



**Oregon Administrative Rules
1998 Compilation**

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SECRETARY OF STATE, ARCHIVES DIVISION

DIVISION 1

PROCEDURAL RULES

166-001-0000

Notice Rule for Rulemaking

Prior to the adoption, amendment, or repeal of any 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 twenty-one (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 ORS183.335(7) 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

Stat. Auth.: ORS Ch. 183 & 357.895

Stats. Implemented: Ch. 183

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

166-001-0005

Model Rules of Procedure

Pursuant to the provisions of ORS 183.341, the State Archivist adopts the Attorney General's Model Rules of Procedure Under the Administrative Procedures Act, dated November 4, 1993.

[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 Ch. 183

Stats. Implemented: Ch. 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

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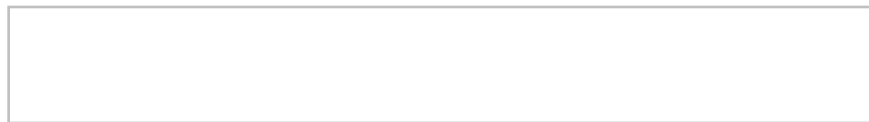
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SECRETARY OF STATE, ARCHIVES DIVISION

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, magnetic tape and disk, and optical disk.

Stat. Auth.: ORS Ch. 192 and 357

Stats. Implemented: ORS Ch. 192 and 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

166-005-0005

Purpose

The purpose of these rules [(Divisions 10 through 300)] is to implement the provisions of ORS 192.005 to 192.170, and ORS 357.825 to 357.895, by providing procedures for the orderly retention and disposition of public records, regardless of medium or physical format; standards for appropriate use of microfilm and digital imaging; standards for the protection and storage of public records; and rules for the use of the State Archives, State Records Center, and Security Copy Depository. General Records Retention Schedules published as a part of these rules provide state and local agencies with the lawful authority to destroy or otherwise dispose of commonly occurring public records.

Stat. Auth.: ORS Ch. 192 and 357

Stats. Implemented: ORS Ch. 192 and 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

166-005-0010

Definitions for Divisions 10 through 300

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

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

Stat. Auth.: ORS Ch. 192 and 357

Stats. Implemented: ORS Ch. 192 and 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

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SECRETARY OF STATE, ARCHIVES DIVISION

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

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

166-010-0006

Custody of Records

The Archives Division accepts public records under the following conditions:

- (1) The State Archives may accept public records which are placed in the official custody of the State Archivist in accordance with ORS 357.825 or 357.835. Public records in the State Archives are available for public use in the Archives insofar as their use is not restricted by law. No public records in the official custody of the State Archivist will be loaned for use outside the Archives.
- (2) The State Records Center may accept inactive public records from state agencies for storage, but official custody of the records remains with the state agency from which they were received or its legal successor.
- (3) The Security Copy Depository may accept security microfilm of public records from state and local agencies, pursuant to OAR 166-025-0005 to 166-025-0030. Public records deposited in the Security Copy Depository remain in

the official custody of the agency from which they were received.

(4) Except as otherwise provided by ORS 357.835(2), official custody of all records of a state agency which is abolished or ceases to operate shall pass to the State Archivist.

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

166-010-0010

Access to Records

Public records in the State Archives are available for use under the following conditions:

(1) Patrons shall use public records in the Reference Room, observing its rules, OAR 166-010-0015.

(2) Fees and costs shall be charged for staff research and technical labor, copies and copying, and certification services. A list of these fees is as follows:

(a) Photocopies -- 25¢ per page

(b) Microprints -- 25¢ per page;

(c) Audio tapes -- \$5.75;

(d) Audio tape speed change -- \$5;

(e) Research/Labor -- Per total request; beginning with the 31st minute -- \$10 per each half hour unit or portion of a half hour unit;

(f) Certifying records -- \$5 per certification plus any copying, labor or research fees incurred in filling the request;

(g) Fax charges -- \$5/first page, \$1 per page thereafter;

(h) Invoicing fee -- \$3.

(3) 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, Ch. 192 & 357.885

Stats. Implemented: ORS 177.130, Ch. 192 & 357.885

Hist.: OSA 2, f. & ef. 11-21-75; OSA 3-1988, f. & cert. ef. 10-20-88; OSA 3-1992, f. 4-3-92, cert. ef. 4-6-92; OSA 2-1993(Temp), f. & cert. ef. 8-3-93; OSA 1-1994, f. & cert. ef. 1-5-94; OSA 5-1994, f. & cert. ef. 8-29-94; OSA 11-1994, f. & ef. 11-21-94

166-010-0015

Basic Rules of the Reference Room

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

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

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

166-010-0025

Access to Records (State Records Center)

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

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

Stat. Auth.: ORS Ch. 357

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

166-010-0031

Deposit Procedures (State Archives, State Records Center)

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

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

Stats. Implemented: ORS 357.825(2) & 357.895

Hist.: OSA 3-1986, f. 5-30-86, ef. 5-31-86; OSA 3-1988, f. &

cert. ef. 10-20-88; OSA 5-1992, f. 12-21-92, cert. ef. 1-1-93

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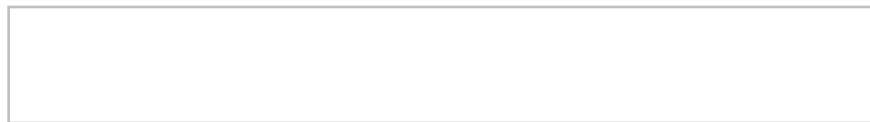
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SECRETARY OF STATE, ARCHIVES DIVISION

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.
- (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.

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: The publication referenced in this rule is available from the Archives Division.]

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

166-017-0040

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: The publication referenced in this rule is available from the Archives Division.]

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 166-30-080

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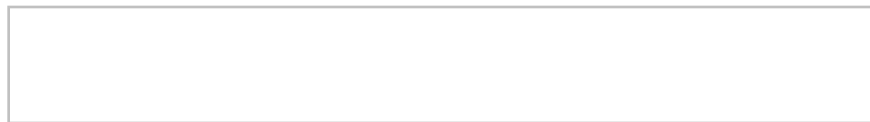
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**Oregon Administrative Rules
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SECRETARY OF STATE, ARCHIVES DIVISION

DIVISION 20

THE PROTECTION AND STORAGE OF PUBLIC RECORDS

166-020-0005

Purpose

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

Stat. Auth.: ORS Ch. 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

166-020-0007

Definitions

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

- (1) "Administrative value" means the usefulness of records in conducting an agency's business.
- (2) "Fiscal value" means the usefulness of records in documenting an agency's fiscal transactions and obligations.
- (3) "Legal value" means the usefulness of records in documenting legally enforceable rights or obligations, both those of the state and those of person's directly affected by an agency's actions.
- (4) "Essential records" means records which are essential to the continued functioning or reconstitution of an agency during and after an emergency, and also those records which are essential to protect the rights and interests of that agency and of the individuals directly affected by its actions. Essential records are sometimes called vital records.
- (5) "Electronic records" means records which are stored in a form that requires a computer to process. "Electronic records" does not include or refer to photocopies, digital imaging systems, or analog or digital audio and video tapes.

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

(7) "Essential electronic records system" means a records system which requires a computer to process and contains records which are essential to the continued functioning or reconstitution of a government agency during and after an emergency, or those records which are essential to protect the rights and interests of that agency and of the individuals directly affected by its actions.

Stat. Auth.: ORS Ch. 192 & 357

Stats. Implemented: ORS Ch. 192, 357.825(2), 357.855 & 357.895

Hist.: OSA 2-1996, f. 4-9-96, cert. ef. 4-15-96

166-020-0010

Terms of Official Custody

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

(1) State and local agencies are responsible for public records in their official custody, wherever deposited, until the public records have been transferred to the official custody of the State Archivist or otherwise disposed of as authorized by law, and applicable General Schedule published in these rules, or a Special Schedule.

(2) When a state agency is abolished or ceases to operate, its public records shall be deposited in the official custody of the State Archivist, except as otherwise provided by ORS 357.835(2).

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

Stat. Auth.: ORS Ch. 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

166-020-0015

Storage Area Standards

Safe storage of records requires compliance with the following standards:

(1) Public records should be stored in fire-resistant structures and in areas in which the temperature and humidity are maintained at the levels required to insure optimum longevity of the paper, film, or tape on which they are recorded. Adequate light and access should be provided to permit retrieval of public records. Adequate ventilation and protection against insect or mold invasion should be provided. Steam, water, and sewer pipes, other than fire-control sprinkler systems, pose extreme hazard to records. No public records of enduring value should be stored where heat, breaks, drips, or condensation from pipes could damage them; where windows, doors, walls, or roofs are likely to admit moisture; or where they will be exposed to sunlight or extreme temperature variations.

(2) Aisle space in public records storage areas should be kept free of obstruction, and no public records should be stacked or piled directly on the floor of any storage area. All public records should be shelved above initial flood level of any bursting pipe, leaky roof, sprinkler system, or other source of water.

Stat. Auth.: ORS Ch. 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

166-020-0030

Return of Active Records (State Record Center)

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

Stat. Auth.: ORS Ch. 357

Stats. Implemented: ORS 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

166-020-0035

Requisition of Records

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

Stat. Auth.: ORS Ch. 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

166-020-0045

Essential Records Systems

- (1) Agencies shall, with the advice and assistance of the State Archivist, identify their essential records, regardless of medium or physical format.
- (2) Agencies shall store security copies of essential electronic records systems off the premises where the system is used, along with any system documentation necessary to enable recovery of the system in the event of an emergency.
- (3) Agencies shall comply with the following storage requirements for security copies of essential electronic records systems:

(a) Off-site storage conditions shall have temperatures no less than 60 degrees or greater than 80 degrees Fahrenheit, and shall have a relative humidity no greater than 50 percent.

(b) Off-site storage shall be in fire-resistant structures, with adequate ventilation and protection against insect and mold infestation. No essential records systems shall be stored where heat or moisture can damage them.

Stat. Auth.: ORS Ch. 192 & 357

Stats. Implemented: ORS Ch. 192, 357.855 & 357.895

Hist.: OSA 2-1996, f. 4-9-96, cert. ef. 4-15-96

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**Oregon Administrative Rules
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SECRETARY OF STATE, ARCHIVES DIVISION

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 permanent and long-term public records. These rules contain the measures necessary to insure that the informational content of public records is protected for the life of the record.

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

166-025-0010

Definitions

In addition to the definitions contained in this rule, the following definitions apply to this division:

- (1) "AIIM" -- Association for Information and Image Management.
- (2) "ANSI" -- American National Standards Institute.
- (3) "Aperture Card" -- A card with a rectangular opening into which microfilm may be inserted.
- (4) "Certification (Certificate of Legality)" -- The confirmation that images recorded on microfilm are accurate, complete, and unaltered reproductions of the original records. Sometimes referred to as "Camera Operator's Certificate."
- (5) "Density" -- The light-absorbing or light-reflecting characteristics of a photographic medium.

- (6) "Generation" -- One of the successive duplicates of a photographic master. The camera original is the first-generation film. A duplicate made from the master is a second-generation copy; a duplicate made from the second-generation copy is third-generation, and so on.
- (7) "Image" -- Any representation of a document or data produced by radiant energy.
- (8) "Jacket" -- A transparent plastic carrier with channels into which film may be inserted.
- (9) "Light Box" -- A back-lit translucent surface used for film inspection.
- (10) "Long-Term Film" -- Film suitable for the preservation records for at least 100 years when produced and stored under proper conditions.
- (11) "Long-Term Records" -- Those records with an approved retention period of 100 years or longer.
- (12) "Loupe (Lupe)" -- A small, hand-held optical magnifying device used in conjunction with a light box for the inspection of microfilm
- (13) "Medium-Term Film" -- Film suitable for the preservation of records for up to 100 years when produced and stored under proper conditions.
- (14) "Medium-Term Records" -- Those records with an approved retention period of between ten and 100 years.
- (15) "Methylene Blue Test" -- A test used to measure the amount of residual thiosulphate ion (hypo) remaining on the film following washing.
- (16) "Microfiche" -- A piece of film with images arranged in a grid pattern. Computer-Output-Microfilm is usually produced in this format.
- (17) "Permanent Records" -- Those records with an approved permanent retention period.
- (18) "Planetary Camera" -- A planetary camera is a type of microfilm camera that photographs a document as it lies stationary as it is being photographed. The document lies on a plane surface and the camera itself is suspended above the document.
- (19) "Public Records" -- As defined in ORS Chapter 192, "public record" includes any writing containing information relating to the conduct of the public's business, including but not limited to court records, mortgages and deed records, prepared, owned, used or retained by a public body regardless of form or physical characteristic.
- (20) "Processing" -- The steps necessary to render a latent image visible, usable and permanent (fixed). These steps are development, fixing, washing and drying.
- (21) "Quality Index" -- A subjective relationship between the legibility of an image and the resolution pattern resolved on a microimage.
- (22) "Reduction Ratio" -- The relationship between the dimensions of the original document and the dimensions of the microimage of that document.
- (23) "Resolution" -- The ability of microfilm or a photographic system to record fine detail.
- (24) "Retakes" -- Refilming of documents.
- (25) "Roll Microfilm" -- Film that is wound on a reel, spool, or core.
- (26) "Rotary Camera" -- A rotary camera is a type of microfilm camera that photographs the document as it is being moved by some sort of a transport mechanism. The document transport mechanism is connected to a film transport

mechanism, and the film also moves during exposure.

(27) "Security Copy" -- A silver duplicate or first-generation microfilm which is stored under strictly controlled environmental conditions and used solely as a back-up or duplication master.

(28) "Security Copy Depository" -- The section of the Archives Division which offers storage of security microfilm.

(29) "Source Document Microfilming" -- The conversion of paper records to microfilm. Differentiated from Computer Output Microfilm, which converts digitally encoded data to microfilm.

(30) "Splice" -- The joining of two pieces of film so that they function as one piece.

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

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

(33) "Unitized Microfilm" -- Film that is formatted in discreet units of information, e.g. microfiche, jackets, or aperture cards.

(34) "Work Copy" -- A copy of microfilm which is distributed for end use.

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

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 IT9.1-1989; Imaging Media (Film) -- Silver Gelatin Type -- Specifications for Stability**. The film shall be at least 0.13 mm thick.

(2) Reels: Processed film shall be on storage reels which are chemically inert, in compliance with **ANSI IT9.2-1991; For Imaging Media -- Photographic Processed Films, Plates, and Papers -- Filing Enclosures and Storage Containers**, are sturdy, and have dimensions which conform to **ANSI/AIIM MS34-1990; Dimensions for Reels Used for 16 mm and 35 mm Microfilm**. The film shall be stored with the start target at the outer end in accordance with **ANSI/AIIM MS23-1991; Practice for Operational Procedures/Inspection and Quality Control of First-Generation Silver Gelatin Microfilm of Documents**.

(3) Restrainers: Only acid-free, button tie paper bands in compliance with **ANSI IT9.2-1991; For Imaging Media -- Photographic Processed Films, Plates, and Papers -- Filing Enclosures and Storage Containers** shall be acceptable to restrain film on its reel.

(4) Enclosures: Film enclosures (containers) shall be inert black plastic.

(5) Quality Control-Inspection: Inspection and quality control data shall be recorded at the time the film is processed. A film inspection form is available from the Archivers Division. First-generation (camera) film shall be inspected frame-by-frame for visible defects and missing documents. Inspection may be performed on a light table using an eye loupe

for the frame-by-frame inspection and under a microscope for the inspection of resolution. The inspector shall wear clean, white, lint-free cotton gloves when handling the film. All inspection shall be performed in accordance with **ANSI/AIIM MS23-1991; Practice for Operational Procedures/Inspection and Quality Control of First-Generation Silver Gelatin Microfilm of Documents, Section 8**. Security copies of film shall be free from scratches, gouges, blemishes, dust, dirt, or fingerprints.

