funds. SEE ALSO: Grant Records, Financial in Financial and Accounting Records Section. (Minimum retention: Contracts or agreements documenting building construction, alterations, or

repair: retain 10 years after substantial completion; Other contracts: six years after expiration; Final grant product or report: Permanent; Unsuccessful grant applications: one year; Fixed assets' records: two years after disposition of assets; All other records: five years after final or annual expenditure report accepted).

(15) **Institutional Planning Records:** Records document the development of short-term or long-term plans for the institution and other special projects related to the organizational development of the college. Records may include but are not limited to instructions from the president or other administrator explaining the nature and purpose of the requested strategic planning effort; internal planning committee materials; statements of objectives, missions and goals; proposals; strategic planning reports activity reports; and correspondence. (Minimum Retention: Final reports: 20 Years; Other records: five years).

(16) **Legal Case Files:** Records document the management and monitoring of legal cases involving the college. Records include investigatory material; complaints; work notes; police reports; subpoenas; requests for hearing; requests for judicial review; motions; pleadings; briefs; transcripts; petitions; court orders; notices of appeal; depositions; exhibits; and correspondence. *Portions may be exempt from public disclosure during specific periods of the case per ORS 192.501(1), 192.502(2).* (Minimum retention: five years after closed.)

(17) **Organization Charts:** Records show the lines of administrative responsibility within the college. Records consist of final organization charts. (Minimum retention: Until superseded).

(18) **Policy and Procedure Manuals:** Records document and distribute college policies and procedures approved by the board. The records include policy and procedure manuals and related guidelines on personnel, purchasing, and board grievance procedures. (Minimum retention: five years after superseded).

(19) **Professional Development and Awards Records:** Records document programs that encourage participation in professional activities, recognize excellence in college staff and faculty, and provide opportunities for career advancement. Series may include professional development records which support travel to make presentations at professional meetings, participation in professional organizations or activities, or attendance at conferences; awards which recognize teaching skills; and visiting scholar programs which allow college faculty to teach at foreign host campuses. Records may include but are not limited to applications; review and approve documentation; lists of participants or recipients; arrangements and schedules; publicity and news clippings; presentation transcripts or published works; activities documentation; correspondence; and related documentation. (Minimum retention: three years).

(20) **Records Management and Archives Program:** Records document college's records management program — the inventory, retention scheduling, storage, and disposition of non-permanent records. Also documents the college's archives program; appraising, acquiring, describing, processing, retrieval, and disposition of permanent records. The records may include records of inventories; authorizations; accession registers; finding aids; reference and research records; statistical reports; and correspondence. May also include records management manuals or handbooks. (Minimum retention: Accession register and records disposition records: Permanent; Other records: Until superseded).

(21) **Signature Authorization Records:** Records certify that designated college employees are authorized to sign fiscal and contractual documents. (Minimum retention: six years after authorization expires).

(22) **Volunteer Program Records:** Records document the activities and administration of the college's volunteer program. The records may include applications; skill test results; training records; task assignment and monitoring records; volunteer lists; work schedules; insurance information; publicity records; statistical reports; and correspondence. (Minimum retention: five years).

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 3-1998, f. 8-4-98, cert. ef. 8-5-98; OSA 3-2012, f. & cert. ef. 10-29-12

## 166-450-0010

### Bookstore Records

(1) The General Schedule is applicable to the bookstore records of community colleges. Retention periods apply to the official copy of all public records, regardless of medium or physical format, created or stored by the above specified agencies. Please note the exceptions to this General Schedule listed in OAR 166-030-0027 before disposing of records.

(2) **Bookstore Operation Records:** Records document the operation of college bookstores. Records include but are not limited to book order forms; instructor's copy orders; consignments or purchases of books by outreach campuses from the main campus bookstore; transfers of book orders from one outreach campus to another; sponsored student account records; daily cash reconciliation and deposit records; and related documentation. (Minimum retention: two years).

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 3-1998, f. 8-4-98, cert. ef. 8-5-98

## 166-450-0015

### Child Care Records

The General Schedule is applicable to the child care records of community colleges. Retention periods apply to the official copy of all public records, regardless of medium or physical format, created or stored by the above specified agencies. Please note the exceptions to this General Schedule listed in OAR 166-030-0027 before disposing of records.

(1) **Child Abuse Report Records:** Records document suspected child abuse at college child care centers. Records may include but are not limited to a narrative account of the incident; notes and working files; observations of the child; a record of phone call to the State Office of Services to Children and Families or law enforcement agency; and related documentation. Also includes records verifying staff training in child abuse recognition. *Information may be exempt from public disclosure per ORS 192.501(1), (3), (13). ORS 192.502(2). OAR 414-300-0060(2).* (Minimum retention: one year after reported).

(2) **Child Care Accident Reports:** Records document injury or accident to children at college child care centers. Records may include but are not limited to an accident form reporting the child's name, nature of the injury, teacher, witness, date, time, and place of accident; description of accident; action taken or care given; comments; signatures of reporting staff and parent(s); record of transportation to doctor or hospital; and related documentation. (Minimum retention: one year).

(3) **Child Care Billing Records:** Records document the billing and payment for services provided by college child care centers. Records may include but are not limited to billing records which compute the fees assessed and record the amount due; adjustment memos which document changes in the amount due; and related documentation. SEE ALSO: Accounts Receivable Records in Financial and Accounting Records Section. (Minimum retention: three years).

(4) **Child Care Daily Attendance Records:** Records document the daily attendance of children at college child care centers. Records may include but are not limited to a sign-in sheet with the date, name of child, and times of arrival and departure. (Minimum retention: one year).

(5) **Child Care Facility License Records:** Records document the annual licensing of college child care facilities by the Employment Department, Child Care Division. Records may include but are not limited to sanitation inspection reports; fire safety reports; fire and other emergency drill records; staff development and training records; staff criminal history checks; staff first aid cards; staff orientation records; official license; Child Care Division inspection and certification; and correspondence. (Minimum retention: five years).

(6) **Child Care Food Program Records:** Records document the administration of the Child and Adult Care Food Program which provides meals and snacks to children at college care centers. Application is made annually to this U.S. Department of

Agriculture program. Records may include but are not limited to monthly reimbursement claims which document the number of days of food service, production records, weekly menus, and attendance forms; Child and Adult Care Food Program Confidential Income Statement which documents the names, birth dates, and ethnicity of the children and the monthly income of the child's household; enrollment roster; and related documentation. (Minimum retention: five years).

(7) **Children's Case Files:** Records document a child's enrollment/admission and attendance at a college child care center. Records may include but are not limited to applications for admission; emergency notification forms; authorization to administer medications; permission to obtain emergency medical treatment and to call an ambulance; approval to participate in field trips or swimming; communications from parents; immunization records; and correspondence. May also, but do not necessarily, include assessments for learning disabilities or counseling; release forms; vision, speech, and hearing screenings, and records about special needs children. *Portions may be exempt from public disclosure per ORS 192.502(2).* (Minimum retention: one year after last attendance).

(8) **Immunization Records, Student Workers:** Records verify that student workers in the child care center have measles protection and other required immunizations. Immunization verification is required for certain college students involved in health related programs, education or child care programs, other work experience programs, and intercollegiate athletics. The Certificate of Immunization Status forms include student identification information; vaccine history; and religious or medical exemptions. Immunization verification may also be required for hepatitis and other blood borne pathogens. (Minimum retention: one year).

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 3-1998, f. 8-4-98, cert. ef. 8-5-98

## 166-450-0020

### Contracts and Agreements

The General Schedule is applicable to the contracts and agreements of community colleges. Retention periods apply to the official copy of all public records, regardless of medium or physical format, created or stored by the above specified agencies. Please note the exceptions to this General Schedule listed in OAR 166-030-0027 before disposing of records.

(1) **Bid and Award Records:** Records document the procurement process including advertising, evaluation and award of bids to vendors or agencies and provide evidence of accepted and rejected bids for services and products. Records may include but are not limited to bid and quote lists; notices of bid opening and award; comparison summaries; spreadsheets; tabulation worksheets; bid advertising records such as requests for information (RFI's) and request for proposals (RFP's); tally sheets; bid specifications; requests for qualifications (RFQs); invitations to bid (ITBs); records of accepted and rejected bids; selection of agents of record records; and correspondence. SEE ALSO: Purchasing Records. (Minimum retention: Accepted agency improvement bids: 10 years after substantial completion; Other accepted bids: six years after bid awarded or canceled; Rejected bids or bid exemptions: two years after bid awarded or canceled).

(2) **Contracts and Agreements:** Records document the negotiation, execution, completion, and termination of legal agreements, and the purchase and sale of land and buildings between the college and other parties. Records include the official contract or agreement; amendments; exhibits; addenda; facilities scheduling; lease agreements; title insurance policies and forms; legal records; contract review records; instructional services agreements; prevailing wage reports and other documentation furnished by the Bureau of Labor and Industry; and correspondence. (Minimum retention: Contracts or agreements documenting building construction, alterations, or repair: 10 years after substantial completion; Other contracts and agreements: six years after expiration).

(3) **Instructional Agreements and Records:** Records document the participation of the college in a variety of educational

courses and programs. Records may document the contract or agreements as well as the administrative activities and student records concerned with these programs. Types of agreements may include Articulation Agreements with high schools (2+2, Step Ahead, Alternative Education, GED/ELS, and High School Services), other community colleges, and four year institutions; Instructional Services Agreements which document agreements between college and other entities, including the state government, for educational services; and Short-Term Contracted Training Records which document non-degree, non-credit, short-term classes that enable persons in business, government, industry, or the general public to learn new skills or update existing skills. Records may include but are not limited to contracts or agreements; registration records; class lists; payment records; flyers; course and credit records; transcripts; working files; reports; correspondence; and related documentation. (Minimum retention: Working papers: Until contract finalized; Other records: six years after expiration).

(4) **Personal Service Contracts:** Records document contractual agreements made by the college with individuals or firms for service rendered. Records may include but are not limited to contracts; addenda; exhibits; justification statements; proposals; contractor selection statements; expense records and correspondence. (Minimum retention: six years after expiration).

(5) **Software Licensing Agreements:** Records document computer software licensing agreements. Records may include but are not limited to licensing agreements for word processing, database managing, and other software programs used in offices and classrooms. The contracts may include but are not limited to name of the software; ISBN number; name of the publisher; licensee name, title, department, and office location; institution name and address; authorized signature; and related documentation. Records may also include statistical reports on the number of students using the licensed programs and the number of hours in use. [SEE: Software Management Records in Information Management Records section.] (Minimum retention: six years after expiration).

(6) **Title and Deed Records:** Records document the real property acquired or sold by the college. The records may include but are not limited to purchase agreements; title abstracts; easement details; public hearing notices and minutes; county recorder's plat descriptions; memoranda of understanding; earnest money receipts; sales agreements; property deeds; working papers; and correspondence. (Minimum retention: Permanent).

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 3-1998, f. 8-4-98, cert. ef. 8-5-98; OSA 3-2012, f. & cert. ef. 10-29-12

## 166-450-0025

### Curriculum and Instruction Records

The General Schedule is applicable to the curriculum and instruction records of community colleges. Retention periods apply to the official copy of all public records, regardless of medium or physical format, created or stored by the above specified agencies. Please note the exceptions to this General Schedule listed in OAR 166-030-0027 before disposing of records.

(1) **Academic Calendar Records:** Records document dates and deadlines of significance to faculty, staff, and students. Calendars are produced quarterly and annually and include but are not limited to dates and deadlines for the academic term, registration, final examinations, holidays and breaks, personnel matters, reports, and related events. SEE ALSO: Publications in Publications and Promotional Records. (Minimum retention: three years).

(2) **Accreditation Records, Professional Programs:** Records document the accreditation process for the departments, units, and related programs such as nursing, medical assisting, dental assisting, and EMT programs. Records provide documentation of the materials compiled for inclusion in a report packet sent to the appropriate professional accreditation board of the specific program or service and usually includes the statements on mission, finance, educational programs and departments/divisions make up. Most accreditation organizations produce an evaluation report based on the packet and on-site inspection which is used to determine the



accreditation for the units and their programs. Records may include but are not limited to self-study reports; final reports; statistical data; working papers; accreditation organization evaluation report; and related documentation and correspondence. (Minimum retention: Self-study and final accreditation report: Permanent; Other records: Until accreditation complete).

(3) **Class Lists:** Records provide instructional units with an official record of students enrolled in courses taught. Records are used to track enrollment, registration, and attendance. Information in the series may include but is not limited to student name and social security number; academic term; course name; enrollment and registration status; payment status; handwritten instructor notes and comments; and related documentation. (Minimum retention: one year).

(4) **Class Scheduling Records:** Records document the final draft of the schedule of classes booklet. Information includes registration instructions, list of classes, date and time held, and instructor. (Minimum retention: 10 years).

(5) **College Catalog Records:** Records provide a record of institutional policies and procedures, program requirements, and course offerings. Information in the individual catalogues includes academic policies and procedures, program names and descriptions, alphanumeric course designations, credits offered per course, and related program and course information. Records may include but are not limited to published copies of catalogues including the general catalogue; drafts of catalogues; preparation and working papers; and related documentation and correspondence. SEE ALSO: Publications. (Minimum retention: Published catalog: Permanent; Other records: one year after catalog published).

(6) **Corrections Program Records:** Records document the services and programs offered by the college at correctional institutions. Records may include but are not limited to training records which inform the faculty about special rules and regulations concerned with teaching in a correctional facility; computer and software records which document the purchase and use of computers and software by the college and kept in the institutions; textbook inventories of books purchased by the college for use by students in the institutions; and related documentation and correspondence. (Minimum retention: Computer hardware and software records: one year after disposal of equipment; Other records: five years).

(7) **Course Enrollment Summaries:** Records document the enrollment in courses during each academic term. Records include information concerning the organizational unit; course identification number; course sequence number; instructor's name; course title; course section; lecture or lab designation; time and location of course; maximum seat count; number of students actually registered for the course; and related documentation. Enrollment summaries may be produced at the fourth week and at the end of the term. SEE ALSO: Full-time Equivalency Records in Administrative Records section. (Minimum retention: five years).

(8) **Course Lists:** Records provide a record of all existing courses. Records consist of a computer document which includes but is not limited to course identification number; course title; number of credits (lecture, lab, and total); number of contact hours or work load; number of weeks in term; tuition and fees; funding formula code; organizational unit; classification of instructional programs (C.I.P. number) interest area or topic in quarterly schedule; prerequisites; pay level and related information. (Minimum retention: five years).

(9) **Course Outline Records:** Records document the content of credit and non-credit courses offered on- and off-campus by academic departments. Records include the course outlines and the working files of the department used to create the course outline and to receive approval from the Curriculum Coordinator. The course outlines include but are not limited to the course title; course identification number; number of instructional hours and credits; prerequisites; required text(s); course description; performance based learner outcomes; and an outline of the course content. The working files may also include copies of applications for course approval; and related documentation and correspondence. (Minimum retention: five years after superseded).

(10) **Course Syllabus Records:** Records document the agreement between the student and the instructor which communicated the expectations of the instructor and the goals of the course. Records may include but are not limited to the course title and number; instructor name and phone number; class meeting times and location; instructor office location and office hours; course description performance-based learner outcomes; required text-book(s); outline of topics and/or assignments; grading procedures; testing information; and additional references or recommended readings. (Minimum retention: three years after superseded).

(11) **Curriculum Development Funds Records:** Records document the application and approval process of providing funds for faculty to develop or revise program curriculum in a course, to revise complete programs, or to update curriculum strategies and instruction. Records include but are not limited to applications and supporting documentation; review and approval documentation; summary list of recipients; report or other product of curriculum development project; and related correspondence and documentation. (Minimum retention: three years).

(12) **High School Dual Enrollment Program Participation Records:** Records document the approval of programs offered by community colleges to local high schools, including but not limited to alternative education, GED and high school completing, English-as-a-Second-Language, college technical and transfer level courses, and career development activities for credit. Records may include but are not limited to contracts and agreements and related documentation. SEE ALSO: Academic Records in Student Records Section. (Minimum retention: Contracts and agreements: six years after expiration; Other records: five years).

(13) **New and Revised Certificate and Degree Program Development Records:** Records document the planning and development of new academic programs and contains the records of short-term training programs as well as one- and two-year programs that have been approved. Information in the records include the program title, length of program, description of program, form of recognition, admission requirements, student recruitment efforts, curriculum, budgetary impact analysis, and related documentation. Records also contain working papers and the program application which may include projected employment, labor market analysis, and information about career opportunities for students who complete the program; business and industry partnership programs; feasibility survey; needs survey; projected enrollment and completion rates; SCANS (Secretary's Commission on Achieving Necessary Skills) Competencies Matrix; and instructor qualifications. The program development records are sent to the Oregon Department of Education for approval of new programs and options. Impact statements concerning the new program are sent to all colleges and universities in the state for comment. SEE ALSO: Course Outline Records this section. (Minimum retention: Working papers: one year; Other records: 10 years).

(14) **Program Student Handbooks:** Records document the requirements, policies, and offerings of specific instructional units for use by current or potential students. Records may contain information or policies on fields of study; faculty; and academic requirements. Handbooks may be issued for programs such as automotive, emergency medical technician, nursing, fire science, humanities, office administration and technology, human resources, construction skills training, and dental assisting. (Minimum retention: one year).

(15) **Small Business Development Center Statistical Reports:** Records document statistical reports prepared by the small business development center which provides training and counseling to persons in business or to those who want to learn how to run a business. Reports contain data on number of new and ongoing clients served, number of businesses counseled, and use of reference library. (Minimum retention: 10 years).

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 3-1998, f. 8-4-98, cert. ef. 8-5-98

**166-450-0030****Distance Education/Learning Records**

The General Schedule is applicable to the distance education/learning records of community colleges. Retention periods apply to the official copy of all public records, regardless of medium or physical format, created or stored by the above specified agencies. Please note the exceptions to this General Schedule listed in OAR 166-030-0027 before disposing of records.

(1) **Distance Education Records:** These records are used to facilitate the production and presentation of courses by mail, television, video tape, computer modem, Ed-net, on-line media, and other electronic means. The tell-courses may be conducted by college instructors or produced, leased, and licensed by others via satellite or other means of transmission or broadcast. The records may include but are not limited to course lists; teachers' lists; marketing records; evaluations and surveys; annual statistical and narrative reports and summaries about enrollment, growth, and trends in distance education; license agreements concerning the acquisition of the material and the services provided by vendors such as wireless cable operators; and correspondence. License agreements contain vendors' terms of use, copyright provisions, and related documentation. (Minimum retention: License agreements: six years after expiration; Other records: five years).

(2) **FCC License Records:** Records document the process of obtaining licenses for television, wireless, radio, and mobile communication frequencies from the Federal Communication Commission (FCC). Records may include but are not limited to applications, correspondence, legal options, license, excess capacity agreements, contract approval records, and related documentation. (Minimum retention: six years after expiration).

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 3-1998, f. 8-4-98, cert. ef. 8-5-98

**166-450-0035****Equipment/Supplies/Property Records**

The General Schedule is applicable to the equipment/supplies/property records of community colleges. Retention periods apply to the official copy of all public records, regardless of medium or physical format, created or stored by the above specified agencies. Please note the exceptions to this General Schedule listed in OAR 166-030-0027 before disposing of records.

(1) **Equipment and Furniture Inventory Records:** Records document the location of college-owned furniture and equipment, and the use and transfer of college-owned property and equipment. Records may include property inventory listings, property disposition requests and notices, equipment transfer memoranda or forms, warranties, and correspondence. (Minimum retention: Inventory listings: Until superseded; Other records: one year).

(2) **Equipment Ownership and Operation Records:** Records provide information on individual pieces of equipment as defined by the state (\$5,000) held by the college and may provide support documentation for warranty, operation, maintenance, service, and repair. Records may include but are not limited to shipping manifests or packing slips; vendor information; instructions and operating manuals; warranties and guarantees; serial numbers of equipment; maintenance agreements or contracts; service call reports; maintenance records; and related documentation and correspondence. (Minimum retention: two years after disposition of property).

(3) **Vehicle Records:** Records document the administration of vehicles such as cars, vans, trucks, trailers, boats, tractors, and farm vehicles for accounting and insurance purposes. Records may include but are not limited to vehicle titles; registrations; vehicle warranties; maintenance agreements; service records and receipts; vehicle inventories containing information regarding description, dollar value, and date of purchase; vehicle usage records; scheduling records; transportation request forms listing the beginning and ending mileage of the vehicle; and related documentation and correspondence. (Minimum retention: Vehicle title: Until vehicle disposed of or transferred to new owner; Registration, warranties,

maintenance agreements, and service records: two years after disposition of vehicle; Other records: one year).

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 3-1998, f. 8-4-98, cert. ef. 8-5-98

**166-450-0040****Facilities Records**

The General Schedule is applicable to the facilities records of community colleges. Retention periods apply to the official copy of all public records, regardless of medium or physical format, created or stored by the above specified agencies. Please note the exceptions to this General Schedule listed in OAR 166-030-0027 before disposing of records.

(1) **Building and Grounds Repair, Remodeling, and Construction Records:** Records document the condition, upkeep, and routine maintenance of college buildings and grounds and the planning, administration, and implementation of current and potential capital construction projects on campus. It also documents remodeling and construction projects. Also used to forecast needs for projects and as a reference to projects completed. Records may include but are not limited to floor plans; specifications, layouts; sketches; maintenance agreements; work logs; fire marshal's compliance and other building inspection reports; permits project descriptions and requirements; plan reviews; project schedules; and related documentation and correspondence. Series may also include records of remodeling or construction due to American Disability Act (ADA) requirements. (Minimum retention: Contracts or agreements documenting building construction, alterations, or repair: 10 years after substantial completion (ORS 12.080 and 12.135); Other records: for the life of the structure).

(2) **Facilities Inventory Records:** Records document the value of lands and buildings owned by the college and of the changes in utilization of space due to remodeling, minor reallocation, and new construction. Records may include but are not limited to inventories which list each campus building and parcel of real estate; the date acquired; property description; utilization of building space records; operating and maintenance cost records; inventory and other working documents which include the building name, room number and condition, type of space, and square footage; and related documentation and correspondence. Records include the records of buildings and lands on the main as well as branch or outreach campuses. (Minimum retention: Until superseded).

(3) **Prevailing Wage Reports Records:** Records document the prevailing wage rate schedule for workers on college construction projects. Records contain the certified payroll records of construction companies engaged in college projects. This information on prevailing wages is supplied to unions and other interested parties. Records may also contain annual planned project list and other documentation furnished by the Bureau of Labor and Industry. (Minimum retention: five years after completion of project).

(4) **Swimming Pool Operation and Maintenance Records:** Records document the operation and maintenance of college swimming pools. The records include water quality tests; records of filling, emptying and cleaning; operating and safety equipment repair and maintenance; and equipment warranties. (Minimum retention: Equipment records: for life of structure; Maintenance records: five years).

(5) **Utility Systems and Equipment Operation Manuals and Maintenance Records:** Records document the operations and maintenance of college utilities equipment. Records may include but are not limited to permits; equipment operations logs; mechanical readings charts; equipment maintenance histories; and correspondence. (Minimum retention: Until equipment no longer in service).

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 3-1998, f. 8-4-98, cert. ef. 8-5-98

**166-450-0045****Student Financial Aid Records**

The General Schedule is applicable to the student financial aid records of community colleges. Retention periods apply to the offi-

cial copy of all public records, regardless of medium or physical format, created or stored by the above specified agencies. Please note the exceptions to this General Schedule listed in OAR 166-030-0027 before disposing of records.

(1) **Federal Title IV, Program Records, Institutional Records:** Records document eligibility to participate and school's administration of Federal Title IV and programs. Records include Institutional Program Participation Agreement; Recertification; Education program eligibility; Accreditation reviews; and reports; State agency reports; Audits and program reviews; Other records, as specified in regulation, that pertain to factors of financial responsibility and standards of administrative capability; and Consortia Agreements between and amongst schools. SEE ALSO: Administrative Records, Accreditation. (Minimum retention: Agreements: six years after expiration; Records pertaining to borrower eligibility: three years after the end of the award year in which the student borrower last attended the institution; Fiscal Operations Report, Application to Participate and supporting documentation: three years after the end of the award year in which the FISAP is submitted; Records involved in any loan, claim, or expenditure questioned by a Title IV, HEA program audit or review, investigation, or other review: until the resolution of that questioned loan, claim, or expenditure; or the end of the retention period applicable to the record, whichever is longer).

(2) **FFELP and Direct Loan Records:** Records relate to Federal Family Education Loan Program (FFELP) and Direct Loan Programs including but not limited to: Eligibility (student and/or parent); Application; Disbursement records; Promissory notes; and Student Status Confirmation Reports (SSCR). (Minimum retention: (a) Records relating to a student or parent borrower's eligibility: three years after the end of the award year in which the student borrower last attended the institution; (b) Other records relating to the participation in FFEL or Direct Loan Program: three years after the end of the award year in which the records are submitted; (c) Records involved in any loan, claim, or expenditure questioned by a Title IV, HEA program audit or review, investigation, or other review: until the resolution of that questioned loan, claim, or expenditure; or the end of the retention period applicable to the record, whichever is longer).

(3) **Financial Aid Annual Reports:** Records document cumulative loan activity of each fiscal year through a required year-end report made to the U. S. Department of Education. Records may include but are not limited to schedules and instructions; working papers; exhibits audit reports; findings; rebuttals; and related documentation and correspondence. (Minimum retention: (a) Audit reports, exhibits, findings, rebuttals: 20 years; (b) Other records: Until completion of audit).

(4) **Fiscal Records and Reports:** Records document Federal Title IV Aid transactions, including receipt, management and disbursement of funds. Records of all Title IV program transactions; Bank statements for all accounts continuing Title IV payments; cash disbursements, refunds, and repayments; General ledger (must be separate from school's other financial transactions) and related ledgers that identify each Title IV program transaction; Federal work-study payroll records; Annual Federal Fiscal Operations and Applications for Funds Report (FISAP). Records support data appearing on required reports: Federal Pell Grant Statements of Account; ED Payment Management system cash requests and quarterly or monthly reports; Title IV program reconciliation reports; Audit reports and school responses; State Grant and Scholarship award rosters and reports; Accrediting and licensing agency reports. (Minimum retention: three years after the end of the award year unless otherwise specified FISAP exception: three years after the end of the award year in which the FISAP was submitted).

(5) **Perkins Loan Program Records:** Records relate to Perkins Student Loan, National Direct Student Loan, and Nursing Loan; and show each borrower's payment history (showing date and amount of each repayment) and amount of each repayment credited to principal, interest, collection costs, and penalty or late charges. Documentation of each contact with borrower or endorser in collection of overdue loan, including date, nature, result of the

contact, and copies of all correspondence, collection agency reports, and litigation records. (Minimum retention: (a) Records relating to the administration of the loan: three years after the end of the award year for which aid was awarded and disbursed; (b) Fiscal Operations Report, Application to Participate and supporting documentation: three years after the end of the award year in which the FISAP is submitted; (c) Records involved in any loan, claim, or expenditure questioned by a Title IV, HEA program audit or review, investigation, or other review: until the resolution of that questioned loan, claim, or expenditure; or the end of the retention period applicable to the record, whichever is longer).

(6) **Student Consumer Information Records:** Records apply to all schools participating in Federal Title IV Aid Programs. Includes but not limited to: College catalog and term class schedules; Student Handbook or other publication; Campus Security Report and timely warnings; Right to Know — completion or graduation and transfer-out rates; Equity in Athletics Disclosure Act (EADA); Drug & Alcohol Abuse Prevention Information; Drug-free Workplace Information; FERPA; and documentation supporting all calculations and statistics. SEE ALSO: Student Academic Records, Student Handbooks, Students Athletic Advising and Eligibility Records. (Minimum retention: three years after the end of the award year in which information was published).

(7) **Student Financial Aid Records:** Records document student eligibility common to all Federal Title IV Aid Programs. May include, but not limited to: Student Aid Report (SAR) or Institutional Student Information Report (ISIR) used to determine eligibility; documentation of need and eligibility for Title IV funds; Cost of attendance information; documents used to verify applicant data; required student certification statements and supporting documentation; documentation of all professional judgments decisions; financial aid history information for transfer students; documentation of student's satisfactory academic progress; documentation of amount, date, and basis of all refund and repayment calculations for a student (last dates of attendance, grade rosters); and documentation of outside resources. SEE ALSO: Student Records, Academic; Veterans Student Records. (Minimum retention: (Minimum retention: Records relating to a student or parent borrower's eligibility: three years after the end of the award year in which the student borrower last attended the institution; Other records relating to the participation in FFEL or Direct Loan Program: three years after the end of the award year in which the records are submitted; Fiscal Operations Report, Application to Participate and supporting documentation: three years after the end of the award year in which the FISAP is submitted; Records involved in any loan, claim, or expenditure questioned by a Title IV, HEA program audit or review, investigation, or other review: until the resolution of that questioned loan, claim, or expenditure; or the end of the retention period applicable to the record, whichever is longer).

(8) **Student Records, Institutional:** Records used to establish student admission, enrollment status, period of enrollment and academic progress. Records include: academic transcript; admissions application; student course of study and enrollment history; ability to benefit test and test results; grade rosters; and Student Status Confirmation Report (SSCR). SEE ALSO: Student Academic Records. (Minimum retention: three years after the end of the award year in which the FISAP is submitted or until all questions resolved, whichever is longer).

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 3-1998, f. 8-4-98, cert. ef. 8-5-98

## 166-450-0050

### Financial and Accounting Records

The General Schedule is applicable to the financial and accounting records of community colleges. Retention periods apply to the official copy of all public records, regardless of medium or physical format, created or stored by the above specified agencies. Please note the exceptions to this General Schedule listed in OAR 166-030-0027 before disposing of records.

(1) **Account Reconciliation Records:** Records document the reconciliation of funds and accounts such as checks, cash, and bank



accounts, fixed assets to capital expenditures. Records may include printouts; worksheets; bank statements, reports, schedules; and other supporting documentation. SEE ALSO: Accounts Receivable Records. (Minimum retention: Federal grant records: five years after annual of financial report accepted; Other records: three years).

(2) **Accounts Payable Records:** Records document expenditures and purchases and provides a record of payment of bills. Records may include but are not limited to encumbrance registers; purchase orders; balance sheets; bills; invoices; invoice vouchers; journal vouchers/entry forms; price quotes; requisitions; payment authorization; check request; reports of receipt of goods or services; petty cash, voucher register; and correspondence. SEE ALSO: Purchasing Records. (Minimum retention: Federal grant records: five years after annual of financial report accepted; Other records: three years).

(3) **Accounts Receivable Records:** Records document current status and transaction activity of college funds held in bank accounts, billings and collections, deferred tuition, and provides a record of money and miscellaneous debts owed to the college. Records may include but are not limited to bank statements; validated deposit slips and/or paid check copies; and reconciliation worksheets or spreadsheets; account edit sheets; credit card payment forms; invoices; journal vouchers; receipts; and correspondence. May also include account aging reports which are used to monitor accounts which are outstanding and overdue. (Minimum retention: three years after reconciled or deemed uncollectable).

(4) **Annual Financial Reports:** Records document the college's financial condition and results of operation using trial balance data. These reports are used to report and monitor the college's financial condition, and as a reference by auditors. Records may include combined balance sheet; combined statement of revenues; expenditures, changes in fund balance; notes to the financial statement; statistical reports, audit reports, general ledger, trial balance, and budget status reports. (Minimum retention: 20 years).

(5) **Audit Reports:** Records document the examination of the college's financial condition by internal or independent auditors. Audits examine the fiscal condition, internal controls and compliance policies and procedures, accounting principles and methods, the accuracy and legality of transactions. Records may include but are not limited to audit reports; audit work-papers; supporting documentation; and correspondence. May also include performance or program audits. SEE ALSO: Financial Reports. (Minimum retention: Official copy of audit and responses: 20 years; Grant fund audits: five years; Other records: one year after audit completed).

(6) **Bond Records, Financial:** Records document the authorization and payment of bonds to finance college construction and improvements. Records may include but are not limited to authorizations; supporting financial documentation; G.O. Bonds and certificates of participation, revenue bonds, bond ratings; sample copies of bonds issued; paid bonds; coupons; and receipts; bond register; and correspondence. SEE ALSO: Election records in the Administrative Records section. (Minimum retention: three years after final payment).