(6) Residual Thiosulfate: All film shall meet the requirements for residual thiosulphate ion concentration as specified in **ANSI IT9.1-1989; For Imaging Media (Film) -- Silver-gelatin type- Specifications for Stability, Section 6.4**. The maximum allowable thiosulphate ion concentration is .014 grams per square meter. Testing for residual thiosulphate ion concentration shall be done by using the Methylene Blue method in accordance with **ANSI/ASC PH4.8-1985; For Photography (Chemicals)-Residual Thiosulphate and Other Chemicals in Films, Plates and Papers- Determination and Measurement, Section 5**. This test shall be conducted within two weeks of film processing and may be performed at the processing site or by an independent laboratory. All test results shall be documented.

(7) Target Density: The aim point density shall be $1.00 \pm .10$. The acceptable density range on targets shall be .80 - 1.25. There shall not be more than a .20 density shift on targets in a single roll. Any roll which falls outside the acceptable .80 - 1.25 density range on targets shall be re-filmed. Density variation shall not be greater than .15 across a target. The plain white pages or acceptable density target photographed at the beginning and end of each roll of film shall be used as the primary density measurement targets.

(8) Reduction Ratio: The reduction ratio used shall approximately fill the image area across the width of the film as seen on the camera's projected image area; the ratio shall not be less than 8:1. All edges of the document shall be visible in the image area. (See **ANSI/AIIM MS23-1991; Practice for Operational Procedures/Inspection and Quality Control of First-Generation Silver-Gelatin Microfilm of Documents, Section 3.6**.) Reduction ratio changes within the same record series shall be avoided. If they are necessary, however, the change in ratio shall be identified by an informational target filmed immediately before each change.

(9) Resolution: Each roll of first-generation film shall be evaluated for resolution by viewing the standard ISO Resolution test chart (see OAR 166-025-0020 on Targets and Certifications) at 100X magnification. The smallest distinguishable test pattern must correspond to the correct reduction ratio as seen in **Figure 1**:

Figure 1

Smallest ISO Test Resolving Power		
Reduction Chart Pattern (Lines per		
Ratio	Read	Millimeter)
8:1	10.0	80
12:1	9.0	108
15:1	7.1	106
16:1	7.1	114
17:1	6.3	107
20:1	5.6	112
21.2:1	5.6	119
24:1	5.0	120
28:1	4.5	126
30:1	4.5	135
33.9:1	4.0	136

36:1 4.0 144
42.4:1 3.2 136
48:1 2.8 134

(10) Splicing: There shall be no more than six splices on security copies of film. Retakes shall include at least two pages preceding and following the pages to be refilmed. There shall be no splices between the technical target and the text. All splices shall conform to **ANSI/AIIM MS18-1992; Splices for Imaged Film -- Dimensions and Operational Constraints**.

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

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

Stat. Auth.: ORS 192.070, 357.825(2), 357.855 & 357.895

Hist.: OSA 5-1992, f. 12-21-92, cert. ef. 1-1-93

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 processed film;

(b) Followed immediately by three exposures of clean, blank white paper or the density target;

(c) Followed by a planetary camera or rotary camera technical target of the type specified by the **American National Standards Institute and the Association for Information and Image Management** (hereafter ANSI/AIIM) in standards **ANSI/AIIM MS19-1987; Recommended Practice for the Identification of Microforms and ANSI/AIIM MS23-1991; Practice for Operational Procedures/Inspection and Quality Control of First-Generation Silver Gelatin Microform of Documents** for the laboratory measurement of resolution and reduction ratio;

(d) Followed immediately by a "Start" target;

(e) Followed by a target indicating roll number;

(f) Followed immediately by a title sheet containing name of agency creating the records, series title of the records, starting identification (first records number, etc.) and reduction ratio. All missing documents or records shall be so identified with an appropriate target.

(2) At the end of each roll there shall appear:

(a) A target sheet including series title of the records filmed, ending identification (last record number, etc.);

(b) A Certificate of Legality and Authenticity, including the name and signature of the camera operator;

(c) Followed by a target indicating roll number;

- (d) Followed by an "End of Reel" target;
 - (e) Followed by three exposures of clean, blank white paper or the density target;
 - (f) Followed by 24 inches of exposed and processed blank film.
- (3) See the Archives Division **Micrographics Manual** for instructions on use of these and other informational targets.

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

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

166-025-0025

Storage of Security Microfilm (for State Agencies Only)

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

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

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

166-025-0030

Security Copy Depository

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

- (1) Medium-term depository:
- (a) The medium-term depository accepts microfilmed records with approved retention periods of between 10 and 99 years;
 - (b) The medium-term depository offers silver and diazo duplication for 16 mm and 35 mm roll micro-film. Depositors shall be charged for duplication;
 - (c) Film in the medium-term depository will be inspected for evidence of deterioration only upon request of the depositor. Depositors shall be charged for all inspection;
 - (d) Microfilm for deposit in the medium-term depository shall be silver gelatin film, but may be unitized formats (e.g.,

microfiche, aperture cards). Non-silver films will not be accepted;

(e) All microfilm must be accompanied by a valid transmittal (Form 165-AR-CP) at the time of transfer;

(f) Long-term or permanent records stored on unitized formats created prior to January 1, 1994 may be stored in the medium-term depository.

(2) Long-term depository:

(a) The long-term depository accepts microfilmed records with approved retention periods of 100 years or greater. Use of the long-term depository satisfies the off-site storage requirements of OAR 166-025-0025, Storage of Security Microfilm;

(b) The long-term depository offers silver and diazo duplication for 16mm and 35mm roll microfilm. Depositors shall be charged for duplication;

(c) Film transferred to the long-term depository shall be inspected upon receipt for compliance with OAR 166-025-0015; Specifications for Roll Microfilm. Film stored in the long-term depository shall be regularly inspected for evidence of deterioration;

(d) The Archives Division may require remedial action and/or image stabilization treatment on microfilm in the long-term depository. Depositors shall be charged for image stabilization and/or remedial treatments;

(e) All microfilm for deposit in the long-term depository shall be 16 mm, 35 mm, or 105 mm polyester based wet-processed silver gelatin roll film only;

(f) All microfilm for deposit in the long-term depository shall be enclosed in inert plastic containers in accordance with **ANSI IT9.2-1991; For Imaging Media -- Photographic Processed Films, Plates, and Papers -- Filing Enclosures and Storage Containers. Containers** shall be labeled in compliance with the requirements in the **Oregon State Archives Division Micrographics Manual**. (Available from the Archives Division);

(g) All microfilm must be accompanied by a valid transmittal (Form 165-AR-CP) at the time of transfer;

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

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

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

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SECRETARY OF STATE, ARCHIVES DIVISION

DIVISION 30

RECORDS MANAGEMENT PROCEDURES

166-030-0005

General

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

Stat. Auth.: ORS Ch. 192 & 357

Stats. Implemented: ORS Ch. 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

166-030-0016

Appointment of Records Officer

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

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

166-030-0021

Inventory and Appraisal (State Agencies)

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

Stat. Auth.: ORS Ch. 192 & 357

Stats. Implemented: ORS Ch. 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

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 which have met the terms and conditions of their scheduled retention period, subject to the prior audit requirements of OAR 166-030-0041 and any suspension ordered under the provisions of OAR 166-030-0045. Special Schedules shall be created from inventories (OAR 166-030-0021). Unless otherwise stated, a retention period shall be calculated from the date the public record was created.
- (3) Beginning July 1, 1992, and annually thereafter, state agencies shall keep a record of all the public records destroyed on the authority of the special schedule. This record shall list schedule number, cubic feet destroyed, and date destroyed.
- (4) Special Schedules approved after January 1, 1987, shall have an expiration date set by the State Archivist.
- (5) Special Schedules approved prior to January 1, 1987, are invalid as of January 1, 1993.

Stat. Auth.: ORS Ch. 192 & 357

Stats. Implemented: ORS Ch. 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

166-030-0027

Public Records Retention and Disposition Authorization (Local Agencies)

Authorization for destruction of public records by local agencies must be obtained as follows:

- (1) No authorization is required to destroy materials which are excluded or exempt by statute from the definition of public records. (ORS 192.005(5), 192.170)

(2) An applicable General Schedule published in OAR Chapter 166, or a Special Schedule approved by the State Archivist, establishes the appropriate retention and disposition for local agency records. A local agency may destroy public records which have met the terms and conditions of their scheduled retention period, subject to the prior audit requirements of OAR 166-030-0041 and any suspension ordered under the provisions of OAR 166-030-0045. Unless otherwise stated, a retention period shall be calculated from the date the public record was created.

(3) Notwithstanding any retention period listed in a General Schedule, no public record created in or prior to 1920 shall be destroyed without the express written permission of the State Archivist.

(4) Specific approval from the State Archivist by means of a Special Schedule is required to dispose of public records which are not listed in an applicable General Schedule found in these rules. Instructions on creating Special Schedules are available from the State Archivist.

(5) A Special Schedule approved for an individual local agency shall supercede an applicable General Schedule, insofar as it applies to the same public record.

(6) Special Schedules approved after January 1, 1987, shall have an expiration date set by the State Archivist.

(7) Notwithstanding any retention period listed in a General Schedule or Special Schedule, no public records listed on the Oregon Historical Records Inventory shall be destroyed. Copies of lists of records on the Oregon Historical Records Inventory are available from the State Archivist.

Stat. Auth.: ORS Ch. 192 & 357

Stats. Implemented: ORS Ch. 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

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 State government shall be observed.

Stat. Auth.: ORS Ch. 192 & 357

Stats. Implemented: ORS Ch. 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

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 shall be suspended until the request has been resolved. Only those records which have been specifically requested need be retained.

Stat. Auth.: ORS Ch. 192 & 357

Stats. Implemented: ORS Ch. 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

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 these rules, authorizes disposition of public records. Disposition includes:

(1) Transfer to the custody of the State Archivist. When the scheduled retention specifies transfer to the State Archives, an agency shall transfer it custody of the specified records to the custody of the State Archivist.

(2) Shredding, Pulping, or Incineration. Public Records which are confidential by law and negotiable instruments (even when cancelled or satisfied in writing) must be destroyed by shredding, pulping, or incineration. The destruction should be supervised and witnessed by a responsible employee of the agency. When using a contractor to destroy public records, the state or local agency must require posting of a bond or undertaking by the contractor to indemnify the state or local agency against any claims or actions resulting from his failure to protect the confidentiality of the public records, and must require a provision precluding sale, transfer, or delivery of the public records to a third party prior to data obliteration. The agreement shall also include provisions requiring secure transit to and handling by the contractor; and prompt processing of the public records by the contractor to fully obliterate the data they contain by shredding, pulping, or incineration.

(3) Recycling. Records which are not confidential by law may be sold or traded for recycling of the fibre or chemical they contain, provided that the sale or trade agreement includes provisions to insure that the public records are promptly converted into a form which precludes use of the information they contain.

(4) Deposit in a Library, Museum, or Historical Society with the permission of the State Archivist. The originals of public records which have been microfilmed in compliance with ORS 192.040 to 192.070 and OAR 166-030-0070, and other public records which have continuing local historical value although destruction is authorized, may be deposited in a Library, Museum, or Historical Society if disclosure of the record is not prohibited by law and the depository agrees to comply with ORS 162.305, 192.420, and 192.430. Agreements for such deposits must stipulate that the depository cannot sell or otherwise dispose of the records except by lawful and complete destruction or by returning them to the depositing agency. Permission of the State Archivist is required prior to transfer of records.

Stat. Auth.: ORS Ch. 192 & 357

Stats. Implemented: ORS Ch. 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

166-030-0070

Microfilming

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

(1) A security copy of microfilm of public record which have a required minimum retention period of 100 years or longer must be made and stored in accordance with OAR 166-025-0005 to 166-025-0030. A security copy must be

reserved and used solely as a backup security copy or as a master for making working copy duplicate film when required.

(2) Working copies of microfilm, and microfilm of public records with a minimum retention of less than 100 years, may be made in accordance with agency standards and requirements for the retention of the public records, including the option of using any film, processing system, or storage containers the agency may select.

Stat. Auth.: ORS 192.070, 357.828(2) & 357.895

Stats. Implemented: ORS 357.825(2), 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

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**Oregon Administrative Rules
1998 Compilation**

SECRETARY OF STATE, ARCHIVES DIVISION

DIVISION 40

GENERAL SCHEDULES

Records Retention and Destruction Schedule

166-040-0700

Education Records (Community Colleges)

This schedule is applicable to the program records of community colleges. Programs involving federal funds may be subject to additional requirements:

- (1) **Counseling Records** Counselor's Notes, Memory Aids. Notes created and kept by the counselor for quick reference to conversations with and personal achievements of the individual student. These notes are only shared with a substitute or another colleague on a referral basis. These are usually the only records kept by a counselor on a student in programs stressing individual development (Retention: Current). **Student File Records.** Kept on a student involved in a clinical program. Basically behavioral in nature, these could include psychological tests, personality evaluations, individual intelligence tests, interest tests, and records of conversation and incidents. (Retention: 2 years)
- (2) **Course Approval File** Approvals issued by the Department of Education for courses taught at the institution. Contains supporting documentation, impact statements, and approval card showing course title, course number, description, approval date, and signature of approval. (Retention: 3 years).
- (3) **Evaluation of Progress** Record of student's progress toward a degree or certificate showing subjects taken and subjects needed before degree or certificate is confirmed. (Retention: 1 year).
- (4) **Examination and Class Schedules** Lists of scheduled times and places for examinations and classes. (Retention: Current).
- (5) **GED Records** (Retention: (a) Retain Test results Permanently; (b) Retain supporting documentation including answer sheets, score sheets, and copy of tests, 5 years).

NOTE: After completion of all sections or lapse of established completion period.

(6) **Gifts and Donations** Record of gifts and donations to the school or community college. (Retention: Permanent).

(7) **Grade List** List showing courses or subjects taken by each student and final grade. (Retention: Current).

NOTE: Keep until grades are transferred to the "Permanent Student Record Card" or "Student Transcript".

(8) **Grant Files** Files on monetary grants received from state and federal sources. (Retention: (a) Original applications, contracts, agreements, annual and final performance reports, Permanent; (b) Reports on the administrative and fiscal operations of federal or state funded programs compiled on a monthly, quarterly, or semi-annually basis and sent to the granting body or its administering body as specified in the grant contract or agreement, 3 years; (c) All other supporting data, 3 years.)

NOTE: May be subject to additional Federal or State requirements.

(9) **Placement Files** A voluntary file created by the student and maintained by the Placement Office. Includes information a student deems useful to potential employers, such as letters of recommendation, evaluations, resumes, and personal information. (Retention: 5 years).

(10) **Program Development File** Application and backup documentation supporting proposed new programs and revisions in established programs as presented to the Department of Education for review and approval. (Retention: 3 years).

(11) **Student Course Registration Status** Record of the complete registration of each term listing courses taken by each student on a credit and non-credit basis. (Retention: 7 years).

(12) **Student Disciplinary File** Record on students who have violated the student code and/or civil or criminal law while on school property or during school related activities. (Disciplinary records of elementary and secondary students are maintained in the "Behavioral Records".) May contain description of incident, statements of parties involved, correspondence, letters of notification of hearings, return receipts for letters, transcripts of hearings, sound of hearings, action taken (exoneration, probation, suspension, expulsion), and final disposition of the case. (Retention: 2 years after action completed).

(13) **Student Financial Aid File** File on students applying for financial assistance. Includes application, parental and student financial data, letters of award or rejection, contracts, correspondence, and record of final disposition. (Retention: (a) Granted, 7 years after final disposition; (b) Denied, 3 years).