(7) **Budget Planning and Preparation Records:** Records are used to develop, propose, and plan budget requests for units, departments, or the college. Records may include but are not limited to budget requests; spread sheets; expenditure projection work papers; budget development instructions, schedules; allotment reports; past and current budget worksheets; salary worksheets; miscellaneous income reports; budget instructions and guidelines; capital outlay reports; equipment need reports; decision packages; budget committee minutes and agendas; spending plans; compensation plan proposals; contingency plans; and correspondence. SEE ALSO: Board of Education Records in the Administrative Records section. (Minimum retention: five years).

(8) **Budget Records:** Records document the annual financial plan approved by the college's governing board. Records may include but are not limited to adopted budgets, also called the Budget Document; budget allotment reports; budget messages; revenue and expenditure tracking records; status reports; operating

programs, debt service, position, and wage analysis; and correspondence. SEE ALSO: Budget Planning and Preparation Records and Budget Status Reports in this section. (Minimum retention: Final approved budget document: 20 years; Other records: Most recent 2 budgets).

(9) **Budget Status Reports:** Records document departmental expenditures in relation to the approved budget and are used to monitor allotments, and expenditures. Records may include monthly or quarterly printouts of departmental expenditures and amounts available for use in various funds and accounts. Printout information may include but is not limited to fund or account name and/or code; object description; encumbrances or amount allocated; expenditures; balances; and related data. SEE ALSO: Budget Planning and Preparation Records, and Budget Records in this section; and Board of Education Records in the Administrative Records section. (Minimum retention: Year-end report: five years; All other reports: Until superseded).

(10) **Capital Construction Funding Records:** Records document the funding of capital construction projects on campus, and are used to prepare budgets and allocations for capital construction projects. Records may include but are not limited to project descriptions; budget projection and allocation records; budget authorization forms; budget change orders; final acceptance statements; and related documentation and correspondence. (Minimum retention: Life of structure).

(11) **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) (Minimum Retention: (a) Retain original paper instrument 30 days, destroy (b) Retain ACH transaction or IRD 6 years, destroy).

(12) **Correspondence, Fiscal:** Records document significant communication between the college and other government agencies, vendors, students, and the public pertaining to fiscal policy, obligations, revenue and transactions. Records include letters sent and received by the college's administrative and/or business office staff. SEE ALSO: Administrative Records, Program in the Administrative Records section. (Minimum retention: three years).

(13) **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 (Minimum Retention: Retain 36 months after transaction, destroy).

(14) **General Ledger and Trial Balance Records:** Records provide a comprehensive listing of all fiscal transactions of the college and are used to prepare the college's Financial Reports. The General Ledger provide a record of fiscal transactions for all asset, liability, owners equity, revenue, and expenditure accounts for the college. The Trial Balance provides a list of all open accounts in the General Ledger and reflects the current financial position of the college. Information includes: debit, credit, and balance amounts per fund and account. SEE ALSO: Subsidiary Ledgers, Journals, and Registers, and Financial Reports. (Minimum retention: Fiscal year-end reports: 20 years; Other reports: Until superseded).

(15) **Grant Records, Financial:** Records document the expenditure data and status of federal and other grants received by the college. The records may include but are not limited to grant applications; project narratives; proposed budgets; notices of grant awards; project reviews; fund request; project reports; capital outlay expenditure reports; adjustment notices; contract; financial reports; performance reports; federal evaluations; allocation preparation reports; grant status summaries; reimbursement request; correspondence; and quarterly, annual and final expenditure reports. May also include grant related fixed-asset purchase, inventory, and disposal records. SEE ALSO: Grant Records, Administrative in the Administrative Records section. (Minimum retention: five years after final or annual expenditure report accepted; Fixed asset records: two years after disposition of assets).

(16) **Journal Vouchers:** Records document authorization and movement of funds between college accounts and cost center. The records include journal vouchers which show account numbers, amount, authorizing signature, and related information. The records

may also include intra-institutional voucher which provide detail of internal charge-backs for campus services such as phones, postage, copying and media. May also include documentation explaining and/or justifying transfer. (Minimum retention: three years).

(17) **Purchasing Records:** Records document the purchase of goods and services by the college. Records may include but are not limited to purchase orders; purchase authorizations; requisitions; contract release orders; vouchers; telephone service orders; vendor files; and correspondence. SEE ALSO: Bids and Award Records in the Contracts and Agreements section. (Minimum retention: Vendor files: Until superseded or obsolete; Other records: three years).

(18) **Receipts and Receipt Registers:** Records document cash received or distributed by the college. It also documents all money received and deposited to department accounts through daily deposits. This series may include but is not limited to validation receipts; cash register tapes; bank deposit slips; check stubs; departmental deposit vouchers; cash receipt slips; petty cash balance sheets; bank deposit slips; checks, check register; cash by account reports; and monthly cash register reports. (Minimum retention: three years).

(19) **Subsidiary Ledgers, Journals, and Registers:** Records document details of transactions such as those related to receipts and expenditures on a daily, monthly, quarterly, or similar basis. Includes journals, ledgers, registers, day books, and other account books that provide backup documentation to the general ledger. May include details of revenues, expenditures, encumbrances, cash receipts, warrants and others. Information often includes date, payee, purpose, fund credited, or debited, check number, and similar or related data. Note: These ledgers, journals, and registers may no longer be created due to the automation of accounting systems. (Minimum retention: Trust fund ledgers: two years after trust fund closed; Other subsidiary ledgers, journals, and registers: two years).

(20) **Unclaimed Property Report Records:** 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. (Minimum Retention: 3 years after the property is remitted to the Department of State Lands).

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 3-1998, f. 8-4-98, cert. ef. 8-5-98; OSA 1-2010, f. & cert. ef. 5-27-10; OSA 3-2012, f. & cert. ef. 10-29-12

## 166-450-0055

### Health Services Records

The General Schedule is applicable to the health services records of community colleges. Retention periods apply to the official copy of all public records, regardless of medium or physical format, created or stored by the above specified agencies. Please note the exceptions to this General Schedule listed in OAR 166-030-0027 before disposing of records.

(1) **Communicable Disease Records:** Records fulfill the public health requirement of reporting the discovery of communicable disease. Records may include but are not limited to laboratory test results; name and address of student; date; and person making referral. Information is transferred to the county health department but the log is maintained by laboratory. *Records may be exempt from public disclosure per ORS 192.502(2).* (Minimum retention: five years).

(2) **Laboratory Inspection Records:** Records document periodic in-house inspection of laboratory equipment. Records may include but are not limited to a checklist of all equipment, calibrations, and conditions. (Minimum retention: Two most recent inspections).

(3) **Laboratory Test Requests:** Records document physician orders for laboratory tests for students receiving services at the student health center. Records consist of lab test request forms

showing name of student, date, test(s) ordered, and physician's signature. (Minimum retention: five years).

(4) **Licensure Records:** Records document the licensing of student health center and facilities. Records may include but are not limited to license applications; license and inspection reports; and correspondence. (Minimum retention: Until superseded).

(5) **Medical Records:** Records document medical services provided to students by the student health center. Records may include but are not limited to summary sheets; bacteriology test results; treatment record forms; diagnosis sheets; health history/screening sheets; initial evaluation/assessment sheets; referral sheets; health center billing statements; personal health history sheets; dental examination sheets and X-rays; laboratory test results; physical therapy notes; X-ray release forms; X-ray requisitions with narrative of radiologist; notes; memoranda; and correspondence. SEE ALSO: Student Athletes Medical Records in Intercollegiate Athletics Records section. *Records may be exempt from public disclosure per ORS 192.502(2).* (Minimum retention: seven years after last service or until 21st birthday, whichever is longer).

(6) **Patient Satisfaction Surveys:** Records document patient comments on services provided by the student health center and are used to plan changes in services. The surveys may include but are not limited to rating of services; type of services rendered; statistics about the student; and possibly names and addresses. (Minimum retention: three years).

(7) **Pharmacy Prescription Dispensing Records:** Records are used to provide an individual, daily summary, and annual summary record of initial drug dispensing and refills administered by the student health center as required by the Oregon State Pharmacy Board. Records may include but are not limited to prescription slips; in-house computer-generated Rx registers; controlled substance reports; and data base purge reports. (Minimum retention: three years).

(8) **Practitioner Schedules:** Records document the practitioners' work schedules and are used to clarify assigned responsibilities. Records include dates and times of assignments, practitioner names, and responsibilities. (Minimum retention: two years).

(9) **Student Health Insurance:** Records document students selection and purchase of insurance policies through the health center. The records may include but are not limited to benefit explanations; payment summaries; photocopies of checks; invoices; policy change sheets; ledgers; individual student correspondence relating to their coverage; and correspondence with the insurance company. (Minimum retention: five years).

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 3-1998, f. 8-4-98, cert. ef. 8-5-98

## 166-450-0060

### Information Management Systems

The General Schedule is applicable to the information management records of community colleges. Retention periods apply to the official copy of all public records, regardless of medium or physical format, created or stored by the above specified agencies. Please note the exceptions to this General Schedule listed in OAR 166-030-0027 before disposing of records.

(1) **Computer Services Disaster Recovery Plans:** Records document the steps to take in case of a major disaster which has destroyed or compromised the operations of the department. Components of the recovery plan include but are not limited to physical plant repair which includes a description of equipment needed and steps to be taken to repair the physical plant and its infrastructure such as electrical and air conditioning systems; equipment restoration including contacts with equipment suppliers and a list of replacement equipment to be purchased; data restoration including steps to be taken to reload data, recover data, reconnect networks, reestablish telephone connections, and reconnect modems and data phones; and related procedures and needs dealing with risk management, public relations, and financial issues. (Minimum retention: Until superseded).

(2) **Computer System Maintenance Records:** Records document the maintenance of computer systems and are used to ensure compliance with any warranties or service contracts; schedule regular maintenance; diagnose system or component problems; and document system backups. 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; backup tape inventories; and related documentation. (Minimum retention: Records related to system or component repair or service: Life of system or component; Records related to regular or essential records backups: Until updated or obsolete).

(3) **Computer System Program Documentation:** Records document the addition, modification, or removal of software from a computer system. Records usually fall into six categories: Records that document operating systems; Records that document the in-house creation and modification of application programs; Records that document the structure and forms of datasets; Records that document the use of commercial software packages; Records that document the structure of the system; and Records that document 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, conversion notes, dataset logs, dataset inventories, dataset record layouts, hard copies of table, data dictionaries, data directories, programming logs, program specifications and changes, record layouts, user views, control program table documentation, program listings, commercial software manuals and related documentation. SEE ALSO: Information System Planning and Development Records, Software Management Records, and Computer System Maintenance Records, this section. (Minimum retention: For the life of the system).

(4) **Information System Planning and Development:** Records document the planning and development of 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 ensure that planned systems will help the department fulfill its missions, are cost-effective, conform to adopted information standards, and integrate with existing information systems. Records may vary according to the level of documentation required for each system and may include but are not limited to information technology plans, feasibility studies, cost-benefit analyses, department or program studies and surveys, system specifications and revisions, component proposals, technical literature, vendor literature and proposals, and related correspondence and documentation. SEE ALSO: Computer System Program Documentation in this section. (Minimum retention: Implemented systems: For the life of the system; Unimplemented systems: three years).

(5) **Software Management Records:** Records document the use of information systems software. Records are used to ensure that 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 purchase records, software inventories, software licenses, site licenses, and related correspondence and documentation. SEE ALSO: Software Licensing Agreements in Contracts and Agreements Records section. (Minimum retention: Until software is disposed of).

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 3-1998, f. 8-4-98, cert. ef. 8-5-98

#### 166-450-0065

##### Institutional Research Records

(1) The General Schedule is applicable to the institutional research records of community colleges. Retention periods apply to the official copy of all public records, regardless of medium or physical format, created or stored by the above specified agencies. Please note the exceptions to this General Schedule listed in OAR 166-030-0027 before disposing of records.

(2) **Institutional Research and Reporting Records:** Records document the college's reporting to federal and state agencies such as the US Department of Education, National Center for Education Statistics, State Education Department, Office of Community College Services, and the State Office of Education Policy and Planning. Reports are prepared for such topics as adult education grants; Perkins professional technical grants; student right to know; graduation rates; enrollment, course data; staff data; financial data; and other topics as needed. Also documents research and reporting for internal management information such as outcome/performance measures, public affairs information, general information regarding enrollment and demographics, ad hoc department requests, accreditation, and other topics as needed. Reporting systems include Integrated Post Secondary Education Data System (IPEDS) and Oregon Community College Unified Reporting System (OCCURS). The records include but are not limited to hard copy, electronic, and microfilm draft and final reports; surveys; and correspondence. (Minimum retention: IPEDS reports, OCCURS reports, and other official reports to the Office of Community College Services or U.S. Department of Education: 10 years; Other reports: five years; Preparation material: one year).

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 3-1998, f. 8-4-98, cert. ef. 8-5-98

#### 166-450-0070

##### Institutional Service Records

The General Schedule is applicable to the institutional service records of community colleges. Retention periods apply to the official copy of all public records, regardless of medium or physical format, created or stored by the above specified agencies. Please note the exceptions to this General Schedule listed in OAR 166-030-0027 before disposing of records.

(1) **Mail, Copy, and Print Services Account Records:** Records document the processing and clearing of accounts for mail, copy, and print services. Records may include but are not limited to account summaries of outgoing postage charged to departments; periodic reporting of charges to college accounts for printing and copy services; payment of charges; and related documentation. Records may be referred to the business office for collection and servicing of accounts. (Minimum retention: Copy machine accounts: three years; Other accounts: one year).

(2) **Postal and Shipping Records:** Records document the mailing, shipping, and receipt of items by the U. S. Postal Service, UPS, Federal Express, and other private carriers. Records may include but are not limited to delivery receipts; receipt verification notebooks; incoming and outgoing certified, registered, insured, or express mail records; outgoing and upkeep records; and related documentation. (Minimum retention: three years).

(3) **Work Orders Records:** Records document requests and authorizations for needed services and/or repairs to college property and equipment. Records may include but are not limited to copy center, printing, photography, microfilming requests and work orders; telephone service and installation requests and change orders; maintenance and repair authorizations; and related correspondence and documentation. (Minimum retention: one year).

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 3-1998, f. 8-4-98, cert. ef. 8-5-98

#### 166-450-0075

##### Intercollegiate Athletics Records

The General Schedule is applicable to the intercollegiate athletics records of community colleges. Retention periods apply to the official copy of all public records, regardless of medium or physical format, created or stored by the above specified agencies. Please note the exceptions to this General Schedule listed in OAR 166-030-0027 before disposing of records.

(1) **Athletic Eligibility Records:** Records document verification by the athletic director of student athletes' academic progress to the Northwest Athletic Association of community colleges (NWAACC). These records include computer generated academic progress reports. (Minimum retention: five years).



(2) **Athletic Scheduling Records:** Records document competition schedules set up with other colleges by coaches and the athletic director. Records may include but are not limited to contracts; final schedules; and related documentation and correspondence. (Minimum retention: six years after expiration).

(3) **Game Arrangement Records:** Records provide a reference record of arrangements made for and the schedules of past games. Records may include but are not limited to team practice schedules; team position assignments/depth charts; itineraries; bus lists; notes; and related documentation and correspondence. (Minimum retention: one year).

(4) **Game Statistics:** Records may include but are not limited to player academic statistics; season and game player statistics; rankings; awards information; NWAACC game statistics; all-conference nominations; numerical rosters; media guides; narrative reports on games; final team statistics for each game; NWAACC official scoring summaries; and related documentation and correspondence. (Minimum retention: 20 years).

(5) **Practice Schedule Records:** Records are used to monitor practice time for athletic teams and assist in complying with NWAACC rules and regulations. Records consist of team rosters indicating time spent in practices, meetings, training and conditioning, and competition. (Minimum retention: one year).

(6) **Student Athletes Eligibility Records:** Records document the participation of student athletes; providing records of academic progress while students are involved in athletic programs at the institution; and complies with NWAACC and other applicable conference reporting requirements. These records include letters of intent; Talent Grant or athletic scholarships awarded, renewals of letters of intent; NWAACC Progress or other conference reports; students' request for release from athletic programs; disciplinary memoranda; and related correspondence. (Minimum retention: three years).

(7) **Student Athlete Medical History Records:** Records document the medical history of each athlete before and during his/her attendance at the college. Records may include but are not limited to annual health appraisals; authorization to release information forms; treatment consent forms; assumption of risk forms; accident reports; off campus treatment source records; and insurance questionnaires. Some records may be duplicated Medical Records in Health Services. SEE ALSO: Medical Records in Health Services Records section. *Information may be exempt from public disclosure per ORS 192.502(2).* (Minimum retention: three years).

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 3-1998, f. 8-4-98, cert. ef. 8-5-98

## 166-450-0080

### Library and Media Records

The General Schedule is applicable to the library and media records of community colleges. Retention periods apply to the official copy of all public records, regardless of medium or physical format, created or stored by the above specified agencies. Please note the exceptions to this General Schedule listed in OAR 166-030-0027 before disposing of records.

(1) **Acquisition Records:** Records document the process of requesting, ordering, acquiring and receiving books, periodicals, audio-visual, and other library materials. Provides a record of all items added and withdrawn each month. Records include but are not limited to hard copy and/or electronic purchase request forms which list the title and other bibliographic information about the item requested; requesters' name; request tracking data; subject area; authorization signature; and related documentation. Records may also include electronic bibliographic records which are downloaded from the OCLC into the library catalogue, notations of receipt of material; and accession registers; SEE ALSO: Accounts Payable Records in the Financial and Accounting Records section and Library Catalog in this section. (Minimum retention: Requesting and ordering records: two years; Purchasing records: three years; Other records: one year).

(2) **Audio-Visual Materials and Equipment Loan Records:** Records document the loan, rental, scheduling, billing, and delivery

of audio-visual materials and equipment to college faculty, students, staff, and other qualified patrons for classroom and in-library use. Media equipment may include televisions; overhead, slide, and film projectors; VCR's; screens; tape recorders; microphones; computer LCD panel projector systems; monitors and other equipment. Audio-visual materials may include films; filmstrips; videos; audio tapes; CD's and other media. Records include request forms; reservation records; booking and scheduling records; delivery records; periodic equipment usage reports; and related documentation. Records may also include an electronic inventory database containing equipment identification; purchase date and cost; vendor; location; maintenance and repair data; and disposition. (Minimum retention: Request forms: 1 term; Delivery records and statistical reports: five years).

(3) **Borrower Registration Records:** Records grant students, faculty, staff, and other patrons of the library the privilege to use library resources and are used to control the circulation of library holdings. Records may be in the form of a library card, a bar code, or other record identifying and qualifying the patron. SEE ALSO: Circulation Records in this section. (Minimum retention: Until patron no longer registered at college and account cleared).

(4) **Circulation Records:** Records document the borrowing of circulating library materials by faculty, students, staff, and other qualified patrons. Records are generally maintained electronically and transaction resolution may delete the active on-line record. Hard copy records may include statistical reports detailing transactions for management use. Information may include but is not limited to name and identification of the borrower; titles of material borrowed; due date; overdue and fine payment notation; if item lost, or temporarily removed from circulation for repair; and related information. SEE ALSO: Library Reports, Borrower Registration Records, Audio-Visual Materials and Equipment Loan Records, and Overdue Records in this section. *Information may be exempt from public disclosure per ORS 192.501(10).* (Minimum retention: Statistical reports: 10 years; Other records: Until transaction is completed).

(5) **Cooperative Regional Library Contract Records:** Records document the agreements between college and cooperative regional library services. Records include but are not limited to establishing documents, including original petition, Secretary of State, declaration of petition, and official notarized county election results; contracts and addendums concerning the provision of library services; the sharing of materials; financial arrangements and reimbursement for services; agreement with the courier service concerning the movement of materials between libraries; and related correspondence and documentation. SEE ALSO: Cooperative Regional Library Service Records in this section. (Minimum retention: six years after expiration).

(6) **Cooperative Regional Library Service Records:** Records document the establishment and administration of a regional cooperative library system, and the activities of advisory and policy groups founded to facilitate sharing information resources among libraries. Records may include but are not limited to establishing documents; meeting agendas; minutes and exhibits; reports and handouts; newsletters, publications; notes; working papers; membership lists; and correspondence. SEE ALSO: Cooperative Regional Library Contract Records in this section, and College Committee Records in the Administrative Records section. (Minimum retention: Establishment documents: Until service disestablished; Minutes and exhibits: 20 years; Other records: five years).

(7) **Films, Videotapes, and Sound Recordings:** This section provides visual and audio documentation of college activities and events including college instruction, intercollegiate athletics, and other activities of students, faculty, and staff with significant relevance to the function and mission of the college or an individual unit. These productions are created for recruitment and orientation, fund-raising, publicity, research, and teaching. Records may include satellite video tapes, videos or films of courses and seminars, community and general interest programs, and other programs provided by the college. Records may include but are not limited to identified and labeled video tapes; motion picture films; phono-

graphic recordings; audio tapes (all formats); compact audio discs; and transcriptions when available. (Minimum retention: Final productions: Permanent; Preparation material and remaining footage, if final production does exist: Until final product completed; Acquired video tapes and films: Retain according to terms of license or copyright agreement with provider).

(8) **Inter-Library Loan Records:** Records document materials borrowed and loaned by the library through an interlibrary loan program in response to requests from patrons for materials in the college library. Materials may include books, serials, audio and video tapes, mixed media kits, and other library materials. Records may include but are not limited to ILL request forms; ALA request forms; lender and borrower request records generated from electronic sources such as OCLC; tracking logs; copies of citations; and related documentation. (Minimum retention: three years).

(9) **Library Catalog:** Library catalog contains the bibliographic records of all library and audio-visual holdings including books, magazines and serials, films and videos, interactive media, and other AV materials. The catalog documents the acquisition and maintenance of library holdings; provides patrons with access to library holdings; and documents accessioning, de accessioning, and circulation of library materials. The catalog database is also used to produce reports on circulation activity, new acquisitions, and collection information. Records are generally created and maintained electronically and may contain modules for cataloging, serials, reserves, acquisitions, circulation, and community information. The holdings or inventory records, include but are not limited to title, author, subject entries, collection, call number, publication date, price or value, source, and related bibliographic documentation. SEE ALSO: Library Reports, Circulation Records, Acquisition Records in this section. (Minimum retention: (a) Holdings records: Until material withdrawn from the collection; (b) Serial holdings records: Until subscription terminated or holdings withdrawn).

(10) **Library Reports:** Records document statistics and other data collected by the college library for internal research, collection development; planning and budgeting; to monitor library programs and activities; and to report to external sources such as the state library or the federal government. Records may include data tally sheets; summary compilations; and monthly, quarterly, or annual statistical and narrative reports based on the data collected. Records may also include records of additions and withdrawals from the collection; circulation records showing number of items checked out, category, number of holdings, time of checkout, length of checkout, student demographics, materials by subject, percentage of increase or decrease in activity, classes taught at the library, courier service statistics, special activities, and related documentation; courier service statistics; reference activity; interlibrary loan activity; and overdue data. Statistics may be compiled manually or electronically. (Minimum retention: five years).

(11) **Overdue Records:** This record series is used to monitor the status of overdue books and other library materials. Records may include but are not limited to notices sent to patrons notifying them of overdue materials; overdue records maintained in an on-line patron database; billing and collection records; overdue records involving material from other libraries in cooperative arrangements with the college library; and related documentation. Billing records may be referred to the Business Office for collection. SEE ALSO: Student Academic section; Accounts Receivable Records in the Financial and Accounting Records section. (Minimum retention: Until material returned, debts reconciled or deemed uncollectable, or transferred to Business Office; Records of open charges: 10 years).

(12) **Reference Records:** Records document the activities of the reference unit. Records may include but are not limited to library orientation records; instructional request forms and scheduling data; periodic reports on reference usage and activities; and related documentation. (Minimum retention: one year).

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 3-1998, f. 8-4-98, cert. ef. 8-5-98

## 166-450-0085

### Payroll Records

The General Schedule is applicable to the payroll records of community colleges. Retention periods apply to the official copy of all public records, regardless of medium or physical format, created or stored by the above specified agencies. Please note the exceptions to this General Schedule listed in OAR 166-030-0027 before disposing of records.

(1) **Employee Time and Attendance Records:** Records document employee time worked and attendance. Records may include but are not limited to time cards or sheets; monthly summary reports of employee attendance; forms used to record attendance, sick, vacation, overtime, and compensatory time; requests and approval forms for leave; sick leave records; vacation leave records; absence, sick and vacation leave summary reports; overtime authorization or certification; and related documentation and correspondence. Some records may be duplicated in the employee's personnel file. SEE ALSO: Employee Payroll Records this section. (Minimum retention: (a) Time sheets: three years; (b) Summary reports: 1 academic year; (c) Other records: two years after employee separation).

(2) **Employee Payroll Records:** Records document individual employee pay history. The records may include but are not limited to employee time and attendance records; payroll authorization records; source documentation authorizing payroll deductions and withholding such as W-4 forms; PERS enrollment forms; insurance applications and beneficiary designations; leave authorization records; pay related personnel action documents; garnishment orders; child support claim records; electronic deposit authorizations; deduction reports; and correspondence. (Minimum retention: Records necessary for PERS enrollment: 75 years; Other records: five years after employee separation if records are filed under name of individual or three years if records are batch filed).

(3) **Payroll Register:** Records document the earnings, voluntary and required deductions and withholdings of all college employees. The records may include monthly listings of all paid employees with details of their earnings and deductions. (Minimum retention: Year-end official copy: 75 years; Other copies including monthly reports: one year).

(4) **Wage and Tax Statement:** Records document individual earnings and withholdings for state and federal taxes and social security. The records consist of Forms W-2 and wage and tax reports filed with the federal and state governments. (Minimum retention: five years).

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 3-1998, f. 8-4-98, cert. ef. 8-5-98

## 166-450-0090

### Personnel Records

The General Schedule is applicable to the personnel records of community colleges. Retention periods apply to the official copy of all public records, regardless of medium or physical format, created or stored by the above specified agencies. Please note the exceptions to this General Schedule listed in OAR 166-030-0027 before disposing of records.

(1) **Affirmative Action/Equal Opportunity Records:** Records document compliance with statutes and regulations of the US. Equal Employment Opportunity Commission including affirmative action. Records may include but are not limited to plans, updates, policy statements, reports, discrimination complaints, hearing and meeting records, supporting documentation, and other records described in 29 CFR 1613.222. (Minimum retention: Final Plans: 15 years after superseded; Equal Opportunity plans, updates and policy statements: 50 years; complaint records and documentation: three years after final decision; Other records: three years).

(2) **Bargaining Unit Records:** Records document negotiations and contractual agreements between the institution and bargaining units and are also used for labor relations planning. Records may include but are not limited to union contracts and amendments; tentative agreements; arbitrators recommendations; negotiation work notes; strike contingency plans; management counter proposals;

negotiation updates; newspaper clippings; press releases; research background material; employee classification printouts; Fair Share records; minutes, sound recordings, exhibits and reports of meetings; published manuals; and correspondence. (Minimum retention: Official copy: 20 years; Published manual: Until superseded).

(3) **Classification Specification Records:** Records document the development of the specification for each personnel position at the college. The records may include but are not limited to job analysis; classification specifications; position evaluations; position descriptions; and correspondence. (Minimum retention: five years after classification inactive or revised).

(4) **Collective Bargaining Records:** Records document collective bargaining between the college and bargaining unit(s). The records may include but are not limited to union contracts and amendments; tentative agreements; management counter proposals; arbitrator's recommendations; negotiation work notes; strike contingency plans; newspaper plans; newspaper clippings and press releases; research material; employee classification and compensation printouts; and correspondence. May also include conciliation, mediation, and grievance related records. (Minimum retention: Contracts: 50 years; Contract development records: 30 years; Grievance arbitration decisions: 30 years).

(5) **Compensation Plan Records:** Records document the development, operation and maintenance of the college's personnel compensation plans. The records may include but are not limited to compensation plans; salary surveys; pay tables; merit matrixes; pay range tables; and correspondence. (Minimum retention: Compensation plans: five years after superseded; Other records: one year).

(6) **Criminal History Check Records:** Records document the criminal record checks made on students, staff and volunteers. Records consist of a form sent to the Department of Human Resources or Employment Department, Child Care Division to check the Oregon Law Enforcement Data System (LEDS) for the existence of criminal records for staff, students or volunteers. The criminal history form shows name and other identifying information about the student, volunteer, or staff member, indication of existence or absence of criminal record, and related information. SEE ALSO: Recruitment and Selection Records this section. *Information may be exempt from public disclosure per ORS 192.502(2).* (Minimum retention: two years).

(7) **Employee Benefits Records:** Records document individual employee benefit information such as selection of insurance plans, PERS status and other benefit program information. Records include but are not limited to insurance plan selection and application forms and enrollment cards; voluntary payroll deduction authorization forms; deduction termination forms; PERS enrollment and benefit designation forms; deferred compensation plan enrollment forms; and correspondence. SEE ALSO: Payroll Records section. *Portions may be exempt from public disclosure per ORS 192.502(2).* (Minimum retention: PERS Enrollment records: 75 years; Other records: two years after employee separation or eligibility expired).

(8) **Employee Medical Records:** Records document individual employee work related medical history. The records may include but are not limited to medical examination records — pre-employment, pre-assignment, or episodic; X-rays; records of significant health or disability limitations related to job assignments; documentation of work related injuries or illnesses; hazard exposure records; first aid incident records; physician statements; drug test records; release consent forms; and correspondence. *These records must be kept physically separate from the employee personnel files as required by the Americans with Disabilities Act. Portions may be exempt from public disclosure per ORS 192.502(2).* (Minimum retention: Hazard exposure records: 30 years after separation, or as specified by 29 CFR 1910.20; Other records: three years after separation).

(9) **Employment Eligibility Verification Forms (I-9s):** Records document the filing of I-9 forms which verify that applicant and employees are eligible to work in the United States. These forms may be kept in Individual Employee Personnel Files

or in a separate file for ease of reference. The records consist of U. S. Immigration and Naturalization Service Form I-9. Information includes employee information and verification data — citizenship or alien status and signature; employer review and verification data documents which establish identity and eligibility, and employer's signature certifying that documents have been checked. (Minimum retention: The longer of three years or one year after employee separation).

(10) **Grievance Records:** Records document grievances brought by or against faculty, staff, students, and people from outside the college. Grievances may be resolved formally or informally at the departmental level or they may be referred or appealed to a variety of offices, depending on the grievance, issues, and persons involved. Records may include but are not limited to notice of grievances; informal discussions notes; formal hearing notes (including audio tapes); final summary statements; appeals documentation and correspondence. SEE ALSO: Student Grievance Records in the Student Records section, and Bargaining Unit Records, Collective Bargaining Records, and Affirmative Action/Equal Opportunity Records this section. *Information may be exempt from public disclosure per 192.502(2).* (Minimum retention: five years after resolved).

(11) **Individual Employee Personnel Records:** Records document individual employee work history. Records may include but are not limited to applications; notices of appointment; training and licenser (certification) records; records of health limitations; salary schedules; personnel actions; performance evaluations; teacher evaluation reports; letters of commendation and recommendation; letters of reprimand; notices of disciplinary action; notices of layoff; letters of resignation; home address and telephone disclosures; emergency notification forms; oaths of office; and related correspondence and documentation. Records may be exempt from public disclosure per ORS 192.502(2). SEE ALSO: Criminal History Check Records, Recruitment and Selection Records, Employee Medical Records, and Employee Benefits Records in this section. (Minimum retention: Employment applications (most recent and first successful), licensure (certification) records, personnel actions, oaths of office, home address/telephone disclosures, emergency notification form (most recent): 75 years after date of hire; Complaint and disciplinary records: three years; Other records: three years after separation).

(12) **Recruitment and Selection Records:** Records document the recruitment and selection of college employees. The records may include but are not limited to recruitment and application materials. *Portions may be exempt from public disclosure per ORS 192.502(2).* (Minimum retention: Unsolicited applications: three months; Other records: two years).

(13) **Staff Training Records:** Records document the activities involved in developing and/or providing in-service and other training to college staff and faculty. Records may include but are not limited to flyers; calendars; credit records to document receipt of funds based on the participation; class enrollment and attendance records; copies of contract instructor agreements; and correspondence. The student academic database holds the records of academic courses, workshops, and training sessions which faculty and staff may attend. (Minimum retention: five years).

(14) **Wellness Program Records:** Records document the development and operation of the college's wellness program. The records include but are not limited to program statements; health surveys; health and committee records; newsletters; workshop and seminar records; and correspondence. (Minimum retention: three years).

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 3-1998, f. 8-4-98, cert. ef. 8-5-98

## 166-450-0095

### Public Safety Records

The General Schedule is applicable to the public safety records of community colleges. Retention periods apply to the official copy of all public records, regardless of medium or physical format, created or stored by the above specified agencies. Please



note the exceptions to this General Schedule listed in OAR 166-030-0027 before disposing of records.

(1) **Officer Notebooks:** Notes written by officers during the course of a shift that may pertain to contacts, incidents, unusual circumstances, and other subjects. Information may include names, dates, times, vehicles, activities, locations, and related data. (Minimum retention: two years).

(2) **Parking Records:** Records document the issuance of permits and citations for on-campus parking. Records may include but are not limited to citations; appeal petitions; annual permit cards; temporary permits; parking permits reports; and related documentation and correspondence. (Minimum retention: two years).

(3) **Vehicle Pool Inspection Records:** Records document daily safety inspections of college Public Safety owned vehicles. Records include but are not limited to annual motor vehicle inspection reports, and related forms, documentation, and correspondence. SEE ALSO: Vehicle Records in Equipment/Supplies/Property Records section. (Minimum retention: one year).

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 3-1998, f. 8-4-98, cert. ef. 8-5-98

#### 166-450-0100

##### **Publications and Promotional Records**

The General Schedule is applicable to the publications and promotional records of community colleges. Retention periods apply to the official copy of all public records, regardless of medium or physical format, created or stored by the above specified agencies. Please note the exceptions to this General Schedule listed in OAR 166-030-0027 before disposing of records.

(1) **Marketing Research Records:** Records document research done to provide information about significant events and issues affecting the college. The records are used for research, and public information and education. The records include surveys; notes from focus groups; reports; studies; news clippings; and correspondence. (Minimum retention: one year).

(2) **Press Releases:** Records document college information officially released to the media for dissemination to the public. The records consist of press releases and public service announcements. (Minimum retention: five years).

(3) **Publications:** Records include publications produced by individual college offices, including student publications. It may be used to document the activities of the office for educational or informational purposes, or to communicate programs, policies, and events. (Minimum retention: Final publication: Permanent; Preparation Records: Until final publication printed; College catalog: Permanent).

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 3-1998, f. 8-4-98, cert. ef. 8-5-98

#### 166-450-0105

##### **Risk Management Records**

The General Schedule is applicable to the risk management records of community colleges. Retention periods apply to the official copy of all public records, regardless of medium or physical format, created or stored by the above specified agencies. Please note the exceptions to this General Schedule listed in OAR 166-030-0027 before disposing of records.

(1) **Accident, Injuries and Incident Records:** Records document the reporting and investigation of campus related accidents that result in injury to persons or their property. This record series may include accidents or incidents which involve hazardous chemical exposure; first aid reports; blood contaminations; body fluid spills; and other types of accidents. Records may include but are not limited to report of accident forms; complaints; investigation reports; insurance appraisals and estimates; photographs; and related documentation and correspondence and other campus incidents reports. Records document the reporting of accidents, criminal incidents, and other activities of the campus police or public safety office. Types of incidents may include vehicle accidents; fire alarm and fire drills, field interrogations; bookstore shoplifting incidents; telephone complaints and fraud; criminal incidents; motorist and public assistance requests; escort requests; suspicious behavior; requests to lock/unlock; and other security related activities. Records include but are not limited to incident reports which contain names, dates, course numbers, dollar values, locations, descriptions of incident, and personnel tallying report; copies of reports filed by Oregon State Police, the sheriff's department, or other local law enforcement agencies; notes and memos; vehicle accident reports; death reports; accident claims; damage liability, or loss of property reports; and correspondence. Records may be transferred or referred to Risk Management. (Minimum retention: five years).

(2) **Business Continuity and Recovery Plans:** Records document the development, implementation and updating of the college's plans for operations during and recovery from emergencies or disasters. The records include draft and final plans; and correspondence. (Minimum retention: Final plans: Until superseded; Other records: Until plan adopted).

(3) **Environmental Health and Safety Plans and Procedures:** Records document procedures to follow in the event of emergency such as earthquakes, floods, hazardous materials release, or other disaster. Records may include rules, plans, forms, and procedures

which often relate to regulatory compliance according to OSHA standards such as hazardous communication standards, blood borne pathogens, or fork lift driver training. (Minimum retention: Adopted plans: 20 years; Other records if federal funding received: three years after annual or final expenditure report submitted; Other records if no federal funding received: two years).

(4) **Department of Motor Vehicles (DMV) Records:** Records may be used by campus safety and security officers for law enforcement purposes in accordance with ORS 341.300, 101.542 and 133.005. Information in the reports may include but is not limited to car license plate number; name of registered owner; address of owner; and related data elements. (Minimum retention: one year).

(5) **Hold Harmless/Liability Waivers:** Records document the release of the college from liability relating to various activities involving students, or faculty, or staff. Waivers or hold harmless agreements may concern activities on college sponsored field trips, participation in physical education classes, and other activities. Information included in the waivers usually states that the participant assumes personal responsibility and holds the college blameless for any accident or injury; informs the student or participant of college insurance; describes the activity; and contains signatures and related information. (Minimum retention: six years after expiration).

(6) **Insurance Claims:** Records document requests for payment of personal or property claims filed by students, faculty, staff, or visitors to the college campus. Records may include but are not limited to copies of incident or accident report from the Public Safety department; narrative description of incident, accident, or injury; invoices; correspondence, and related documentation. SEE ALSO: Accidents, Injuries, and Incident Reports in this section. (Minimum retention: Property claims: five years after all claims settled or closed; Personal claims: 10 years after all claims settled or closed).

(7) **Insurance Policies:** Records document the terms and conditions of insurance policies between the college and insurers. Types of insurance may include but are not limited to general liability, volunteer, property, computer equipment, automobile, professional child care, and workers compensation. Records may include but are not limited to insurance application forms which state information about college employees, building, and property needed to purchase insurance; and related correspondence and documentation. (Minimum retention: 10 years after policy expired).

(8) **Key Issuance Records:** Records document key assignments and deposits (if applicable) for college faculty, staff, students, and others using college facilities. Series also documents administration of the automatic access card system. Records may include but are not limited to key or access card issue approval forms; return forms; key and card inventories; paid receipts; refund forms; key and card logs; and related documentation and correspondence. (Minimum retention: one year after key returned).

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 3-1998, f. 8-4-98, cert. ef. 8-5-98

## 166-450-0110

### Risk Management and OSHA Employee Safety Training Records

The General Schedule is applicable to the risk management and OSHA employee safety training records of community colleges. Retention periods apply to the official copy of all public records, regardless of medium or physical format, created or stored by the above specified agencies. Please note the exceptions to this General Schedule listed in OAR 166-030-0027 before disposing of records.

(1) **OSHA Employee Safety Training Records:** Records document student and staff training and certification for equipment operation and driver training. Records may include but are not limited to sign off sheets indicating that employees have received training; instruction sheets; copies of data sheets; informational materials; and related documentation and correspondence. Includes group training sessions. Records document training programs in

compliance with OSHA programs and standards. Examples of training programs include hazardous communication, blood borne pathogens, fork lift driver training, and other areas. Records may include but are not limited to class lists, instructional materials, bibliographies, handouts, training certification forms, and related documentation. SEE ALSO: Environmental Health and Safety Plans and Procedures this section. (Minimum retention: two years).

(2) **Risk Factor Reports:** Records document annual report from the insurance company analyzing insurance claim activity and assessing campus safety in order to determine appropriate insurance needs. Records include but are not limited to a report to the college's board of education or governing board from the insurance company; and related documentation may include records of RFP in agent selection procedures. (Minimum retention: five years).

(3) **Safety Committee Records:** Records document the actions and activities of workplace safety committees which oversee or advise the college on workplace safety issues. Records may include but are not limited to agendas, minutes, exhibits, reports, and related correspondence. Subjects may include hazards to employees, students, and the general public; construction design and repair safety concerns; suggestions; complaints; state and federal rules and regulations; and related issues. (Minimum retention: three years).

(4) **Safety Inspection Records:** Records document safety inspections and college compliance with state and local safety regulations. Records may include internal inspections of campus buildings, facilities, or activities to identify unsafe conditions and safety hazards, especially in high risk areas. Safety inspections may be generated by the workplace safety committee or required by state and local laws. Records may also include reports on building, fire alarm system, elevator, and boiler inspections performed by state and local agencies as well as citations received by the college. Records may include but are not limited to inspection reports, follow-up actions, survey summaries and reports, correspondence, and related documentation. (Minimum retention: 10 years).

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 3-1998, f. 8-4-98, cert. ef. 8-5-98

## 166-450-0115

### Student Housing and Food Services Record

The General Schedule is applicable to the student housing and food services records of community colleges. Retention periods apply to the official copy of all public records, regardless of medium or physical format, created or stored by the above specified agencies. Please note the exceptions to this General Schedule listed in OAR 166-030-0027 before disposing of records.

(1) **Catering and Special Event Records:** Records document catering service and housing accommodations for special events hosted by the college. Records may include but are not limited to campus housing registration cards; customer room occupancy lists; catering service orders; purchase and supply records; billing records; customer evaluations; summary reports; and correspondence. (Minimum retention: two years).

(2) **Student Housing Contract Appeals Records:** Records document appeals made by residents who have been assessed penalties for failing to follow the terms and conditions of their housing and food service contracts. The records include students' appeals stating their reasons for seeking modification on contract terms; decisions from the director of housing, including instructions for further appeal; and correspondence. (Minimum retention: Appeals denied: one year; Appeals accepted: six years after contract expires).

(3) **Student Housing Contract Records:** Records document contracts for the occupancy of college administered housing such as residence halls, family housing, and cooperative and/or contract housing. The records may include but are not limited to housing applications; contracts; proof of admission records; and correspondence. (Minimum retention: six years after expiration).

(4) **Student Housing Incident Records:** Records document incidents of injury, vandalism, and other infractions of housing rules and the disposition of such incidents. The records may include but are not limited to incident reports; housing director's written decisions; student appeals of decisions; and correspondence. (Minimum retention: one year after case closed).

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 3-1998, f. 8-4-98, cert. ef. 8-5-98

#### 166-450-0120

##### Student Records, Academic

The General Schedule is applicable to the student records, academic records of community colleges. Retention periods apply to the official copy of all public records, regardless of medium or physical format, created or stored by the above specified agencies. Please note the exceptions to this General Schedule listed in OAR 166-030-0027 before disposing of records.

(1) **Assessment Placement and Testing Records:** Records document the administration of assessment, placement, diagnostic, challenge exams and other formal tests. Types of testing and assessment services offered may include but are not limited to entrance, placement, or skills tests such as General Education Development (GED) test; aptitude test; vocational aptitude and interest surveys; personality inventories; career self-exploration research tests and surveys; placement tests for math, reading, and writing skills; or hearing and vision tests. Records may include but are not limited to rosters of test takers; testing rules and regulations; test administration records; examiner's manuals; exams and tests; test order and payment records; placement and test results; and summary reports. *Records may be exempt from public disclosure per ORS 192.502(2).* (Minimum retention: Placement test, GED and NLN test records: five years; Special academic program orientation records: one year; Other records: five years).

(2) **Grade Records:** Records document the grades awarded by instructors of and serves as the basis for the students' official academic records. Records may include test, assignment, paper, and homework scores; attendance records; and final grades for students. Records in this series may include but are not limited to instructor's grade books; grade confirmation reports; grade change records; final grade rosters; and related documentation which is reported to the Registrar's Office for inclusion in the student's academic record. Records may also include grade reports, report cards, and grade histories which are distributed to students at the end of each term and which indicate course numbers and titles, grades, awarded and grade point average. SEE ALSO: Student Academic Records. Information may be exempt from public disclosure per ORS 192.502(2). (Minimum retention: Official electronic grade records: 75 years; Grade change forms or grade sheets: 10 years; Contested grade records: Until resolved; Other records: one year).

(3) **Graduation Evaluation Records:** Records document the progress made toward graduation by students. Records may include but are not limited to applications for graduation; degree audits or evaluations by program; correspondence; departmental notes and working papers; and related documentation. SEE ALSO: Student Academic Records this section. (Minimum retention: Applications for graduations, degree audit records, curriculum deviation/course waiver forms, transcripts from other colleges, transfer credit evaluation forms, or any other documents related to graduation evaluations: 10 years; Electronic or paper confirmation that student completed degree requirements: 75 years; Diploma replacement requests: one year).

(4) **Student Academic Advising Records:** Records document the student's academic progress within a specific department or program, including student athletes. Most of the components in these records are reference copies of records maintained in the files of the Registrar's Office and are maintained for the convenience of the student academic advisors. *Records may be exempt from public disclosure per ORS 192.502(2).* (Minimum retention: one year).

(5) **Student Academic Records:** Records document the admission and academic progress of students enrolled in the

college. Records may include but are not limited to the following notice of acceptance to limited entry program, registration and add/drop forms, international student applications no show, I-20 issued, request for audit and pass/no pass forms, transcripts from high school other colleges, applications for admission international student records, final and articulated grade sheets, challenge/credit by assessment documents, grade change requests, official transcript, record of academic probation or suspensions, FERPA Student Status Confirmation Reports, records requests and disclosures, report cards, grade change requests, student schedules, tuition and fee information, demographic information, residency verifications, change of major notification, and underage enrollment documentation. *Information may be exempt from public disclosure per 192.502(2).* (Minimum retention: Transcripts, record of academic probation or suspension, and records relating to student records requests and disclosures: 75 years; Final and articulated grade sheets, challenge/credit by assessment documents, and grade change requests: 10 years; International student records: five years; Applications for admissions: three years; Other records: one year).

(6) **Veterans Student Records:** Records document the status of military veterans who have requested veterans benefits and are registered as students of the college. Records may include but are not limited to correspondence; records completed and submitted to the Veterans Administration to request, start, or reinstate veterans benefits; and other records that document student participation in a variety of educational benefits programs for veterans. Selected information about veterans may be maintained electronically in the student's record; other records are maintained in paper form in veterans student files. SEE ALSO: Student Academic Records this section. (Minimum retention: three years following termination of enrollment period).

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 3-1998, f. 8-4-98, cert. ef. 8-5-98

#### 166-450-0125

##### Student Records, Other

The General Schedule is applicable to the student records, other records of community colleges. Retention periods apply to the official copy of all public records, regardless of medium or physical format, created or stored by the above specified agencies. Please note the exceptions to this General Schedule listed in OAR 166-030-0027 before disposing of records.

(1) **Agency Sponsored Program Records:** Records document the participation of agency-sponsored students in college programs. Agencies might include, but are not limited to, Adult and Family Services (AFS) Division, Job Opportunities and Basic Skills (JOBS), Vocational Rehabilitation Division, Vocational Rehabilitation Division (VRD), Veterans' Administration, Jobs Training and Preparation Act (JTPA), Social Security and local agencies. Records may include participant case files, specific applications for service, employment development plans (EDP), fee expenditures' documents, progress files, and case correspondence. (Minimum retention: five years).

(2) **Cooperative Work Experience Records:** Records document student participation in and college administration of cooperative work experience programs which provide credit for learning on the work site. Records include training agreements and learning objectives contracts between the college, student and employer; work habit evaluation reports; registration records which are entered into the student's academic record; and related correspondence and documentation. (Minimum retention: Contracts and agreements: six years after expiration; Other records: 10 years).

(3) **Occupational Skills Training Records:** Records document student participant in and college administration of programs designed to provide occupational skills training for persons recruited from governmental programs such as vocational rehabilitation, workers compensation, or veterans' programs. Records include but are not limited to student attendance and job performance reports; progress in learning objectives report; counseling case files and notes; and related correspondence and documentation. (Minimum retention: one year).



(4) **Peer Assistant Program Records:** Records document the administration and activities of the peer assistant program. Peer assistants are trained college students who assist other student with the personal, academic, and social concerns; refer students to college counselors; provide information about college and community resources; assist with student orientation; make presentations; and assist the counseling and advising staff in a variety of ways. Records may include but are not limited to student application and selection records including application forms, reference letters, transcripts, and interview records including application forms, reference letter, transcripts, and interview records; training and work schedules; evaluation records; reports summarizing program activities and analyzing the assistance provided; activity contact logs; meeting agendas and minutes; program notebooks or files containing records about funding, recruitment, publicity, projects, and training; and related correspondence and documentation. (Minimum retention: one year).

(5) **Placement Service Records:** Records document student participation in the job placement services provided by the college for students and others in the community. Records may include but are not limited to job history records; list of employers and job listings; job postings; correspondence with employers; and related documentation. SEE ALSO: Student Academic Records. (Minimum retention: one year).

(6) **Services to Students with Disabilities Program Records:** Records document student participation in the Services to Students with Disabilities Program. The records may include but are not limited to health professional evaluation reports; recommendations for student applicants; high school transcripts and academic worksheets; autobiographical essays; special admissions applications checklists; physicians' statements and letters of recommendation; counseling interview notes; counseling referrals; records of services provided; diagnostic test result and correspondence. *Some records may be exempt from disclosure because of Americans with Disabilities Act.* (Minimum retention: one year after date last attended).

(7) **Student Advising and Counseling Records:** Records document college counseling and "non-academic" advising activities such as career planning and selection, personal counseling, and educational planning and monitoring. Records may include but are not limited to personality and interest tests; advisor or counselor notes; records and test scores from outside agencies; test and assessment results; and related documentation. SEE ALSO: Student Academic Advising Records in the Student Records, Academic section. *Portions of these records may be exempt from public disclosure per ORS 192.502(2).* (Minimum retention: five years).

(8) **Student Exchange Participant Records:** Records document student participation in a community college student exchange program. Records may include but are not limited to letters of application; applications for admission to the college as special students; notices of admission to host institutions; personal data sheets; and related documentation and correspondence. (Minimum retention: one year).

(9) **Student Government Administrative Records:** Records document the history, development, and policies of campus student organizations, including student clubs, government, and newspaper. This series may include but is not limited to student organization annual review forms; minutes; constitution and by-laws; committee and task-force records; election records; student senate bill and resolution files; budget and accounting records; officer and member rosters; scrapbooks; photographs; and correspondence. (Minimum retention: Minutes, constitution, bylaws, senate bill and resolution files, officer rosters, and photographs: Permanent; Other records: three years).

(10) **Student Grievance Records:** Records document grievances or complaints brought forward by students against the institution concerning student conduct and violations of student rights and responsibilities. Records may include but are not limited to notices of grievance; written description of the complaint; informal discussion notes; formal hearings notes (including audio tapes); summary of interviews; final summary statements; resolution of grievance; appeals documentation; and related documentation

and correspondence. SEE ALSO: Grievance Records in the Administrative Records section. *Portions of these records may be exempt from public disclosure per ORS 192.502(2).* (Minimum retention: five years after resolution).

(11) **Student Handbooks:** Records document the requirements and policies for current of potential students. This series may contain information or policies on fields of study; faculty; academic requirements; the evaluation process; and research proposal process. (Minimum retention: Permanent).

(12) **Student Recruitment Records:** Records document the requirement and policies for current or potential students. This series may contain but is not limited to prospect lists; interview and conversation notes; photographs; personal information forms and resumes; copies of test scores and copies of academic transcripts; and related documentation and correspondence. (Minimum retention: Current term).

(13) **Student Rights and Responsibilities Documents:** Records document the contract between the student and institution concerning student rights and responsibilities, rules of student conduct, freedoms, and due process. The document contains statements of code of behavior, student rights, conflict resolution, student discipline, and the appeal process. The statement is published in the student handbook and catalog. (Minimum retention: six years after expiration).

(14) **Tutoring Records:** Records document tutoring services provided to students. Records include but are not limited to registration records; tutor training records; tutor (student hourly, work study, or staff) personnel records; tutor class records; and memoranda. (Minimum retention: one year).

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 3-1998, f. 8-4-98, cert. ef. 8-5-98

## DIVISION 475

### OREGON UNIVERSITY SYSTEM RECORDS

#### 166-475-0005

##### Oregon University System Records

As used in division 475, Oregon University System means the Oregon State System of Higher Education as defined in Oregon Revised Statute (ORS) 352.002. This General Schedule prescribes the retention periods for public records created and maintained by the institutions of the Oregon University System. Retention periods apply to the record copy of all public records, regardless of medium or physical format, created or stored by the above specified agencies. Please note the exceptions to this General Schedule listed in OAR 166-030-0026 before disposing of records.

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 3-1999, f. & cert. ef. 10-11-99; OSA 1-2000, f. & cert. ef. 3-9-00

#### 166-475-0010

##### Administrative Records

(1) **Administrative Reports** Records document the annual activity of the institution and its subdivisions. This disposition includes reports prepared for OUS by the president of the institution. Final annual reports may be printed and bound or they may be less formal unpublished documents prepared for limited distribution. Report sections may include but are not limited to administrative activities; goals and objectives achieved; fiscal status; project work performed; personnel activity and accomplishments; facility changes; and related sections. This series may include but is not limited to periodic statistical reports; summarized statistical reports; copies of reports from other units; other working papers; final annual reports; and related documentation and correspondence. (Retention: (a) Permanent for final annual reports and periodic and summary statistical reports not reflected in the final annual report (b) Until superseded or obsolete for all other records, destroy)

(2) **Administrative Rules Records** Records document reviews of and changes to the institution's Administrative Rules and the

annual preparation and authorization of the institution's administrative fees. Records may include but are not limited to notices of rule making with hearing notices which are published in the Oregon Bulletin; documentation of rule change hearings which may include notes, transcriptions, summaries, and tapes; reports to initiators of changes regarding outcome; final rules; Reports of Action to the State Administrative Rule Section including Certificates and Orders for Filing Permanent Administrative Rules with the Secretary of State; Notices of Proposed Adoption including statements on statutory authority, need/principle, documents relied upon, and statement of fiscal impact; lists of proposed fee schedules; reviewers' comments; administrative review reports; meeting notes from the Secretary of State Legislative Council about OAR review meetings; check-off lists; text of old rule with strike outs and changes; indices to OAR revisions; Dept. of Justice memos; and related correspondence. The Oregon Secretary of State holds statewide record copy. (Retention: 10 years after repeal of the rule, destroy)

(3) **Advisory Board Records** Records document the activities of boards and councils that function in an advisory capacity. Boards and councils may have as their charge highly specific or broad areas of concern and include members from outside the institution. This series may include but is not limited to meeting minutes; agendas; reports; notes; working papers; audio recordings; transcriptions; and related documentation and correspondence. (Retention: (a) Permanent for minutes, agendas, reports, and correspondence (b) 3 years for all other records, destroy)

(4) **Agency Relations Records** Records document the institutional interactions with local, state, national, and international government agencies, educational institutions, businesses and groups to gain their assistance with the development and coordination of institution research and instructional programs. This series may include but is not limited to reports; copies of publications; minutes; background information; and related documentation and correspondence. (Retention: 6 years, destroy)

(5) **Association and Organization Advisory Records** Records document the relationship and participation of institution units in professional and educational associations and other organizations. The unit's role may be one of membership on the advisory or administrative board, participation in a task force or subcommittee, or one of membership in consortia. This series may include but is not limited to: promotional information; rules and regulations; reports; proposals and planning records; workshop and conference records; surveys and questionnaires; minutes; and related documentation and correspondence. This series does not include individual faculty or staff membership information. (Retention: 3 years, destroy)

(6) **Attorney General Opinions** Records document responses of the State Attorney General's Office to legal questions posed by the institution's legal advisor and administrative officers which may have an impact on the institution's operations and policy. This series may include but is not limited to opinions and related documentation and correspondence. The State of Oregon Department of Justice (DOJ) holds statewide record copy. (Retention: 10 years, destroy)

(7) **Audit Records** Records document the unit's response to internal OUS and independent management, operations, and fiscal audits. This series may include but is not limited to audit reports; written responses showing how recommended changes will be implemented; and related documentation and correspondence. (Retention: (a) audit reports for 20 years, destroy (b) 7 years for work papers, drafts, and all other records, destroy)

(8) **Awards Records** Records document the process of selecting institutional faculty, staff, students and alumni to receive awards, and fellowships based on merit or achievement. The series may include but is not limited to applications; nomination letters; eligibility terms and selection criteria; recommendations; transcripts; letters of award notification or denial; letters accepting or declining awards; summary lists of winners; biographies; demonstration of need documentation; newspaper clippings and press releases; award history and information on funding sources; and related doc-

umentation and correspondence. (Retention: (a) Permanent for eligibility terms and selection criteria, award history and information on funding sources, award notifications, summary lists of winners, biographies of winners, and press releases (b) 1 year for all other records, destroy)

(9) **Committee Records** Records document the activities of standing and ad hoc committees and councils made up of members from a variety of units. The committees are charged with formulating and recommending institutional policies and procedures, establishing standards and requirements, performing an advisory function, or reviewing petitions, appeals, and deviations from policy. Types of committees include administrative committees (those appointed by an administrator) and faculty senate committees (those created by the faculty senate's executive committee). They may function as steering committees, activities committees, standards committees, planning committees, academic committees, awards committees, councils, etc. Committees may be chaired by the director of a specific unit or rotate to different chairs on a regular basis. This series may include but is not limited to agendas; meeting minutes; reports; notes; working papers; and related documentation and correspondence. (Retention: (a) Permanent for agendas, minutes, reports, and correspondence (b) 10 years for all other records of Faculty Senate Committees, destroy (c) 2 years for all other records of other committees, destroy)

(10) **Cooperative Program Records** Records document the institution's participation in cooperative and shared educational or research programs. Such programs may share research facilities and resources or instructional programs such as programs permitting student matriculation at member institutions. This series may include but is not limited to information on requirements and application procedures; applications and eligibility certificates; committee minutes; meeting agendas; working papers; memos of interpretation and understanding; fiscal records; and related documentation and correspondence. (Retention: (a) Permanent for information on requirements and application procedures, committee minutes, meeting agendas, and memos of interpretation and understanding (b) 6 years after expiration for all other records, destroy)

(11) **Correspondence Records** that: (1) document communications created or received and filed in the course of public business; AND (2) directly relate to agency programs or administration. Records may include but are not limited to letters, memoranda, notes and electronic messages that communicate formal approvals, directions for action, information about contracts, purchases, grants, personnel, and particular projects or programs. Disposition: File with the associated program or administrative records. Retentions for program and administrative records are found either in the Oregon University System General Records Retention Schedule (OAR 166-475) or in the institution special schedules authorized by the State Archivist. Communications not meeting the above criteria do not need to be filed and should be retained as needed.

(12) **Crisis or Disaster Records** Records document the events and damages to institutional property due to storms, riots, fires, droughts, floods, and other events affecting citizens and facilities within the jurisdiction of the institution. This series may include but is not limited to diaries; logs; reports; photographs; notes which indicate or document what happened, when, and where; and related documentation and correspondence. (Retention: Permanent)

(13) **Daily Broadcast Logs** Records document daily broadcast activities of the institutional radio station or television channel. Records include log sheets showing time signed on and off; any delays in broadcasting; engineer's name; announcer's name; technical difficulties; and digital broadcast records. (Retention: 2 years, destroy)

(14) **Daily Log** Records document the day-to-day activities of the office. This series may include but is not limited to staff member daily schedules, daily work logs, appointment information, and desk calendars, regardless of format. Information recorded in a personal day planner or personal electronic device may be a public record under ORS Chapter 192. (Retention: 1 year, destroy)

(15) **Data Input Forms** Records document paper forms that are used to create the same record in electronic form. This series may include service requests, such as work orders and mailing orders; surveys; instructor evaluations; tests; and other forms. This series does not include accounting system input documents and listings. (Retention: Until input and verified, destroy)

(16) **Election Records** Records document elections held by various faculty and staff organizations. This series may include but is not limited to ballots; tabulations; and related documentation. (Retention: 1 year, destroy)

(17) **Emergency Board Request Records** Records document requests made 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, organizational charts, testimony summaries, fiscal analysis, legislative progress reports, revenue projections, reclassification plans, presentation drafts, performance measures, and correspondence. The Emergency Board maintains the official copy of this information. (Retention: 5 years, destroy)

(18) **Faculty Senate Records** Records document the proceedings and actions of an institution's faculty senate. Discussions and actions of the faculty senate deal with such areas as curriculum, program development, promotion and tenure, and legislative relations. This series may include but is not limited to meeting notes/minutes; studies; recommendations; resolutions and enactments; reports; agendas; working papers; and related documentation and correspondence. (Retention: Permanent)

(19) **Freedom of Information Act (FOIA)/Public Records Disclosure Request Records** Records document public requests for information. Records include written correspondence inquiries from the public received by the university; written and dated responses issued by the university; notes and memoranda made in drafting responses to these inquiries; and initials of officials approving release of the information. (Retention: (a) approved requests 5 years, destroy. (b) denied requests 5 years after last action, destroy)

(20) **Gifts Records** Records document potential or realized private, corporate, or public agency funding to the institution, including endowments and trusts. This series may include but is not limited to award guidelines; letters and agreements of gifts; copies of bequest instruments and wills from individuals or estates; financial statements and reports, including records of fund disbursements; and related documentation and correspondence. (Retention: (a) Permanent for letters and agreements of gift, copies of bequest instruments and wills from individuals or estates, and related documentation and correspondence (b) 5 years for all other records, destroy)

(21) **Grievance Records** Records document grievances brought forward by faculty and staff against the institution and which are resolved without litigation. (Records of grievances that are litigated become part of the legal case file.) Grievances are brought forward through the faculty grievance procedure or collective bargaining agreement Records may include but are not limited to notices of grievance; informal discussion notes; grievance responses; formal hearing notes (including audio files); final summary statements; appeals documentation; and related documentation and correspondence. (Retention: 3 years after resolution, destroy)

(22) **Institutional Accreditation Records** Records document the accreditation process for the institution by the Northwest Association of Schools and Colleges (NASC). The series provides a record of materials compiled for inclusion in a packet report sent to NASC and provided to the on-site evaluators. This series may include but is not limited to self-evaluation reports; final reports sent to accreditation organization; statistical data; working papers; NASC evaluation report; and related documentation and correspondence. (Retention: Permanent)

(23) **Institutional Addresses and Statements Records** Records document speeches and statements written and delivered by institutional faculty and staff in connection with institutional business. This series may include but is not limited to final copies; audio or video recordings of the speech presentation; drafts; source

materials; and working papers. (Retention: (a) 5 years for drafts, source material, and working papers, destroy (b) Permanent for all other records)

(24) **Institutional Cooperation and Relations Records** Records document the coordination and interaction between units for the cooperative administration of programs within the institution. This series is used for monitoring, planning, and coordinating research, instructional, or administrative programs of common concern to two or more institutional units. This series may include but is not limited to copies of budget reports; activity reports; proposals; planning documents; agreements and memoranda of understanding; publicity and newspaper clippings; policy statements; working papers; and related documentation and correspondence. (Retention: (a) Permanent for proposals, planning documents, activity reports, policy statements, and publicity (b) 6 years after expiration for all other records, destroy)

(25) **Institutional Planning Records** Records document the college or unit's role in the development of short-term or long-term plans for the institution. This series may include but is not limited to instructions from the president; provosts; and/or vice provosts explaining the nature and purpose of the requested strategic planning effort; internal planning committee materials; statements of objectives and goals as developed by college or unit chairs and administrators; proposals; strategic planning reports; surveys; activity reports; informational materials; working papers; and related documentation and correspondence. (Retention: (a) Permanent for final planning reports, proposals, goal and objective statements, and instructions and explanations of process (b) 20 years for internal planning committee materials, surveys, activity reports, working papers, informational materials, and correspondence, destroy)

(26) **Institutional Survey and Reporting Records (HEGIS and IPEDS)** Records document compliance with U.S. Department of Education reporting requirements by verifying figures on financial, student, institutional, and faculty salary data as reported to OUS by individual OUS institutions and reporting those findings to the U.S. Department of Education. The series may also be used to provide information to the administrators and legislators, and to create other statistical reports. Records may include HEGIS (Higher Education General Information Survey) and IPEDS (Integrated Post-Secondary Education Data System) completed forms for Salary, Tenure, and Fringe-Benefit of Full Time Instructional Faculty, Financial Statistics of Institutions of Higher Education (IPEDS-F-1), Finance FY (G50-14P-F), Salaries of Full Time Instructional Faculty (G50-14P-SA), IPEDS Total Institutional Activity (G50-14P-EA), Institutional Characteristics Form (G50-14P-IC), Enrollment in Occupationally Specific Programs (G50-14P-IF), Completions for the Year reports (program ICR), AAUP (MEA-22), Degrees and Other Formal Awards Conferred (NC form 2300-2.1A), Fall Enrollment in Institutions of Higher Education (NC form 2300-2.3A), OCCD Degrees Granted in Post-Secondary Institutions in Oregon reports, Degrees Awarded by Oregon's Degree Granting Colleges and Universities reports, AAUP summary reports, and related working papers and correspondence. (Retention: (a) Permanent, final reports including the HEGIS/IPEDS survey forms (b) 10 years, all other records, destroy)

(27) **Intramural Sports Program Records** Records document the planning, implementation and operation of intramural sports programs for students, facility and staff within the institutions. Records include but are not limited to rosters, applications; enrollment records; activity records; and related correspondence (Retention: (a) 5 years after superseded for program records, destroy (b) 2 years for individual student records, destroy)

(28) **Lectures and Lecture Series Records** Records document the development and history of special lectures and continuing lectureships devoted to a variety of topics and disciplines sponsored by the institution. This series may include but is not limited to lecture committee notes; memoranda and planning materials; information on funding; financial support and honoraria records; patron information; programs and announcements; information on



catering arrangements; news releases; recordings and transcripts; photographs; video recordings; and related documentation and correspondence. (Retention: (a) Permanent for lecture committee notes, memoranda and planning materials, programs and announcements, news releases, transcripts, video recordings, and photographs (b) 10 years for all other records, destroy)

(29) **Legal Case Records** Records document litigation brought against the institution. Series contains case files pertaining to Affirmative Action conflicts; salary disputes; and differences in interpretation of contract language. (Retention: (a) Permanent for records of cases resulting in major policy modification, pleadings, final decisions, copies of records of the courts of cases considered historical, and summary statements (b) 6 years after final decision for all other records, destroy)

(30) **Legislative Relations Records** Records document efforts to review and plan institutional positions on impacting legislative actions. This series may include but is not limited to: OUS Bill Review and Tracking forms; bill tracking reports; notes; copies of pending or approved legislation; working papers; and related documentation and correspondence. (Retention: 2 years, destroy)

(31) **Lobbyist Records** Records document the activities of OUS employees who engage in lobbying the state government. Records may include: Lobbyist Registration Statement forms; Lobbyist Termination forms; Lobbyist Expenditure Report forms; the Oregon Government Standards & Practices Commission's Guide to Lobbying in Oregon; lobbyist listings and salary information and related documentation. The OUS Chancellor's Office maintains the system-wide record copy. (Retention: 5 years after last activity, destroy)

(32) **Notary Public Records** Records documenting notary transactions completed by a notary public employed by OUS. OUS may retain log books by agreement with the notary public after their separation from OUS employment. OUS institutions retaining notary public log books without notary agreements should consult their attorney and/or the Secretary of State, Corporation Division for Retention instruction. (Retention: 7 years after date of commission expiration, destroy)

(33) **OUS and OSBHE Relations Records** Records document the coordination and interaction between institutional administrative units and OUS and the OSBHE which have ultimate authority over both academic and fiscal programs. This series may include but is not limited to: minutes; agendas; budget reports; dockets; notes; activity reports; proposals; fee booklets; newsletters; memos; and related documentation and correspondence. (Retention: (a) Permanent for minutes and agendas; (b) 1 year for notes, memos, and correspondence, destroy (c) Until superseded or obsolete for all other records, destroy)

(34) **Policies and Procedures Records** Records document internal or external instructions, rules, and guidelines for current agency policies and procedures. This series may include but is not limited to: mission and policy statements; planning documents outlining responsibilities and goals; organizational charts; publications preparation guidelines; emergency procedures; job descriptions; guides for office procedures which often include completed samples of all forms; handbooks; desk manuals; and related documentation and correspondence. (Retention: (a) Retain final policy and/or procedure permanently (b) Retain all other records 1 year after policy and/or procedure adopted, destroy)

(35) **Professional Accreditation Records** Records document the accreditation process for the colleges, units, and related programs. The series provides a record of materials compiled for inclusion in a report packet sent to the appropriate professional accreditation board for the specific program or service and usually includes statements on mission, finance, educational programs and departments/divisions make up. Most accreditation organizations produce an evaluation report based on the packet and on-site inspection which is used to determine accreditation for the units and their programs. This series may include but is not limited to self-evaluation reports; final reports sent to accreditation organization; statistical data; working papers; accreditation organization evaluation report; and related documentation and correspondence.