(14) **Student Records** Includes all student records centrally filed and maintained by the Registrar's Office. (Retention: (a) Student File. May include application for admission, registration forms, transcripts from other institutions, evaluation of transfer transcript, course credit application - non-academic experience, departmental waiver, students master records changes, requests for option, entrance examination records, drop-add cards, withdrawal forms, records of incidents, record of vocational interests, and comments, 10 years; (b) Student Transcript. Official record of courses taken and grade received by each student. Includes student number, name, all courses taken, and grade received for courses each quarter. Transcript also notes the date degree conferred, Permanent.

(15) **Testing Files** Copies of answer sheets, score sheets, and summaries of all tests administered by the testing center of the school. Administered for other programs, sections, agencies, or upon request from the student, the record copy of the results is sent to the requesting body. Often the student will also receive a copy of the results. (Retention: 3 years).

NOTE: Testing data for elementary and secondary students is contained in the Student Records File.

Stat. Auth.: ORS Ch. 357

Stats. Implemented: ORS 357.855 & 357.895

Hist.: OSA 3-1980, f. & ef. 9-2-80; OSA 2-1988, f. & cert. ef. 10-19-88

166-040-1025**Hospital Records**

This General Schedule is applicable to records in the offices of city, county, or district hospitals. They 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.

Medical Records:

- (1) **Admission and Other Registers and Indexes** as specified by the Oregon State Health Division Rules OAR 333-023-0190(7) Admissions register may vary in format, as application forms, summary cards or bound volumes. If duplicated between formats, priority of selection of record copy follows above order. (Retention: Permanent).
- (2) **Birth and Death Certificates**, copy of documents forwarded to the State Health Division. (Retention: 7 years).
- (3) **Census of Statistical Reports.** (Retention: (a) Daily, when cumulated in monthly report or ledger, 2 months; (b) Monthly, if cumulated in annual report or ledger, 1 year; (c) Annual reports or ledger accumulated from daily or monthly reports, Permanent).
- (4) **Emergency Room Outpatient or Duplicate Admissions Register** as described in section (1) of this rule. (Retention: 7 years).
- (5) **Injury Reports**, of accident within hospitals. (Retention: 7 years).
- (6) **Insurance Company Notices** of acceptance of patients' claims (Retention: (a) After payment, 2 years; (b) If rejected, 7 years).
- (7) **Internal Revenue Service Permit to Use Alcohol** free of tax (Form 1447), supporting Applications (Form 2600), and Powers of Attorney and/or under signature authorization. (Form 1534) (Retention: Permanent).
- (8) **Laboratory Copy of Records** Original should be filed in case files. (Retention: 1 year).
- (9) **Licenses for Hospitals and Permits** (Retention: After renewal, 2 years).
- (10) **Medical Case Files** on discharged patients as described by Oregon State Health Division Rules, OAR 333-023-0190(1) through (6). (Retention: 25 years).
- (11) **Medical Clinic Records** on discharged patients as described by Oregon State Health Division Rules, OAR 333-023-0190(15). (Retention: 7 years).
- (12) **Motor Accident Questionnaires** and supporting papers for insurance purposes. (Retention: (a) If determined unrecoverable, 5 years; (b) If determined recoverable, 7 years; (c) If judgment obtained but not satisfied, 10 years).
- (13) **Narcotic Sheets** or records of distribution of prescription drugs. (Retention: 3 years).
- (14) **Nursing Records** from floors or wards, such as bed books, and records of daily events and responsibilities, used basically to guide work. (Retention: (a) If posted to medical case records, 2 months; (b) If supplementary to medical records (5 years).
- (15) **Patient's Personal Property Lists and Receipts for Valuables** after discharge. (Retention: (a) For lists and receipts signed by patient, 2 years; (b) For lists and receipts signed by others, 2 years).
- (16) **Pharmacy Prescription Records** (Retention: (a) For hospital use, record is duplicated on medical chart, 3 years;

(b) For home use, Permanent).

(17) **Pharmacy Invoices** for purchases of drugs including narcotics. (Retention: 3 years).

(18) **Tax Free Alcohol User Report** (Form 1451) and supporting documentation of receipt and use, including Form 1473. (Unless notice requiring further retention is received by the Assistant Regional Commissioner, Alcohol and Tobacco Tax Division, U.S. Internal Revenue Service, Retention: 3 years).

Stat. Auth.: ORS Ch. 192 & 357

Stats. Implemented: ORS Ch. 192, 357.855.357.895

Hist.: OSA 2, f. & ef. 11-21-75; OSA 5, f. 12-30-77, ef. 1-1-78; OSA 3-1996, f. 4-9-96, cert. ef. 4-15-96

166-040-1050

Nursing Home Records

This General Schedule is applicable to records of city, county, or district nursing homes. They 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.

Admission and Treatment Records:

(1) **Admission and Departure Record** (Retention: (a) Application for admission, Permanent; (b) Transfer information or report from Hospital of origin, Permanent; (c) Financial plan for nursing home care (State Adult and Family Services Division (Form PA 458A), Permanent; (d) Information relating to persons expiring, used for processing at time of death, Permanent; (e) Standard Certificate of Death (State Health Division Form VS-2), 7 years);

(f) Inmate admission request, or authorizations from County Physician, Court, or Board of Commissioners (2 years).

(2) **Alphabetic Index to Admission and Departure Records** (Retention: Permanent).

(3) **Admission Register**, a book record. (Retention: (a) For years not covered by section (1) of this rule, Permanent; (b) Since section (1) of this rule has been kept, Destroy as duplicate).

(4) **Alphabetical Indexes to Admission Register** (Retention: Permanent).

(5) **Correspondence or Personal Letters**, etc. to residents. (Retention: (a) Upon death, Give to nearest of kin; (b) Upon discharge, Give to Resident).

(6) **Register of Deaths** (Retention: 7 years).

(7) **Admissions and Departures, Reports and Data** (Retention: (a) Annual reports, summary of operations, Permanent; (b) Monthly reports, submitted to the County Court or Board of County Commissioners, purely statistical, if subsection (a) of this section is kept, 1 year; (c) Monthly report if annual report is not made, Permanent; (d) Daily report, or resident census, if cumulated to annual reports or posted to log, 1 year; (e) Admission and departure log book or ledger, Permanent; (f) Weekly report, sent to County Health Officer, Adult and Family Services Division, etc., 1 year; (g) Monthly report of deaths to County Auditor or Clerk, and to Health Division, 1 year; (h) Work papers for above reports, all types, 1 year).

(8) **Visitor's Register** (Retention: 10 years).

(9) **Treatment of Medical Case Files** May include permanent records described in which must be retained, as well as:

Physician's order and progress record (medical charts); Nurses' notes or records; Self care chart; Physical therapy progress report; Report of medical examination on admission; Referral sheets from other agencies, furnishing diagnosis and treatment plan; Medical evaluation report (SPWC Form 704 m); Resident's personal property list; Medical reports for outpatient clinic; Social worker's notes, for case follow up; Tuberculosis card, recording x-ray and sputum tests; X-ray and other specialized reports. (Retention: After death or discharge, 7 years):

(10) **X-Rays** (Retention: (a) Most recent positive chest examination showing pathology after death, 7 years; (b) All other x-rays (7 years).

(11) **Nursing Records** from floors or wards used to guide work (Retention: (a) Bed Books, monthly time book or record containing name, room and bed number, used during nightly bed-check, 1 year; (b) Transfer Slips, book, or record reporting movements from one bed to another, 1 year; (c) Work Schedule, for medical section employees, recording hours scheduled and hours worked, 1 year; (d) Nurses Report Book, or record for information of new shifts, 1 year; (e) Treatment Schedule Book, or record, recording treatments due and given, 1 year).

(12) **Supply Records** (Retention: (a) Narcotic supply book or records, recording receipts, issues and balance on hand, 3 years; (b) Narcotic inventory reports, or "Certificate of Exempt Official Narcotics" (U.S. IRS Form 1964), 3 years; (c) Record of floor stocks and issues, for supplies and medications other than narcotics, 3 years).

Administrative Records:

(13) **Estate Lien Requests**, from County Auditor or Clerk to the Adult and Family Services Division. (Retention: 2 years).

(14) **Petty Cash Fund Reimbursement Voucher** (Retention: 2 years).

(15) **Receipts for Payments Received** on Residents' Accounts (carbon copies). (Retention: 7 years).

(16) **Receipts Signed by Residents** for withdrawals from trust account, or payouts (Retention: (a) File or record copy, 7 years; (b) Duplicates, 1 year).

(17) **Reports of Accidents** within the Home. (Retention: 7 years).

(18) **Resident Maintenance Journal** (Retention: 2 years).

(19) **Resident Payroll** (Retention: 7 years).

(20) **Resident's Personal Property List**, or receipts, for valuables after death or discharge. (Retention: 7 years).

(21) **Trust Account Control Journal** (Retention: 7 years).

(22) **Trust Account Ledger Sheets**, with zero balances or after escheat. (Retention: 7 years).

Stat. Auth.: ORS Ch. 192 & 357

Stats. Implemented: ORS 357.855 & 357.895

Hist.: OSA 2, f. & ef. 11-21-75; OSA 5, f. 12-30-77, ef. 1-1-78; OSA 3-1996, f. 4-9-96, cert. ef. 4-15-96

166-040-1150

State Agency Personnel Records

This General Schedule prescribes minimum retention periods for many public records relating to employees and

personnel administration created and maintained by state agencies. The General Schedule contained in OAR 166-040-0080 is no longer applicable to these records as of the effective date of this rule:

(1) **Individual Employee Personnel Records** (Retention: Varies): Contents as required by Executive Department, Personnel and Labor Relations Division policies. Retention:

(a) Employment Applications: most recent and first successful applications:

(A) Separated 1954-present (10 years);

(B) Separated 1953-prior (75 years).

(b) Personnel Actions/Salary Changes (3 years);

(c) Personnel Actions/Other than Salary Changes:

(A) Separated 1954-present (10 years);

(B) Separated 1953-prior (75 years).

(d) Performance Evaluations (Merit Ratings): (3 years);

(e) Oaths of Office:

(A) Separated 1954-present (10 years);

(B) Separated 1953-prior (75 years).

(f) Medical Records:

(A) Separated 1954-present (10 years);

(B) Separated 1953-prior (75 years).

NOTE: The federal Occupation Safety and Health Administration agency requires longer retention of medical records for employers subject to asbestos, formaldehyde, tremolite, etc. standards. These requirements are specified in 29 CFR.

(g) Summary Record of Service prior to 1946:

(A) Separated 1954-present (10 years);

(B) Separated 1953-prior (75 years).

(h) Summary Record of Training Completed:

(A) Separated 1954-present (10 years);

(B) Separated 1953-prior (75 years).

(i) Letters of Commendation or Recommendation (3 years);

(j) Letters of Reprimand (3 years);

(k) Notices of Disciplinary Action (3 years);

(l) Notices of Layoff (3 years);

(m) Letters of Resignation (3 years);

(n) Home Address/Telephone Disclosures. Most recent copy only. (10 years after separation).

(2) **Employee Recruitment and Selection Records** (Retention: Varies). Retention:

(a) Certificate of Eligibles (5 years);

(b) Other records (5 years);

(c) Unsolicited applications (3 months).

(3) **Employee Grievance Records** (Retention: 3 years after case closure).

(4) **Position Descriptions** (Retention: Varies). Retention:

(a) Abolished positions (5 years);

(b) Active positions (Two most recent).

(5) **Executive Department Personnel and Labor Relations Division Statistical Report** (Retention: Until Superseded). Reports transmitted to state agencies concerning positions, applicants, compensation, classification, separation, and affirmative action.

(6) **Workers Compensation Claim Records** (Retention: 5 years after case closure).

(7) **Affirmative Action Biennial Plans/ Statements** (Retention: Permanent).

(8) **Agency Internal Personnel Policies** (Retention: 3 years after superseded).

(9) **Criminal Arrest/Conviction Records** (Retention: 3 years after case closure).

(10) **Collective Bargaining Records** (Retention: 2 years after termination of negotiations or contract).

(11) **Position Classification/Review Records** (Retention: 5 years).

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

Stat. Auth.: ORS Ch. 357

Stats. Implemented: ORS 357.855 & 357.895

Hist.: OSA 1-1989, f. & cert. ef. 1-5-89; Suspended by OSA 3-1997(Temp), f. & cert. ef. 3-7-97

166-040-1200

City Records

This General Schedule prescribes minimum retention periods for public records created and maintained by Oregon cities. They 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 Oregon State Archivist adopts by reference the **Oregon City General Records Retention Schedule** as the General Schedule applicable to city records. One copy of this general schedule will be mailed to each city Records Officer after the effective date of this rule. Additional copies are available from the Archives Division at cost. The General Schedules contained in OAR 166-040-0060 to 166-040-1150 are no longer applicable to the records

created and maintained by cities as of the effective date of this rule.

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

Stat. Auth.: ORS Ch. 192 & 357

Stats. Implemented: ORS Ch. 192, 3578.55 & 357.895

Hist.: OSA 4-1992, f. 4-28-92, cert. ef. 5-12-92; OSA 3-1996, f. 4-9-96, cert. ef. 4-15-96

166-040-1300

County Assessment and Taxation Records

This General Schedule is applicable to the records of County Assessors, County Tax Collectors or other county officers or county agencies charged with assessment and taxation responsibilities. They 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.

(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. (Retention: 2 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. (Retention: Two appraisal cycles or 12 years, whichever is longest).

(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, 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. (Retention: Two appraisal cycles or 12 years, whichever is longest).

(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, situs 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. (Retention: (a) Years through 1905, Permanent; (b) Years ending in 0 and 5 after 1905, Permanent; (c) 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 Equalization, Board of Ratio Review, or Department of Revenue petitions and orders. May also include correspondence relating to the appeal. Original petition, evidence, and order is filed with the County Clerk or the Department of Revenue. (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.

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. (Retention: (a) Years through 1905, Permanent; (b) Years ending

in 0 and 5 after 1905, Permanent; (c) Years 1906 and later, except years ending in 0 5, 50 years; (d) If separate Tax Rolls exist for the above specified time periods, use the following, 6 years).

(7) **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. (Retention: 2 years after case closed).

(8) **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. (Retention: 2 years after superseded or exemption disqualified).

(9) **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 lienholders, official publication lists, applications for final judgment and decree, final judgment and decree, record of lienholders, redemption certificates, deeds of foreclosed property, and related correspondence. (Retention: 6 years after property deeded to county or redeemed by recorded interest holder).

(10) **Homeowners 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. (Retention: 2 years).

(11) **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 Equalization and ratio review orders, and tax court and supreme court orders. (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 county).

(12) **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. (Retention: 2 years).

(13) **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. (Retention: 6 years).

(14) **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. (Retention: 6 years).

(15) **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. (Retention: 6 years).

(16) **Senior 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. (Retention: 2 years after disqualified or lien satisfied).

(17) **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. (Retention: 6 years after disqualified).

(18) **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. (Retention: (a) Percentage Distribution Schedule, 25 years; (b) All other records, 2 years).

(19) **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. (Retention: 7 years).

(20) **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. (Retention: 2 years).

(21) **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. (Retention: (a) Notice of Property Tax Levy and Certification of Categorization, 6 years; (b) All other records, 2 years).

Stat. Auth.: ORS Ch. 192 & 357

Stats. Implemented: ORS Ch. 192 & 357

Hist.: OSA 2, f. & ef. 11-21-75; OSA 5, f. 12-30-77, ef. 1-1-78; OSA 2-1980, f. & ef. 9-2-80; OSA 1-1993, f. & cert. ef. 7-1-93; Renumbered from 166-40-500 & 166-40-600; OSA 3-1996, f. 4-9-96, cert. ef. 4-15-96

166-040-1400

County Clerk Records

This General Schedule is applicable to the records of County Clerks or other county officers or county agencies charged with their responsibilities. They 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 exceptions listed include the prohibition against destruction of records created in or prior to 1920 without special permission.