(Retention: (a) Permanent for self-evaluation reports, final accreditation reports, and accreditation organization evaluation reports (b) 2 accreditation cycles for statistical reports, working papers, correspondence, and all other records, destroy).

(36) **Professional Membership Records** Records document institutional-paid individual memberships and activities in professional organizations. These records may include but are not limited to applications for membership; certification of membership; documentation of activities; and related correspondence. (Retention: 6 years, destroy)

(37) **Radio and Television License Records** Records document licensing of OUS campus radio stations and television channels (including distance education) with the Federal Communications Commission. Records may include FCC applications; licenses and contracts; and related correspondence. Federal regulations state that TV and radio licenses will ordinarily be renewed for 8 years unless the public interest, convenience and necessity will be served by an initial license or a renewal for a lesser term. (Retention: 10 years after expiration of license, destroy)

(38) **Signature Authorizations** Records document the certification of the institution's employees who are authorized to sign fiscal and contractual documents. These documents serve as an aid for management control over expenditures. This series may include but is not limited to authorization date; name; sample signature; position data; remarks; and conditions. (Retention: 6 years after authorization expires, destroy)

(39) **Special Activity Records** Records document the activities of an office which are performed in addition to its regular or main functions. Examples may include the completion of surveys and questionnaires, compilation of special studies for professional or academic associations, and special mailings. This series may include but is not limited to: arrangements documentation; working papers; questionnaires; survey forms; study designs; reports; and related documentation and correspondence. (Retention: (a) Permanent for final reports and study designs (b) 3 years for all other records, destroy)

(40) **Special Event Records** Records document the efforts of a college or unit to provide informative sessions, short-courses, workshops, training programs, excursions, and celebratory events for members of the institution and the communities it serves. This series may include but is not limited to: materials on planning and arrangements; reports; promotional and publicity materials; press releases and news clippings; photographs; video recordings; presentation materials and handouts; schedules of speakers and activities; registration and attendance lists; participant evaluations; and related documentation and correspondence. (Retention: (a) Permanent for planning materials, reports, promotional and publicity materials, press releases, photographs, and schedules of speakers and activities (b) 2 years for all other records, destroy)

(41) **Staff Meeting Records** Records document the meetings of the faculty and/or staff of a college, department, or office which sets policy and procedures for the unit. Participants at meetings may be composed exclusively of a mixture of faculty, staff, administrators, and managers; specialized and task oriented sub-committees composed of unit personnel are also documented as part of this record series. These meetings may concern routine matters of procedure and topics such as program development, planning, administrative and personnel management, and assessments of future needs. This series may include but is not limited to meeting notes/minutes; reports; working papers; agendas; and related documentation and correspondence. (Retention: (a) Permanent for meeting notes/ minutes, agendas, and reports (b) 4 years for all other records, destroy)

(42) **Vehicle Use Authorization and Request Records** Records document permission for employees to use their private automobiles for official use and authorization of non-employees and students to use state-owned cars. Records may include but are not limited to private vehicle safety certification forms; private vehicle certificate lists; driver authorizations for students and non-employees; and related documentation and correspondence. (Retention: 1 year after superseded or obsolete, destroy)

(43) **Visiting Scholar Program Records** Records document a program which allows one or more visiting scholars to assume residence on campus for an academic year or a shorter duration. This series may include but is not limited to advertisements; applicant data; arrangements and schedules; publicity and news clippings; presentation transcripts or published works; scholars activities documentation including audio recordings; and related documentation and correspondence. (Retention: (a) Permanent for applicant data, publicity, presentation transcripts, and scholars activities documentation (b) 4 years for all other records, 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 3-1999, f. & cert. ef. 10-11-99; OSA 2-2003, f. & cert. ef. 2-14-03; OSA 3-2004, f. & cert. ef. 7-29-04; OSA 4-2009, f. & cert. ef. 6-29-09; OSA 3-2012, f. & cert. ef. 10-29-12

## 166-475-0015

### Budget Records

(1) **Annual Budget Records** Records document the annual institutional budget provided to OUS, its planning, implementation, allocation and changes. This series includes but is not limited to: Operating Budget Expense by Categories and Functions Report; Estimated Gifts, Grants, Contracts and Clearing Account Summary Report; Student Fee Income and Application of Funds Report; Statewide Public Service Source and Application of Funds; other reports specified in yearly instructions from the Chancellor's Office; institutional budget preparation instructions; budget requests; budget status reports; budget change requests, registers and logs; budget detail reports; working papers including spread sheets, expenditure projections, salary and budget worksheets; allotment, capital outlay and equipment need reports; unit budget preparation instructions; working papers; memoranda; final summary reports and spread sheets; Budget Change Request Forms; budget change suspense records; budget change registers; authorization for budget change forms; copies of revised unit initial budgets; fund transfer notices; spread sheets; expenditure and obligation reports; allotment reports; and related documentation and correspondence. (Retention: (a) Permanent for Adopted Budget (b) 10 years for year end activity reports (c) 10 years for planning and preparation records (d) 4 years for change records (e) 1 year for all other activity reports, destroy)

(2) **Budget Report Records** Records used to monitor funding distribution within the university system and individual institutions. (Retention: (a) Permanent for OUS final adopted budget (b) 10 years for annual report "orange book", destroy (c) 4 years for summaries, destroy)

(3) **Cooperative Federal Program Budget Preparation, Projection and Allocation Records** This series is used to Records document develop, estimate, propose, and plan preliminary budget requests for cooperative federal/state programs and reflect the process by which the annual budget allotment is to be distributed to the department and its programs. This series may include but is not limited to: budget expenditure statements; General Ledger Statements of Accounts; salary work sheets; budget exhibits; project detail sheets; budget requests; OUS-Institutional Use Code budget forms (CO-119); budget change sheets; Federal Agency Annual Reports (Computerized Research Information System (CRIS) Form Ad-419); Federal Agency Status of Fund Reports; Governor's Suggestion Reports; Journal Vouchers; spread sheets; expenditure projection work papers; preliminary section budget proposals; budget development schedules; allotment reports; decision packages; spending plans; compensation plan proposals; contingency/deviation plans; various federal publications; reports; forms; and related documentation and correspondence. (Retention: 10 years, destroy)

(4) **Self-Sustaining Program Budget Projection and Allocation Records** Records document projecting annual budgets for units which operate on self-sustaining funds and to determine fees and fee-charging policies. This series may include but is not limited to: charts of accounts; reports of receipts and disbursements; fee schedules; financial statements; photocopies of vouchers; purchase orders; spread sheets; expenditure projection work papers;

budget development schedules; decision packages; spending plans; compensation plan proposals; contingency/deviation plans; current expenditure reports; average expenditure reports; and related documentation and correspondence. (Retention: 10 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 3-1999, f. & cert. ef. 10-11-99; OSA 2-2003, f. & cert. ef. 2-14-03; OSA 3-2004, f. & cert. ef. 7-29-04; OSA 4-2009, f. & cert. ef. 6-29-09

## 166-475-0020

### Contracts Records

(1) **Author's and Artist's Contracts and Agreements Records** Records document the duly executed and binding contractual agreements between the institution and authors and artists concerning subjects such as royalties, pricing agreements, and copyright. Information in individual contracts or agreements may include but is not limited to terms and conditions; provisions; amendments; exhibits and addenda; and authorizing signatures. (Retention: (a) Permanent for authors' contracts and agreements with university presses and artists agreements (b) 6 years after expiration for all other authors' contracts and agreements, destroy)

(2) **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. (Retention: Retain successful bids 6 years after bid awarded or canceled, destroy (b) Retain unsuccessful bids 3 years after bid awarded, destroy).

(3) **Contracts and Agreements Records** 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).

AGREEMENTS/CONTRACTS/LEASES INVOLVING EQUIPMENT ARE COVERED UNDER THE EQUIPMENT AND SUPPLIES POSITION OF THE SCHEDULES.

(4) **Defense Base Act (DBA) Records** Records document insurance coverage for institutional employees in foreign countries who are not covered by the State Accident Insurance Fund (SAIF). These records include one year contracts with a mandated insurance carrier. This series may include but is not limited to: liability claims against the institution that are both open and completed; legal files with affidavits; accident reports; estimates for repairs; police reports; suit status reports; disbursement records; settlements; and related correspondence. (Retention: 10 years after all claims are settled, destroy)

(5) **Hold Harmless, Liability Waiver, and Release Records** Records document the release of the institution or administrative unit from liability related to various activities involving students, faculty, or staff. Activities may include events such as sponsored field trips and physical education classes. Records include but are not limited to hold harmless, waiver, and release forms, related documentation, and correspondence. Information includes a statement from the participant that he/she assumes personal responsibility and holds the institution or administrative unit blameless for any accident or injury that may occur while participating, information about college insurance, description of the activity, and signatures of the participant. (Retention: 6 years after the end of the event or activity for which the waiver was signed, destroy)

(6) **Insurance Fund Claims Records** document requests for payment of insurance claims from the Oregon Department of Administrative Services Risk Management Division. Records may include: Auto/Liability/ Property Claim Reports; estimates of repairs; accident reports; police reports; and correspondence. (Department of Administrative Services Risk Management Division maintains statewide record copy). (**Retention:** 5 years after claim paid or denied, destroy)

(7) **Insurance Policy Records** Records document insurance policies written to cover all state property, automobiles, liability, and special events. Records may include but are not limited to copies of insurance policies, riders, and endorsements; records of payment; and related documentation and correspondence. (**Retention:** (a) 10 years after policy expiration for liability, motor vehicle, special event and employee group insurance policies, destroy (b) 5 years after policy expiration for state motor vehicle insurance, non-employee medical, and bonds policies, destroy (c) 2 years after policy expiration for fire, theft, or extended coverage policies, destroy (d) 1 year after final claim payment for any policy with an outstanding claim against it when the Retention period expires, destroy)

(8) **Intramural Sports Waivers Records** document the legally and medically informed status of students, faculty, and staff participating in intramural sports activities. This form affirms that participants have been informed that they are not covered by the institution for injury or other medical situations and have been advised to seek private insurance. (**Retention:** 3 years after the conclusion of the intramural sports season, destroy)

(9) **Real Property Records** Records document the real property acquired and sold by the institution. This series does not include leases. This series may include but is not limited to: purchase agreements; title abstracts; easement details; public hearing notices and minutes; county recorder's plat descriptions; memoranda of understanding; earnest money receipts; sales agreements; property deeds; working papers; and related documentation and correspondence. (**Retention:** 6 years after property is sold, destroy)

(10) **Student Housing Contracts Appeals Records** Records document the disposition of appeals made by residents who have been assessed the standard penalties for failing to follow the terms of their housing/food service contracts. These records consist of: students' appeals stating their reasons for seeking modification of contract terms; decisions from the director of housing, including instructions for further appeal if students have additional relevant information and desire to proceed; and related documentation and correspondence. (**Retention:** 2 years after resolution, destroy)

(11) **Student Housing Contracts Records** Records document occupancy in all institution-administered housing — residence halls, family housing, and cooperative housing. This series may include but is not limited to residence hall/cooperative house/student family housing applications and contracts; proof of admission records; and related documentation and correspondence. (**Retention:** 6 years after expiration of contract, destroy)

(12) **Trademarks Licensing Records** Records document the legal authority for non-system agencies to use the logos and other symbols constituting the registered trademarks of the institution, such as "Benny the Beaver," "Donald Duck" and the institutional seals/logos. The records consist of folders for each vendor or individual seeking legal use of institutional trademarks for any reason. This series may include but is not limited to: names and addresses of approved licensees; their annual gross dollar sales of Institutionally trademarked items; invoices showing royalties paid to the institution for use of the trademarks; licensing agreements; samples of the requesting licensees' art work; and related documentation and correspondence. (**Retention:** 6 years after expiration of licensing agreement, 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 3-1999, f. & cert. ef. 10-11-99; OSA 2-2003, f. & cert. ef. 2-14-03;

OSA 3-2004, f. & cert. ef. 7-29-04; OSA 4-2009, f. & cert. ef. 6-29-09

## 166-475-0025

### Curriculum and Instruction Records

(1) **Academic Program Administrative Records** Records document the daily and routine administration of academic programs of the department or college. This series may include but is not limited to: registration reports; add-drop analyses and reports; course enrollment summaries by class; graduation summaries; majors by class level; international activities; cooperative ventures; summer term classes and enrollment reports; placement information; convenience copies of reports prepared by admissions, registrar's, budgets and planning, and other offices; memos; working papers; and related documentation and correspondence. (**Retention:** 2 years, destroy)

(2) **Book Order Records** Records document books ordered for courses taught in the department. This series may include but is not limited to the institution textbook request forms which includes authors, titles, publications, course numbers, and expected enrollment; course packets; other forms; and related documentation and correspondence. (**Retention:** 1 year, destroy)

(3) **Catalog/Bulletin Records** Records document institutional policies and procedures, program requirements, and course offerings and may also be used for constructing new courses or reconstructing old courses. Information in the individual catalogs and bulletins includes academic policies and procedures, program names and descriptions, course names and descriptions, alphanumeric course designations, credits offered per course, and related program and course information. This series may include but is not limited to: catalogs and bulletins including the general, graduate, and summer session catalog/bulletin; mock-ups of catalogs and bulletins; preparation and working papers; and related documentation and correspondence. (**Retention:** (a) Permanent for official copy of catalog and bulletins (b) 1 year for all other records, destroy)

(4) **Class Scheduling Records** Records document the formulation of class schedules by academic departments for inclusion in schedule of classes. This series may include but is not limited to: the final edition of the schedule of classes booklet; requests from departments for class offerings; deviation from schedule forms; course schedule maintenance forms; requests for class changes; working papers; and related documentation and correspondence. (**Retention:** (a) Permanent for official copy of schedule of classes (b) 1 year for all other records, destroy)

(5) **Continuing Higher Education and Summer Session Course Records** Records document course offerings and individual course contents as offered by Continuing Higher Education and Summer Session. These records include: syllabi; course descriptions; course outlines; course request proposals; enrollment reports; course summaries; request for undergraduate and graduate course and instructor approval forms; nominations to the undergraduate faculty; course announcements; handout materials; budget requests; budget status forms; vouchers; final and summary reports; and related documentation and correspondence. (**Retention:** (a) Permanent for final and summary reports (b) 4 years for all other records, destroy)

(6) **Course Records** Records document departmental course offerings and individual course contents. This series may include but is not limited to: syllabi; course descriptions; course outlines; course summaries; course requests and proposals; curriculum approval lists; lists of classes by term; bibliographies; reading lists; course announcements; handout materials; and related documentation and correspondence. (**Retention:** 3 years or until superseded or obsolete, destroy)

(7) **Course Schedule Maintenance Forms Records** document requests for changes to be made to the institutional catalog and schedule of classes. The forms include course numbers; course titles; locations; grading modes; course descriptions; designators; fees; and credit hours. (**Retention:** 2 years, destroy)

(8) **Media Equipment and Productions Records** Records document the purchase, receipt, and subsequent scheduling and distribution of media productions and/or equipment. This series may include but is not limited to: equipment requests; letters of permission to use copyrighted materials; distribution schedules;



and related documentation and correspondence. **(Retention:** (a) 6 years after expiration for letters of permission, destroy (b) 4 years for all other records, destroy)

(9) **New Degree Program and Course Proposal Records** Records document the development of new departmental and inter-departmental degree programs, courses and related curricula that are currently under consideration for adoption. The series may also document requests to drop courses from the curriculum and/or to change the names of courses, the number of credits, or the prerequisite courses. This series may include but is not limited to curriculum committee meeting minutes; curriculum proposals; and related documentation and correspondence. **(Retention:** (a) Permanent for committee meeting minutes and curriculum proposals (b) 5 years for all other records, destroy)

(10) **Non-University Student Program Administration Records** Records document the administrative activities of special instructional and support programs directed to serve elementary through high school and non-institution students belonging to special, minority, or disadvantaged groups. Examples of programs to which this series applies are Science and Mathematics Investigative Learning Experiences (SMILE), Upward Bound, High School Equivalency, and other special non-institution student programs. This series may include but is not limited to policy and program planning and development documentation; evaluations of courses, support services, and instructors; program course outlines; tuition payment records; reports; statistical reports; working papers; and related documentation and correspondence. **(Retention:** (a) Permanent for policy, program planning, and development documentation and reports (b) 10 years for all other records, destroy)

(11) **Program Development and Review Records** Records documents planning and discussions relating to the implementation of new undergraduate and advanced degree programs and any major reorganizations or changes to established programs. This series may include but is not limited to: final reports; working papers; letters of support; review agendas; faculty status reports; reviews of individual degree programs by campus and off-campus sources; and related documentation and correspondence. **(Retention:** (a) Permanent for final reports and reviews of individual degree programs by on and off-campus sources (b) 10 years for all other records, destroy)

(12) **Room Scheduling Records** Records document room assignments for classes offered during regular terms or during the summer session. This series may include but is not limited to room assignment lists and related documentation; class room technology requests. **(Retention:** 1 year, destroy)

(13) **Special Academic Programs Records** Records document the administrative activities of special academic programs serving and aiding institution students. Programs documented by this series range from special requirement and certification programs to programs aimed at assisting and encouraging target groups of institution students. Included are the international student program; National Student Exchange (NSE) program; English language programs; honors programs; minority scholars programs; minority student recruitment programs; disabled student programs; non-traditional student programs; educational opportunities programs; older than average student programs; Native American science programs; study abroad programs; and other special academic programs. This series may include but is not limited to policy and program planning and development documentation; explanatory materials on the program; notes; evaluations of courses, support services, and instructors; program course outlines; tuition payment records; program participation and aid selection records; activity accounting records; working papers; reports; and related documentation and correspondence. **(Retention:** (a) Permanent for policy and program planning and development documentation and reports (b) 10 years for all other records, destroy)

(14) **Student Handbooks Records** document the requirements, policies, and offerings of specific instructional units for use by current or potential students. This series contains information or policies on: fields of study; faculty; academic requirements; the

evaluation process; and the research proposal process. **(Retention:** Permanent)

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 3-1999, f. & cert. ef. 10-11-99; OSA 2-2003, f. & cert. ef. 2-14-03; OSA 3-2004, f. & cert. ef. 7-29-04; OSA 4-2009, f. & cert. ef. 6-29-09

## 166-475-0030

### Equipment and Supplies Records

(1) **Equipment Inventory Records** Records document the acquisition, location, transfer, and disposition of state-owned property and equipment. This series may include but is not limited to: Equipment Inventory Lists; lost/stolen property reports; Damage or Loss of State Property Claim; equipment transfer forms and memos; and related documentation and correspondence. The series may also include biennial equipment list; returned departmental equipment inventory lists with annotations concerning resolution of problems associated with the accountability, physical condition, and physical location of specified pieces of equipment. **(Retention:** (a) Biennial inventory records: 4 years, destroy (b) transfer forms, 4 years, destroy (c) equipment lists until superseded or obsolete, destroy (d) all other records 4 years after superseded or obsolete, destroy)

(2) **Equipment Loan Agreements Records** Records document the institution's lending of equipment to borrowers conducting research, educational programs, and or other activities consistent with institution goals and missions. This series may include but is not limited to signed equipment loan agreements which outline the conditions under which the loan is made and the responsibility assumed by the borrower; and related documentation and correspondence. **(Retention:** 6 years after expiration of agreement, destroy)

(3) **Equipment Maintenance Records** Records document the operation, maintenance, service and repair of institutional equipment. Records may include: purchase orders; lease agreements; warranties; instructions and operating manuals; vendor statements; service contracts; charge call bills; fax activity reports; service logs; invoices for equipment repair; purchase request forms; and memoranda. **(Retention:** 1 year after disposition of equipment, destroy)

(4) **Equipment Rental and Loan Records** Records document the rental/loan and return of university property such as recreational equipment and lockers and is also used to determine usage trends as an aid to purchase and replacement decisions. Records may include rental agreements; loan forms; usage logs; and related correspondence. **(Retention:** 2 years after return of property, destroy)

(5) **Federal Property Records** Records document "agency-owned" (usually federal) properties loaned to the institution or agency-owned property purchased with (usually federal) non-institutional state funds for research contract use at the institution. Such property is carried on the state equipment inventory records for insurance and management purposes. This series may include but is not limited to Annual Equipment Inventory Lists; federal physical equipment inventory reports; copies of federal form DD 1419; institutional acquisition, transfer, and disposition forms; memoranda of understanding or agreements; and related documentation and correspondence. **(Retention:** (a) 6 years after expiration: memoranda of understanding and agreements, destroy (b) 3 years after final disposition of equipment or property: all other records, destroy)

(6) **Food and Alcohol Inventory Records** Records document the dollar value of food, alcohol, and other consumable stock at the end of each month for planning, ordering, and fiscal accounting purposes. This series may include but is not limited to in-house computer generated food inventory reports; alcohol inventory reports; summary reports; and other related documentation and correspondence. **(Retention:** 4 years, destroy)

(7) **Food Ordering and Delivery Records** Records document vendor deliveries, transfers of food and supplies from the housing office warehouse, updated pricing information, and other vendor information. This series may include but is not limited to direct

delivery vendor invoices; and requisition forms. **(Retention:** 4 years, destroy)

(8) **Issue Tickets Records** Records document the distribution of consumable supplies such as gasoline, oil, rock, gravel, and other supplies issued for authorized use. This series may include but is not limited to issue tickets; receipts; sign-out sheets or logs; journal vouchers; purchase authorizations; and other related documentation and correspondence. **(Retention:** 4 years, destroy)

(9) **Miscellaneous Closing of Books Reports Records** document fiscal year ending reports sent to the OUS Controller annually. This series includes but is not limited to reconciliation statements; reports on non-expendable property received; museum collections; vendors invoices; storeroom physical inventories; and related documentation and correspondence. **(Retention:** 6 years, destroy)

(10) **Requisitions Records** Records document the purchase of supplies and services by the institution. This series may include but is not limited to purchase requests; State Purchase Request Forms; field purchase orders; inter-departmental requisitions for equipment, supplies, and services; and related documentation and correspondence. **(Retention:** 4 years, destroy)

(11) **Research and Teaching Drug Inventory Records** Records document the daily inventory of drugs and controlled substances held by units for clinical, instructional, and research uses. These records include daily shift inventory logs listing descriptions, quantities, and initials of pharmacists conducting the inventories. Complies with 21 CFR 1304.04(a). **(Retention:** 2 years, destroy)

(12) **Sale Inventory Records** Records document saleable items in colleges or unit's inventories. This series may include but is not limited to stock printouts; inventory reports; and related documentation and correspondence. **(Retention:** 4 years, destroy)

(13) **Shipping Lists and Packing Slips Records** document the receipt of equipment, supplies, other items and services from vendors. The series includes packing slips; shipping and container lists; and bills of lading. **(Retention:** 1 year, destroy)

(14) **Supplies Inventory Records** Records document the quantity and value of all supply items with a value of \$4999.99 or less. Supply Inventories are required by the institution on an annual basis and mandated by OUS every five years. This series may include but is not limited to a listing of institution-wide supplies inventories consolidated from each unit's submissions to the property administration office; departmental supplies inventory forms (OUS Form CO 340A); supply lists and ledgers; OUS Estimated Supplies Reports; and related reports, documentation, and correspondence. **(Retention:** 4 years after superseded or obsolete, destroy)

(15) **Surplus Property Records** Records document changes in state owned property; requests to declare items surplus, salvage, or scrap; removal and sale or disposal of excess equipment and other surplus items including proceeds from sales. Records may include but may not be limited to surplus property declaration and pick-up requests; pick-up request worksheets; State Property Disposition Requests (PDR forms); quarterly and other computer generated reports of sales to other departments, agencies, or private parties; journal vouchers; descriptive information; property sale flyers; surplus property sales inventory lists; bills of sale; cash receipts; vehicle odometer statements; and related documentation and correspondence. **(Retention:** 4 years, destroy)

(16) **Vehicle Records** Records document departmental administration of vehicles such as cars, vans, trucks, trailers, boats, tractors, and farm vehicles for accounting and insurance purposes. It may also document the service history, accumulated mileage, and disposition of each vehicle of institutionally owned vehicles, including routine preventative maintenance, mechanical repairs, and accident damage repairs. This series may include but is not limited to registrations; vehicle warranties; maintenance agreements; service contracts; vehicle inventories containing information regarding description, dollar value, and date of purchase; maintenance and repair logs; vehicle titles; gas slips; maintenance requests and work orders; repair notices and authorizations and related documentation and correspondence. **(Retention:** (a) 1 years for gas

slips (b) 2 years after disposal of vehicle for all other records, destroy)

(17) **Vendor History Reports** Records document vendor data, selection, and updating pertaining to departmental and college operations. This series may include but is not limited to: reports containing vendor numbers, payee names, invoice numbers, amounts, warrant/voucher numbers, and message comments; copies of purchase orders; requisitions; packing slips; promotional and advertising materials; product specification sheets; and related documentation and correspondence. **(Retention:** (a) Until superseded or obsolete for advertising materials, destroy (b) 2 years after superseded or obsolete for all other records, 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 3-1999, f. & cert. ef. 10-11-99; OSA 2-2003, f. & cert. ef. 2-14-03; OSA 3-2004, f. & cert. ef. 7-29-04; OSA 4-2009, f. & cert. ef. 6-29-09

## 166-475-0035

### Facilities and Property Records

(1) **Building Space Inventory and Valuation Records** Records document the buildings owned and leased by the various institutions within the Oregon University System both on and off campuses. Building Space Inventory reports are used to project institutional space needs; to identify deferred maintenance; and to provide cost recovery support documentation for major research universities receiving federal money, grants, or private gifts. The inventories are kept at the individual institutions with periodic updates being provided to the Board's Offices of Facilities Services. Records include but are not limited to computer generated reports with details by building (SP440-01), type of space (SP450-01), principal use (SP455-01), department (SP460-01), and area. Records may also include various summary reports such as Institution Summary by Building (SP445-01). All computerized reports are updated at least annually. OUS Facilities Services holds system-wide record copy of Space Inventory reports. Building Valuation Reports are used for State Insurance Fund (formerly State Restoration Fund) purposes and include building name, building number, location, capitalized value, and insured value. The report is prepared annually by the Controller's Division and distributed to the institutions. All updates, additions, and deletions are prepared at the institution level and reported to the Controller's Division. **(Retention:** (a) Permanent for summary space inventory reports and building valuation reports (b) 10 years for all other records, destroy)

(2) **Buildings/Grounds Repair, Maintenance, Remodeling, and Construction Records** Records document the condition, upkeep, and routine maintenance of the institution's buildings and grounds. It also documents remodeling and construction projects with a total expenditure of less than \$100,000 over six years. This series may include but is not limited to floor plans; specifications; layouts; sketches; maintenance agreements; work logs; sign-in sheets; and related documentation and correspondence. **(Retention:** (a) Permanent for floor plans, layouts, sketches, and specifications (b) 6 years for all other records, destroy)

(3) **Capital Construction Project Records** Records document the planning, administration, and implementation of current and potential capital construction projects on campus (projects with a total expenditure of at least \$100,000 over six years); to project needs for projects; and as a reference to projects once they have been completed. The series also provides a record of the funding of current capital construction projects on campus and to prepare budgets and allocations for capital construction projects. This series may include but is not limited to project descriptions and requirements; plans; plan reviews; project schedules; contract change orders; bid documentation; contracts and agreements with architects, artists, engineers, consultants, vendors, and contractors; materials and soils reports; progress reports; insurance reports; payment schedules; summary reports; memos; final acceptance statements; architectural blueprints; sketches; aerial photographs; preliminary planning drawings; as built drawings; drawings reflecting changes to the original plans; soil testing maps; any other type of graphic

representation produced relating to buildings, systems, and land. The series also includes project descriptions; budget projection and allocation records; budget authorization forms; budget change orders; final acceptance statements; and related documentation and correspondence. **(Retention:** (a) Permanent for plans, plan/design exceptions, soil tests (b) 10 years for all other records, destroy)

(4) **Chemical Application Records** Records document the application of chemicals such as pesticides, herbicides, and fertilizers to institutional property. Information usually includes date used; weather conditions; application area; chemical applied; mix ratio; and coverage rate. **(Retention:** 30 years, destroy)

(5) **Classroom and Laboratory Utilization Reports** Records document the utilization of classroom and laboratory space. This series includes preliminary and final reports which contain class number, time of the class, and the number of students in the class. **(Retention:** (a) 5 years for final utilization reports, destroy (b) 2 years for preliminary utilization reports, destroy)

(6) **Faculty and Staff Reports** Records document the number of full time equivalent (FTE) positions in instruction, research, administration, public service, fellowships, and classified staff. This series consists of forms from departments showing FTE positions (including staff identification numbers) and office space required. The summaries include department total FTE for each of the principal activity categories listed above. **(Retention:** (a) Permanent for summaries (b) 5 years for all other records, destroy)

(7) **Land Inventory Records** Records document real property owned and leased by the various institutions within the Oregon University System and lists each parcel that has been acquired through ownership or under some form of lease agreement. Records include but are not limited to Land Inventory Reports, the OUS Land Inventory manual, records pertaining to permanent land and deed filings with the state, and related documentation and correspondence. Information in the Land Inventory Reports includes from who the land was acquired, date of acquisition, use of the land, source of revenue used to acquire, acreage, capitalized value, and where the transaction is recorded in the Board minutes. OUS Facilities Services holds system-wide record copy and annual reports are provided to the institutions. **(Retention:** (a) Permanent for the OUS Land Inventory Manual, records relating to deeds, correspondence, and every fifth year of Land Inventory Reports (b) Until superseded or obsolete for all other Land Inventory Reports, destroy)

(8) **Property Tax Exemption Claim Records** Records document claims for exemptions from institutions paying property taxes in Oregon and other states due to the educational use of the property. Exemptions are typically made on an annual basis. Records may include applications for exemption and related documentation and correspondence. **(Retention:** 6 years, destroy)

(9) **Room Change Requests Forms** Records document room assignments and room remodeling done by facilities services units. Information on the change request forms may include but is not limited to the building and room; the reason for the change; who requested the change; who approved the change; date the change was requested; source of funds; special approvals needed and date approved. **(Retention:** 5 years, destroy)

(10) **Utilities Systems Operating and Maintenance Records** Records document the operations and maintenance of institutional utilities. This series may include but is not limited to equipment operations logs; mechanical readings charts; equipment maintenance histories; and related documentation and correspondence. **(Retention:** (a) 4 years after equipment is no longer in service for equipment maintenance histories, destroy (b) 10 years for all other records, destroy).

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 3-1999, f. & cert. ef. 10-11-99; OSA 2-2003, f. & cert. ef. 2-14-03; OSA 3-2004, f. & cert. ef. 7-29-04; OSA 4-2009, f. & cert. ef. 6-29-09

## 166-475-0040

### Fiscal — Accounts Records

(1) **Annual Fiscal Reports** Records document annual fiscal year-end status of accounts and is used to provide the office with

summary information relating to its programs which may be used for planning or review. Records include Period 14 reconciliation reports; annual operating statements; schedules of rates; and related correspondence. **(Retention:** 10 years, destroy)

(2) **Building and Equipment Reserve Schedules** Records document individual account summary and to show what the balance should be, as well as the amount of current year entries needed to bring the account up to that balance. The series also serves as backup to the general ledger entries. Information may include building or equipment value, required reserve, actual balance, deficiency, and amount to transfer in the current fiscal year. **(Retention:** 6 years, destroy)

(3) **Certificates of Participation Records** document the administration of Certificates of Participation (COP's) primarily sold to finance institutional equipment, software, hardware, and consultants' time. The series may also be used to split COP debt service amongst the institutions and make entries charging them for COP related debt service. Records may include but are not limited to Certificates of Participation, COP budget development and cash draw down records, and related executive and administrative correspondence. **(Retention:** (a) Permanent, executive correspondence (b) 4 years after COP maturity, all other records, destroy)

(4) **Chart Element Reports** Records document every fiscal FOAPAL element used by the institution which include Index, Fund, Organization, Account, Program, Activity and Location Codes. Records consist of reports generated on a particular FOAPAL element which include the element; a brief descriptive title; and effective, termination, and next change dates. **(Retention:** Until superseded or obsolete, destroy)

(5) **Chart Element Justification Records** Records document fiscal chart of accounts elements and an office's request to establish a new index or FOAPAL element, change an existing element, or terminate an existing one. Records consist of request forms which include a description of the request, the proposed FOAPAL and index elements, effective date, and signatures of requesters and authorizing officials. **(Retention:** Permanent)

(6) **Closing of the Books** Records document the resolution and reconciliation of accounts monitored by the institution, the OUS Budget and Fiscal Policies Office, or Controller's Office at the end of the fiscal year. Records include reconciliation statements provided by each institution to OUS Budgets and Fiscal Policies or the OUS Controller's Office concerning discrepant accounts for which they are responsible and related documentation and correspondence. **(Retention:** 6 years, destroy)

(7) **Development and Endowment Management Fee Records** Records document the revenue earned quarterly on gift accounts and fees charged by the institution's development office. Information includes dates; gift account amounts and identification numbers; earnings; department or account responsible for payment; and fee amount. **(Retention:** 6 years, destroy)

(8) **General Ledger Statements** Records document a complete monthly record of the final posting of all university financial transactions, listed by account number. It is used to prepare periodic financial statements. Records contain: the program name; account number; posting date; debit and credit amounts; new balance; and related information. This is a closed series that was discontinued when the institution adopted the Banner Financial Information System (FIS). **(Retention:** (a) 15 years for List 13, destroy (b) 5 years for Lists 1-12, destroy)

(9) **Miscellaneous Accounting Reports** Records document the production of various accounting reports made by individual offices or departments on a daily, monthly, quarterly, or annual basis. These reports provide summary information relating to the department and its programs, and may be used for planning or review. Reports include operating statements, year-end projections, reconciliations, and expenditures by facilities, accumulated hours and dollars by employee, summaries of assets and liabilities, sales, cost accounting, and income. This series does not include the year-end Closing of the Books Reports. Records may include but are not limited to working papers; drafts; final reports; and related docu-



mentation and correspondence. (**Retention:** (a) 5 years for annual reports, destroy (b) 1 year for daily, monthly, and quarterly reports and working papers, destroy)

(10) **Operating and General Ledger Reconciliation Records** Records document monthly reconciliations with the operating ledger or general ledger. Records consist of working papers and monthly reconciliation reports. (**Retention:** 6 years, destroy)

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 3-1999, f. & cert. ef. 10-11-99; OSA 2-2003, f. & cert. ef. 2-14-03; OSA 3-2004, f. & cert. ef. 7-29-04; OSA 4-2009, f. & cert. ef. 6-29-09

## 166-475-0045

### Fiscal — Cash Records

(1) **Bank Advice Statement Records** Records document discrepancies (over or short) on bank deposits made by institutional cashiers. It is also a record of discount charges and rental charges by the bank for bank card use. Records consist of bank initiated advisories received by Business Affairs for adjustments to accounts because of bank or office clerical errors. (**Retention:** 4 years, destroy)

(2) **Cash/Deposit Match Records** Records document the equality or inequality of cash receipts versus bank deposits on a daily basis. Records consist of weekly reports that list the account numbers managed by the office with daily entries for cash receipts in each account and corresponding bank deposits in each account. The computer program flags those accounts where daily cash receipts do not equal bank deposits for that date and labels them “Out of Balance.” (**Retention:** 4 years, destroy)

(3) **Cash Receipt Records** Records document transactions for cash received by the agency. Records may include cash register tapes or equivalent, copies of receipts, and batch sheets. Records include cash batch records, monthly cash reports and weekly cash summary reports. (**Retention:** Retain 6 years, destroy)

(4) **Cash Records** Records document cash received or disbursed by an office. It also documents all money received and deposited to departmental accounts through the cashier’s daily bank deposits. Records may include but are not limited to departmental deposit slips; cash receipt slips; validation receipts; cash register tapes; bank deposit slips; check stubs; petty cash balance sheets; check registers; Cash by Account Number reports; check images; credit card receipts; and cash register reports (**Retention:** 5 years, destroy)

(5) **Cashier’s Daily Summary Records** Records document and summarizes tellers’ daily activity. Information includes amounts processed for payments; amount of checks; activity to and from the vault; beginning and ending daily cash; deposits made by other units; and cash over/short amounts. (**Retention:** 4 years, destroy)

(6) **Credit Voucher Requisition Records** Records document funds released to students by the cashier division of Business Affairs as authorized by other units. Records include recipient signed receipts acknowledging receipt of funds from the Cashier; check stubs; and other documents. (**Retention:** 5 years, destroy)

(7) **Log Out Records** Records document checks processed by the office and given to another party. The record is generated for cashier’s window reference purposes. Records include photocopies of checks logged out to other departments; returned to sender; handed back to student; and co-payee GSL/SLS checks in which the total check was used to pay charges or change given to student. (**Retention:** 4 years, destroy)

(8) **Safekeeping Records** Records document funds placed with Business Offices for safekeeping in trust and their disbursement to students or departments. Funds may be placed by associations, corporations, or parents on behalf of specified students or departments. Records may include disbursement instructions; copies or images of checks; and receipts. (**Retention:** 4 years, destroy)

(9) **Ticket Sales and Event Cash Reconciliation Records** Records document the printing, selling, distribution, and accounting of tickets for university-sponsored athletic, performing arts, and other events where tickets are sold for admission. A portion of athletic event receipts is shared with visiting teams. Records may include ticket stock orders; ticket type reports; ticket purchase

manifest forms; box office balance sheets; ticket printing and control records; season ticket sales lists; receipts and orders for mail, phone, or in-person purchase of tickets; ticket sales summary sheets and reports; free ticket sign-up sheets; lists and reports of free tickets distributed to patrons, contributors, and others; deposit receipts; and related documentation and correspondence. Records pertaining to athletic events are kept in compliance with NCAA and state requirements. (**Retention:** 5 years, destroy).

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 3-1999, f. & cert. ef. 10-11-99; OSA 2-2003, f. & cert. ef. 2-14-03; OSA 3-2004, f. & cert. ef. 7-29-04; OSA 4-2009, f. & cert. ef. 6-29-09

## 166-475-0050

### Fiscal — Payables/Receivables Records

(1) **Accounts Aging Records** Records document a cumulative listing by accounts receivable number of all receivables on the Accounts Receivable master file in the Banner Student Information System. For each receivable, the amounts that are not yet due, currently due, and overdue are indicated by fiscal year. Records consist of account listings sorted numerically by customer showing balances. Listings are generated at the end of the fiscal year and at other times upon request. (**Retention:** (a) 10 years for year-end listing, destroy (b) 4 years for other listings, destroy).

(2) **Accounts Payable Records** Records document a department’s expenditures and purchases. The series may also be used to research, evaluate, and monitor prior transactions and/or track the budget. Records may include but are not limited to departmental purchase orders; contract release orders; balance sheets; bills; invoices; invoice vouchers; journal voucher/entry forms; price quotes; State of Oregon “B” Purchase Orders; departmental requisitions; justifications of purchases; payment authorizations; reports of receipt of goods or services; and related documentation and correspondence. (**Retention:** 6 years, destroy).

(3) **Accounts Receivable Records** Records document a record of billings and collections for the office and units/programs which report to the office. It is also used to provide a record of customers owing monies and to reconcile the account. Records may include but are not limited to Account Edit sheets; classified advertisement forms; credit card payment forms; invoices; journal vouchers; receipts; returned checks; and related documentation and correspondence. (**Retention:** 6 years after collected or deemed uncollectable, destroy).

(4) **Accounts Receivable Subsidiary Records** Records document history of charges and payments recorded for each customer on the Banner Student Information System. Records consist of customer lists sorted by account number with charges and payments recorded for each customer in chronological sequence. (**Retention:** 6 years, destroy).

(5) **Accounts Receivable Write-off Records** Records document debts of Accounts Receivables written off with the approval of the Institution’s business office. Records include accounts receivable invoices; write-off worksheets; and due diligence documents. (**Retention:** 6 years after write-off, destroy).

(6) **Canceled Checks Records** Records document redeemed checks written on university accounts. Information on each check may include check number, date, amount, endorsement, account number, validation data, and related documentation. (**Retention:** 6 years, destroy).

(7) **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 30 days, destroy (b) Retain ACH transaction or IRD 6 years, destroy).

(8) **Check Stubs** Records documents the issuance of checks for payment in exchange for goods and services including payroll. Records include check stubs. (**Retention:** 6 years, destroy).

(9) **Collection Records** Records document the office’s efforts to collect unpaid accounts. Records include collection letters; notices; letters of transmittal; and bankruptcy records. (**Retention:** 6 years after account is paid in full or written off, destroy).

(10) **Credit and Debit Receipts** Records document 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).

(11) **Credit Card Administration Records** Records document administration of credit cards issued to institutional staff and units. Records may include applications; master monthly billing statements; individual card holders' statements; billing summaries; reports including vendor analysis by code; number of charges and stores; use summaries; related correspondence. (Retention: (a) 6 years after card expiration for applications, destroy (b) 6 years for all other records, destroy).

(12) **Moving Expenses Records** Records document new employees' moving and travel expenses paid by the institution. Records may include but are not limited to requests for approval-travel and moving reimbursement of new employee forms; purchase orders; travel reimbursement requests; vendor invoices; and receipts. (Retention: 6 years, destroy).

(13) **Refund/Disbursements Request Records** Records document requests and disbursements made for overpayment and refunds. Records include accounting data for refunds from parking violation fines paid and successfully appealed; tuition and fee refunds when courses are dropped; refunds for event tickets, loan overpayments, change-of-residence, and canceled courses; a log of refunds and requests for reissue of lost checks. (Retention: 6 years, destroy)

(14) **Registration Fee Records** Records document the payment of registration fees, which are considered travel expenses. Records may include but are not limited to completed registration forms; journal vouchers; invoices; purchase orders; and wire transfer forms. (Retention: 6 years, destroy).

(15) **Revolving Charge Agreements Records** Records document a student's agreement with the provisions of the accounts receivable revolving account and his/her intent to attend the institution. Records include agreement forms signed by each student. (Retention: 3 years after last enrollment and account paid in full, destroy).

(16) **Travel Records** Records document requests for and approval of travel by employees of the institution or the agency; to monitor travel expenditures; for planning purposes; to document changes in dates of travel, changes in the name of the traveler, changes in itinerary, or changes in funding sources within an out-of-state travel authorization; and to document approval for vehicle rental. Records may include but are not limited to out-of-state travel authorization forms, travel itineraries, travel advance forms, travel reimbursement requests (employee and non-employee), receipts, approval memos, vehicle mileage reporting records, memos in place of itemized receipt, affidavits of lost receipt memos, authorizing signatures, airfare documentation and related documentation and correspondence. (Retention: 6 years, destroy).

(17) **Unclaimed Property Report Records** 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: 3 years after the property is remitted to the Department of State Lands).

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 3-1999, f. & cert. ef. 10-11-99; OSA 2-2003, f. & cert. ef. 2-14-03; OSA 3-2004, f. & cert. ef. 7-29-04; OSA 4-2009, f. & cert. ef. 6-29-09; OSA 1-2010, f. & cert. ef. 5-27-10; OSA 3-2012, f. & cert. ef. 10-29-12

## 166-475-0055

### Financial Aid Records

(1) **Athletic Scholarship and Grant-In-Aid Award Records** This series is used to provide athletic departments with information pertaining to player eligibility and receipt of financial aid in the form of scholarships including grant-in-aid scholarships, to monitor accounts, and to assist in complying with NCAA, NAIA and conference rules and regulations. These records include squad lists

which furnish summary information; conference eligibility reports; team roster update sheets; scholarship count sheets showing who is on the schedule to receive aid; applications; nominee lists; eligibility questionnaires; eligibility reports which determine years of eligibility unused; credit voucher request sheets notes; and related documentation and correspondence. (Retention: (a) 10 years for NCAA records, destroy (b) 5 years for all other records, destroy)

(2) **Borrowers Loan Records** Records document and is a monitoring tool for all Perkins and National Direct Student Loans that have been canceled because of bankruptcy, death or disability, bad debts, write-offs, and assignments. This series consists of files for each borrower. This series may include but is not limited to repayment schedules; statements of rights and responsibilities; records of actions taken; and related documentation and correspondence. (Retention: (a) 3 years after loan repayment or assignment to U.S. Department of Education, destroy (b) 3 years after debt cancellation or assignment to U.S. Department of Education for canceled loans, destroy)

(3) **Credit Bureau Reports Records** document holders of student loans that have been reported to credit bureaus. This series contains reports which list each borrower's name; the amount past due; and related documentation. (Retention: 2 years after collected or deemed uncollectable, destroy)

(4) **Federal Title IV, Program Records**, Institutional Records document eligibility to participate and school's administration of Federal Title IV and programs. Records include Institutional Program Participation Agreement; Recertification; Education program eligibility; Accreditation reviews; and reports; State agency reports; Audits and program reviews; Other records, as specified in regulation, that pertain to factors of financial responsibility and standards of administrative capability; and Consortia Agreements between and amongst schools. (Retention: (a) Agreements: 6 years after expiration, destroy (b) Records pertaining to borrower eligibility: 3 years after the end of the award year in which the student borrower last attended the institution, destroy (c) Fiscal Operations Report, Application to Participate and supporting documentation: 3 years after the end of the award year in which the FISAP is submitted, destroy (d) Records involved in any loan, claim, or expenditure questioned by a Title IV, HEA program audit or review, investigation, or other review: Until the resolution of that questioned loan, claim, or expenditure, or the end of the Retention period applicable to the record, whichever is longer, destroy)

(5) **FFELP and Direct Loan Records** Records relate to Federal Family Education Loan Program (FFELP and Direct Loan Programs including but not limited to Eligibility (student and/or parent); Application; Disbursement records; Promissory notes; and Student Status Confirmation Reports (SSCR). (Retention: (a) Records relating to a student or parent borrower's eligibility: 3 years after the end of the award year in which the student borrower last attended the institution, destroy (b) Other records relating to the participation in FFEL or Direct Loan Program: 3 years after the end of the award year in which the records are submitted, destroy (c) Records involved in any loan, claim, or expenditure questioned by a Title IV, HEA program audit or review, investigation, or other review: Until the resolution of that questioned loan, claim, or expenditure; or the end of the Retention period applicable to the record, whichever is longer, destroy)

(6) **Financial Aid Annual Reports Records** document cumulative loan activity of each fiscal year through a required year-end report made to the U. S. Department of Education. Records may include but are not limited to schedules and instructions; working papers; exhibits audit reports; findings; rebuttals; and related documentation and correspondence. (Retention: (a) Audit reports, exhibits, findings, rebuttals: 20 years, destroy (b) Other records: 5 years after completion of audit, destroy)

(7) **Financial Aid Transcripts Hold Records** Records document monitoring of students who have been delinquent in or in default of financial aid payments. Records include lists indicating: students' names and addresses; academic majors and standings; and account status. This is a closed series. (Retention: 5 years, destroy)

(8) **Fiscal Records and Reports** Records document Federal Title IV Aid transactions, including receipt, management and disbursement of funds. Records of all Title IV program transactions; Bank statements for all accounts continuing Title IV payments, cash disbursements, refunds, and repayments; General ledger (must be separate from school's other financial transactions) and related ledgers that identify each Title IV program transaction; Federal work-study payroll records; Annual Federal Fiscal Operations and Applications for Funds Report (FISAP). Records support data appearing on required reports: Federal Pell Grant Statements of Account; ED Payment Management system cash requests and quarterly or monthly reports; Title IV program reconciliation reports; Audit reports and school responses; State Grant and Scholarship award rosters and reports; Accrediting and licensing agency reports. **(Retention:** 3 years after the end of the award year unless otherwise specified, destroy. FISAP exception: 3 years after the end of the award year in which the FISAP was submitted, destroy)

(9) **Graduate Student Tuition Remission Records** Records document the remission of tuition for courses taken by eligible graduate students, such as research and/or teaching assistants. This series may include but is not limited to authorizations; reconciled lists; account summaries; and related documentation. **(Retention:** 8 years, destroy)

(10) **Loan Activity Records** Records document payments, adjustments, draw advances, address and status changes, cancellations, deferments, and postponements on borrower's accounts. **(Retention:** 3 years after loan is paid, destroy)

(11) **Minority Scholars Program (MSP) Records** Records document the application, selection, and progress of students belonging to various minority groups who apply for the OUS Minority Scholar Scholarship. This series may contain but is not limited to MSP applications; candidate selection information; academic and personal information about applicants; notifications of award; notifications of denial of award; applicants letters of decline; notification of transfer to another institution; and related documentation and correspondence. This is a closed series. **(Retention:** 5 years after award notification, destroy)

(12) **Pell Grant Reports Records** document summary of reports submitted to the Pell Grant Scholarship program on a routine basis. Reports are submitted on OMB 1840-0540 and summarize money awarded, received and disbursed, the balance remaining, and dates. **(Retention:** 5 years after audit, destroy)

(13) **Perkins Loan Program Records** Records relate to Perkins Student Loan, National Direct Student Loan, and Nursing Loan; and show each borrower's payment history (showing date and amount of each repayment) and amount of each repayment credited to principal, interest, collection costs, and penalty or late charges. Documentation of each contact with borrower or endorser in collection of overdue loan, including date, nature, result of the contact, and copies of all correspondence, collection agency reports, and litigation records. **(Retention:** (a) Records relating to the administration of the loan: 3 years after the end of the award year for which aid was awarded and disbursed, destroy (b) Fiscal Operations Report, Application to Participate and supporting documentation: 3 years after the end of the award year in which the FISAP is submitted, destroy (c) Records involved in any loan, claim, or expenditure questioned by a Title IV, HEA program audit or review, investigation, or other review: Until the resolution of that questioned loan, claim, or expenditure; or the end of the Retention period applicable to the record, whichever is longer, destroy)

(14) **Student Loan Cash Input Transaction Lists Records** document the repayment of student loans on a daily basis and is used to apply the loan payments to the individual student accounts. This series includes daily listings of loan payments received. **(Retention:** 4 years, destroy)

(15) **Student Financial Aid Records** Records document student eligibility common to all Federal Title IV Aid Programs. May include, but not limited to: Student Aid Report (SAR) or Institutional Student Information Report (ISIR) used to determine eligibility; documentation of need and eligibility for Title IV funds; Cost of attendance information; documents used to verify applicant data;

required student certification statements and supporting documentation; documentation of all professional judgments decisions; financial aid history information for transfer students; documentation of student's satisfactory academic progress; documentation of amount, date, and basis of all refund and repayment calculations for a student (last dates of attendance, grade rosters); and documentation of outside resources. **(Retention:** (a) Records relating to a student or parent borrower's eligibility: 3 years after the end of the award year in which the student borrower last attended the institution, destroy (b) Other records relating to the participation in FFEL or Direct Loan Program: 3 years after the end of the award year in which the records are submitted, destroy (c) Fiscal Operations Report, Application to Participate and supporting documentation: three years after the end of the award year in which the FISAP is submitted, destroy (d) Records involved in any loan, claim, or expenditure questioned by a Title IV, HEA program audit or review, investigation, or other review: Until the resolution of that questioned loan, claim, or expenditure or the end of the Retention period applicable to the record, whichever is longer, destroy)

(16) **Student Loan Check Request Lists Records** document loan disbursements made to students. This series consists of quarterly lists of loan checks issued from either the Controllers Division or the institution Business Manager's Revolving Fund. This is a closed series. **(Retention:** 4 years, destroy)

(17) **Student Loan Payment Coupons Records** document payments made by holders of student loans. This series consists of payment coupons which accompany each quarterly or monthly payment made to the student loan office. **(Retention:** 4 years, destroy)

(18) **Student Promissory Notes Records** document promissory notes for student loans negotiated for the current academic year. The notes become part of the borrowers loan records at the end of the academic year. **(Retention:** 3 years after repayment, destroy)

(19) **Work Study Program Administrative Records** Records document the administration of the Federal Work Study program at the institution. Records include job descriptions; award letters; pay rate change notices and related correspondence. **(Retention:** 3 years, destroy).

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 3-1999, f. & cert. ef. 10-11-99; OSA 2-2003, f. & cert. ef. 2-14-03;

OSA 3-2004, f. & cert. ef. 7-29-04; OSA 4-2009, f. & cert. ef. 6-29-09

## 166-475-0060

### Grants and Research Records

(1) **Commercial Companies Records** Records document cooperative relationships with commercial companies in sharing research materials and data. This series may include but is not limited to cash receipt acknowledgments; requests for sample products; acceptances of products; and related correspondence. **(Retention:** 5 years, destroy)

(2) **Conflict of Interest Forms** Records document potential conflicts of interest involving state employees. This series may include but is not limited to Conflict of Interest and Commitment Disclosure Forms and related documentation and correspondence. **(Retention:** 3 years, destroy)

(3) **Grant Direct Payment Records** Records document requests and justification for transfers of direct payment funds from federal grantors. This series may include but is not limited to federal cash position reports; spreadsheets of various federal sources and cash needs; requests for cash; credit advice from the U. S. Treasury; and related documentation and correspondence. **(Retention:** 5 years, destroy)

(4) **Grant Indirect Cost/Returned Overhead Records** Records document the analysis of grant indirect costs in order to prepare returned overhead figures for institutional departments and is used to submit notification for the budget to be adjusted. The returned overhead report is prepared twice during the year. Estimates are prepared and reviewed by departments and used in budget preparation. A final report is used for budget adjustment. This series may include but is not limited to spreadsheets; work



sheets; and related documentation and correspondence. **(Retention:** 5 years after final financial report is submitted and account is closed, unless otherwise specified as longer by terms of contract for all other records, destroy)

(5) **Grant Funded Projects Research Records** Records document the research activity associated with grant-funded projects. This series may include but is not limited to research data; working papers; research/activity reports; summary reports; and related documentation and correspondence. **(Retention:** (a) Permanent for final research report (b) 5 years after final financial report is submitted and account is closed, unless otherwise specified as longer by terms of contract for all other records, destroy)

(6) **Grant Proposal Funded Records** Records document grant proposals developed and prepared by the institutional units that were funded. This series may include but is not limited to supporting statistics; demographic data; draft proposals; suggested revisions; final proposals; and related documentation and correspondence. **(Retention:** (a) Permanent for proposal, attachments, correspondence, final reports (b) 5 years after final financial report is submitted and account is closed for all other records, unless otherwise specified as longer by terms of contract for all other records, destroy)

(7) **Grant Proposal Unfunded Records** Records document grant proposals developed by institutional units which have not been funded. This series may include but is not limited to supporting statistics; demographic data; draft proposals; suggested revisions; final proposals; and related documentation and correspondence. **(Retention:** 18 months after submission, destroy)

(8) **Grants and Contracts Accounting Records** Records document the establishment and administration of individually sponsored grant and contract restricted funds accounts, documents compliance with fiscal reporting requirements, and includes billing information for accounts receivable from sponsoring agencies and from departments for gift account fees. Grants may be federal, state, corporate, or private. This series may include but is not limited to project summaries; grant authorizations; contract documents; project budget change and adjustment forms; invoices; receipts; cashier's receipts; equipment purchase orders; prior approval request forms; account request forms; vendor telephone contact logs; subcontracts; grants and contracts monthly budget summary statements; institution billings balance sheets; SF272 reports for grants and contracts that are operating on direct payments; final financial reports; property reports; patent/invention reports; contractor's release report; assignment of refunds and rebates documents; equipment disposition reports; and related documentation and correspondence. **(Retention:** 5 years after annual or final financial report is submitted unless otherwise specified as longer by the terms of the contract, destroy)

(9) **Human Subjects Records** Records document the review of research proposals that involve any type of use of human subjects. Reviews may be made by the entire review board, selected members, or the board's chair. Records may include applications for approval by the review board; Protection of Human Subjects forms (OMB-0531-0009); Protection of Human Subject — Assurance/Certification/Declaration forms (OMB-0925-0637); descriptions of protocol; signed consent forms; sample questionnaires or surveys; copies of grant proposals; review summaries; and related memoranda and correspondence. **(Retention:** (a) 5 years after completion of the project/contract or funded projects, destroy (b) 3 years for unfunded/withdrawn/denied project applications and documentation, destroy)

(10) **Institutional Animal Care and Use Records** Records document the care and proposed use of animals by the university for research purposes. Records include institutional animal care and use forms; research proposal check-off forms; and related correspondence. **(Retention:** (a) Records that relate directly to proposed activities and proposed significant changes in ongoing activities reviewed and approved by the IACUC 3 years after completion of the activity (b) All other records 3 years, destroy)

(11) **Institutionally Funded Research Records** Records document the activities of the institutional councils and boards,

which review proposals and make recommendations for awards to faculty (especially new faculty) for research that is not otherwise supported by organized or directed programs but is designed to lead to other funding sources. Examples of projects funded are pilot research, emergency funding, emerging research opportunities, new research field or new research field for investigator, developing research laboratories, and centrally shared research resources. This series may include but is not limited to applicant case files; agendas; minutes; reports; notes; working papers; funding summaries; award letters; applications for research support; personal data; final research reports; and related documentation and correspondence. **(Retention:** (a) Permanent for minutes and final research reports (b) 5 years for funding summaries and funded applications, destroy; one year for all other records, destroy)

(12) **Laboratory Notebooks** Records document the routine research activities of non-grant funded research projects. This series may include but is not limited to notebooks; binders; notes; or any other type of journal format. **(Retention:** 6 years after completion of project, destroy)

(13) **Laboratory Reports** Records document the results of laboratory testing performed for clients. The reports may include but are not limited to case numbers; client names; details of tests and procedures performed; test results; evaluations; and related data. **(Retention:** 6 years, destroy)

(14) **Non-Grant Funded Research Project Records** Records document the research activity associated with non-grant funded projects. This series may include but is not limited to research data; working papers; research/activity reports; summary reports; and related documentation and correspondence. **(Retention:** (a) Permanent for final research report (b) 5 years for financial records, destroy (c) 1 year after close of project for all other records, destroy)

(15) **Other Payroll Expenses (OPE) Reports** Records document payroll overhead costs. Information in this series may include but is not limited to employee names; social security numbers; institutions; classifications of positions; units of employment; pay periods; gross pay amounts; various withholdings; overhead amounts; and the accounts used to pay employees. **(Retention:** 6 years, destroy)

(16) **Personnel Activity Report Forms (PAR)** Records document Classified and Academic employees' efforts involving indirect activities such as instruction and departmental research, and direct activities toward externally funded projects. The series is maintained in compliance with regulations of the Federal Office of Management and Budget (OMB) as set forth in OMB Circular A21 and in agreement with the U.S. Department of Health and Human Services. The PAR system is used to produce an equitable distribution and/or substantiation report of charges for employees' activities and to distinguish the employees' direct activities from their indirect activities. Information on the individual forms includes institution name; employee name; social security number; monthly salary rate; department code; account name and number; transaction codes; pay amounts for each account number; PAR codes; comments; authorizing signatures; and dates of authorization. **(Retention:** 6 years, destroy)

(17) **Scientific Misconduct Records** Records document accusations of misconduct brought forward by or against faculty or students and relating to research projects. These records include accusation statements; inquiry committee findings; and related correspondence. **(Retention:** (a) 6 years after the expiration of the grant: all records not in litigation, destroy (b) 1 year after end of litigation: all records in litigation, destroy)

(18) **Technology Transfer Records** Records document the transfer of technology from this institution to outside agencies as the result of research projects and grants carried out at the institution. This series may include but is not limited to: original patents; patent applications; international licensing agreements; agreements giving permission for institutional researchers to use other patented inventions in their research; and related documentation and correspondence. The series may also include invention disclosure forms that list the names of the inventors; descriptions and titles of inventions; sources of funding to create the inventions;

details of the provenance of the inventions and their documentation; to whom the inventions have been disclosed; suggested manufacturers; reports issued concerning the inventions; and signatures of inventors and technically qualified witnesses. (**Retention:** (a) Permanent for original patents, formal invention assignment forms, license agreements, patent legal transactions, and invention disclosure forms (b) 6 years for all other records, destroy)

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 3-1999, f. & cert. ef. 10-11-99; OSA 2-2003, f. & cert. ef. 2-14-03; OSA 2-2004, f. & cert. ef. 3-31-04; OSA 4-2009, f. & cert. ef. 6-29-09; OSA 7-2009, f. & cert. ef. 9-22-09

## 166-475-0065

### Health Services Records

(1) **Client Records** Records document provision of health-related services to clients on an outpatient basis by offices other than the student health center. Examples of types of services are speech therapy; hearing testing, and cholesterol screening. This series may include but is not limited to tests; goals and objectives; diagnostic reports; questionnaires; and related data. (**Retention:** 7 years after last service or until client reaches age 21, whichever is longer, destroy)

(2) **Communicable Disease Records** This series fulfills the public health requirement of reporting the discovery of communicable disease. This series may include but is not limited to laboratory test results; name and address of client or patient; date; and person making referral. Information is transferred to the county health department, but the log is maintained by the laboratory. (**Retention:** 5 years, destroy)