Elections

(1) **Abstract of Votes, Record of Elections** Documents election results for General, Primary, Emergency, 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. (Retention: Permanent).

(2) **Ballots** Documents ballots and stubs of ballots of voters who voted in Primary, General, Emergency, and Special District elections. Includes ballots cast at polls, by vote-by-mail, or by absentee request. Used to register and count votes. Information contains numbers that correspond to a candidate or "yes" or "no" on an issue. May also include written challenge statements and replacement affidavits. (Retention: Special District and Emergency Election, 90 days

after last date to contest election; Primary and General Election, 2 years).

(3) **Contribution and Expenditure Reports** Documents contributions and expenditures by candidates or political action committees. Includes statement of organization, amount, source, and detail of expenditures over the amount of fifty dollars. May also include receipts for expenditures. (Retention: Statement of Organization, Permanent; All other records, 6 years after the date required to file update reports).

(4) **Election Filings** 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, request for write-in candidacy, certification of nomination, filing forms for county voters pamphlet, notice of measure election, and withdrawal of candidates. (Retention: 4 years).

(5) **Election Preparation Records** Used to prepare and administrate elections within each precinct in the county. Records may include such information as number of ballots going to each precinct, number and type of pages for each voting machine for each precinct, listing of issues and candidates by precinct order, guides to preparing voting machines, ballot layout records, and public certification test notice. Also may include guides to assist Election Board personnel in reconciling votes cast with eligible voters. (Retention: 2 years).

(6) **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. (Retention: Signature sheets, 6 years after election if measure is approved, 30 days after election if measure is not approved or 30 days after deadline for sufficient signatures; All other records, Permanent).

(7) **Legal Notices and Publications** Documents required pre-election legal notices by the County Clerk. May include publication of ballot title, notice of election, sample ballot, and the county voters pamphlet. (Retention: County Voters Pamphlet, One copy, Permanent; All other records, 3 years).

(8) **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. Cover includes number of voters casting ballots for the election and names, signatures, and oaths of Election Board members. May also include certificates of registration. (Retention: Records created prior to 1931, Permanent; All other records, 2 years).

(9) **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. (Retention: 2 years).

(10) **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. (Retention: 2 years).

(11) **Vote-by-Mail Records** Documents process used to prepare, administrate, and record vote-by-mail elections. Records include notices to governing bodies; master mailing list; reconciliation of ballots duplicated, rejected, opened, or number of write in ballots received by precinct; and signature, secrecy, and non-deliverable returned envelopes. (Retention: Non-Deliverable Vote by Mail and Secrecy Envelopes, 90 days after last date to contest election; All other records, 2 years).

(12) **Voter Registration Records** Documents registration or cancellation of registration of eligible voters. Voter Registration Cards include the following information: name, signature, mailing and residence address, previous registration information, if ever registered in Oregon, date and place of birth, parents names, spouse name, affirmation of citizenship, state residency, telephone number, 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. (Retention: 2 years after

canceled).

General

(13) **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. (Retention: Record copy of annexation records kept by Boundary Board, County Commissioners or Court, or other Governing Body, Permanent; Other copies, Retain as needed).

(14) **Bancroft Bond Records** Documents long term property owner financing of assessments levied for county improvements. May includes applications for installment financing, receipts of payment of property assessment, and foreclosure records. (Retention: Bond Receipts, 2 years; All other records, 2 years after final payment, redemption, sale, or action).

(15) **Board of Commissioners or County Court Agendas** Lists of items to be discussed at regularly scheduled, special, executive session, and emergency meetings of the county governing body. Information generally includes date, time, location, and items to be presented to the body for consideration. May be filed with minutes. (Retention: 5 years).

(16) **Board of Commissioners or County Court Meeting Minutes** 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. (Retention: Approved minutes, Permanent; Tape recordings of meetings, 1 year).

(17) **Board of Commissioners or County Court Meeting Packets** Material distributed to members at meetings. Often includes agenda bills and attachments, memoranda, staff and subcommittee reports and recommendations, materials submitted by citizens, cards or sheets signed by citizens wishing to address the body, and related records. (Retention: Exhibits not retained permanently elsewhere in agency records, Permanent; Other records, 5 years).

(18) **Board of Commissioners or County Court Resolutions** Formal statements of decisions or expressions of opinions adopted by the body. Information includes date, number, and text. (Retention: Permanent).

(19) **Board of Equalization and Board of Ratio Review Meeting Records** Documents the proceedings of the Board of Equalization and Board of Ratio Review. 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. (Retention: 6 years).

(20) **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. (Retention: County budget, Permanent; Other taxing district budgets, 2 years).

(21) **Contracts** Official contracts enforceable by law to acquire services, equipment, or maintenance. Documents the terms and conditions of contracts and agreements between the agency and private companies and individuals. Contract

records may include contracts, exhibits, bid documents, change orders and amendments, and significant related correspondence. Information in contracts usually includes contract number, certificate of required insurance, dates, terms, parties involved, period covered, and signatures. (Retention: Collective bargaining contract records, Permanent; Construction contract records, 10 years after substantial completion; Other contract record, 6 years after expiration).

(22) **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. (Retention: Permanent).

(23) **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. (Retention: Permanent).

(24) **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. (Retention: Refer to Special Schedule 84-0051, Section 5 (Court Records), for the Oregon Judicial Department, Office of State Court Administrator, for retention and disposition information). Copies are available upon request from the State Archivist.

(25) **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. (Retention: Significant and historic agreements, Permanent; Other agreements, 6 years after expiration).

(26) **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. (Retention: Permanent).

(27) **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. (Retention: 6 years after satisfaction).

(28) **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. May also include certificate of election. (Retention: 6 years after expiration).

(29) **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. (Retention: Permanent).

(30) **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. (Retention: Permanent).

(31) **Property or Goods Finders Record** Documents requirement that a person who finds money or goods valued at \$100 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. (Retention: 2

years).

(32) **Ratio (Assessed Value/Sales Price) Final Report** Documents the final results of the ratio study which compares assessed values to sales data for the purpose of adjusting appraisal values. Includes number of sales used, geographical areas and classes of properties to be adjusted, and amount of adjustments. (Retention: 6 years).

(33) **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. (Retention: Permanent).

(34) **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. (Retention: 6 years).

Recording

(35) **County Financial Records** 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. (Retention: 10 years).

(36) **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 a Book of Records. (Retention: Permanent).

(37) **Fee Records** Records documenting billing and collection of fees for instruments received for recording. Information includes date and time of reception, name of grantor, name of grantee, to whom delivered, and fees received. (Retention: 2 years).

(38) **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. (Retention: Permanent).

(39) **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. (Retention: County Clerk Lien Record, Permanent; Other Statutory Lien Records, 10 years).

(40) **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. (Retention: Records created prior to 1965, Permanent; All other records, 10 years).

(41) **Mortgage Instruments** Documents conveyance of lands to secure the payment of a debt. May include mortgages, trust deeds, weatherization liens, senior citizen tax deferrals, UCC filings, and supporting records. (Retention: Permanent).

(42) **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. (Retention: Permanent).

(43) **Undeliverable Recorded Instruments** Documents recordings returned as undeliverable. The primary reason for non-delivery 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. (Retention: 1 year).

Stat. Auth.: ORS Ch. 192 & 357

Stats. Implemented: ORS Ch. 192 & 357

Hist.: OSA 2, f. & ef. 11-21-75; OSA 5, f. 12-30-77, ef. 1-1-78; OSA 10-1994, f. & cert. ef. 11-2-94; Renumbered from 166-40-300; OSA 3-1996, f. 4-9-96, cert. ef. 4-15-96

166-040-1500

Public Works Records

This General Schedule is applicable to the records of County and Special District Public Works Departments or other County or Special District agencies or departments charged with similar duties and responsibilities. They 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.

Customer Service

(1) **Maintenance Request/Complaint Records** Records documenting complaints or requests concerning a variety of maintenance responsibilities carried out by the public works department. Examples include but are not limited to brushing and limbing; road grading, rocking, sealing, patching, and marking; traffic signals and signs; agency owned buildings and equipment; street lights; high grass or weeds; and water and sewer system problems. Information often includes name, phone number, and address of person making request/complaint, narration of request/ complaint, name of person responding to request/complaint, dates of related activities, and other data. (Retention: 2 years after last action).

(2) **Utility Account Change Records** Records documenting routine information changes to customer accounts. Includes name, address, and similar change orders for current and final accounts. (Retention: 2 years).

(3) **Utility Application Record** 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. (Retention: 2 years).

(4) **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. (Retention: 2 years).

(5) **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. (Retention: 2 years after refund or last action).

(6) **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. (Retention: 2 years).

(7) **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. (Retention: 2 years).

(8) **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 turnoff, meter changes, and related data. (Retention: 2 years).

Engineering

(9) **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. (Retention: Permanent).

(10) **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. (Retention: Permanent).

(11) **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. (Retention: 2 years after bridge removed from service).

(12) **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, field test and laboratory reports, inspector reports, change orders, status reports, and related records. (Retention: 10 years after substantial completion).

(13) **Maps, Plans, and Drawings, Agency Created** 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. (Retention: Final versions, Permanent; Intermediate or draft versions, Retain as needed).

(14) **Maps, Plats, and Photographs, Non-Agency Created** Copies of maps, plats, photographs, drawings, details, plans, and similar records obtained from outside, non-agency sources that are used for research and reference purposes. May include state highway construction and right-of-way maps, survey maps and plats, utility maps, and other records useful for reference. Utility maps document the location of utility service company equipment and lines within an area. Utilities include electricity, gas, telephone, cable television, and others. (Retention: Until superseded, obsolete, or no longer needed).

(15) **Maps, Working Maintenance** Maps and similar records produced to facilitate and support routine operation and maintenance of the infrastructure. Examples include maps of streetlights scheduled for bulb replacement, street trees in need of pruning, and others. (Retention: Retain as needed).

(16) **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. (Retention: Permanent).

(17) **Public Works Commission Meeting Records** Official records of the board or commission responsible for making recommendations to a governing body on public works issues. May include minutes, agendas, exhibits, tape recordings, and related records. Subjects often include street, sewer, water, and storm drainage systems, as well as other public works responsibilities. (Retention: Minutes, exhibits, resolutions, and indexes, Permanent; Significant related records, 5 years; Tape recordings of meetings, 1 year).

(18) **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. (Retention: Construction related records, 10 years after substantial completion of project; Other records, 2 years after expiration, revocation, or discontinuance of use).

(19) **Survey Field Records** Detailed field notes and other records related to surveys done for boundary work, local improvement districts, special requests, and other purposes. May include investigative surveys made of crime or accident scenes at the request of law enforcement officials. May also include notes on traverses, right-of-way location, construction (including levels, cuts, and grades), and other information, as well as sketches related to the survey. (Retention: Right-of-way location records, Permanent; Other construction records, 10 years after substantial completion of project).

(20) **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. (Retention: Permanent).

(21) **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 5 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. (Retention: 30 years).

Operations and Maintenance

(22) **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. (Retention: 10 years).

(23) **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. (Retention: Records with engineering stamps documenting structural maintenance or repairs, 2 years after bridge or culvert permanently removed from service; Other records, 2 years).

(24) **Buildings and Grounds Maintenance and Repair Records** Records of all maintenance and repairs to buildings and grounds 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. (Retention: Records requiring engineering stamps, 2 years after life of structure; Other records, 2 years).

(25) **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. (Retention: 1 year after disconnection or 10 years, whichever is longer).

(26) **Daily Work Records** Records documenting work completed by each agency employee or crew on a daily basis. These may include logs, notes, or similar records. Information often includes personnel performing work, date and time completed, description of work, location, equipment and materials used, and additional pertinent data. (Retention: 2 years).

(27) **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. (Retention: 2 years).

(28) **Equipment Maintenance and Repair Record** Records documenting the inspection, maintenance, and repair of all agency-owned equipment not listed elsewhere in this schedule. Examples include but are not limited to mowers, trailers, edgers, blowers, generators, sewage lift pumps, water pumps, office equipment, and furniture. Records may include summaries, reports, and similar records usually compiled from daily work records on a monthly or quarterly basis. Information often includes description of work completed, parts and supplies used, date of service, date, purchase price, equipment number, make, and model, and related data. (Retention: Records requiring an engineering stamp, 2 years after disposition of equipment; Other records, 2 years).

(29) **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. (Retention: 2 years).

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

(31) **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. (Retention: Location and specification records, Until hydrant permanently removed from service; Maintenance, test, and repair records, 2 years).

(32) **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. (Retention: Records requiring an engineering stamp, 2 years after sewer or storm drain permanently removed from service; Other records, 2 years).

(33) **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. (Retention: 10 years).

(34) **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 video tapes and written reports. Information often includes date, type of inspection, conditions found, repairs needed, distances from manholes, and related data. (Retention: Written reports, 10 years or until superseded, whichever is first; Video tapes, Retain as needed).

(35) **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. (Retention: Until superseded).

(36) **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. (Retention: 2 years).

(37) **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. (Retention: Records requiring an engineering stamp, 2 years after major street or sidewalk reconstruction; Other records, 2 years).

(38) **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. (Retention: 2 years).

(39) **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. (Retention: Manuals, Until disposition of vehicle or equipment; Warranties, Until expiration).

(40) **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. (Retention: 2 years after easement expires).

(41) **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. (Retention: Traffic signals, 2 years after equipment permanently removed from service; Traffic signs, 2 years).

(42) **Utility 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. (Retention: 2 years after physical disconnection).

(43) **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. (Retention: 2 years).

(44) **Utility Meter Maintenance and Repair Records** Records documenting the 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. (Retention: 2 years).

(45) **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. (Retention: 2 years).

(46) **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. (Retention: Location and specification records, Until valve permanently removed from service; Maintenance and repair records, 2 years).

(47) **Vehicle Maintenance and Repair Records** Records documenting the maintenance and repair history of all agency-owned vehicles. Includes 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. (Retention: 2 years after disposition of vehicle).

(48) **Vehicle Title and Registration Records** Records documenting ownership and registration of all agency vehicles with the Oregon Division of Motor Vehicles. (Retention: Titles, Transfer to new owner upon disposition of vehicle; Registration records, Until superseded or disposition of vehicle).

(49) **Vehicle Usage and Expense Records** Records documenting usage and expenses associated with agency-owned vehicles. Useful 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. (Retention: 2 years).

(50) **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. (Retention: Records requiring an engineering stamp, 2 years after water line permanently removed from service; Other records, 2 years).

Traffic Engineering

(51) **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. Duplicates of records with equal or longer retention periods listed elsewhere in this schedule (e.g., resolutions, etc.) should be retained as needed. (Retention: 2 years after superseded or obsolete).

(52) **Railroad Crossing Records** Records documenting agency activities in relation to railroad crossings. May include documentation of corrective action taken in response to Oregon State Public Utilities Commission (PUC) Crossing Safety Division inspection reports. Also may include crossing plans and drawings, PUC public hearings records and rulings, reports and studies, accident records, and related items. (Retention: Documentation of corrective action, 2 years after work completed; Crossing plans and drawings, Until superseded or obsolete; Other records, 2 years).

(53) **Special Event Records, Traffic** Records documenting preparation for and implementation of traffic changes related to special events such as parades, motorcades, and demonstrations. Includes situations resulting in heavy traffic or street use requiring street closures, traffic rerouting, barricades, signal timing changes, and other variations. May include notifications, planning documents, reports, and related records. (Retention: 2 years after event).

(54) **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. (Retention: 2 years after superseded).

(55) **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. (Retention: 2 years).

(56) **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. (Retention: Until Superseded).