(3) **Counseling, Psychological, and Psychiatric Case Records** Records document all clients who are provided counseling, psychological, and psychiatric services by the institution's counseling center. Clinicians provide treatment concerning personal problems, academic concerns, and career concerns. The psychiatric consultant provides psychiatric care to some student clients. Records may include extensive notes made by providers concerning the assessment, diagnosis, treatment and contacts (written, telephone, or in person) with each client; referral letters; release of information agreements; letters to agencies or others concerning the clients; and related documentation. (**Retention:** 7 years after last contact, destroy)

(4) **Health History Forms Records** document a student's medical history. The series contains student medical history forms for students who have never visited an institutional student health center and therefore do not have a medical record on file. These forms are a prerequisite for enrollment at most institutions. (**Retention:** 7 years after last service, destroy)

(5) **Immunization Reporting Records** Records document compliance with Oregon State Health Division reporting requirements for immunizations given to patients. Records may include immunization log sheets; annual reports; ITARS (Immunization Tracking and Recall System) documentation and related correspondence. (**Retention:** (a) 25 years from last date of service for ITARS records, destroy (b) 10 years for immunization log sheets and annual reports, destroy (c) 7 years after last service for all other records, destroy)

(6) **Laboratory Inspection Records** Records document in-house inspection of laboratory equipment on a quarterly basis. This series may include but is not limited to a checklist of all equipment; calibrations; and conditions. (**Retention:** (a) For the life of the equipment for calibrations, destroy (b) 3 years for all other records, destroy)

(7) **Laboratory Test Requests Records** document physician orders for laboratory tests for students receiving services at the student health center. This series may include but is not limited to name of student; date; test(s) ordered; and physician's signature. (**Retention:** 2 years, destroy)

(8) **Licensure Records** Records document the professional and regulatory issuance of credentials to individuals and facilities providing services within the student health center. This series may include but is not limited to license applications; College of Amer-

ican Pathologists comparative test results for laboratory licensing; Oregon Pharmacy Board Retail Drug Outlet/Controlled Substance Registration (license) and inspection reports; individual employee professional licenses; and related correspondence. (**Retention:** Until superseded or obsolete, destroy)

(9) **Medical Records** Records document the medical services history provided for students treated by the student health center. This series may include but is not limited to appointment request slips; summary sheets; bacteriology test results; treatment record forms; diagnosis sheets; health history/screening sheets; initial evaluation/assessment sheets; referral sheets; health center billing statements; personal health history sheets; dental examination sheets and X-rays; laboratory test results; physical therapy notes; X-ray release forms; X-ray requisitions with narrative of radiologist; notes; memoranda; and related correspondence. (**Retention:** 7 years after last service or until client reaches age 21, whichever is longer, destroy)

(10) **Non-Student Medical Records** Records document medical services provided to non-students by the institution's student health center, such as allergy shot, vaccines, and blood pressure checks. Records include medical history forms; notations of services provided and dates; payment information; and related correspondence. (**Retention:** 7 years after last service or until client reaches age 21, whichever is longer, destroy)

(11) **Patient Logs Records** document patients who visit the student health center (both in-patients and out-patients). It may also be used to create annual census reports and 3-year census comparisons. Log information may include the date and time that the patient came in; the physician assigned; diagnosis; admission/discharge date; length of stay; and remarks. (**Retention:** 3 years, destroy)

(12) **Patient Satisfaction Surveys Records** document patient comments on services provided by the student health center and is used to plan for a change in services. The surveys may include but are not limited to rating of services; type of services rendered; statistics about the student; and possibly names and addresses. (**Retention:** 3 years, destroy)

(13) **Pharmacy Prescription Dispensation Records** Records document individual, daily summary, and annual summary record of initial drug dispensation and refills administered by the department as required by the Oregon State Pharmacy Board. This series may include but is not limited to prescription slips; in-house computer-generated Rx registers; controlled substance reports; and data base purge reports. (**Retention:** 3 years, destroy)

(14) **Practitioner Schedules Records** document the practitioners' work schedules which are used to clarify assigned responsibilities. This series includes dates and times of assignments; practitioner names; and responsibilities. (**Retention:** 2 years, destroy)

(15) **Radiographic Quality Assurance Records** Records document the setting of measurable standards and procedures for radiographic safety and professional quality by professionals on staff. This series may include but is not limited to reports by the radiographic staff; quality assurance committee notes; and staff reviews. (**Retention:** 3 years, destroy)

(16) **Student Health Insurance Records** Records document students' insurance coverage activity under institution insurance policies. This series may include but is not limited to benefit explanations; payment summaries; photocopies of checks; invoices; policy change sheets; ledgers; individual student correspondence relating to their coverage; and related correspondence with the insurance company. (**Retention:** 2 years after expiration of policy, destroy)

(17) **Surgical Instrument Sterilization Records** Records document the sterilization of surgical instruments used by the student health center. This series may include but is not limited to autoclave recording charts and log sheets indicating date; load number; items sterilized; and temperature/time settings. (**Retention:** 1 year, destroy)

(18) **X-Rays** This series consists of student X-rays taken by student health center staff. X-rays are stored alphabetically in envelopes identified by year, name, and view. This series may also

include but is not limited to a log of X-rays going out and coming in for professional reference and related documentation. **(Retention:** 7 years after date of last service, destroy).

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 3-1999, f. & cert. ef. 10-11-99; OSA 2-2003, f. & cert. ef. 2-14-03; OSA 3-2004, f. & cert. ef. 7-29-04; OSA 4-2009, f. & cert. ef. 6-29-09

## 166-475-0070

### Information Management Records

(1) **Computer System Maintenance Records** Records document the maintenance of the institution's computer systems and is used to insure compliance with any warranties or service contracts, schedule regular maintenance and diagnose system or component problems, and document system backups. Records may include computer equipment inventories; hardware performance reports; component maintenance records (invoices, warranties, maintenance logs, correspondence, maintenance reports, and related records); system backup reports; and backup tape inventories. **(Retention:** (a) For life of system or component for records related to system or component repair or service, destroy (b) Until superseded or obsolete for records related to regular or vital records backups, destroy)

(2) **Computer System Program Documentation Records** Records document the addition, modification, or removal of software from an institutional, departmental or office computer system. Records usually fall into six categories — records that document operating systems; records that document the in-house creation and modification of application programs; records that document the structure and form of datasets; records that document the use of commercial software packages; records that document the structure of the system; and records that document system-to-system communication. Records may include 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. **(Retention:** For the life of the system, destroy)

(3) **Computer System Security Records** Records document the security of an institution, department, or office computer system. Records may include but are not limited to employee access requests, passwords, access authorizations, system access logs, encryption keys, and related documentation. This series also includes "Banner Request for Access Forms" which are used to track Banner user accounts to ensure appropriate access to various databases. **(Retention:** (a) 3 years for system access logs, destroy (b) 3 years after superseded or obsolete for all other records, destroy)

(4) **Forms Development Records** Records document the development of new or revised forms within the institution and is used to provide a history of previous forms. Records may include sample forms; drafts; revisions; form logs/listing; proposals; authorizations; and illustrations. **(Retention:** Until superseded or obsolete, destroy)

(5) **Information System Planning and Development Records** Records document the planning and development of university 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: information technology plans; feasibility studies; cost-benefit analyses; studies and surveys; system specifications and revisions; component proposals; technical literature; vendor literature and proposals; and correspondence. **(Retention:**

(a) For life of system for implemented systems, destroy (b) 3 years for unimplemented systems, destroy)

(6) **Microfilm Quality Control Records** Records document that microfilm produced by or for system institutions conforms to the specifications required by Oregon Administrative Rules 166-025-0005 to 166-025-0030. Records may include: microfilmed records lists; microfilm reel indexes; service bureau transmittals; film inspection reports; methylene blue certifications; Security Copy Depository transmittals; camera/processor/duplicator inspection reports; equipment and operator logs; and correspondence. **(Retention:** For the same Retention period as related microfilm, destroy)

(7) **Software Management Records** Records document the use of software in university information systems. The series is used to insure that university software packages are compatible, that license and copyright provisions are in compliance, and that upgrades are obtained in a timely manner. Records include software purchase records; software inventories; software licenses; site licenses; and correspondence. **(Retention:** Until software is disposed of or upgraded, destroy)

(8) **Telecommunication System Management Records** Records document the creation, modification, and disposition of university telecommunications systems. Records include: equipment records; Federal Communications Commission records; repair order forms; system planning records; telecommunications maintenance contracts and service orders; and related correspondence. **(Retention:** For life of system, destroy).

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 3-1999, f. & cert. ef. 10-11-99; OSA 2-2003, f. & cert. ef. 2-14-03; OSA 3-2004, f. & cert. ef. 7-29-04; OSA 4-2009, f. & cert. ef. 6-29-09

## 166-475-0075

### Institutional Services Records

(1) **Authorization Code Ordering and Assignment Forms** Records document the assignment of long distance authorization codes to institution employees. This series consists of authorization code ordering and assignment forms which list an activity code; user/function name; account number; FRL code; and authorization code number for each employee assigned a code. **(Retention:** 2 years after superseded or revoked, destroy)

(2) **Automatic Call Distribution Vector Records** Records document the technical programming for each automatic call distribution (ACD) account on campus. This programming, known as vector instructions, electronically routes phone calls coming in to a given phone number account, known as a split, to available phones or message systems. This series also contains the names of staff members and extension numbers that are appropriate to each account. This series may include but is not limited to vector instructions sheets; announcement scripts; lists of supervisor extensions of each split; lists of ACD member extensions of each split; and related documentation and correspondence. **(Retention:** 2 years, destroy)

(3) **Bicycle Licenses/Permits Records** Records document the registration of bicycles on campus. This series includes registration cards completed by institution students, faculty, and staff for use of bicycles on campus. Information on the cards includes owner/user names; student or staff ID number; addresses; telephone numbers; bicycle frame serial numbers; bicycle models; and permit numbers. **(Retention:** 2 years after superseded or revoked, destroy)

(4) **Calling Card Records** Records document the assignment to and use of calling cards issued to institution employees. This series may include but is not limited to credit card order forms; account change documentation; and related documentation and correspondence. **(Retention:** 2 years after superseded or revoked, destroy)

(5) **Child and Youth Program Participant Records** Records document the participation of children and youth in programs sponsored by the institution, including 4H programs. The series may include but is not limited to applications; enrollment records; progress reports and assessments; immunization records; parental



consent forms; activity records; lists of attendees; and related correspondence. **(Retention:** 3 years destroy)

(6) **Child Care Facility Client Records** Records document enrollment, admission, attendance, and activities of children at child care facilities operated by OUS institutions and documents compliance with applicable state agency requirements. Records may include but are not limited to applications for admission; emergency notification forms; attendance records including sign-in sheets; authorizations to administer medications; records documenting permission to obtain emergency medical treatment; records documenting permission to participate in field trips or other activities; immunization records; learning and motor skills assessments; and release forms. The series may also include a record of suspected or reported child abuse and accident reporting including narratives, notes, record of contact with state Child and Family Services representatives and law enforcement officials; records verifying staff training in child abuse recognition; and accident reporting forms. **(Retention:** 3 years after participant leaves program, destroy)

(7) **Child Care Facility Food/Nutrition Service Program Records** Records document the administration of child care food programs which provide meals to children at institution child care facilities operated by OUS institutions. Typically, application is made annually to the U.S. Department of Agriculture for assistance in running food service programs. Records may include but are not limited to meal production records, menus, and attendance forms; applicants income statements; enrollment rosters; operational reports; nutrition program reviews; food supply inventories; sanitation inspection reports; and related documentation and correspondence. **(Retention:** 4 years, destroy)

(8) **Child Care Facility License Records** Records document the licensing of school child care facilities by the Oregon Child Care Division or other licensing agencies. Records may include but are not limited to sanitation inspections, fire safety reports, fire and other emergency drill records, staff development and training records, staff criminal history checks, staff qualification forms, time sheets, staff first aid cards, staff driving records, staff orientation records, official license, Child Care Division inspection reports and certification and related correspondence. **(Retention:** (a) Staff first aid cards, licenses, certifications, and inspections, 2 years after superseded, expiration, or obsolete, destroy (b) All other records, 2 years, destroy)

(9) **Department of Motor Vehicles (DMV) Lists Records** document ticketed vehicles to owners who have not satisfied parking citations. This series contains computer reports from the Oregon Department of Motor Vehicles. Information in the reports may include but is not limited to car license plate number; name of registered owner; address of owner; and related data elements. **(Retention:** Until superseded or obsolete, destroy)

(10) **Events Administration Records** Records document facilities, services and other accommodations provided by the institution for events on campus. Records may include facilities reservation agreements; room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence. **(Retention:** (a) 6 years after expiration for agreements, destroy (b) 2 years for all other records, destroy)

(11) **Facsimile (Fax) Records** Records document the sending and receiving of fax messages for institution business purposes. This series may include but is not limited to logs of messages sent and received and fax cover sheets. **(Retention:** (a) 1 month for fax cover sheets, destroy (b) 1 year for logs, destroy)

(12) **Food Handlers Registration Records** Records document the registration of food handlers such as cooks, chefs, waiters, and cafeteria workers. Information contained in the records may include name, address, phone number, and signature of food handler; place of employment; current communicable diseases; result of examination; and other related data. **(Retention:** 1 year after expiration, destroy)

(13) **Identification Cards Records** Records document the issuance of identification cards to university students, staff and faculty. Records may include: signature cards; monthly detail reports; and related correspondence. **(Retention:** (a) Until not valid for signature cards, destroy (b) 5 years all other records, destroy)

(14) **Key Issuance Records** Records document key assignments and deposits (if applicable) for institutional faculty, staff, students, and others using the institution's facilities. The series may include but is not limited to key pinning sequence records; key issue approval forms; return forms; key inventories; hall directors' sign out forms; deposit books; bank statements; refund forms; key logs; and related documentation and correspondence. **(Retention:** 1 year after key is checked in, destroy)

(15) **Menus Records** document approved menus to be cycled on a monthly basis in each food service location. It is also used for cost planning and ordering of food and supplies. Information on the individual menus may include but is not limited to the foods to be served and the dates, times and locations of service. **(Retention:** 3 years, destroy)

(16) **Oregon Liquor Control Commission Records** Records document annual and temporary event licensing by the Oregon Liquor Control Commission for dispensing and serving alcoholic beverages. The series may also be used to document the training certification of employees. This series may include but is not limited to applications for licensing; applications for server permits; purchase orders for training costs; and related documentation and correspondence. **(Retention:** 4 years after termination of license and server permit, destroy)

(17) **Parking Citations Records** Records document the regulation of on-campus parking. This series may include but is not limited to citations; appeal petitions; and related documentation and correspondence. **(Retention:** 2 years after resolution, destroy)

(18) **Parking Permits Records** Records document the issuance of permits for on-campus parking. This series may include but is not limited to annual permit cards; registration cards; temporary permits; parking permit reports; and related documentation and correspondence. **(Retention:** 2 years, destroy)

(19) **Postal and Shipping Records** Records document items that are mailed by the department via UPS, U.S. Postal Service, Federal Express, or another carrier. Records may be used for billing and/or tracking. These records include printing and mailing shipping forms; parcel mailing order forms; postage forms; and related correspondence. **(Retention:** 3 years, destroy)

(20) **Quality Control Inspection Records** Records document the quality of services provided by a unit. This series may include but is not limited to narrative reports; inspection forms; and related documentation and correspondence. **(Retention:** 2 years, destroy)

(21) **Sanitation Records** Records document the inspection and tracking of sanitation standards of facilities such as swimming pools, food courts, day-care food services, commissaries, and warehouses. Series may include inspection reports, any deficiencies, inspection score, date and time of inspection, and signatures; copies of the licenses issued; temperature logs and other related data. Series may include plan reviews. **(Retention:** 6 years, destroy)

(22) **Telephone Complaints/Fraud Records** Records document the investigation of complaints of telephone misuse, primarily regarding student telephones and long distance bills that are reportedly not legitimate charges. This series may include but is not limited to memos; notes; copies of long distance bills; and related documentation and correspondence. **(Retention:** 5 years after resolution, destroy)

(23) **Utility Locate Requests Records** document the notification of persons anticipating digging on campus property who need to know the locations of underground utility lines. Request information may include but is not limited to the date and location of the work; miscellaneous instructions; contact person; and related documentation and correspondence. **(Retention:** 2 years, destroy)

(24) **Work Orders Records** Records document requests and authorizations for needed services and/or repairs to institutional property and equipment. It may also be used as a cost reference for

future jobs. This series may include but is not limited to: copy center work orders; printing orders; photographic work orders; display preparation orders; microfilming orders; telephone service/installation requests and change orders; maintenance and repair authorizations; library materials preparation authorizations; and related documentation and correspondence. **(Retention: 4 years, destroy)**.

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 3-1999, f. & cert. ef. 10-11-99; OSA 2-2003, f. & cert. ef. 2-14-03;

OSA 3-2004, f. & cert. ef. 7-29-04; OSA 4-2009, f. & cert. ef. 6-29-09

## 166-475-0080

### Intercollegiate Athletics Records

(1) **Annual Fund Drive Records** Records document the plans, arrangements, and results of annual athletic fund drives. This series may include but is not limited to brochures; prize lists; pledge cards; mailing arrangements; reports; fiscal summaries; and related documentation and correspondence. **(Retention: 10 years, destroy)**

(2) **Athletic Eligibility Records** Records document verification by intercollegiate athletics of student athletes' academic progress to the NCAA or NAIA. These records include computer generated academic progress reports. **(Retention: 10 years, destroy)**

(3) **Catastrophic Injury Records** Records document ongoing insurance activity on cases that qualified for catastrophic status by having claims of over \$50,000 for NCAA schools and \$25,000 for NAIA schools in the first two years of the claim. This series may include but is not limited to accident reports; annual insurance questionnaires; notes; claim forms; and related documentation and correspondence. **(Retention: 75 years, destroy)**

(4) **Claims Payment Records** Records document the verification and payment of secondary coverage insurance claims of injured student athletes. This series may include but is not limited to lists of requests for claims payment; transmittal letters (CO 163-Rev 10/91) to the Controller's Division for reimbursement of the institution; Proof of Loss (CO-164-2/92) forms; intercollegiate athletic reports from OUS Human Resources; ledgers of providers, payment amounts, and reference numbers; and related documentation and correspondence. **(Retention: 5 years after claim is settled, destroy)**

(5) **Competition Record Forms** Records document individual games and competitions and is used to comply with NCAA and NAIA reporting requirements for both revenue and non-revenue producing sports. Information on the individual forms includes sport name; opponent name; date; event location; final score; player names and positions; time played per athlete; and the signature of the head coach or athletic director. **(Retention: 10 years, destroy)**.

(6) **Donor Recognition Records** Records document athletic fund donors of various levels and the recognition given. This series may include but is not limited to lists of donors by gift level; award lists; and related documentation and correspondence. **(Retention: 5 years after discontinuation of donations, destroy)**

(7) **Game Arrangement Records** Records document arrangements made for and the schedules of past games. This series may include but is not limited to team practice schedules; team position assignments/depth charts; itineraries; bus lists; notes; and related documentation and correspondence. **(Retention: 5 years, destroy)**

(8) **Game Officials' Evaluation Forms Records** document the head coach's evaluation of judging officials' performance at individual sporting events. The series is also used to comply with NCAA, NAIA and conference rules and regulations. Information on the individual forms includes team names; site; game date; judging officials' names; evaluative scores; comments; and coach's signature. **(Retention: 1 year, destroy)**

(9) **Game Statistics Records** document the practice, playing, and attendance statistics about each game and the season for each sport by playing year. This series may include but is not limited to player academic statistics; attendance figures; player training charts; season and game player statistics; recruitment records; special teams statistics; rankings; awards information; NAIA and

NCAA game statistics; media releases; all-conference nominations; spring and fall camp depth charts; numerical rosters; media guides; narrative reports on games and scrimmages; final team statistics for each game; NAIA and NCAA official scoring summaries; play-by-play written reports; and related documentation and correspondence. **(Retention: Permanent)**

(10) **Gift-In-Kind Donors Records** Records document donors who are available to provide services to athletic events as donations and the use of donated funds. Information in this series may include names of donors, names of businesses, type of donations, and level of giving; past gift records; and related documentation and correspondence. The series may also include contribution notices; invoices; purchase orders; and receipts. **(Retention: (a) 5 years after discontinuation of donations for donor records, destroy (b) 5 years for fiscal documentation, destroy)**

(11) **Individual Athletes Records** Records document the athletic history of each athlete who has competed at the institution. Frequently, this series is a continuation of the recruitment file and includes recruitment records if an athlete signs a letter of intent. Records may include and may not be limited to academic major information including performance reports, admissions verification reports, academic transcripts, and financial aid information; recruitment information documents; media articles; photographs; release of information forms; personal data questionnaires; records of awards; and related documentation and correspondence. **(Retention: (a) 5 years after separation from the institution for student records containing confidential information, destroy (b) Permanent for all other records)**

(12) **Insurance Records** Records document medical treatment services rendered off campus for practice or playing related injuries or illnesses which are eligible for partial payment by intercollegiate athletic insurance. This series may include but is not limited to copies of policies; accident reports; annual insurance questionnaires; notes; claim forms; negotiations correspondence; payment of insurance records; and related documentation and correspondence. **(Retention: 10 years, destroy)**

(13) **Play Books Records** document the strategies, practice time and game plays for each game and the season. This series may include but is not limited to practice plans; game plans; and game results **(Retention: 5 years, destroy)**

(14) **Positive Drug Test Records** Records document the positive results of drug testing done on student athletes. These records include lab reports; interpretations; and related documentation and correspondence. **(Retention: 5 years or end of eligibility, whichever is later, destroy)**

(15) **Practice Schedule Records** Records document practice time for athletic teams and assist in complying with NCAA, NAIA and conference rules and regulations. This series contains team rosters indicating time spent in practices; meetings; training and conditioning; and competition. **(Retention: 5 years, destroy)**

(16) **Recruiting Records** Records document the recruitment of athletes into the institution's intercollegiate athletics program. The series also provides a record of the recruitment process for prospective players created by the institution to comply with NCAA, NAIA and conference rules and regulations. This series may include but is not limited to the institution's football questionnaire forms with personal, scholastic, football, general, and transcript release information; information request cover sheets; grade transcripts; Information for Certification of NCAA Freshman Athletics Eligibility Compliance (with By-Law 5-1-j forms, number 40-c); letters of intent; copies of admissions forms and materials; performance reports; telephone and conversation notes; mailing lists; and related documentation and correspondence. **(Retention: 5 years or end of eligibility whichever is longer, destroy)**

(17) **Scheduling Records** Records document competition schedules set up with other institutions by coaches and the athletic director. This series may include but is not limited to correspondence; phone notes; contracts; final schedules; and related documentation and correspondence. **(Retention: 6 years after expiration of contract, destroy)** (18) **Sports Merchandising Records** Records document the sale of institutional and NCAA or NAIA-licensed merchandise

at sporting events. Records may include sales reports; merchandise comment sheets; and related correspondence. (**Retention:** 4 years, destroy)

(19) **Student Athletes Academic Advising Records** Records document academic advising of prospective and current student athletes, provides records of academic progress while students are involved in athletic programs at the institution, and complies with NCAA, NAIA and conference reporting requirements. These records include letters of intent; renewals of letters of intent; transcripts; grade reports; petitions; academic evaluations; advanced standing reports; advisors' report sheets showing progress towards academic degree; program planning sheets; NCAA Progress Reports; students' requests for release from athletic programs; disciplinary memoranda; and related correspondence. (**Retention:** 5 years after degree completed or last enrollment, destroy)

(20) **Student Athletes Dining Rosters Records** document the meals consumed by student athletes as part of the training table. This series may include but is not limited to rosters with the names of athletes partaking of meals and absent from meals; menus; and related documentation and correspondence. (**Retention:** 2 years, destroy)

(21) **Student Athletes Medical Records** Records document the medical history of each athlete before and during his/her attendance at the institution. This series may include but is not limited to annual health appraisals; authorization to release information forms; treatment consent forms; assumption of risk forms; accident reports; X-rays and X-ray reports; prescription records; off campus treatment source records; insurance questionnaires; psychological counseling records; and related documentation and correspondence. (**Retention:** 7 years after student is last enrolled, destroy).

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 3-1999, f. & cert. ef. 10-11-99; OSA 2-2003, f. & cert. ef. 2-14-03; OSA 3-2004, f. & cert. ef. 7-29-04; OSA 4-2009, f. & cert. ef. 6-29-09

## 166-475-0085

### Libraries, Archives, Museums and Other Collections Records

(1) **Appraisal Records** Records document monetary value appraisals of institutional artifacts, objects, and collections that have been completed by private parties. This series may include but is not limited to appraisals and valuations reports; reference materials used by appraisers; and related documentation and correspondence. (**Retention:** Permanent)

(2) **Borrowers Registration Records** Records used to grant citizens library cards and privileges Individual borrower information may include but is not limited to name, address, telephone number, date of birth, signature, expiration date, identification number and related data. (**Retention:** (a) 3 years for application forms, destroy (b) 6 months after last activity for all other records, destroy)

(3) **Collection and Artifact Acquisition and Exchange Records** Records document the acquisition, accessioning, use, preservation, storage, transfer and disposition of artifacts and collections at an institution's museum, archives or library special collection, herbarium, or other repository which is used for research purposes. This series may include but is not limited to a log that lists the date of acquisition, acquisition/accession numbers assigned, brief descriptions of artifacts or collections, and donor names; gift receipt forms or other acquisition records that list detailed descriptions of artifacts, donors' name(s), addresses, telephone numbers, acquisition numbers, and values (if known); cataloging worksheets listing acquisition numbers, identification and provenance of artifacts or collections, description of artifacts, and donor/owner names and addresses; deed of gift listing transfer of legal ownership or custody of artifacts or collections, their descriptions and conditions, declarations as lawful owners of the property, and signatures and dates of transfer; object file cards showing each acquired item arranged by nomenclature; subject file cards showing each acquired item and its arrangement; numerical file cards showing each acquired item arranged in acquisition number sequence; wildlife collecting permits which are the legal documentation for having wildlife carcasses; guns and weapons registration forms which provide the legal authority for the collection unit to possess firearms;

condition/conservation records, photographs of objects, and related documentation and correspondence. The series may also include donor correspondence; descriptions of property; inventory lists; incoming loan agreements; background data about the collections and/or persons associated with the collections; receipt of collections documentation; donor agreement forms or instruments of donation; purchasing data; publicity records; foundation equity history reports; declaration of charitable gifts forms; copyright and citation information. (**Retention:** Permanent)

(3) **Circulation Records** Records document the borrowing of circulating library materials by qualified patrons. This series may include but is not limited to the name and identification of the borrower; the titles of materials borrowed; the due date; overdue and fine payment notations; and related documentation and correspondence. (**Retention:** Until the transaction is completed, destroy)

(4) **Collection or Artifact Loan Records** Records document artifact and material loans contracted between units of the institution or between the institution and either other institutions or individuals. These records include signed and legally binding agreements for incoming and outgoing loans between the collection administrators; receipts for loans and return of materials to the legal holder; and related forms, documentation and correspondence. (**Retention:** 10 years after the termination of the loan, destroy)

(5) **Collections Control Records** Records document the maintenance of materials which typically involve accessioning, cataloguing, preserving, and/or referencing. This series may include but is not limited to: accession sheets; archives transmittal lists; accession reports; computer cataloging records; catalogs of holdings; reference guides and finding aids; request for permission to publish or reproduce images forms; (collection inquiries; budget and purchasing data;) and related documentation and correspondence. (**Retention:** Permanent)

(6) **Deaccession Records** Records document recommendations concerning deaccessioning of specific holdings and action upon those recommendations. This series may include but is not limited to transfer forms to transfer ownership/custody of materials held within institutional collections to other institutions; deaccessioning documentation which lists the artifacts by acquisition numbers and descriptions, names of persons making deaccession recommendations and dates, reasons for deaccessioning, documentation that legal searches of donor records have been done to establish that the institution is not precluded from deaccessioning and to establish whether the donors are still living, appraised values (including whether these are estimates or have been appraised), signatures of approval for deaccessioning and dates, and dispositions of materials and dates; deaccessioning and weeding listings; reports of deaccessioning; and related documentation and correspondence. (**Retention:** Permanent)

(7) **Exhibit Records** Records document the display and use of artifacts and materials held by the collection units or displays created by the units. This series may include but is not limited to research materials concerning the cultural environmental setting surrounding the artifacts; bibliographies; lists of artifacts or items considered for inclusion; drafts of exhibit descriptions or scripts; publicity or advertisements for exhibits; artifact labels; photographs of exhibits; exhibit renderings and layout diagrams; exhibit scheduling and transport information; contracts and agreements; evaluation forms; condition forms; exhibit assembly and presentation instructions; and related documentation and correspondence. (**Retention:** (a) Permanent for exhibit descriptions or scripts, exhibit renderings and layout diagrams, photographs of exhibits, lists of artifacts or items considered for inclusion, and publicity or advertisements for the exhibits (b) 10 years for all other records, destroy)

(8) **Friends Records** Records document the efforts of special interest support groups to establish relationships with community agencies, individuals, businesses, and groups to gain their assistance with the development and coordination of institutional programs. This series may include but is not limited to establishing documents; bylaws; reports; brochures; newsletters or publications; meeting agendas; minutes; and related documentation and correspondence. (**Retention:** Permanent)



(9) **Inter-Library Loan (ILL) Records** Records document requests made of the institution for materials from outside sources and also institution requests for materials from other institutions. This series may include but is not limited to materials request forms; invoices for services provided; and related documentation. **(Retention: 3 years, destroy)**

(10) **Patron and Visitor Records** Records document the public tours or individual visits to the collection or research facility. The series may include but is not limited to weekly visitor statistics; sign-in sheets; patron logs; and guest books. **(Retention: 5 years, destroy)**

(11) **Records Management Records** Records document the Retention and disposition of records created by the institution's offices and the production of an institutional records Retention and disposition schedule approved and authorized by the State Archivist. This series may include but is not limited to records destruction authorizations; records inventory worksheets; special records disposition schedules; records transmittal lists; guides to microfilmed records; and related documentation and correspondence. **(Retention: (a) Permanent for records destruction authorizations, records transmittal lists, and guides to microfilmed records (b) 5 years for all other records, destroy)**

(12) **Reference Request Records** Records document scholarly requests for information about or access to items within the institution's collections. This series may include but is not limited to collection service request documentation forms that show requestors' names, addresses, and telephone numbers; the nature/explanation of the requests; use/purpose of the requests; dates of receipt and completion of requests; staff member handling the requests; amount of time spent on handling the requests; disposition of the requests; and related documentation and correspondence. **(Retention: 5 years, destroy)**

(13) **Serials Records** Records document the receipt and payment history for serials purchased by the libraries. This series may include but is not limited to periodical check-in cards; shelf list cards; payment cards; serials data input work form sheets; data base reports; item records; and related documentation. **(Retention: (a) Until input and verified for shelf list cards, destroy (b) Until superseded by permanent cataloging record for check-in cards, destroy (c) 5 years for all other records, destroy).**

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 3-1999, f. & cert. ef. 10-11-99; OSA 2-2003, f. & cert. ef. 2-14-03; OSA 3-2004, f. & cert. ef. 7-29-04; OSA 4-2009, f. & cert. ef. 6-29-09

## 166-475-0090

### Payroll Records

(1) **Assumed Wages Reports** Records document computation and payment of workers' compensation insurance premiums. Records document students' services performed in exchange for room and board, and volunteer and prerequisite assumed wages not paid by payroll. Information in the reports may include names, dates, social security numbers, requisition numbers, accounts to be charged, and total assumed pay for the month. **(Retention: 4 years, destroy)**

(2) **Deduction Authorization Records** Records document deductions from salary checks authorized by employees. These records include lists with notation of authorized deductions as well as actual deduction forms. This series may include but is not limited to: deduction information on medical, dental, life, and disability insurance; American Association of University Professors, GCIU, Fair Share, and Oregon Public Employees/Fair Share dues; U.S. Savings Bonds; United Way and foundation contributions; payments for library fines/lost books, parking permits, and institutional credit union accounts; Veterans Affairs; ACH Listings; personal use of state vehicles; and miscellaneous deductions. **(Retention: 4 years after authorization expires or is superseded, destroy)**

(3) **Employment Division Summary Reports Records** document the number of the institutional employees and payroll costs on a monthly basis and yearly basis. This series includes monthly reports by employee category and annual fiscal year reports which

summarize the monthly data. **(Retention: (a) 10 years for annual reports, destroy**