(57) **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. (Retention: 2 years after last action).

(58) **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. (Retention: Reports and summaries, 10 years; Other record, 5 years).

(59) **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. (Retention: 2 years after superseded).

(50) **Traffic Research 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. (Retention: Reports and summaries, 10 years; Other records, Until information is summarized or no longer needed).

(51) **Transit System Records** Records documenting the location of transit system stops, stations, and crossings in a particular geographic area. Also may contain records related to agency review and approval or denial of individual stops or crossings proposed by a transit district. These may include reports, traffic surveys, decision statements, notifications to affected property owners, and related records. (Retention: Review records, 2 years after denied, or approved and stop or crossing removed; Transit system maps, Until superseded or obsolete).

(52) **Transportation Board Meeting Records** Official records of boards or committees responsible for overseeing or advising the agency on transportation issues. Records can include minutes, agendas, exhibits, tape recordings, and related documents. Subjects include traffic problems, grants, policies, procedures, and related topics. (Retention: Minutes, exhibits, resolutions, and indexes, Permanent; Significant related records, 5 years; Tape recordings of meetings, 1 year).

(53) **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. (Retention: 2 years after superseded).

Wastewater Treatment

(54) **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. (Retention: Reports, Permanent; Other records, 5 years).

(55) **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. (Retention: Reports, Permanent; Other records, 5 years).

(56) **Equipment Maintenance and Calibration Records** Records documenting the maintenance and calibration of equipment and instruments used to undertake and monitor wastewater treatment 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. (Retention: Records requiring an engineering stamp, 3 years after disposition of equipment; Other records, 3 years).

(67) **Industrial Pretreatment 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. (Retention: Permits, addenda, and modifications Permanent; Other records, 5 years after expiration or revocation).

(68) **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. (Retention: 5 years).

(69) **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. (Retention: Permit, addenda, and modifications, Permanent; Other records, 5 years after expiration or revocation).

(70) Sewage Sludge Application Landowner Agreements Agreements between the agency and landowners related to the application of sewage sludge to approved sites. Records may include signed agreements, exhibits, amendments, and related documents. Information usually includes agreement number, date, conditions or terms, parties involved, period covered, and signatures. (Retention: 6 years after expiration).

(71) 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. (Retention: Permanent).

(72) 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. (Retention: Permanent).

(73) 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. (Retention: 3 years).

(74) 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. (Retention: Annual reports, Permanent; Other records, 5 years)

(75) 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. (Retention: Permit, addenda, and modifications, Permanent; Other records, 5 years after expiration or revocation).

(76) Equipment Maintenance and Calibration Records Records documenting the maintenance and calibration of equipment and instruments used to monitor water treatment operations. Useful in verifying 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 conducted, repairs needed, comments, and related data. (Retention: Records requiring an engineering stamp, 3 years after disposition of equipment; Other records, 3 years).

(77) 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. (Retention: 3 years after last action).

(78) 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. (Retention: Permanent).

(79) 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. (Retention: 10 years).

(80) **Strip and Circle Chart Records** Records documenting the continuous monitoring of various water treatment operations. May include strip charts, circle charts, and similar monitoring records. Information often pertains to reservoir levels, pump flows, distribution line pressure, and related subjects. (Retention: 3 years).

(81) **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. (Retention: 5 years after expiration or revocation).

(82) **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. (Retention: 5 years).

(83) **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. (Retention: 10 years).

(84) **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. (Retention: Annual reports, Permanent; Information summarized in annual report, 1 year; Information not summarized in annual report, 10 years).

(85) **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. (Retention: 3 years after last action).

(86) **Water Treatment Operations Records** Program records not listed elsewhere in this schedule which 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. (Retention: Annual reports, Permanent; Other records, 5 years).

(87) **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. (Retention: 10 years).

Stat. Auth.: ORS Ch. 192 & 357

Stats. Implemented: ORS Ch. 192 & 357

Hist.: OSA 9-1994, f. & cert. ef. 11-2-94; OSA 3-1996, f. 4-9-96, cert. ef. 4-15-96

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**Oregon Administrative Rules
1998 Compilation**

SECRETARY OF STATE, ARCHIVES DIVISION

DIVISION 104

GENERAL SCHEDULES

166-104-0005

Facilitative/Housekeeping Records

Facilitative/housekeeping records may be found at all levels of county and special district government. Records relating to the administrative, fiscal, payroll, and personnel functions may be retained centrally or in individual offices, depending on local administrative structure.

Stat. Auth.: ORS 357.895

Stats. Implemented: ORS 357.895

Hist.: OSA 1-1995, f. & cert. ef. 5-25-95

166-104-0010

Administrative

This General Schedule is applicable to the administrative records of counties and special districts. They 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 166-30-027 before disposing of records.

(1) **Activity Reports, General** Daily, weekly, monthly, or similar reports other than annual 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. (Retention: 1 year).

(2) **Annexation Records** Records documenting the annexation of areas into boundaries. Used to fulfill legal requirements and document the acquisition process. May 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. (Retention: Permanent).

(3) **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. (Retention: 50 years).

(4) **Calendars and Scheduling Records** Records documenting and facilitating routine 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. Depending on content, some telephone messages and similar records may merit inclusion in related program or project files. This applies to records which contain significant information that is not summarized or otherwise included in reports or similar documents. (Retention: 1 year).

(5) **Charter** Constitution, bylaws, and all amendments to agency charters approved by the State Legislature. Generally includes original charter, amendments, and related significant records. (Retention: Permanent).

(6) **Codes** Codified ordinances passed by the agency. Provides reference to all laws for both information and enforcement. Information may include ordinance numbers, amending ordinance numbers, code numbers, and text. (Retention: Permanent).

(7) **Computer System Program Documentation** Records providing documentation for electronic data processing systems and networks. Includes operating software instructions, listings of computer codes and programs, records layouts, flow charts, line listings, variance reports, output samples, program design specifications, program language, console logs, format statements, user reports, program backup, significant related correspondence, and similar records and information. (Retention: 2 years after system removed from service).

(8) **Conference and Seminar Records** Records documenting the attendance at, or development of, seminars, conferences, workshops, conventions, and similar gatherings. May be sponsored by the agency or by another entity. Often includes class descriptions, instructional materials, course outlines, enrollment and attendance records, reports, speeches, planning documentation, and related records. (Retention: 2 years).

(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. (Retention: Significant and historic intergovernmental agreements, Permanent; Construction contract records, 10 years after substantial completion, unless specified as longer in the terms of the contract; Other contracts, leases and agreements, 6 years after expiration, unless specified as longer in the terms of the contract, lease, or agreement). **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, Policy and Historical** Correspondence, memoranda, and similar records which state or form the basis of policy, set important precedents, or record historic events related to the organization or operation of the agency. Includes letters sent and received, memoranda, notes, reports, studies, and other records. Also see other correspondence series for records that do not document policy or historical events. (Retention: Permanent).

(11) **Correspondence, Program** Correspondence, memoranda, and similar records which document and add significant information to the program or primary functional responsibility of the office. Includes letters sent and received, memoranda, notes, and other records related to specific programs or primary functions. (Retention: Retain for the same period as the program or functional record series to which it relates).

(12) **Correspondence, Reading or Chronological** Duplicate copies of all or selected correspondence sent and received. These are maintained in various filing systems such as alphabetical or chronological and are kept solely as a convenience for reference. For original or record copies, see applicable correspondence series in this section. (Retention: Retain as needed).

(13) **Correspondence, Routine** Correspondence, memoranda, and similar records of a transitory or housekeeping nature which do not add significant information to the program or primary functional responsibility of the office. Includes letters sent and received, memoranda, notes, transmittals, acknowledgements, holiday notices, community affairs notices, charity fund drive records, parking space assignment lists, routine requests for information or publications, thank you notes, and similar records. (Retention: Retain as needed).

(14) **Crisis Records** Records documenting the extent of damages and response to crises such as major storms, fires, droughts, floods, riots, and similar events affecting the people, property, or government. Includes diaries, logs, reports, photographs, notes, and related records. Information usually includes narratives describing type of crisis, dates, duration, location, extent of damage, measures taken, individuals involved, comments, and related data. (Retention: Permanent).

(15) **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. (Retention: Permanent).

(16) **Drafts and Worksheets** Records of a preliminary or working nature used in the preparation of final copy documents. Includes informal notes, preliminary drafts of letters, memoranda, reports, worksheets, and related records. (Retention: Retain as needed).

(17) **Easements** Recorded grants by property owners to the agency for the 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. (Retention: Permanent).

(18) **Forms Development Records** Records documenting the development or revision of forms and preprinted documents by or for the agency. Useful in developing and preparing new versions of forms. Includes sample forms, revisions, form logs or listings, proposals, authorizations, illustrations, and significant related records. (Retention: Until superseded or obsolete).

(19) **Legislative Tracking Records** Series used to monitor legislation which 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. (Retention: 2 years).

(20) **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. (Retention: Until superseded or obsolete).

(21) **Meeting Packets, Governing Body** Material distributed to members at meetings. Often includes agenda bills and attachments, memoranda, staff and subcommittee reports and recommendations, materials submitted by citizens, cards or sheets signed by citizens wishing to address the governing body, and related records. (Retention: Exhibits not retained permanently elsewhere in agency records, Permanent; Other records, 5 years).

(22) **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 ORS 192.610 to 192.690, that is under agency jurisdiction. These typically consist of boards, commissions, advisory councils, and similar groups. Records may include minutes, agendas, exhibits, resolutions, staff reports, indexes, tape recordings, and significant correspondence and memoranda. (Retention: Minutes, exhibits, resolutions, and indexes, Permanent; Agendas and significant related records, 5 years; Tape recordings of meetings, 1 year).

(23) **Meeting Records, Governing Body Minutes** Official proceedings of regularly scheduled, special, executive session, and emergency meetings of any governing body, as described in ORS 192.610 to 192.690, that is under agency jurisdiction. Includes date, time, and location of meeting, names of members present and absent, subjects discussed,

statements of intent, and records of actions taken. (Retention: Approved minutes , Permanent; Tape recordings of meetings, 1 year).

(24) **Meeting Records, Staff Records** documenting meetings within government which are not subject to Oregon's Public Meetings Law (ORS 192.610 to 192.690). 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. (Retention: 1 year).

(25) **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. (Retention: 6 years after most recent oath).

(26) **Ordinances** Legislative action of the agency 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. (Retention: Permanent).

(27) **Organizational Records** Records documenting the arrangement and administrative structure of the 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. (Retention: 2 years after superseded).

(28) **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. (Retention: 2 years after expiration, revocation, or denial).

(29) **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. (Retention: 20 years).

(30) **Policy Statements and Directives** Series documents review, assessment, development, and authorization of an agency's policies and procedures. 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. (Retention: 20 years after superseded).

(31) **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. (Retention: 2 years).

(32) **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. (Retention: Policy and historic news releases, Permanent; Routine news releases, Retain as needed).

(33) **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. (Retention: Permanent).

(34) **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. (Retention: Permanent).

(35) **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. (Retention: 3 years).

(36) **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. (Retention: Until superseded or obsolete).

(37) **Records Retention and Destruction Documents** Documentation of records retained or destroyed in compliance with a retention schedule approved by the State Archives. May include records retention schedules and worksheets, destruction authorization forms, lists of documents destroyed, and transmittals of records transferred to other facilities. (Retention: Permanent).

(38) **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 public works or law enforcement in this general schedule, the retention period specified in that functional area supersedes the retention period listed in this series.) (Retention: 2 years after last action).

(39) **Resolutions** Formal statements of decisions or expressions of opinions adopted by the agency. Information includes date, number, and text. (Retention: Permanent).

(40) **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. (Retention: Until obsolete or no longer needed).

(41) **Scheduling Records** Records documenting scheduling and reservations related to public participation in and use of various activities, events, classes, and meeting rooms. Includes schedules, logs, lists, requests, and similar records. (Retention: 1 year).

(42) **Scrapbooks** Books documenting a chronological or similar record of the agency. May contain photographs, newspaper or magazine clippings, commentaries, and other items pertaining to the activities, actions, and reactions of the agency officials, personnel, and citizens. (Scrapbooks vary greatly in their content and value. Some may have historic value. For appraisal assistance, contact the State Archives.) (Retention: Scrapbooks which record historic events related to the organization or operation of the agency, Permanent; Other scrapbooks, Retain as needed).

(43) **Security Records** Series documents security provided for agency buildings and grounds. Records include security logs, sign-in sheets, security reports, incident reports, and related records. (Retention: 2 years).

(44) **Signature Authorizations** Series certifies that designated agency employees are authorized to sign fiscal and contractual documents. (Retention: 6 years after authorization expires).

(45) **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. (Retention: Records documenting significant aspects of the event, Permanent; Other records, 2 years after event).

(46) **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. (Retention: 2 years).

(47) **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. (Retention: 6 years after expiration).

(48) **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. (Retention: 2 years).

(49) **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. (Retention: Records designed and used to assess employee performance, 3 years; Other records, 1 year).

Stat. Auth.: ORS Ch. 192 and 357

Stats. Implemented: ORS Ch. 192 and 357

Hist.: OSA 2, f. & ef. 11-21-75; OSA 5, f. 12-30-77, ef. 1-1-78; OSA 3-1995, f. & cert. ef. 5-31-95; Renumbered from 166-40-060; OSA 3-1996, f. 4-9-96, cert. ef. 4-15-96

166-104-0015

Financial Records

This General Schedule is applicable to the financial records of counties and special districts. They 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:

(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. (Retention: 2 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. (Retention: 2 years after collected or deemed uncollectable).

(3) **Audit Reports** 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. (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. (Retention: 2 years).

(5) **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. (Retention: 2 years).

(6) **Bid (Competitive) Records** Records documenting the publicizing, evaluation, and awarding of quoted bids to vendors and other individuals or organizations. Provides recorded evidence of accepted and rejected bids. May include 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. (Retention: Accepted agency improvement bids, 10 years after substantial completion; Other accepted bids, 6 years after bid awarded or canceled; Rejected bids and bid exemptions, 2 years).

(7) **Bond Authorization Records** Records documenting the authorization to finance improvements through bonded indebtedness. Includes authorizations, supporting financial documents, bond ratings, sample copies of bonds issued, and related records. (Retention: 2 years after final payment).

(8) **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. (Retention: 6 years after expiration).

(9) **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. (Retention: 2 years after final payment).

(10) **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. (Retention: 2 years).

(11) **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. (Retention: Permanent).

(12) **Budget Committee Meeting Records** Records documenting the proceedings of the committee responsible for reviewing the annual budget proposals of agency departments prior to governing body review. Records often include minutes, agendas, exhibits, staff reports, tape recordings, and related documents. (Retention: Minutes, exhibits, resolutions, and indexes, Permanent; Tape recordings of meetings, 1 year).

(13) **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. (Retention: 2 years).

(14) **Correspondence, Financial** Correspondence, memoranda, and similar records which add significant information about the financial status of the agency. May be useful for audits or for recovering money owed to the agency. Includes letters sent and received, memoranda, notes, and related records. (Retention: Accounts receivable correspondence, 2 years after collected or deemed uncollectable; Other correspondence, 2 years).

(15) **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. (Retention: 2 years).

(16) **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. (Retention: Annual reports, Permanent; Other reports, 2 years).

(17) **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. (Retention: Year end ledgers, 10 years; Other general ledgers, 2 years).

(18) **Grant Records, Administrative and Financial** Records documenting the routine administrative and financial operations of monetary grants from public or private sources. May include any reports other than annual or final, purchase orders, invoices, statements, receipts, logs, lists, summaries, and similar records. (Retention: 3 years after final financial report is submitted and account is closed, unless otherwise specified as longer by terms of the grant).

(19) **Grant Records, Non-Expendable Property Transactions** Records documenting the purchase and disposal of real and other non-expendable property acquired with grant funds from public or private sources. May include offer letters, options, agreements of short duration, staff reports, appraisal reports and reviews, abstracts of title, inspection reports, letters of transmittal, summaries, inventories, purchase orders, receipts, vouchers, and similar records. (Retention: Real property, 10 years after substantial completion, or 3 years after final disposition, or as specified in agreement, whichever is longer; Other non-expendable property, 3 years after final disposition or as specified in agreement, whichever is longer).

(20) **Grant Records, Primary** Records documenting the significant steps related to the application for and administration of monetary grants from public and private sources. Records include original applications, amendments, contracts, annual financial or performance reports, and final reports. (Retention: If grant funded, 20 years after annual or final expenditure report submitted or as specified in agreement, whichever is longer; If grant not funded, 2 years).

(21) **Improvement Records, Administrative And Financial** Records documenting the non-technical and financial administration of assessable and non-assessable agency improvements including local improvement districts and economic improvement districts. Records often include affidavits of posting, notices of 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. (Retention: Assessable improvements, 10 years after substantial completion or 2 years after final payment of assessment by property owner, whichever is longer; Non-assessable improvements, 10 years after substantial completion).

(22) **Inventory Records** Inventory records of expendable and non-expendable agency property or assets. Examples include but are not limited to buildings, real estate, vehicles, equipment, furniture, and supplies. 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 property control inventories. See Grant Records series for inventories of property purchased with grant funds. (Retention: Non-expendable property, 2 years after superseded; Expendable property, 2 years or until superseded, whichever is longer).

(23) **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. (Retention: 2 years after investment ends).

(24) **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. (Retention: 2 years after disposition of property).

(25) **Property (Real) Transaction Records** Records documenting acquisitions, dispositions, and relocations 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. (Retention: 10 years after substantial completion).

(26) **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. (Retention: Competitive bids (See Bid (Competitive) Records; Other records, 2 years).

(27) **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. (Retention: 6 years after authorization superseded or expired).

(28) **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. (Retention: Year end payroll register, 75 years; Trust fund ledgers, 2 years after trust fund closed; Other subsidiary ledgers, journals, and registers, 2 years).

(29) **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. (Retention: 2 years).

(30) **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. (Retention: Records not duplicated elsewhere in agency records, 2 years after trust fund closed; Duplicated records, Retain as needed).

(31) **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. (Retention: Until superseded or obsolete).

Stat. Auth.: ORS Ch. 192 and 357

Stats. Implemented: ORS Ch. 192 and 357

Hist.: OSA 1-1995, f. & cert. ef. 5-25-95; OSA 3-1996, f. 4-9-96, cert. ef. 4-15-96

166-104-0020**Payroll Records**

This General Schedule is applicable to the payroll records of counties and special districts. They 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:

- (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. (Retention: 2 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. (Retention: Registers documenting state and federal taxes, 5 years; Other registers, 2 years).
- (3) **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), employers quarterly federal tax return (941, 941E), tax deposit coupon (8109), and similar federal and state completed forms. (Retention: 5 years).
- (4) **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. (Retention: 2 years after resolution).
- (5) **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. (Retention: 2 years).
- (6) **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. (Retention: Year-end payroll registers, 75 years; Monthly payroll registers, 5 years; Other payroll registers, 2 years).
- (7) **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. (Retention: 3 years).
- (8) **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. (Retention: 2 years).

(9) **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. (Retention: 2 years).

(10) **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. (Retention: 5 years).

(11) **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. (Retention: 5 years after superseded or employee separates).

Stat. Auth.: ORS Ch. 192 and 357

Stats. Implemented: ORS Ch. 192 and 357

Hist.: OSA 1-1995, f. & cert. ef. 5-25-95; OSA 3-1996, f. 4-9-96, cert. ef. 4-15-96

166-104-0025

Personnel Records

This General Schedule is applicable to the personnel records of counties and special districts. They 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.

(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. (Retention: Plans, updates, and policy statements, 15 years after superceded; Other records, 3 years).

(2) **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. (Retention: Contracts and minutes, 50 years; Other records, 6 years after contract expired).

(3) **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. (Retention: Final study or report, 15 years; Other significant records, 5 years).

(4) **Equal Employment Opportunity Commission Compliance Records** Series documents agency compliance with U.S. Equal Employment Opportunity Commission regulations. Records may include EE0-4 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 meetings records, related correspondence, and other records described in 29 CFR 1613.222: (Retention: Plans, updates, and policy statements, 50 years; Complaint records and documentation, 3 years after final decision issued; Other records, 3 years).

(5) **Individual Employee Pension And Retirement Records** Records documenting the status of individual employees participating in pension, retirement, and disability plans. Records often include enrollment cards, contribution and deduction summaries, personal data records, authorizations, beneficiary information, and other related records. (Retention: 75 years after original date of hire).

(6) **Individual Employee Personnel Records** Records documenting the work history of non-volunteer individual employees with the agency. Usually maintained as case files. May include employment applications, resumes, appointments, personnel action records, grievance and complaint records, disciplinary records, training records, performance appraisals, and other records used to document the employee's work history. (Retention: Temporary and student workers - All Records, 3 years after separation; Regular employees - Disciplinary Action, Grievance, and Complaint Records, 3 years or practice stipulated by collective bargaining agreement; Regular Employees - All Other Records, 6 years after separation).

(7) **Layoff Records** Series documents procedures and computations used in laying off agency employees. May include service credit computations, service credit lists, layoff ranking lists, layoff notice letters, and related correspondence. Related records may be filed in Individual Employee Personnel Files. (Retention: 3 years).

(8) **Position Description And Classification Records** Records describing and classifying agency jobs and positions. 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. (Retention: 3 years after superseded).

(9) **Position Reclassification Records** Series documents studies and evaluations of positions to determine if reclassification is appropriate. Records may include old and new position descriptions, organizational charts, classification specifications, desk audits, classification review reports, and related correspondence. (Retention: 3 years).

(10) **Recruitment and Selection Records** Records related to the recruitment and selection process for filling open positions within the agency. Often includes job announcements, applicant lists, position advertisement records, civil service and other examination records, classification specifications, affirmative action statistical sheets, interview questions, video tapes, applicant background investigation information, position authorization forms, certifications of eligibles, employment eligibility verification forms, and related records. (Retention: Unsolicited employment applications; All other records, 3 years after position filled or recruitment canceled).

(11) **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. (Retention: 5 years).

(12) **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. May also include individual volunteer records such as agreements, applications, skills test results, and training documentation. (Retention: Volunteer program records, 5 years; Individual volunteer worker records, 2 years after separation).

Stat. Auth.: ORS Ch. 192 and 357

Stats. Implemented: ORS Ch. 192 and 357

Hist.: OSA 1-1995, f. & cert. ef. 5-25-95; OSA 3-1996, f. 4-9-96, cert. ef. 4-15-96

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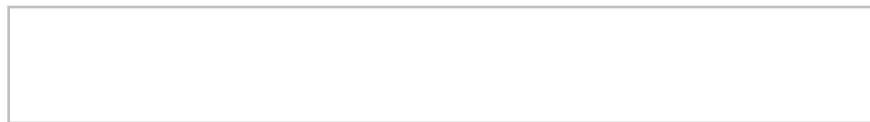
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SECRETARY OF STATE, ARCHIVES DIVISION

DIVISION 105

GENERAL SCHEDULES

166-105-0010

Airport

This General Schedule is applicable to the records of counties and special district airports. Please note the exceptions to this General Schedule listed in OAR 166-030-0027 before disposing of records.

(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. (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. (Retention: (a) Certification manuals or specifications, Permanent; (b) Other records, 2 years after expiration).

(3) **Airport Commission Meeting Records** Official records of the commission, board, or advisory council that oversees or advises the agency airport. Records include minutes, agendas, exhibits, resolutions, staff reports, indexes, tape recordings, and significant correspondence and memoranda. Subjects include zoning, easements, regulations, contracts, grants, security, construction, and others. (Retention: (a) Minutes, exhibits, resolutions, and indexes, Permanent; (b) Tape recordings of meetings, 1 year).

(4) **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. (Retention: (a) Program records described in 14 CFR 107.3, Permanent; (b) Other records, 2 years after superseded).

(5) 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. (Retention: (a) Reports documenting incidents, 2 years; (b) Other reports, 6 months).

(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. (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. (Retention: 2 years).

(8) 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. (Retention: 2 years after equipment permanently removed from service).

(9) 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. (Retention: (a) Program records described in 14 CFR 150.23 (e), Permanent; (b) Other records, 5 years after program approved).

(10) 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. (Retention: 2 years after equipment permanently removed from service).

Stat. Auth.: ORS Ch. 192 & 357

Stats. Implemented: ORS Ch. 192 & 357

Hist.: OSA 2-1995, f. & cert. ef. 5-25-95; OSA 3-1996, f. 4-9-96, cert. ef. 4-15-96

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SECRETARY OF STATE, ARCHIVES DIVISION

DIVISION 107

GENERAL SCHEDULES

166-107-0010

Building

This General Schedule is applicable to the building records of counties and special district. They 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:

- (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. (Retention: Annual reports, Permanent; Monthly reports, 5 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. (Retention: Minutes, exhibits, resolutions, and indexes, Permanent; Tape recordings of meetings, 1 year).
- (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. (Retention: 10 years).
- (4) **Building Inspection Records** Records documenting on-site visits by inspectors. Usually includes comments noted as construction progresses. (Retention: Final inspections, For the life of the structure; 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. (Retention: If permit issued, 2 years; 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. (Retention: Permits for completed structures, For the life of the structure; 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. (Retention: If permit issued, 2 years after substantial completion; If no permit issued, 180 days).

(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. (Retention: If permit issued, For the life of the structure; If no permit issued, 180 days).

(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. (Retention: If permit issued, 1 year after substantial completion; If no permit issued, 180 days).

(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. (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. (Retention: Until superseded).

(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. (Retention: 2 years after final action).

Stat. Auth.: ORS Ch. 192 and 357

Stats. Implemented: ORS Ch. 192 and 357

Hist.: OSA 2-1995, f. & cert. ef. 5-25-95; OSA 3-1996, f. 4-9-96, cert. ef. 4-15-96

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SECRETARY OF STATE, ARCHIVES DIVISION

DIVISION 109

GENERAL SCHEDULES

166-109-0010

Counsel

This General Schedule is applicable to the records of counties and special districts counsels. They 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:

- (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. (Retention: 5 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, DUII documents and tape recordings, complaints, subpoenas, motions, judgments, copies of records from other courts, and related significant material. (Retention: 3 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. (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. (Retention: 5 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. (Retention: Permanent.)
- (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. (Retention: 3 years.)

(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. (Retention: 5 years.)

Stat. Auth.: ORS Ch. 192 & 357

Stats. Implemented: ORS Ch. 192 & 357

Hist.: OSA 3-1995, f. & cert. ef. 5-25-95; OSA 3-1996, f. 4-9-96, cert. ef. 4-15-96

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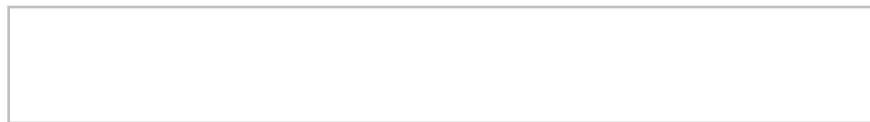
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SECRETARY OF STATE, ARCHIVES DIVISION

DIVISION 111

166-111-0005

General

This General Schedule is applicable to the records of the county District Attorney's. They 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 the General Schedule listed in OAR 166-030-0027.

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 5, f. 12-30-77, cert. ef. 1-1-78; OSA 1-1997, f. & cert. ef. 2-14-97; Renumbered from 166-040-0275

166-111-0010

District Attorney Records

(1) **Attorney General Opinions** Series documents Attorney General Opinions and attorney's letters of advice provided to the county by a legislator or other state official. The District Attorney may not request an opinion or advice directly from the Attorney General according to Oregon law. The District Attorney may request that a state official or legislator request an opinion of the Attorney General on behalf of the District Attorney. The records may include copies of requests for opinions, opinions, letters of advice, legislative bills, statutes and administrative rules, and correspondence. (Department of Justice maintains records copy of all Attorney General Opinions.) (Retention: 10 years.)

(2) **Case or Docketed Files** Records document criminal cases tried and filed by the District Attorney for the county. Records may contain 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. (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; (e) Retain violation cases 1 year; (f) Retain support enforcement cases 2 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. (Retention: 5 years.)

(4) **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, grand jury notes, and copies of statutes and administrative rules. 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. (Retention: Permanent.)

(5) **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. (Retention: (a) Retain reports not filed with the courts 20 years; (b) Retain reports filed with the court 2 years.)

(6) **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. (Retention: 2 years.)

(7) **Investigation Files** Records document criminal cases investigated, but not tried, by the District Attorney. Records may contain 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. (Retention: (a) Retain cases of murder or treason permanently; (b) Retain class A felony cases 25 years; (c) Retain class B felony cases 10 years; (d) Retain class C felony cases 5 years; (e) Retain accident and death investigations 3 years; (f) Retain misdemeanor cases 2 years; (g) Retain violation cases 1 year; (h) Retain support enforcement cases 5 years.)

(8) **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. (Retention: 5 years.)

(9) **Multi-Disciplinary Team Records** Records document the activities and management of the county Multi-Disciplinary Team (MDT). The MDT's 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. (Retention: 5 years.)

(10) **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 of court events, grand jury dockets, and cases scheduled. (Retention: Retain 25 years.)

(11) **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 and date of issuance and expiration. (Retention: Retain most current copy.)

Stat. Auth.: ORS 192 & 357

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

Hist.: OSA 5, f. 12-30-77, cert. ef. 1-1-78; OSA 1-1997, f. & cert. ef. 2-14-97; Renumbered from 166-040-0275; Administrative Reformating 5-6-97

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SECRETARY OF STATE, ARCHIVES DIVISION

DIVISION 112

GENERAL SCHEDULES

166-112-0010

Fire and Emergency Medical Services

This General Schedule is applicable to the fire and emergency medical services records of counties and special district. They 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:

- (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. (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. (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. (Retention: 2 years after permit denied, revoked or expired).
- (4) **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. (Retention: 2 years after denial,

revocation, or expiration).

(5) **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. (Retention: 10 years).

(6) **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. (Retention: 2 years after permit denied, revoked, or expired).

(7) **Fire Alarm System Records** Records documenting the agency fire department role in issuing permits, testing, and maintaining fire 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. (Retention: Permit records, 2 years after expiration; Other records, 2 years).

(8) **Fire And Ems Advisory Board Meeting Records** Official records of the boards or commissions responsible for advising the agency fire and emergency medical services departments. May include minutes, agendas, exhibits, resolutions, staff reports, indexes, tape recordings, and significant correspondence and memoranda. Subjects often include fire suppression, inspections, public education, training, equipment, and policies and procedures. (Retention: Minutes, exhibits, resolutions, and indexes, Permanent; Tape recordings of meetings, 1 year).

(9) **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. (Retention: Records documenting fires involving loss of life, 75 years; Other records, 10 years).

(10) **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. (Retention: 10 years).

(11) **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. (Retention: 2 years after last action or final payment).

(12) **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. (Retention: Permanent).

(13) **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. (Retention: Until superseded or obsolete).

(14) **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. (Retention: 2 years after life of structure).

(15) **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. (Retention: Until superseded, obsolete, or no longer needed).

(16) **Public Education Program Records, Fire And Ems** (Retention: Varies). 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. (Retention: Class enrollment and attendance records, 2 years; Other records, Retain as needed).

(17) **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. (Retention: Retain as needed).

(18) **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. (Retention: Records related to underground storage tanks, 30 years; Records related to above ground storage tanks, 5 years).