**(b) 3 years for monthly reports, destroy)**

(4) **Employee Time Records** Records document hours worked and leave hours accrued and taken by agency, institution and student employees. Information may include employee name and other personally identifiable information, work schedule, days and time worked, leave time, work-study related time records and approval signatures. **(Retention: (a) 5 years after issuance of final financial report to awarding agency by the research accounting unit for records of all students paid from U.S. Dept. of Education awards, destroy (b) Retain 4 year unclassified/classified/management personnel, destroy (c) 3 years for all others, destroy)**

(5) **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), Request for Student(s) or Borrower(s) Social Security Number and Certificate (W-9S), Employers Quarterly Federal Tax Return (941, 941E), Annual Withholding Tax Return for U.S. Source Income of Foreign Persons (1042), Foreign Person(s) U.S. Source Income Subject to Withholding (1042S), Tax Deposit Coupon (8109), Withholding Allowance Certificates (W-4), Wage And Tax Statements (W-2), and related federal and state tax forms. **(Retention: 5 years, destroy)**

(6) **Forecast and Actual Pay Reports Records** document monthly gross and actual pay by month and account number, along with other database information. It is used to view gross pay/budget records for a previous fiscal year. Data is supplied by the OUS Controllers Division. This series includes employee name and identification number; major account; salary code; FTE; rank; leave status; position title and class number; starting date; appointment; terms of service; tenure; and forecast and actual pay broken down by months of the fiscal year. **(Retention: 4 years, destroy)**

(7) **Garnishment Records** Records document requests and court orders to withhold wages from employee earnings for garnishments, tax levies, support payments, or other reasons. This series usually includes original writs of garnishment; recapitulations of amounts withheld; and related records. **(Retention: 4 years after resolution, destroy)**

(8) **Pay Authorization Records** Records document pay documents which substantiate and, in part, authorize the issuance of payroll checks for particular amounts. This series may include but is not limited to payroll/budget request forms and time cards. **(Retention: 5 years, destroy)**

(9) **Paycheck Delivery Records** Records document the locations assigned for delivery of salary payments to employees. This series may include but is not limited to paycheck deposit authorization forms; payroll check delivery logs; and related correspondence. **(Retention: (a) 3 years for payroll check delivery logs, destroy (b) Until superseded or 1 year after employee separation for all other records, destroy)**

(10) **Payroll Adjustment Records** Records document changes in employee payroll deductions, tax withholdings, and payroll records. This series may include but is not limited to pay/budget action forms; time and attendance records; pay reduction/termination notices; and related documentation and correspondence. **(Retention: 5 years, destroy)**

(11) **Payroll Check Register Records** document payroll checks issued and direct deposits. This series includes lists in check number order that show the check amount, and employee name. **(Retention: 6 years, destroy)**

(12) **Payroll Data Entry Summary Reports Records** document all timecard and payroll adjustment data entry for each payroll period. This series includes: employee names in alphabetical order; batch and document numbers; and other data. **(Retention: 5 years, destroy)**

(13) **Payroll Draws Records** Records document payroll draws. This series includes requests for emergency payroll draw forms. **(Retention: 2 years after draw has been recovered, destroy)**

(14) **Payroll Input Detail Reports Records** document daily summary of timecard and payroll adjustment data entry. This series contains separate reports for timecard input and payroll adjustment input. The reports, arranged in batch sequence and document number order, may include but are not limited to social security numbers; account numbers; gross pay; and related data. **(Retention:** Until input and verified, destroy)

(15) **Payroll Register Records** document the pay of all institutional employees. The series includes monthly listings of all paid employees with their earnings and deductions. **(Retention:** 75 years, destroy)

(16) **Purge Lists Records** document institutional employees whose records have been deleted from the personnel data base. This series contains annual lists of former employees, in alphabetical order, and includes employees names; social security numbers; class codes; dates that pay started; termination dates; and related data elements. **(Retention:** 3 years, destroy)

(17) **Revolving Fund Checks Records** document each check issued from an institutional revolving fund for payroll draws, final pay, or special pay. This series contains copies of issued checks showing name; date issued; social security number; amount; check disposition; and other data elements. **(Retention:** 6 years, destroy)

(18) **Shift Summary Sheets Records** document the time worked by employees on various jobs on a daily basis. This series is used to provide a record of time worked by employees for payroll purposes; a record of customer charges incurred for billing purposes; and cost accounting information on a real-time basis. The series may also be used as a back-up source of information for wage related grievance cases brought forth by employees. Information on the individual computer generated sheets may include: employee name; descriptions of duties performed; wages paid for each duty; time worked at each duty; output connected with each duty; and totals. **(Retention:** 2 years, destroy)

(19) **Student Loan Interest and Tuition Payment Statement Records** Records document loan interest and tuition paid by students so that deductions may be claimed on income taxes. Records may include 1098E and 1098T forms and related correspondence. This series may also include records that were attempted to be mailed or delivered but were returned or otherwise deemed undeliverable. **(Retention:** 3 years, destroy)

(20) **Student Social Security/Medicare Tax Review Reports** Records document FICA coding for student employees. The reports may include but are not limited to student name and ID number; credit hours carried. **(Retention:** 5 years, destroy)

(21) **Study Abroad Foreign Nationals Payroll Records** Records document payments to foreign nationals employed both full-time and part-time by the institution as support staff for its study abroad programs. This series may include but is not limited to agreements concerning pay rates; accounting information for payments to persons employed as secretaries and office staff, housing and transportation specialists, and food service workers; time sheets; and related correspondence. **(Retention:** 75 years, destroy)

(22) **Transaction Registers Records** document all employee database data entry transactions. This series includes daily and quarterly registers for deduction, employee, and budget transactions. The registers may include but are not limited to employee name; social security number; institution; FICA code; transaction code; nature and date of last transaction; last transaction; address; major account; class status; sex; Equal Employment Opportunity category; date of birth; ethnicity code; and related data. **(Retention:** (a) 4 years for quarterly registers, destroy

(b) Until superseded or obsolete for daily, daily registers, destroy)

(23) **Wage and Tax Statement Records** Records document data reported on the annual wage and tax statements for institutional employees, corrections to these statements, and a record of transmittal to the federal government. Records include print-outs from the Controllers Division by year in social security number order which include names, social security numbers, tax subject earnings, other data required by law, and summary transmittal forms. Forms

include IRS forms W-2, W-2C, W-3, and W-3C. This series also includes records that were attempted to be delivered but were returned or otherwise deemed undeliverable. **(Retention:** 5 years, destroy).

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 3-1999, f. & cert. ef. 10-11-99; OSA 2-2003, f. & cert. ef. 2-14-03; OSA 3-2004, f. & cert. ef. 7-29-04; OSA 4-2009, f. & cert. ef. 6-29-09

## 166-475-0095

### Personnel Records

(1) **Academic and Unclassified Employees Personnel Records** Records document the academic employee's work history at the Institution and includes routine, non-evaluative information such as job title, rank, full-time equivalency (FTE) or appointment percentage, dates of employment, salary, employing department, education and employment background. Some of the documents comprising this series include confidential information such as social security number, birth date, and marital status. Records may include but are not limited to copies of Affirmative Action Compliance Data Forms; Applications for Admission to Graduate School; Applications and Contracts for Sabbatical Leave; Applications for Academic Employment; Athletic Contracts/Overseas Agreements; Conditions of Employment; Memoranda of Agreement; Notices of Appointment; Overload Compensation Requests; Patent Rights Waivers; Pay/Budget Action Forms; forms documenting personnel actions, including Salary Adjustments and Summer Session Appointments; Proposals for Academic Appointment; Requests for Approval for Outside Employment; resumes or curriculum vitae; Retirement Agreements; Leave Accrual Forms; Technology Transfer Agreements; Tenure Relinquishment Forms; employee Social Security number disclosure forms; and related documentation and correspondence, such as letters of resignation and memos confirming appointments. **(Retention:** 75 years, destroy).

(2) **Academic and Unclassified Employees Personnel Records (Supervisor's Copy)** Records document the academic employee's work history maintained in the office of the dean, director, department head, or vice provost. It includes evaluative materials and non-evaluative information such as job title, rank, full-time equivalency (FTE) or appointment percentage, dates of employment, salary, employing department, education and employment background. Some of the documents comprising this series include confidential information such as social security number, birth date, and marital status. These records may be for full-time, part-time, and/or courtesy academic employees. Records may include but are not limited to Activity Reports; copies of Affirmative Action Compliance Data Forms; Applications for Admission to Graduate School; applications, contracts, and other records for sabbatical leave; emeritus faculty status letters; Employee Emergency Medical Information Forms; Applications for Academic Employment; Athletic Contracts/Overseas Agreements; Awards; Conditions of Employment Forms; Notices of Appointment; Overload Compensation Requests; Patent Rights Waivers; Pay/Budget Action Forms; Periodic Reviews of Faculty letters and records; forms documenting personnel actions, including Salary Adjustments and Summer Session Appointments; professional development records; Proposals for Academic Appointment; recommendations; reports of conferences attended; Staff Reports of Service to the Institution; Periodic Reviews of Administrators Summaries; reprimands; Requests for Approval for Outside Employment; resumes or curriculum vitae; Retirement Agreements; Sick Leave Accrual Forms; Teaching Evaluations; Student Evaluations of Faculty Summary Reports; Technology Transfer Agreements; Tenure Relinquishment Agreements; Employment Eligibility Verifications (Form I-9); Vacation Leave Report Forms; home address/telephone disclosures; and other relevant documents and correspondence, including commendations, letters from the chair or the dean concerning the nature of the faculty member's appointment and the expectations of the faculty member, letters granting fellowship, letter of position offer, letter of resignation, memoranda of agreement, Notices of Disciplinary Action, Notices of Layoff, and unsolicited letters



praising teaching or participation in a conference. **(Retention:** 5 years after employee separation, destroy).

(3) **Affirmative Action and Equal Opportunity 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. **(Retention:** (a) Permanent for narrative reports, policy, mission and goal statements, Equal Opportunity and Affirmative Action plans, and audit reports (b) 20 years for EEO-6/Vets 100/Ways and Means reports and Executive Department printouts, destroy (c) 10 years for statistical and status reports, case histories, correspondence, and related documentation (d) 3 years for all other records, destroy).

(4) **Affirmative Action and/or Human Resources Recruitment Review Records** Records document view of all stages of academic hiring by the institution's affirmative action office and/or human resources office. Records may include but are not limited to position descriptions; Notifications of Academic Position Opening; Affirmative Action Compliance Data sheets; Affirmative Action compliance statements; Applicant Pool and Appointment Reports; utilization reports; payroll-budget requests or action forms; contract requests to offer appointments; certificates of eligible's or applicant lists; and related documentation and correspondence. **(Retention:** 3 years, destroy).

(5) **Appointing Authority Administrative Records** Records document persons given the authority to appoint personnel to positions (as required by special circumstances). Records include policy documentation and correspondence. **(Retention:** Until superseded or obsolete, destroy).

(6) **Bargaining Unit Records** Records document negotiations and contractual agreements between the institution and the bargaining unit; it is also used for labor relations planning. 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; Fair Share records; minutes, sound recordings, exhibits and reports of meetings; and related documentation and correspondence. **(Retention:** (a) 75 years for final contracts, amendments, and negotiation minutes, destroy (b) 6 years after contract expires for all other records, destroy).

(7) **Benefits Policies and Procedures Records** Records document policy and procedure decisions and important events in the operations history of the office and includes contracts and formal documents which state or form the basis for policy or set precedents. Records may include but are not limited to records concerning the Academic 12-month Pay Option for Payroll; American Football Coaches Retirement Trust; dependent care flexible spending account program records; early retirement programs; employee orientation program; Employee Assistance Program; injured worker benefits; Continuing Benefits to Injured Workers (CBIW) records; insurance continuation coverage known as COBRA (Consolidated Omnibus Budget Reconciliation Act); medical, dental, life/disability insurance program records; open enrollment records; the institution Staff Handbook; Life Insurance; post doctorate fellow insurance program; Public Employee Retirement System (PERS); Retirees; tax deferred investment programs; Teachers Insurance Annuity Association and College Retirement Equities Fund (TIAA/CREF); Unionflex program; (US Savings Bonds); Volunteer Insurance; and related documentation and correspondence. **(Retention:** 6 years after expiration of program or contract, destroy).

(8) **Certificates of Eligible's Records** document the names of applicants currently eligible for hire for specific classified positions. The list is supplied by the personnel office to departments seeking to fill vacancies. Data elements on this list may include but are not limited to name; address; telephone number; and rank or exam

results. Copies of Employment Applications and Skill Code Sheets may be included with this record series. **(Retention:** (a) 3 years after end of search if part of recruitment, destroy (b) 1 year if not part of a search, destroy).

(9) **Classified Employees Layoff Records** Records document layoff procedures followed for affected employees. Records may include but are not limited to employees names; position titles; classification numbers; hire dates; layoff dates; seniority status; and related documentation and correspondence. **(Retention:** 3 years after employee separation, destroy).

(10) **Classified Employees Non-Routine Evaluations** Records document the non-routine evaluation of the classified employee's work performance. Records may include commendations; recommendations; disciplinary actions; reprimands; explanations or opinions filed in response to critical material; and related correspondence. **(Retention:** 3 years, destroy).

(11) **Classified Employees Personnel Records** Records document the classified employee's work history at the institution and includes routine evaluative materials and non-evaluative information such as job title, full-time equivalency (FTE) or appointment percentage, dates of employment, salary, employing department, education and employment background. Some documents in this series contain confidential information such as social security number, birth date, and marital status. Records may include but are not limited to employment applications which may include skill code sheets; resumes; selected memos such as agreement or request for position change, merit increase requests and notices, request for re-employment (letter of hire), resignation letters from employees, and termination letters from employer; commendations; recommendations; reprimands; work plans; forms documenting personnel actions; (personnel) performance evaluations; pay/budget action forms; leave records; time and attendance records; (designation of beneficiary forms;) union dues information; resumes; layoff notices; awards; licenses and certificates; college credit information; employee Social Security number disclosure forms; home address/telephone disclosure authorizations and related correspondence. **(Retention:** (a) 75 years for employment applications, agreements or requests for position change, merit increase requests and notices, request for re-employment, resignation letters, employer termination letters, personnel action forms, layoff notices, designation of beneficiary forms, personnel evaluations, and resumes, destroy (b) 3 years for letters of reprimand, destroy (c) 3 years after employee separation for all other records, destroy).

(12) **Classified Employment Testing Records** Records document the testing process for classified positions administered by human resources staff. Records may include but are not limited to test forms completed by qualified applicants; summary lists with scores; testing materials; and related documentation and correspondence. **(Retention:** 3 years, destroy).

(13) **Classified Rejected Applications Records** document employment applications that were submitted for jobs with the institution and for reasons of incompleteness or inadequate qualifying experience/training are rejected. Records may include but are not limited to institutional employment applications and state forms PD 100 and PD 229R. **(Retention:** 3 years after position filled or recruitment canceled, destroy).

(14) **Classified Unsolicited Applications Records** document unsolicited requests for consideration for employment possibilities in institution units. Records may include but are not limited to curriculum vitae and resumes; transcripts; letters of application; and related materials and correspondence. **(Retention:** 3 months, destroy).

(15) **Continuation of Insurance Benefits (COBRA) Records** Records document the institution's compliance with the Consolidated Omnibus Reconciliation Act of 1986 (COBRA). Records may include notices given to insurance administrators when employees leave the institution; information includes employee and dependent names and Social Security numbers, insurance package currently carried, dates of termination, coverage end date, and dates of notice to the contractor. **(Retention:** 3 years, destroy).



(16) **Continuing Education Instructor's Records** Records document competency of persons applying to teach continuing education courses. Records, which are filed by course with term and instructor name, may include but are not limited to resumes; curriculum vitae; personnel actions; time sheets; course proposals; request for undergraduate and graduate course and instructor approval forms; tentative course outlines; letters of nomination; letters of appointment and/or rejection; and related documentation and correspondence. (**Retention:** (a) 75 years for appointment information, destroy (b) 5 years after separation from Continuing Education faculty for all other records, destroy).

(17) **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).

(18) **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 negative drug test results, 1 year, destroy (b) Retain positive drug test results, 3 years, destroy).

(19) **Employee Medical Records** Records document an individual employee's work related medical history. These records are not personnel records and must be kept physically separate from employee personnel records — in a separate location, as required by the Americans with Disabilities Act. 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. These records are not personnel records and must be kept physically separate from employee personnel records — in a separate location, as required by the Americans with Disabilities Act. SEE ALSO Medical Surveillance Records in the Safety and Security section. (**Retention:** (a) Retain hazard exposure records: 30 years after employee separation (29 CFR 1910.1020), destroy (b) Retain audiometric (hearing) test records: Until employee's termination date (29 CFR 1910.95(m)) (c) Retain other employee medical records: 3 years after employee separation, destroy).

(20) **Employees 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 Records. SEE ALSO Employee Payroll Records in the Payroll section. (**Retention:** (a) Retain PERS enrollment records: 75 years, destroy (b) Retain optional plan enrollment records 75 years, destroy (c) Retain all other benefits records: 3 years after employee separation or eligibility expired, destroy).

(21) **Employees Training Records** Records document employee participation in training courses or programs for development purposes. Records may include but are not limited to staff fee requests to take classes; course agendas, descriptions, and syllabi; course outlines and materials; enrollment and attendance records; training requests and authorizations; certificates of completion;

and related documentation and correspondence. (**Retention:** 3 years, destroy).

(22) **Employees Employment Verification Records** Records document the responses to inquiries for evidence of employment from offices within the institution, banks and credit agencies, government agents, businesses, and current and former personnel. Records may include but are not limited to copies of written requests; release of information authorization forms; telephone request forms; office control documents; statistical summaries; and related documentation and correspondence. (**Retention:** 3 years, destroy).

(23) **Employment Eligibility Verification Forms Records** document information used to establish the identity and to verify the employment eligibility of employees to preclude the unlawful hiring of persons not authorized to work in the United States. Records include completed I-9 forms and copies of documents that establish the identity and the employment eligibility of the employee. (**Retention:** 3 years after date of hire or 1 year after separation, whichever is longer, destroy).

(24) **Employment Policies and Procedures Records** Records document employment policies and procedures administered by institution personnel offices. Records may include but are not limited to information on academic year appointments; employment of disabled persons; family employment program; interviewing; job sharing; overseas employment; student employment; temporary appointments; transfers; and related documentation and correspondence. (**Retention:** Permanent).

(25) **Executive Evaluations Administration Records** Records documents the administration of routine performance evaluations of OUS chancellors and individual college and university presidents. Records may include appointment schedules; letters of follow-up and thank you; press releases and announcements; hotel and travel arrangements; and related correspondence. (**Retention:** 3 years, destroy).

(26) **Family and Medical Leave Case Files Records** document requests for leave and granted leaves by employees under provisions of the Federal Family and Medical Leave Act and the Oregon Family Medical Leave Act. Records may include but are not limited to employee leave request forms; notices to employees of leaves granted or rejected; Certification of Health Care Providers for the employee or a family member; employee backup information and leave history records; employee time records; Continuation of Health and Dental Insurance Benefits Memorandum; and related documentation and correspondence. (**Retention:** 3 years after case closed, destroy).

(27) **Graduate Assistantship Applications Records** Records document applications of graduate students for Graduate Teaching Assistantships and Graduate Research Assistantships in academic programs. Records include applications developed by individual units; resumes and vitae; and related documentation and correspondence. (**Retention:** (a) 5 years after application or termination of employment, whichever is longer for successful applicants, destroy (b) 3 years for denied applicants, destroy).

(28) **H-1 Visa Scholars Records** Records document the temporary employment of internationals by the institution and is used to monitor compliance with Immigration and Naturalization Service regulations. Records may include but are not limited to Petition for a Non-immigrant Worker (Form I-797); Labor Conditions Applications for H-1B Non-immigrant; Prevailing Wage Information Request; Application to Immigrant and Naturalization Service (INS); documentation of requests for visa extensions; details of work assignments; and related documentation and correspondence including the letter of support. (**Retention:** 6 years after expiration of visa and extensions granted, destroy).

(29) **Health Emergency Information Records** Records document the health identification information of students, faculty or staff. Health information may be collected for sponsored field trips, participation in physical education classes, and other activities. Information may include but is not limited to personal identification and physician's name and contact information, and emergency contact and health insurance information. Note: These records are

not the same as the Emergency Notification Forms found in the Personnel File. **(Retention:** 1 year after the end of the event or activity for which this information was collected, destroy).

**(30) Immigrant Visa Scholars Records** Records document the application and approval of international scholars for permanent immigrant status. Records may include but are not limited to Applications for Alien Employment Certifications issued by the Department of Labor, Employment and Training Administration; advertisements for positions; curriculum vitae; transcripts; letters of recommendation; notes on all applicants for positions demonstrating that a petitioner was the best qualified for an advertised position; forms indicating the institution's efforts to employ comparably qualified U.S. citizens (ETA750); interviewers' notes and memoranda; and related correspondence. **(Retention:** 75 years, destroy).

**(31) J-1 Visa Scholars Records** Records document the short-term appointment of non-immigrant international scholars as visiting faculty, specialists, researchers and trainees. Records may include but are not limited to United States Information Service Certificates of Eligibility for Exchange Visitors Forms (IAP-66); descriptions of work to be performed; methods of financial support; copies of passports; check-in forms with personal data such as addresses, telephone numbers, and information concerning dependents; related correspondence, most often concerning eligibility of spouses and children to accompany or join the scholar; log sheets noting the nature of telephone calls concerning each scholar's status; and related documentation. **(Retention:** 3 years after visa expiration, destroy).

**(32) Layoff Administration Records** Records document policies and procedures administered by institution personnel offices with regard to layoffs. Records may include but are not limited to position elimination information; employee assistance information; layoff lists; management service layoff policy; news publications; salary funding requests; vacancy lists; and related documentation and correspondence. **(Retention:** 75 years, destroy).

**(33) Merit Increase and Trial Service Performance Appraisal Lists Records** document classified employees who are expected to receive merit pay increases or successfully complete their six-month trial service period. The lists, organized by academic department or administrative office, include employee's name; class; social security number; position number; employee status and type; FTE; pay rate qualifier; current step and pay rate; new pay rate and step (merit increase only); and trial service completion date (trial service only). **(Retention:** 6 months, destroy).

**(34) National Faculty Exchange Program Records** Records document an exchange program which allows university faculty members to exchange teaching positions with other institutions' faculty members within the United States. Records include contracts; summaries; and related correspondence. **(Retention:** (a) Permanent for summaries (b) 5 years for all other records, destroy).

**(35) Personnel Research Data Records** Records document the comparative salaries, benefits, collective bargaining agreements, staffing requirements, minimum qualifications, recruitment, and training of an institution's employees. Records include but are not limited to published and unpublished data; statistical reports; and related documentation and correspondence. **(Retention:** Until superseded or obsolete, destroy).

**(36) Position Descriptions Records** document job descriptions for classified and faculty positions and is used for employee recruiting, Fair Labor Standards Act eligibility analysis, position review, and reclassification purposes. Information fields in the position descriptions may include position names, position numbers, qualifications, functions and responsibilities, duties, hierarchical data, job classification numbers, description of duties, and pay rates. Records may include but are not limited to Position Description forms; Reclassification Position Descriptions and documentation; Classification Listings; Positions Listings; and related documentation and correspondence. **(Retention:** (a) 5 years after superseded, destroy (b) 5 years for position reclassification records, destroy).

**(37) Promotion, Tenure, and Salary Increase Records** Records document the periodic consideration of faculty who are eligible for changes in rank, tenure status, and/or pay. Records may include but are not limited to promotion and tenure dossiers compiled and presented by the faculty member as per instructions from Academic Affairs as well as other materials which are compiled and maintained for inclusion, analysis, and summarization into the dossier folders. The dossiers may include but are not limited to candidate dossier cover form or checklist; prior service agreement; Confidential Waiver for letters of evaluation; current position description; letters of evaluation; current curriculum vitae or resume; activity summary and evaluations of teaching, curriculum development and advising from students, participants/clients, and peers; candidate acknowledgment of dossier review; student evaluations of faculty summary reports; committee signature sheets; committee findings; recommendations of administrative superiors; and related documentation and correspondence. These files should always be maintained physically separate from departmental and college personnel files, but are considered to be a part of the academic personnel record. **(Retention:** 10 years, destroy).

**(38) Recruiting Pool Records** Records document prospective applicants for faculty and staff positions drawn from either previous recruitments or unsolicited applications. Records may include but are not limited to curriculum vitae or resumes; cover letters; Applications for Employment; interview materials; position announcements; evaluations of prospective employees; and related correspondence. **(Retention:** 3 years, destroy).

**(39) Residential Advisor (RA) Employees Records** Records document the selection process, requirements, and work history of residential advisors. RAs apply in the Winter Term for the following school year. After preliminary screening and approval applicants are required to enroll in a course designed for potential RAs taught by student housing staff. Records may include but are not limited to application forms; transcripts; recommendations; interviewers' notes; notification letters; contracts which give duties and responsibilities, enrollment hours limitations, and signatures; papers or projects completed in the required RA course; staff evaluations of applicants and term-by-term evaluations of appointees; and related documentation and correspondence. **(Retention:** 5 years after employee separation, destroy).

**(40) Retirement Incentive Program Records** Records document the cost of incentive programs providing benefits for university employees who choose early retirement. Records include agreements between the university and employees for lump sum, monthly, or annual payments; records of actual payments; and related correspondence. **(Retention:** 6 years after final payment, destroy).

**(41) Sabbatical Leave Records** Records document sabbatical leave activities of institution faculty. Records may include but are not limited to reports; applications; contracts; and related documentation and correspondence. **(Retention:** (a) Permanent for reports (b) all other records 75 years, destroy).

**(42) Search Records** Records document the selection process for academic, classified and student positions within the institution. Records may include but are not limited to applications; curriculum vitae or resumes; academic transcripts; samples of writing or publications; approvals of recruitment proposals; candidate lists; position announcements; position advertisements; position descriptions; Certificate of Eligible's; copies of Affirmative Action Compliance Data Forms; Requests to Fill Academic Position Forms; interview materials such as schedules, rating sheets, tallies, screening and interview notes, review committee notes and memoranda; telephone conversation notes; and related correspondence such as cover letters and reference letters.

**NOTE:** Application materials of successful academic and classified candidates become part of the employee's personnel file.

**(Retention:** (a) 3 years after search completed for academic and classified search records, destroy (b) 1 year for student search records, destroy).

**(43) Staffing Policies Records** Records document the adoption and implementation of personnel and staffing policies at the college and/or unit level pertaining to topics such as faculty evalu-

ations; faculty Retention; merit increases; performance evaluations; promotion and tenure, both instructions and guidelines; sabbatical leave, both policies and reports; salary adjustments, both guidelines and statistics; and support staff information. Records may include but are not limited to notations on priority staffing decisions; position descriptions; requests for approval of new staff positions; justification statements; descriptions of teaching responsibilities for positions requested; funding information; job announcements; memoranda; and related documentation and correspondence. (**Retention:** 2 years after superseded or obsolete, destroy).

(44) **Social Security Number Records** Records document international students' and scholars' acquisition of social security numbers. This series may include but is not limited to social security number applications; Statement of Information — Social Security Account Number forms (CO-204); photocopies of social security cards; Controllers Division reports; and related documentation and correspondence. (**Retention:** 3 years, destroy).

(45) **Student and Classified Employees Compensation Records** Records document and defines pay rates for classified and student employees. Records may include but are not limited to compensation plans; conversion tables for annual, monthly, hourly, and overtime rates; records concerning extra merit increase, merit pay system, overtime pay, shift differential, student pay, variable rate pay, and working out of class; and related documentation and correspondence. (**Retention:** Until superseded or obsolete, destroy).

(46) **Student Employees Personnel Records** Records document the student employee's work history from the supervisor's perspective. This series may contain records for work-study and/or regular departmental budgeted student employees. This series may include resumes; interview questionnaires and notes; work referral forms; Student Schedule Slips; Financial Aid Employment Reference Forms; Student Employment Registration Forms; Personnel Actions Forms; Pay/Budget Action Forms; Work-Study Time Certificates; Performance Evaluations; Employee Withholding Allowance Certificate (W-4) forms; Payroll Check Delivery Authorizations; Requests for Emergency Payroll Draw Forms; commendations; recommendations; reprimands or notices of disciplinary action; notices of layoff; letters of resignation; work permits; copies of visas and related immigration status information; Student Driver Authorization Forms; Employment Eligibility Forms (I-9); home address/telephone disclosure authorizations; and related correspondence and documents. The series may also include photocopies of each employee's drivers license; birth certificate; or Certificate of Student Employment Registration. (**Retention:** (a) 5 years after employee separation for work-study student records, destroy (b) 3 years after date of hire or one year after separation, whatever is longer for Employment Eligibility Forms (I-9), destroy (c) 3 years after employee separation for other student employee records, destroy).

(47) **Student Faculty/Course Evaluation Records** Records document students' evaluations of teaching personnel and is used to help determine faculty tenure, promotion, merit increases and/or to review instructional courses and programs. These records provide students' opinions on faculty members' familiarity with current literature of the discipline, preparation, assignments, examinations, lecture styles, willingness to engage in dialogue, and availability. Records include bubble forms (input documents); course reaction inventory printouts; statistical tabulations; summary reports; and related documentation and correspondence. (**Retention:** (a) Until tabulated and verified for bubble forms, destroy (b) 5 years for all other records, destroy).

(48) **Tuition Reduction Records** Records document employee and/or dependents participation in courses or programs offered by OUS institutions at reduced tuition rates. Records may include but are not limited to staff fee requests to take classes, course agendas, descriptions and syllabi, course outlines and materials, enrollment and attendance records, training requests and authorizations, certificates of completion, related documentation and correspondence. (**Retention:** 4 years, destroy).

(49) **Volunteer Program Records** Records document the activities and administration of volunteer programs in the agency

and institutions. 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).

(50) **Unemployment Compensation Claim Records** Records document claims submitted by former institution employees for unemployment compensation. Records may include but are not limited to claim records; notices; reports; records generated by the appeal of claim determinations; and related documentation and correspondence. (**Retention:** 2 years, destroy).

(51) **Work Time Adjustment Agreements Records** document agreements between the employer and the employee regarding a change in the employee's work hours. Records may include but are not limited to the official signed agreement; related documentation and correspondence. (**Retention:** Until superseded or obsolete, destroy).

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 3-1999, f. & cert. ef. 10-11-99; OSA 2-2003, f. & cert. ef. 2-14-03; OSA 3-2004, f. & cert. ef. 7-29-04; OSA 4-2009, f. & cert. ef. 6-29-09; OSA 1-2010, f. & cert. ef. 5-27-10

## 166-475-0100

### Publications, Promotions and Alumni Records

(1) **Alumni Records** Records document the activities of an institution or department's alumni and may also provide alumni offices with information on alumni. Records may be used to create a network of support from alumni, primarily through organized alumni groups; to track alumni; to monitor their achievements, activities, and recognitions; to create statistics; to reply to information requests; and to provide information on the accomplishments of previous students. This series may include but is not limited to memberships lists with names, addresses, employer names and addresses, and positions; minutes, by-laws and directories of clubs in many Oregon communities and several major cities throughout the United States; promotional materials concerning annual gatherings; homecoming plans and programs; data cards and files for individual alumni; degree recipient lists; outstanding alumni lists; student leader lists; class officer lists; foreign student rosters; international alumni club records; and notes, memoranda, and related correspondence concerning general alumni affairs. (**Retention:** Permanent)

(2) **Alumni Association Board Records** Records document the activities of the alumni association board of directors. The board is responsible for promoting the interests and ideals of the institution; stimulating and encouraging school pride in students, graduates, and former students; and developing a sense of responsibility for continued progress in educational programs for the institution. This series may include but is not limited to agendas; minutes; reports; notes; working papers; and related documentation and correspondence. (**Retention:** (a) Permanent for agendas, minutes, reports, and policy/historical correspondence (b) 5 years for all other records, destroy)

(3) **Alumni Association Services Program Records** Records document the implementation of programs administered by the office such as those relating to marketing products, credit cards; insurance, and football tickets. This series may include but is not limited to agreements; dues information; postal information; and related documentation and correspondence. (**Retention:** 5 years, destroy)

(4) **Alumni Mailing List Records** This series provides a record of the whereabouts of alumni for information request and mailing purposes. This series includes mailing lists and related documentation and correspondence. (**Retention:** Until superseded or obsolete, destroy)

(5) **Biographical Records** Records document biographical data for institutional faculty and staff. The records are used for public information releases and reference by the institutional staff



to provide responses to inquiries. This series may include but is not limited to biographical sketches developed by the office of employment, the individuals concerned, or other sources; vitae; photographs; personal history data sheets; newspaper clippings; retirement notices; funeral programs; and obituaries. **(Retention:** Permanent)

(6) **Class Gift Records** Records document gifts given to the institution by senior classes. This series may include but is not limited to gift lists; gift histories; a record of gift placement arrangements; and related documentation and correspondence. **(Retention:** Permanent)

(7) **Films, Videotapes, and Sound Recordings Records** document institutional activities and events including intercollegiate athletics, students, faculty, and staff with significant relevance to either the institution's or individual unit's function and mission. These productions may have been created for recruitment and orientation, fund-raising, publicity, research, or teaching. This series may include but is not limited to identified and labeled audio/video records.

**NOTE:** Contingencies must be made for transferring information to a more stable medium. **(Retention:** Permanent)

(8) **Fund-Raising Records** Records document institutional efforts to raise funds to support program functions and facilities. This series may include but is not limited to requests for fund-raising; individual benefactors and prospective donors files; public relations records; event planning and arrangement records; gift history reports; background on previous donations; pledges; and related documentation and correspondence. **(Retention:** 6 years, destroy)

(9) **Hometown Information Records** Records document newspapers published in Oregon and is used to promote the institution. It is arranged alphabetically by town name and county and refers to the appropriate newspaper and its location. This series includes Oregon town and county names that refer to the serving newspaper; brief descriptions of scholarship awards offered on this campus; and all state high schools by town, county, and phone number. **(Retention:** Until superseded or obsolete, destroy)

(10) **News Release Records** Records document newsworthy events of the institution. This series may include but is not limited to news releases issued by institution news and communications units arranged by topic and/or date of issue. The news releases may contain but are not limited to the source of the information; title; byline; activity location and dates; and specified time of release. **(Retention:** (a) Permanent for releases pertaining to significant events and policy matters (b) 10 years for routine releases, destroy)

(11) **Ordering Records** Records document continuing requests for publications produced by an office. This series may include but is not limited to standing order cards or lists indicating the name and address of the requestor; book titles; transaction date; invoice number; and related documentation and correspondence. **(Retention:** Until request becomes inactive, destroy)

(12) **Photographs Records** document institution activities, events, students, faculty, and staff with significant relevance to either the institution's or individual unit's function and mission. It may be used for student recruitment and orientation, fund-raising, publicity, publications, research, or teaching. This series includes photographs in print, negative, and slide formats. **(Retention:** a) Permanent for institutionally accepted pictures documenting historic events and people b) until obsolete for all others, destroy)

(13) **Publications Inventory Records** Records document publications in stock in an office. This series may include but is not limited to cards and lists. The information may include but is not limited to publication title; date of publication; and retail cost. **(Retention:** 4 years after superseded or obsolete, destroy)

(14) **Publications Records** Records document publications produced by individual institution offices. It may be used to document the activities of the office, for educational purposes and/or for informational purposes. Types of publications may include but are not limited to catalogs; books; magazines; newsletters; handbooks; yearbooks; directories; brochures; pamphlets; media guides; guidebooks; proceedings; programs; and flyers. Series may include but is not limited to working papers; mock-ups; drafts; and final publi-

cations. **(Retention:** (a) Permanent for final publications (b) 1 year for all other records, destroy)

(15) **Sample Publications and Job Specification Records** Records document specifications used in setting up publications for printing by the institution's publications office. This series may include but is not limited to job cards indicating description, specifications, and dollar cost of production; art work including drawings, maps, and blueprints; samples of changes made to publications; completed publications; and related documentation and correspondence. **(Retention:** 5 years, destroy)

(16) **Scholarship Reports Records** document recipients of scholarships in colleges or departments. These records may include information regarding the names of recipients; when they received the scholarships; names of scholarships; dollar value of scholarships; years recipients entered and graduated; and related correspondence and documentation. **(Retention:** Permanent)

(17) **Unit/Institution/Organization History Records** Records document the historical development of the institution; units within the institution; and organizations associated with the institution, such as honor societies, fraternities and sororities, and student/faculty/ staff clubs. This series may include but is not limited to newspaper clippings; photographs; published and unpublished historical sketches; publications; statistics; ephemera; and related documentation and correspondence. **(Retention:** Permanent).

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 3-1999, f. & cert. ef. 10-11-99; OSA 2-2003, f. & cert. ef. 2-14-03; OSA 3-2004, f. & cert. ef. 7-29-04; OSA 4-2009, f. & cert. ef. 6-29-09

## 166-475-0105

### Safety and Security Records

(1) **Accident and Injuries Records** Records document claims made by institution employees to the SAIF (State Accident Insurance Fund) Corporation for occupational injuries, accidents, or illnesses; insurance coverage and related reimbursement issues; and safety analysis and compliance inspections. This record series does not include accidents or incidents which involve hazardous substance or radiation exposure. This series may include but is not limited to report of accident forms; SAIF Worker's and Employer's Report of Occupational Injury or Disease form (463.801); Occupational Safety and Health Administration (OSHA) Form 300; OSHA Form 101; incident logs; employer payroll reports; hearing transcripts; notices of claim disposition; determination orders; opinions and orders; appeal letters; claim adjustment documentation; medical reports; cost statements; and related documentation and correspondence. **(Retention:** 6 years after final disposition of claim, destroy)

(2) **Annual Vehicle Inspection Records** Records document the safety of institutionally owned automobiles, vans, trucks, and other motorized vehicles. This series includes but is not limited to annual motor vehicle inspection reports and related forms; documentation; and correspondence. **(Retention:** 2 years after the vehicle is disposed of, destroy)

(3) **Asbestos Records** Records document a building by building survey and plan to correct asbestos material hazards. This series may include but is not limited to surveys; monitoring tests and reports; data forms; building plans; correction checklists; removal job records; and related documentation and correspondence. **(Retention:** (a) 30 years after separation for records documenting persons contacting or removing asbestos, destroy (b) 40 years: all other records, destroy)

(4) **Carcinogenic Compound Inventory Records** Records document inventory and stock of high and extremely high carcinogenic compounds. This series contains but is not limited to project and departmental lists of chemical inventories; lists of persons involved in the research project; and related forms, documentation, and correspondence. **(Retention:** (a) 30 years after separation for records documenting persons using or contacting compounds, destroy (b) 40 years for all other records, destroy)

(5) **Carcinogenic Compounds Use Records** Records document the use of hazardous carcinogenic compounds by institutional researchers. This series may contain but is not limited to research

protocols; registration for use of high and extreme hazard carcinogens; chemical carcinogen animal care requirement forms; lists of personnel involved in laboratory contact with chemical carcinogens; list of carcinogenic compounds to be used in the specific research project; and related documentation and correspondence. **(Retention: 30 years after employee or researcher separation, destroy)**

(6) **Chemical Hazardous Material Survey Forms Records** document student and employee exposure to hazardous chemicals as per federal regulation. This series includes but is not limited to Chemical Hazardous Material Survey Forms which contain dates, employee or student names, chemical name, and comments; and related documentation and information. **(Retention: 30 years after student or employee separation, destroy)**

(7) **Chemical Incident Records** Records document the investigation of hazardous chemical material accidents or incidents including releases. This series may include but is not limited to incident reports noting locations, names, dates, times, description of incident, personnel involved, remarks, and name of contact; and related documentation and correspondence. **(Retention: 30 years after employee separation, destroy)**

(8) **Chemical and Hazardous Waste Disposal Records** Records document the receipt, shipment, and disposal of chemical material or hazardous wastes on campus. This series includes but is not limited to chemical and waste inspection forms; drum packing sheets; Uniform Hazardous Waste Manifest forms (EPA 8700); Certificates of Disposal from vendors; land disposal notification forms; waste disposal records; and related documentation and correspondence. **(Retention: 30 years, destroy)**

(9) **Emergency Response Plans and Procedures Records** documents procedures to be followed in the event of emergency. Records may include step-by-step procedures; unit and institutional disaster preparedness plans; and related correspondence. **(Retention: Until superseded or obsolete, destroy)**

(10) **Environmental Regulations Records** Records document institutional compliance with environmental laws and guidelines of federal, state, or local governments. These records include communications with the Regional Air Pollution Authority (RAPA) which is under the jurisdiction of the Environmental Protection Agency (EPA) of the federal government and also the state Department of Environmental Quality (DEQ). This series may include but is not limited to Title V Air Discharge Permits; Air Quality Reports; Waste Water Discharge Permit Applications; Waste Water Discharge Permits; Water Quality Reports; Waste Water Discharge Records; Notices of Violation; Notices of Non-compliance; and related documentation and correspondence. **(Retention: 10 years, destroy)**

(11) **Fire Alarm and Drill Records** Records document response to any alarm that is activated on campus. This series may include but is not limited to the following information, when and where the incident occurred; specific response; reset time; and rewind time, if appropriate. **(Retention: 3 years, destroy)**

(12) **Human Materials Authorizations Records** Records document faculty proposals to use human materials in classroom instruction. This series includes but is not limited to written proposals from classroom instructors; departmental and committee approvals or disapprovals; reports; and related documentation and correspondence. **(Retention: 10 years, destroy)**

(13) **Inspections Records** Records document inspections done by various agencies such as the city building department, health department, or fire department in the course of routine business and is used by the institution to correct and analyze safety problems and to document compliance with regulations. This series may include but is not limited to inspection sheets which show date of inspection, notation of violations, and suggested corrective measures; reports acknowledging compliance with regulations; authorizing signatures; and related information, documentation and correspondence. **(Retention: 10 years, destroy)**

(14) **Material Safety Data Sheets Records** Records document the institution's inventory of hazardous chemicals; record keeping is mandated by the Hazardous Communications Program of the Occupational Safety and Health Administration (OSHA). This series contains but is not limited to Material Safety Data Sheets

which list chemical name, description, composition, intended use, flash point, transportation, hazards, safe handling, and extinguishing methods; and related documentation. **(Retention: 30 years, destroy)**

(15) **Medical Surveillance Records** Records document the medical history of employees working in positions with exposure to high risk hazardous conditions such as Class B and C carcinogenic compounds, asbestos, lead, or excessive noise. Medical examinations of workers are made at the beginning and termination of institution employment and periodically throughout the career course as well as immediately following an accident or potential exposure incident. This series may include but is not limited to medical examinations; laboratory test records and results; and related documentation and correspondence. **(Retention: 30 years after employee separation, destroy)**

(16) **Non-Staff Accident and Injuries Records** Records document the reporting and investigation of campus related accidents that result in injury to non-staff and/or their property. This record series does not include accidents or incidents which involve hazardous substance or radiation exposure. This series may include but is not limited to Report of Accident forms; complaints; investigation reports; insurance appraisals and estimates; photographs; and related documentation and correspondence. **(Retention: (a) If incident results in a claim: transfer to appropriate claim file (b) If no claim results: retain 10 years, destroy, destroy)**

(17) **Protective Wear and Device Request Records** Records document the authorization and acquisition of specialized safety devices and clothing for employees working in hazardous situations. This series may include but is not limited to Safety Shoe Request and Authorization Forms; Prescription Safety Glasses Request and Authorization Forms; and related forms, documentation, and correspondence. **(Retention: 4 years, destroy)**

(18) **Radiation Licensing Records** Records document the licensing of the institution by federal, state, and local agencies to receive, use, store, dispose of, and ship radioactive materials. These records include federal and state applications and certificates including State of Oregon Health Division Radiation Material License forms (P112118-333 (100g)) and amendments (p29939-333 (150)); validation certificates showing fees paid for licenses; and related correspondence. **(Retention: Permanent)**

(19) **Radioactive Material Handling and Disposal Records** Records document the reception, handling, shipment and/disposal of radioactive material or radioactive hazardous wastes at the institution to comply with federal and state record keeping and reporting requirements. The series also provides the office with a record of past activity. Records may include waste material pick up requests and tags; Radioactive Waste Drum Inventory forms; Uniform Hazardous Waste Manifest forms (EPA 8700-22); Radiation Waste Shipment and Disposal Manifest forms (vendor form); Radiation Material Inventory sheets; Radiation Material Shipment Receipt Record forms; Waste Disposal Record cards; disposal site letters of arrival acknowledgment; Sewered Radioactive Material log sheets; Solid Waste Discharge and Analysis Sheets; Liquid Summary Reports; gaseous waste Summary Reports; and related correspondence. **(Retention: Permanent)**

(20) **Radiation Monitoring and Exposure Records** Records document radiation testing and monitoring of employees, students, visitors, facilities, and the surrounding environment and is used to comply with federal and state reporting and licensing requirements and insurance carrier reporting requirements. This series includes dosimeter reports (vendor form); Exposure History forms; Statement of Occupational Radiation Dosage forms; Neutron Generator Smear Test Survey Forms; Fillor Survey Forms; Special Survey Forms (RCHPP .24D); Hood Flow Survey forms; Rotation Rack Filter Survey Forms; Soil/Water/Vegetation Records Survey Forms; and Bio-Essay Reports. **(Retention: 30 years after employee separation, destroy)**

(21) **Radiation Safety Committee Records** Records document the establishment of policy and procedure by the committee. Records include agendas; minutes; reports; notes; working papers and related correspondence. **(Retention: Permanent)**

(22) **Safety Training Records** Records document employee training and certification such as for equipment operation, hazardous material handling and emergency procedures, driver training, CPR and first aid training, and asbestos awareness training for removal, abatement, or transportation. This series may include but is not limited to sign off sheets indicating that employees have received training; acknowledgment of safety rules; instruction sheets; copies of hazardous material data sheets; informational materials; and related documentation and correspondence. (Retention: 30 years after employee separation, destroy)

(23) **Security Records** Records document reporting of suspicious and criminal incidents at the institution. Records may include incident reports containing names, dates, case numbers, dollar values, locations, descriptions of incident, and personnel taking report; identification cards created when reports of suspicious behavior are made to the office; warnings records; copies of reports filed by the Oregon State Police or other law enforcement agencies; notes; and related documentation. (Retention: (a) 2 years for copies of reports filed by law enforcement agencies, destroy (b) 7 years for annual Clery act report records, destroy (c) 5 years for all other records, destroy)

(24) **Student Incident Records** Records document incidents of injury to residence hall occupants, vandalism, and other infractions of housing rules. The series also documents the disposition of such incidents. This series may include but is not limited to incident report forms usually filed by resident advisors; housing director's written decisions; student appeals of decisions; and related documentation and correspondence. (Retention: (a) If incident results in a claim: transfer to appropriate claim file (b) If no claim results: retain 10 years, destroy)

(25) **Vehicle Accident Records** Records document accidents involving vehicles owned by the institution. This series may include but is not limited to vehicle accident reports; vehicle accident claims; damage or loss of state property reports and related documentation and correspondence. Information may include vehicle type and identification number; name of party using the vehicle; notation of condition before and after use; and authorizing signatures. (Retention: 4 years, destroy).

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 3-1999, f. & cert. ef. 10-11-99; OSA 2-2003, f. & cert. ef. 2-14-03; OSA 3-2004, f. & cert. ef. 7-29-04; OSA 4-2009, f. & cert. ef. 6-29-09

## 166-475-0110

### Student Records

(1) **Academic Standing Reports Records** document student academic standing, including academic deficiency and the status changes of academically deficient students. Records may include reports containing student names, grade point averages (GPAs), grade point deficiencies, and numbers of previous suspensions and probations; student petitions for re-evaluation; report of student progress toward academic readmission/removal of probation status at other institutions; academic honors and awards; and related documentation and correspondence. (Retention: 3 years, destroy)

(2) **Admissions Reports Records** document summary information relating to student admission programs which may be used for control, planning or review. Records may include but are not limited to working papers; drafts; transitory reports; final reports; and related documentation and reports. Typical report subject categories include the number of new students, advanced placement, and Grade Point Averages summaries. (Retention: (a) Permanent for final reports (b) 5 years for all other records, destroy)

(3) **Certification Records** Records document the preparation of students earning degrees and/or certification for licenses or certificates to enter a profession and forms the basis of the initial certification for various professions. Records may include applications for admission to a program; registration for practicum hours and evidence of the completion of the practicum; transcripts; narrative evaluations on practicum; notice of completion of hours required for certification; recommendations and evaluations; and related correspondence. (Retention: 5 years after initial certification, destroy)

(4) **Class Lists Records** document official record of students enrolled in courses taught. The series is used to cross-check students who have enrolled against those who have registered as well as in the generation of statistical reports. Information in the series includes student names; Student ID Number; term; and enrollment/registration status. (Retention: 1 term, destroy)

(5) **Commencement Records** Records document commencement program planning and implementation at the institution. Records may include but are not limited to commencement attendance forms; planning records created by commencement committees or other planning groups; and related documentation and correspondence. (Retention: (a) Permanent for commencement programs (b) Until degrees conferred for commencement attendance forms, destroy (c) 2 years for all other records, destroy)

(6) **Diploma Mailing Verification Records** Records document students' requests to have diplomas and other graduation records distributed to specific addresses. Records include signed cards listing permanent addresses for diplomas to be mailed to; indicating that fees have been paid; and listing students' names, college or school within the institution, degrees granted, and dates of requests. (Retention: 1 year, destroy)

(7) **Enrollment Reports Records** document enrollments which may be used for planning and research. Information contained in the reports includes student names and levels, grade point averages, demographic data, and academic majors. Records may include but are not limited to working papers; final reports; and related documentation and correspondence. (Retention: (a) Permanent for final reports (b) 2 years for all other records, destroy)

(8) **Examinations, Tests, Term Papers, and Homework Records** Records document work of student subject mastery in institution courses not returned to the student. Records may include but are not limited to examinations and answers; quizzes and answers; homework assignments; course papers; term papers; and essay assignments. This series does not include graduate student qualifying or comprehensive examinations. (Retention: (a) 1 term after completion for uncontested grade results, destroy (b) Until resolved for contested grade results, destroy)

(9) **Family Educational Rights and Privacy Act (FERPA) Documents Records** document the process of student information release requests and consent authorizations or denials in accordance with the Family Educational Rights and Privacy Act. Records may include but are not limited to requests for formal hearings; requests for release of personally identifiable information; records of disclosures made to third parties; student statements regarding hearing panel decisions; written decisions of the hearing panel; written consent of the student to disclose records; waivers for rights of access; and related documentation and correspondence. (Retention: (a) Life of the affected record or until student terminates waiver for written consent of the student to disclose records and waivers for rights of access, destroy (b) Life of the affected record for all other records, destroy)

(10) **Fraternity and Sorority Membership Records** Records document personal information on each organization member. Data elements on cards or lists may include high school attended; major; hometown; date pledged; graduation date; offices held; and awards received. (Retention: 5 years after last enrollment, destroy)

(11) **Grade Reports Records** document grades received by students for the term. This is the record copy of reports distributed to students at the end of each term. Individual forms include course numbers and titles; grades awarded; grade point average; student name; and social security number. (Retention: 1 term, destroy)

(12) **Grade Rosters Records** document grades awarded by instructors and serves as the basis for students' official academic records. Records include student names and student ID numbers; course titles and numbers; sections; grades awarded; and instructors' signatures. (Retention: (a) 10 years for records created after implementation of the Student Information System, destroy (b) 25 years for records created before implementation of the Student Information System, destroy)

(13) **Graduate Students Degree Completed Records** Records document students' admission into graduate programs at the insti-



tution and their subsequent academic progress resulting in completion of degrees. (The official institutional academic record for all graduate students is maintained by the Registrar's Office). Records may include but are not limited to applications for admission to Graduate School; notices of admission; standardized placement and evaluation exams; transcripts; requests to audit courses; major department/degree change requests; assignment of an advisor; composition of dissertation/thesis committee and any changes thereof; proposed program sheets; transmittal sheets for records; statements of goals and objectives; certification of transferred courses; grade reports; course waiver requests; removal of incomplete grades forms; seven year time-limit appeal records; oral and written exam results — preliminary, qualifying and comprehensive; report of final oral examination and thesis credit for advanced degree; thesis title card approvals; petition for change in graduate program; petitions or letters requesting exemption from institution regulations or procedures; advising checklists; transcripts from other institutions; on-leave requests and approvals, official graduation audit; program advisors' reports showing progress towards academic degrees; advancement to candidacy forms; awards; and related documentation and correspondence. **(Retention: 20 years after degree completed, destroy)**

**(14) Graduate Students Degree Uncompleted Records** Records document students' admission into graduate programs at the institution and their subsequent academic progress toward but not resulting in the completion of degrees. (The official institution academic record for all graduate students is maintained by the Registrar's Office.) Records may include but are not limited to applications for admission to graduate school; recommendations/ evaluations for admission; notices of admission; standardized placement and evaluation exams; transcripts; graduate school departmental action forms; requests to audit courses; major department/degree change requests; assignment of an advisor; composition of dissertation/thesis committee and any changes thereof; proposed program sheets; transmittal sheets for records; statements of goals and objectives; abstract of thesis or dissertation; certifications of transferred courses; grade reports; course waiver requests; removal of incomplete grades forms; seven year time-limit appeal records; oral and written exam results — preliminary, qualifying and comprehensive; reports of final oral examination and thesis credit for advanced degree; thesis title card approvals; petitions for change in graduate program; petitions or letters requesting exemption from institution regulations or procedures; on-leave requests and approvals; advising checklists; transcripts from other institutions; program advisors' reports showing progress towards academic degree; advancement to candidacy forms; comprehensive exam results; awards; and related documentation and correspondence. **(Retention: (a) 25 years after last enrollment for doctoral students, destroy (b) 10 years after last enrollment for masters students, destroy)**

**(15) Graduate Students Denied Admission/No Show Records** Records document the application and evaluation process for students applying to enter an instructional unit's academic graduate program who are denied admission or who were admitted but failed to enroll or withdraw. Records may include but are limited to applications for admission to graduate school forms, records of GRE and other test scores, departmental action forms; standardized examination reports, foreign student financial documentation, departmental or college supplemental application forms, departmental or college student application status reports, letters of recommendation, resumes, transcripts, and related documentation and correspondence. **(Retention: (a) 3 years after denial of admission notification, destroy (b) 1 year after notification of admission if applicant fails to enroll, destroy (c) 1 year for test scores of students that do not apply, destroy)**

**(16) Grievance Records** Records document grievances brought forward by students against the institution which do not result in litigation. Grievances may pertain to academic issues; housing; affirmative action and equal opportunity; student conduct; and other issues. Records include notices of grievance; informal discussion notes; grievance responses; formal hearing notes (includ-

ing audio tapes); final summary statements; settlement agreements; appeals documentation; and related records. **(Retention: (a) 3 years after last enrollment for appealed grievances, destroy (b) 3 years after resolution for grievances not appealed, destroy)**

**(17) Independent Study Records** Records document departmental approval for students to enroll in independent study courses. Records may include but are not limited to permission sheets with students' names; course names; number of credits; and faculty signatures. **(Retention: 1 year, destroy)**

**(18) Instructors' Grade Records** Records document test scores, class work scores, and final grades for students which may be used as back-up to the official academic records held by the Registrar. Records may include but are not limited to instructors' grade books; grade confirmation reports; grade confirmation and change records; and final grade rosters. **(Retention: 2 years, destroy)**

**(19) International Students Records** Records document institution assistance to international students who have been admitted to academic programs. These records primarily concern institution admissions, immigration issues, and other non-academic matters. Records may include but are not limited to copies of visas; scholarship information; institution admissions forms; graduate school applications; transcripts of previous college work; grade reports of prior college work; grade reports from institutional courses; international student advisors' notes; degree completion certificates; explanations for student withdrawals; recommendations and evaluations of students; and related documentation and correspondence. **(Retention: (a) 7 years after last enrollment for all student records of matriculates, destroy (b) 1 year after failure to enroll for all student records of non-matriculates, destroy)**

**(20) Internship Program Records** Records document the administration of student internship, practicum and cooperative education programs. Programs may be within the institution or off campus and for class credit and/or pay. Records may include but are not limited to applications for internships inside and external to the institution; agreements with departments; postings/notices; student resumes; transcripts; copies of contracts; proposed institution listings; notes; and related documentation and correspondence. **(Retention: 5 years, destroy)**

**(21) Law Student Records** Records document students' admission to law school at the institution. Records may include but are not limited to applications for admission; record of degree candidate; request for transfer of graduate credit; statement of completion of requirements for law degree; requests for permission to re-register in the law school; leave of absence requests; petition to extend time past 7-year completion requirement; awards; and related documentation and correspondence. **(Retention: (a) 75 years for completed degrees, destroy (b) 7 years after last enrollment for uncompleted degrees, destroy)**

**(22) Name Changes Records** Records document students or applicants name changes reported to the admissions or registrar's offices by students. Records may include but are not limited to letters requesting change in name; name change forms; lists or reports of students with changed names; and related documentation and correspondence. **(Retention: 5 years after degree completed or last enrollment, destroy)**

**(23) National Testing Records** Records document services rendered to clients by administering tests required of students seeking admission to various programs or seeking to substitute already acquired knowledge for formal college courses. Tests administered include Scholastic Aptitude (SAT); American College (ACT); Graduate Record Examination (GRE); Medical School Admission (MCAT); Pharmacy School Admission (PCAT); Business School Admission (GMAT); National Teacher Education (NTE); Veterinary College Admission Test (VCAT); and Test of English as a Foreign Language (TOEFL). Records may include but are not limited to testing rules and regulations; rosters of test takers; seating charts; supervisors' reports; and vouchers for payment of testing. This series does not include test scores. **(Retention: 3 years after testing date, destroy)**

(24) **Non-Institution Student Records** Records document and tracks the application, selection, and progress in special instructional programs of elementary through high school and non-institution students belonging to special, minority, or disadvantaged groups. Examples of programs to which this series applies are Science and Mathematics Investigative Learning Experiences (SMILE), Upward Bound, High School Equivalency, and other non-institution programs. Records may include but are not limited to application and admission documentation; personal and family information; medical and health documentation; selection and decision making documentation; Educational Opportunity Program (EOP) docu-

mentation; notification of admission and non-admission; recommendations and evaluative materials; copies of academic records; counseling and advising notes and documentation; housing and conduct documentation; federal student aid reports; risk release and insurance forms; immigration and citizenship documentation; financial responsibility records; reports; and related documentation and correspondence. (**Retention:** 3 years after separation from program, destroy)

(25) **Placement Records** Records document the written reference history of a student to be forwarded to potential employers or professional schools. Records may include but are not limited to

credentials records showing where, when, and cost of letters sent; release of information form which includes a listing of the reference letters to be sent; reference letters; student teaching reports; professional program certificates; personal data sheets and resumes; College Interview Forms; and related documentation and correspondence. **(Retention:** (a) 5 years for established files, destroy (b) 2 years for incomplete file establishment requests, destroy)

(26) **Placement Survey Records** Records document the results of periodic placement surveys conducted every two years of recent baccalaureate graduates. Records may include but are not limited to reports and questionnaires which provide the following information on individual alumni: career status or job title; continuing education; geographic location; source of finding employment; relationship of employment to major; salary; computer training needs; and number of years enrolled. **(Retention:** (a) Permanent for reports (b) 3 years for questionnaires, destroy)

(27) **Prospective International Student Records** Records document institution assistance to international students who are considering attendance at the institution. Records may include but are not limited to letters of inquiry from prospective students; official replies to inquiries; completed applications and admittance forms; local data sheets; advisory notes; and related documentation and correspondence. **(Retention:** 5 years, destroy)

(28) **Recruiters Records** This series provides a record of recruiter visits to the campus to conduct job interviews. Records may include but are not limited to scheduling calendars; Recruiter Schedules; affirmative action statements; recruiter information forms; lists of interviewees; feedback forms from recruiters; and related documentation and correspondence. **(Retention:** 2 years, destroy)

(29) **Residency Affidavits Records** document declarations filed by students regarding state residency status which is critical for determining tuition status. Records may include but are not limited to affidavits; correspondence regarding residency; and related documentation. **(Retention:** 5 years from date status determined, destroy)

(30) **Services to Students with Disabilities (SSD) Records** Records document student participation in the Services to Students with Disabilities Program. Records may include but are not limited to health professional evaluation reports; recommendations for student applicants; high school transcripts and academic work-sheets; autobiographical essays; copies of applications for admission; copies of notices of admission; special admissions applications checklists; questionnaires; physicians' statements and letters of recommendation; counseling interview notes and referrals; and related documentation and correspondence. **(Retention:** 5 years after last contact, destroy)

(31) **Scholarship Records** Records document the application, recruitment, selection, processing and awarding of private and public scholarships to individual students based upon a predetermined selection criteria. Records may include but not limited to correspondence, applications, disbursement documentation, selection criteria and related documentation. **(Retention:** (a) Until superseded for award selection criteria, application forms, etc, destroy (b) 6 years after award disbursed for individual awarded scholarships, destroy)

(32) **Special Academic Programs Student Records** Records document and tracks the application, admission, selection, and progress of institution students participating in special academic programs serving, guiding, and aiding institution students. This includes but is not limited to of the individual files for students participating in special institution programs which provide services ranging from counseling and tutoring to tuition waiver assistance. Programs may include but are not limited to the English Language Institute (ELI) and American English Institute; Educational Opportunities Program (EOP); non-traditional student programs; Older Than Average Student Program and Adult Learners; National Student Exchange Program (NSE); Native American Science Program (NASP); University Exploratory Studies Student Program (UESP); Study Abroad Program; Academic Learning Services (ALS); Peer

Advising; and other special academic programs. Records may include but are not limited to application documentation; personal information; medical and health documentation; admission and non-acceptance documentation; recommendations and evaluative materials; copies of academic records; counseling and advising notes and documentation; risk release and insurance forms; immigration and citizenship documentation; financial responsibility records; reports; and related documentation and correspondence. **(Retention:** (a) 7 years for accepted and enrolled participants, destroy (b) 2 years for denied admission or did not enroll after acceptance, destroy)

(33) **Student Academic Records** Records document the academic progress of graduate and undergraduate matriculated students at the institution. Records may include but are not limited to institution academic transcripts; high school and non-institutional college transcripts; applications; notices of admission, readmission, denial and acceptance; grade reports; records of grade changes; reservation of credit requests; petitions for exemption from institution regulations and procedures; applications for withdrawal from the institution forms; advanced standing reports; standardized examination reports; letters of recommendation; vault number index card file; and related documentation and correspondence. **(Retention:** (a) Permanent for institutional academic transcripts, applications for admission, and grade change records of students awarded degrees (b) 7 years after students graduation/last enrollment for all other records, destroy)

(34) **Student Activity Reports Records** document graduate and undergraduate student statistics in a specific instructional unit and is used to provide summary information which may be used for planning or review. This report may include but is not limited to country of origin; degree(s) held and pursued; financial situation; gender and ethnicity; marital status; veterans status; academic standing and grade point averages; placement test scores; immigration status; and other data elements. **(Retention:** Until superseded or obsolete, destroy)

(35) **Students Admissions Records** Records document the application process for individuals seeking admission to the institution. Records may include but are not limited to admission applications; academic transcripts from other institutions; test scores; letters of admittance; and related documentation and correspondence. **(Retention:** Until matriculation, transfer to the Registrar's Office for inclusion in the Student Academic Records)

(36) **Student Advising Records** Records document undergraduate and/or graduate student's academic progress within a specific department and or college program. Most of the components in this record series are reference copies of records maintained in the files of the Registrar's Office and/or the Graduate School and are maintained for the convenience of the student academic advisors. Records may include but are not limited to applications for program admission; notices of admission; grade reports; degree program requirement lists; departmental course waiver forms; program advisors' reports showing progress towards academic degrees; advising checklist forms; advisors' notes; copies of transcripts; Program Planning Sheets; advanced standing examination reports; official graduation audits; curriculum posting sheets; recommendation letters; suspension notices; re-admission notices; comprehensive exam results; awards; and related documentation and correspondence. **(Retention:** 1 year after degree completed or last enrollment, destroy)

(37) **Student Conduct Records** Records document violations of student conduct codes and policies. Records may include but are not limited to incident reports, evidence, notifications of allegation, notifications of decision or outcome, and related documentation and correspondence. **(Retention:** (a) 75 years from the date of the initial incident that resulted in expulsion, degree revocation, negative notation on the transcript destroy, (b) 5 years from the date of the initial incident for suspension, unresolved incidents of academic misconduct and all other student conduct files, destroy).

(38) **Student Development Transcripts Records** Records document students participation in university clubs, organizations, honor societies and special academic programs such as the Study