(19) **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. (Retention: 2 years after denial, revocation, or expiration).

Stat. Auth.: ORS Ch. 192 & 357

Stats. Implemented: ORS Ch. 192 & 357

Hist.: OSA 2-1995, f. & cert. ef. 5-25-95; OSA 3-1996, f. 4-9-96, cert. ef. 4-15-96

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**Oregon Administrative Rules
1998 Compilation**

SECRETARY OF STATE, ARCHIVES DIVISION

DIVISION 113

COUNTY HEALTH RECORDS

166-113-0005

General

This County Health General Schedule is applicable to the health records of counties and special districts. Please note the exceptions to this General Schedule listed in OAR 166-030-0027 before disposing of records.

Stat. Auth.: ORS Ch. 192 & 357

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

Hist.: OSA 2-1997, f. & cert. ef. 2-14-97

116-113-0010

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. (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. Access to

these records may be exempt from disclosure by ORS 179.505; ORS 192.515-530. (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. Access to these records may be exempt from disclosure by ORS 179.505; ORS 192.515-530. (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. Access to these records may be exempt from disclosure by ORS 179.505; ORS 192.550-555. (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. Access to these records may be exempt from disclosure by ORS 179.505; ORS 192.515-517; ORS 430.757-763. (Retention: (a) Interview notes: 10 years; (b) Reports: 20 years.)

Stat. Auth.: ORS Ch. 192 & 357

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

Hist.: OSA 2-1997, f. & cert. ef. 2-14-97; Administrative Reformating 5-6-97

166-113-0015

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. Access to these records may be exempt from disclosure by ORS 179.505; ORS 192.515-530; ORS 430.763. (Retention: Retain as needed.)

(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 out-patient treatment and residential services; crisis services; and coordination of regional and local in-patient 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. Access to these records may be exempt from disclosure by ORS 179.505; ORS 192.515-530. (Retention: 7 years after last service or until 21st birthday, whichever is longer.)

(3) **Protective Service Reports** Series documents investigations of clients receiving treatment or services over the age of 18 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 is filed with the Oregon State Mental Health and Developmental Disabilities Services Department. Access to these records may be exempt from disclosure by ORS 179.505; ORS

192.515-517; ORS 430.757-763. (Retention: (a) Interview notes: 10 years; (b) Reports: 20 years.)

Stat. Auth.: ORS Ch. 192 & 357

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

Hist.: OSA 4-1997, f. & cert. ef. 3-14-97; Administrative Reformating 5-6-97

166-113-0020

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. Access to these records may be exempt from disclosure by ORS 430.399(5); ORS 179.505. (Retention: 7 years after last service or until 21st birthday, 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. (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. (Retention: (a) 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. Access to these records may be exempt from disclosure by ORS 179.505; ORS 192.502(2); ORS 433.008. (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. Access to these records may be exempt from disclosure by ORS 179.505; ORS 192.502(2); ORS 433.008. (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. Access to these records may be exempt from disclosure by ORS 179.505; ORS 192.502(2); ORS 433.008. (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. (Retention: 10 years after resolution.)

(8) **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. Access to these records may be exempt from disclosure by ORS 179.505; ORS 433.008; ORS 443.045(3). (Retention: 2 years.)

(9) **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. Access to these records may be exempt from disclosure by ORS 179.505; ORS 192.502(2). (Retention: (a) Immunization records: 10 years; (b) ITARS records: 25 years from date of last service; (c) Other records: 7 years after last service or until 21st birthday, whichever is longer.)

(10) **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. Access to these records may be exempt from disclosure by ORS 179.505; ORS 192.502(2). (Retention: 10 years.)

(11) **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. (Retention: 2 years.)

(12) **Laboratory Logs** Series documents laboratory tests performed for patients. Types of laboratory tests may include hematocrits, 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. Access to these records may be exempt from disclosure by ORS 179.505; OAR 333-024-0050. (Retention: 2 years.)

(13) **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. Access to these records may be exempt from disclosure by ORS 192.502(2). (Retention: (a) If services provided: Transfer to Public Health Service Records; (b) All other cases: 2 years.)

(14) **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. Access to these records may be exempt from disclosure by ORS 192.555. (Retention: 2 years.)

(15) **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. Access to these records may be exempt from disclosure by ORS 146.780. (Retention: 25 years.)

(16) **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. Access to these records may be exempt from disclosure by ORS 179.505. (Retention: 3 years.)

(17) **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. Access to these records may be exempt from disclosure by ORS 179.505; ORS 192.502(2). (Retention: 25 years after date of last service.)

(18) **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); 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. Access to these records may be exempt from disclosure by ORS 179.505; ORS 192.502(2). (Retention: 7 years after last service or until 21st birthday, whichever is longer.)

(19) **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. Access to these records may be exempt from disclosure by ORS 179.505; ORS 192.502(2); ORS 433.008. (Retention: 7 years after last service or until 21st birthday, whichever is longer.)

(20) **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. Access to these records may be exempt from disclosure by ORS 179.505; ORS 433.008. (Retention: (a) If patient is treated transfer to Public Health Service Records; (b) If patient is not treated, 5 years.)

(21) **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. Access to these records may be exempt from disclosure by ORS 179.505; ORS 192.502(2). (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: retain 7 years after last service or until 21st birthday, whichever is longer.)

(22) **Tuberculosis Neagative 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 text results, and other related data. Access to these records may be exempt from disclosure by ORS 179.505; ORS 192.502(2). (Retention: 2 years; destroy reports when recorded in Tuberculosis Client Records (Registry).)

(23) **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. Access to these records may be exempt from disclosure by ORS 179.505; ORS 192.502(2). (Retention: 7 years after last service or until 21st birthday, whichever is longer.)

(24) **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. Access to these records may be exempt from disclosure by ORS 179.505; ORS 192.502(2). (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: Retain 7 years after last service or until 21st birthday, whichever is longer.)

Stat. Auth.: ORS Ch. 192 & 357

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

Hist.: OSA 4-1997, f. & cert. ef. 3-14-97; Administrative Reformating 5-6-97

166-113-0025

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. (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. (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. (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. (Retention: 3 years after expiration of franchise.)

(5) **Land Fill Case Files** Series documents the regulation and certification of land fills. 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. (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. (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. (Retention: 1 year.)

(8) **Public Facilities Sanitation Records** Series documents the inspection and licensing of public facilities such as swimming pools, restaurants, school and day-care 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. (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. (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. (Retention: 20 years after abandonment notification.)

(11) **Solid Waste Advisory Committee Records** Series documents the activities of the advisory committee which makes suggestions for ordinances, resolutions, and rate changes concerning solid waste matters and the direction of future operations. Records may include minutes, recommendations; draft and final reports of proposed ordinances, orders, and resolutions; and other related data. The final report is forwarded to the County Board of Commissioners. (Retention: (a) Minutes: Permanent; (b) All other records: 5 years.)

(12) **Solid Waste Franchise Fee Payment Records** Series documents the quarterly payment of solid waste franchise fees. Information contained in the records may include quarterly or monthly statements from solid waste franchises that indicate the gross sales or waste volume for the period and the amount of the fee remitted. Series may also include records of payments received. (Retention: 3 years.)

(13) **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. (Retention: 30 years.)

(14) **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. (Retention: (a) Annual Reports: 50 years; (b) Annual Plans: 20 years.)

Stat. Auth.: ORS Ch. 192 & 357

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

Hist.: OSA 4-1997, f. & cert. ef. 3-14-97; Administrative Reforming 5-6-97

166-113-0030

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. Access to birth abstracts may be exempt from disclosure by Oregon Revised Statute 432.119-120 and Oregon Administrative Rule 333-011-0096. Contact the Oregon State Health Division, Vital Statistics Registrar for clarification about accessing these records. (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. Access to birth records may be exempt from disclosure by Oregon Revised Statute 432.119-120 and Oregon Administrative Rule 333-011-0096. Contact the Oregon State Health Division, Vital Statistics Registrar for clarification about accessing these records. (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. Access to death abstracts may be exempt from disclosure by Oregon Revised Statute 432.119-120 and Oregon Administrative Rule 333-011-0096. Contact the Oregon State Health Division, Vital Statistics Registrar for clarification about accessing these records. (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. Access to death records may be exempt from disclosure by Oregon Revised Statute 432.119-120 and Oregon Administrative Rule 333-011-0096. Contact the Oregon State Health Division, Vital Statistics Registrar for clarification about accessing these records. (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. (Retention: Transfer to Oregon Health Division.)

Stat. Auth.: ORS Ch. 192 & 357

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

Hist.: OSA 4-1997, f. & cert. ef. 3-14-97; Administrative Reformating 5-6-97

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Oregon Administrative Rules 1998 Compilation

SECRETARY OF STATE, ARCHIVES DIVISION

DIVISION 116

GENERAL SCHEDULE

166-116-0010

Law Enforcement

This General Schedule is applicable to the law enforcement records of counties and special district. They 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:

(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. (Retention: Annual reports and monthly reports for years in which no annual report exists, Permanent; 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. (Retention: Alarm licensing and permit records, 2 years after expiration; Other records, 2 years).

(3) **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. (Retention: Until superseded, obsolete, or no longer needed).

(4) **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. (Retention: Until served or recalled by the court).

(5) **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. (Retention: Approved application records, 2 years after withdrawal from program; Denied application records, 2 years).

(6) **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. (Retention: Homicides, 20 years; Felonies, 10 years; Misdemeanors, 5 years).

(7) **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. (Retention: Until superseded, obsolete, or no longer needed).

(8) **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. (Retention: 3 years after action completed).

(9) **Communications Logs** Logs documenting incoming and outgoing communications including radio, telephone, computer aided dispatch, and teletype. Information may include date and time, subject, location, response, message, and other data depending on type of transmission. (Retention: 1 year).

(10) **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. (Retention: Until superseded, obsolete, or no longer needed).

(11) **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. (Retention: 5 years or until audited by NCIC or other applicable law enforcement network, whichever is first).

(12) **Crime Analysis Records** Records documenting department efforts to anticipate, prevent, or monitor possible criminal activity. May include reports, statistical summaries, 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. (Retention: Major crime analyses or studies, 10 years; Other records, Retain as needed).

(13) **Crime Prevention Community 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. Useful in developing community support for law enforcement programs. (Retention: Until superseded, obsolete, or no longer needed).

(14) **Crime Prevention 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. (Retention: Class enrollment and attendance records, 2 years; Other records, Retain as needed).

(15) **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. (Retention: 2 years).

(16) 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. (Retention: 30 days after inspections end).

(17) 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. (Retention: Homicides, 20 years; Felonies, 10 years; Misdemeanors, 5 years).

(18) 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. (Retention: 1 year).

(19) 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 OAR 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. (Retention: "Permanent Files" as defined by OAR 137-090-0080, 5 years; "Temporary Files" as defined by OAR 137-090-0080, 1 year; "Working Files" as defined by OAR 137-090-0080, 30 working days).

(20) 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. (Retention: 2 years).

(21) Emergency Telephone Calls Continuous Audio Tapes Audio tapes that record incoming emergency calls, law enforcement and emergency dispatches, radio activity, and 9-1-1 calls. Tapes are maintained on a 24 hour basis. Recordings of serious incidents may warrant longer retention for legal reasons. These may be transferred onto a separate tape and retained until legal action is resolved. (Retention: 7 months)

(22) Equipment Issued 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. (Retention: Until superseded or obsolete).

(23) 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 419.800 through 419.839. (Retention: Retain according to the directive of the court).

(24) 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. (Retention: 1 year).

(25) **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. (Retention: Homicides, 20 years; Felonies, 10 years; Misdemeanors, 5 years; Other cards, Until superseded, obsolete, or no longer needed).

(26) **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. (Retention: Unnatural death, 75 years; Sexual felonies defined in ORS 131.125, 27 years; Other felonies, 6 years; Other offenses, 3 years).

(27) **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, 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 166.420(3)(a)(B) requires that duplicate sheets be destroyed after five years. (Retention: 5 years).

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

(29) **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. (Records not included in INCIDENT CASE FILES, Retention: 2 years after disposition).

(30) **Incident Case File Indexes** Indexes to incident case files used as cross references between case numbers, names, dates, modus operandi, and other descriptive information. (Retention: Until superseded, obsolete, or no longer needed).

(31) **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, DUII 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. (Retention: Unnatural deaths, 75 years; Sexual felonies defined in ORS 131.125, 27 years; Other felonies, 6 years; Missing persons, Until cleared; Other cases, 3 years).

(32) **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. Retention: Until superseded, obsolete, or no longer needed).

(33) **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. (Retention: 1 year).

(34) **Inmate Case File Indexes** Indexes used to access inmate case files. Usually cross referenced by name, case number, and other identifiers. (Retention: Until superseded, obsolete, or no longer needed).

(35) **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. (Retention: 5 years).

(36) **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. (Retention: 6 months).

(37) **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, and related records. Information may include inmate's name, date of treatment, description of treatment, and related data. (Retention: 7 years).

(38) **Inmate Medication Records** Records documenting medications kept by the jail and dispensed to inmates. Often contains logs and related records. Information may include name of medication, date and time issued, name of inmate to whom medication was dispensed, name of individual dispensing medication, amount dispensed, amount remaining in stock, and related data. (Retention: 7 years).

(39) **Inmate Telephone And Mail Logs** 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. (Retention: 1 year).

(40) **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. (Retention: 1 year).

(41) **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. (Retention: 3 years).

(42) **Juvenile Temporary Custody Records** Records documenting children taken into temporary custody by the department as defined in ORS 419.571 (1). 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. (Retention: 3 years).

(43) **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. (Retention: 2 years after disposition).

(44) **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. (Retention: Until superseded, obsolete, or no longer needed).

(45) **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. (Retention: Until superseded, obsolete, or no longer needed).

- (46) **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. (Retention: Homicides, 20 years; Felonies, 10 years; Misdemeanors, 5 years).
- (47) **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. (Retention: 1 year).
- (48) **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. (Retention: Until superseded or obsolete).
- (49) **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. (Retention: 2 years).
- (50) **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. (Retention: Until superseded, obsolete, or no longer needed).
- (51) **Polygraph Records** Records documenting polygraph tests given to criminal suspects, prospective employees and others. Includes preexamination 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. (Retention: Unnatural deaths, 75 years; Sexual felonies defined in ORS 131.125, 27 years; Other felonies, 6 years; Other records, 3 years).
- (52) **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. (Retention: Unnatural deaths, 75 years; Sexual felonies defined in ORS 131.125, 27 years; Other felonies, 6 years; Other cases, 3 years).
- (53) **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. (Retention: Until registration is expired, superseded or obsolete).
- (54) **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. (Retention: 7 years).
- (55) **Radar Equipment Certification and Maintenance Records** Records documenting the calibration and maintenance of radar equipment that may be useful in documenting the accuracy of the readings. Often includes original factory certification of calibration. If tuning fork tests reveal an inaccuracy, the equipment is removed from service for repair and recalibration. Information related to maintenance and repair may include a description of work completed, parts used, date of service, equipment number, make, model, and related data. (Retention: 2 years after disposition of equipment).
- (56) **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. (Messages not warranting inclusion in INCIDENT CASE FILES or other record series, Retention: Retain as needed).

(57) **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. (Retention: 1 year).

(58) **Traffic 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. (Retention: 1 year).

(59) **Traffic And Other Citations** Department copies of citations issued for traffic, 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, state or city law alleged violated, conditions, name of officer issuing citation, and related data. (Retention: 1 year).

(60) **Traffic Violation Warning Records** Records documenting warnings issued for traffic violations. Often used to determine repeat offenders and for follow-up investigations. Information usually includes date, time, category, name, address, phone number, date of birth, race, sex, hair and eye color, height, weight, Social Security number, drivers license number, make and model of vehicle, location of violation, violation, signatures, and related data. (Retention: 1 year).

Stat. Auth.: ORS Ch. 192 & 357

Stats. Implemented: ORS Ch. 192 & 357

Hist.: OSA 1-1980, f. & ef. 9-2-80; OSA 3-1990, f. & cert. ef. 3-27-90; OSA 2-1995, f. & cert. ef. 5-25-95; Renumbered from 166-40-280; OSA 3-1996, f. 4-9-96, cert. ef. 4-15-96

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**Oregon Administrative Rules
1998 Compilation**

SECRETARY OF STATE, ARCHIVES DIVISION

DIVISION 117

GENERAL SCHEDULES

166-117-0010

Library

This General Schedule is applicable to the library records of counties and special districts. They 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:

- (1) **Accession Registers** 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. (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. (Retention: Until superseded or 1 year after expiration).
- (3) **Catalogs** Finding aids which provide patrons with access to library holdings by subject, title, and author. Usually includes author's name, title of book or other media, call number, bibliographic description, and related information. (Retention: Until superseded or obsolete).
- (4) **Circulation Records** Book cards documenting information pertinent to the circulation of materials such as books, magazines, record albums, audio and video tapes, and computer software. May include patron identification, date circulated and date due. (Retention: Until transaction is completed).
- (5) **Friends Of The Library Records** Agency copy of records documenting the activities of non-profit citizens groups created to promote public support for the library. Subjects often include programs, costs, acquisitions, special events, policies, procedures, citizen participation, and others. Records may include minutes, agendas, exhibits, bylaws, non-profit statements, membership lists, budget and financial statements, and related materials. (Retention: Retain as needed).
- (6) **Inter-library Loan Records** Records documenting materials borrowed and loaned by the library through an inter-library loan program in response to patron and other library requests. May include requests, notices, tracking logs, and

other records. (Retention: 6 months after materials returned to owner library).

(7) **Library Board Meeting Records** Official meeting records of the board responsible for overseeing library operations or for advising a public library regarding library operations. Usually includes minutes, agendas, indexes, exhibits, tape recordings, and related records. (Retention: Minutes, exhibits, resolutions, and indexes, Permanent; Tape recordings of meetings, 1 year).

(8) **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. (Retention: Until superseded or obsolete).

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

(10) **Monthly 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. (Retention: 2 years).

(11) **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, inter-library loan transactions, children's programs, and other subjects. (Retention: Permanent).

(12) **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. (Retention: Until materials returned, or debts reconciled or deemed uncollectable).

Stat. Auth.: ORS Ch. 192 & 357

Stats. Implemented: ORS Ch. 192 & 357

Hist.: OSA 2-1995, f. & cert. ef. 5-25-95; OSA 3-1996, f. 4-9-96, cert. ef. 4-15-96

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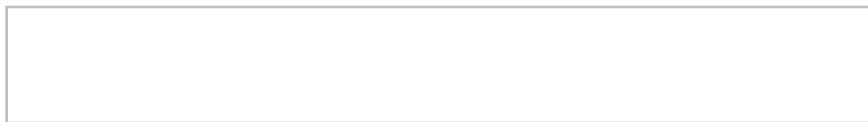
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**Oregon Administrative Rules
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SECRETARY OF STATE, ARCHIVES DIVISION

DIVISION 118

GENERAL SCHEDULES

166-118-0010

Parks and Recreation

This General Schedule is applicable to the parks and recreation records of counties and special district. They 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:

- (1) **Activity Reports, Parks And Recreation** Daily, weekly, monthly, or similar reports other than annual reports documenting the activities of parks and recreation department employees. Useful for compiling annual reports, planning and budgeting, and monitoring work progress. Often tracks type of activity, employees and/or volunteers involved, time spent on activity, work completed, and related information. (Retention: 2 years).
- (2) **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. (Retention: 3 years after application)
- (3) **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. (Retention: 2 years after credit expired or redeemed).
- (4) **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. (Retention: 2 years).
- (5) **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. (Retention: 2 years after denial, revocation, or expiration of permit).

(6) Parks And Recreation Board Meeting Records Official records of the boards, commissions, or advisory councils that oversee or advise parks and recreation as well as senior service functions of the agency. May include minutes, agendas, exhibits, resolutions, staff reports, indexes, tape recordings, and significant correspondence and memoranda. Subjects often include projects, land acquisition, grant funding, costs, maintenance, staff, and others. (Retention: Minutes, exhibits, resolutions, and indexes, Permanent; Tape recordings of meetings, 1 year).

(7) 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. (Retention: 2 years).

(8) 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. (Retention: 2 years).

(9) 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. (Retention: 2 years).

Stat. Auth.: ORS Ch. 192 & 357

Stats. Implemented: ORS Ch. 192 & 357

Hist.: OSA 2-1995, f. & cert. ef. 5-25-96; OSA 3-1996, f. 4-9-96, cert. ef. 4-15-96

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SECRETARY OF STATE, ARCHIVES DIVISION

DIVISION 119

GENERAL SCHEDULES

166-119-0010

Planning

This General Schedule is applicable to the planning records of counties and special district. They 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:

- (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. (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. (Retention: 10 years after expiration, revocation, or discontinuance of use).
- (3) **Design 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. (Retention: Minutes, exhibits, resolutions, and indexes, Permanent; Tape recordings of meetings, 1 year).
- (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. (Retention: 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.

(Retention: Permits and elevation certificates, 10 years after expiration, revocation, or discontinuance of use; Significant related records, 10 years).

(6) **Historic Structures Commission Records** Documentation of commission or board activities and recommendations on historic structures in a particular geographic area with respect to rehabilitation work, historic districts, designation of structures, grant funding, and related subjects. May contain minutes, agendas, exhibits, tape recordings, and other records. Exhibits often include staff reports and recommendations, environmental impact statements, applications for funding, budget records, maps, photographs, and related significant documents. Three dimensional exhibits such as sample boards of brick, tile, and other building materials are not public records. (Retention: Minutes, exhibits, resolutions, and indexes, Permanent; Tape recordings of meetings, 1 year).

(7) **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. (Retention: Permanent).

(8) **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. (Retention: 3 years after project closed).

(9) **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. (Retention: Permanent).

(10) **Housing Authority Commission Meeting Records** Official records of the commission or board responsible for improving housing conditions within a particular geographic area or its urban growth boundary. Housing authority may own, manage, or regulate land and buildings, as well as sell bonds and invest funds. A governing body may serve as the commission. Records often include minutes, agendas, exhibits, resolutions, staff reports, indexes, tape recordings, and significant correspondence and memoranda. (Retention: Minutes, exhibits, resolutions, and indexes, Permanent; Tape recordings of meetings, 1 year).

(11) **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 re-examination and hardship data, income verification, billing statements, maintenance requests, damage complaints, eviction notices, grievance hearing records, and significant related material. (Retention: 5 years after separation from program).

(12) **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. (Retention: 3 years after annual or final expenditure report submitted).

(13) **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, budgets, minutes, agendas, as well as related significant records. (Retention: 6 years after expiration).

(14) **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. (Retention: 3 years).

(15) **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. (Retention: Minutes, findings of fact, and exhibits, Permanent; Related significant records, 5 years; Tape recordings of meetings, 1 year).

(16) **Neighborhood 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. (Retention: Permanent).

(17) **Neighborhood Association Meeting Records** Minutes and related records of neighborhood association meetings. Usually includes agendas, minutes, tape recordings, and exhibits. Exhibits may include staff and subcommittee reports and recommendations, lists of participants, materials distributed by citizens, and related non-routine memoranda and correspondence. (Retention: Minutes, exhibits, resolutions, and indexes, Permanent; Significant related records, 5 years; Tape recordings of meetings, 1 year).

(18) **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. (Retention: If approved and agency conditions met, Permanent; If not, 10 years after expiration or revocation).

(19) **Planning Commission Meeting Records** Official meeting records of the commission responsible for comprehensive community planning and development, transportation, utility services and other subjects. Records may include minutes, agendas, indexes, tape recordings, and exhibits. Exhibits often include staff reports and recommendations, plats, maps, photographs, materials distributed by citizens, and other significant records. (Retention: Minutes, exhibits, resolutions, and indexes, Permanent; Tape recordings of meetings, 1 year).

(20) **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).

(21) **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. (Retention: If approved and agency conditions met, Permanent; If not, 10 years after expiration or revocation).

(22) **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. (Retention: 5 years after permit expiration).

(23) **Urban Renewal Agency Board Meeting Records** Official records of the board or commission responsible for overseeing an urban renewal agency. A governing body or housing authority commission may act as urban renewal agency board. Records often include minutes, agendas, exhibits, resolutions, staff reports, tape recordings, and related significant correspondence and memoranda. (Retention: Minutes, exhibits, resolutions, and indexes, Permanent; Significant related records, 5 years; Tape recordings of meetings, 1 year).

(24) **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 the a particular geographic area. Includes plans,

amendments, reports, hearings records, impact statements, feasibility studies, maps, relocation studies, and related significant records. (Retention: Permanent).

(25) **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. (Retention: 50 years).

(26) **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. (Retention: 10 years after expiration, revocation, or discontinuance of use).

(27) **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. (Retention: Applications, findings of fact, and decision documents, Permanent); Other records, 10 years after approval or denial).

Stat. Auth.: ORS Ch. 192 & 357

Stats. Implemented: ORS Ch. 192 & 357

Hist.: OSA 2-1995, f. & cert. ef. 5-25-95, OSA 3-1996, f. 4-9-96, cert. ef. 4-15-96

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SECRETARY OF STATE, ARCHIVES DIVISION

DIVISION 121

GENERAL SCHEDULES

166-121-0010

County Surveyor Records

This General Schedule is applicable to the records of County Surveyors or other county officers or county agencies charged with their responsibilities. Please note the exceptions to this General Schedule which are listed in OAR 166-030-0027 before disposing of records. The exceptions listed include the prohibition against destruction of records created in or prior to 1920 without special permission:

(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. (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. (Retention: Permanent).

(3) **County Road Records** (Retention: Permanent). 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.

(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. 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. (Retention: Permanent).

(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. (Retention: Permanent).

(6) **Reference Maps** Maps may include copies of highway, railroad, topographical, flood plain, and other maps used for reference. (Retention: Retain as needed).

(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. Records may also include post monumentation records including deposits, requests for release of funds, and interior corner monumentation documents. (Retention: Boundary and right-of-way location records, Permanent; All other records, 10 years after substantial completion of project).

Stat. Auth.: ORS Ch. 192 & 357

Stats. Implemented: ORS Ch. 192 & 357

Hist.: OSA 5-1995, f. & cert. ef. 12-21-95, OSA 1-1996, f. & cert. ef. 1-23-96

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DIVISION 123

GENERAL SCHEDULES

166-123-0010

Risk Management and Emergency Preparedness

This General Schedule is applicable to the records of counties and special districts relating to emergency preparedness, safety, and risk management. They 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:

- (1) **Alert and Notification Records** Records documenting any written emergency warnings/notifications issued from the county, the state, or the Federal government. Subjects may include landslides, earthquakes, windstorms, floods, fires, and others. (Retention: 2 years).
- (2) **Emergency Exercise Records** Records documenting emergency training exercises performed on a regular basis by the emergency services agency. 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. (Retention: If federal funding received, 3 years after annual or final expenditure report submitted; If no federal funding received, 2 years).
- (3) **Emergency 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. (Retention: Permanent).
- (4) **Emergency Management Planning, Staffing, and Financial Reports** Reports documenting the emergency management work plan and expense reports. These are created on a quarterly basis as required by the Federal Emergency Management Agency (FEMA) by agencies that participate in federal funding program administered by the state Office of Emergency Management. 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. (Retention: If federal funding received, 3 years after annual or final expenditure report submitted; If no federal funding received, 2 years).

(5) **Emergency Management Board Meeting Records** Official records of the boards, commissions, or advisory councils that oversee or advise emergency management functions. May include minutes, agendas, exhibits, resolutions, staff reports, indexes, tape recordings, and significant correspondence and memoranda. Subjects often include training, emergency assistance requests, systems development, policies and procedures, technical advances, and others. (Retention: Minutes, exhibits, resolutions, and indexes, Permanent; Significant related records, 5 years; Tape recordings of meetings, 1 year).

(6) **Emergency Operations and Management Plans** Records documenting the development, implementation, and updating of emergency operations and management plans. Records often include adopted plans, notes, outlines, drafts, correspondence, and related documents. (Retention: Adopted plans, 20 years; Other records - If federal funding received, 3 years after annual or final expenditure report submitted; Other records - If no federal funding received, 2 years).

(7) **Hazard Analysis Records** Records documenting potential natural and man-made 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. (Retention: 30 years).

(8) **Incident Reports** Series documents incidents which result in an investigation of fraud. Information includes correspondence documenting incident, investigation report, and resolution/final determination. (Retention: 5 years).

(9) **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. (Retention: 5 years).

(10) **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. (Retention: 5 years).

(11) **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. (Retention: 10 years).

(12) **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. (Retention: Class enrollment and attendance records, 2 years; Other records, Retain as needed).

(13) **Resource Lists** 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. Retention: Until superseded or obsolete. (Retention: Until superseded or obsolete).

(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 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. (Retention: 4 years).

(15) **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, and boiler inspections performed by state and local agencies as well as citations received by the agency. Also includes follow-up actions and correspondence. (Retention: 10 years).

(16) **Safety Plans** Series documents an agency's plan to promote a safe work environment for its employees. (Retention: Until superseded).

(17) **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. (Retention: 6 years after claim closure).

(18) **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. (Retention: 1 year).

(19) **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. (Retention: 6 years).

(20) **Workplace Safety Committee Records** Series documents the actions of workplace safety committees. Records may include minutes, agendas, exhibits, reports, and related correspondence. (Retention: Minutes, 10 years; Other records, 5 years).

Stat. Auth.: ORS Ch. 192 & 357

Stats. Implemented: ORS Ch. 192 & 357

Hist.: OSA 3-1995, f. & cert. ef. 5-25-95, OSA 3-1996, f. 4-9-96, cert. ef. 4-15-96

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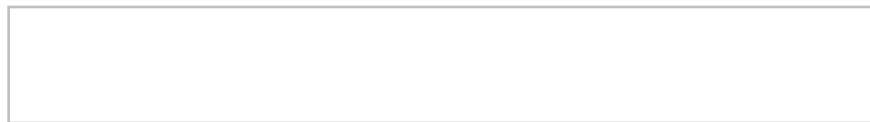
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SECRETARY OF STATE, ARCHIVES DIVISION

DIVISION 125

GENERAL SCHEDULES

166-125-0010

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. (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. (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. (Retention: (a) Minutes, agendas, constitution and by-laws, policy records, approved budgets, and organization charts: permanent; (b) Audio recordings: 1 year after transcribed; (c) All other records: 5 years.)
- (4) **Committee Records** Series documents the activities, decisions, and reports of staff committees which oversee or advise programs or functions of the museum and historical society. Committees 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. (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. (Retention: (a) Fee schedules and work orders: 3 years; (b) Contracts and Agreements: 6 years after expiration; (c) 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. (Retention: (a) Endowment records: 10 years after funds disbursed and account audited; (b) All other records: Retain 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. (Retention: 5 years.)

(8) **Educational Program Records** Series provides a record of administration of the museum and historical society's education and public outreach programs. The education program may include tours, lectures, workshops, electronic media, and other adult and children's events and activities. Records may include publicity and promotion records, reports, orientation and training class records such as teaching packets, brochures, flyers, photographs, audio tapes, videotapes, class schedules, attendance rosters, and correspondence. Records may also include agreements and contracts. (Retention: (a) Training class records: 5 years; (b) Contracts and agreements: 6 years after expiration; (c) All other records: permanent.)

(9) **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, photographs and slides, exhibit scheduling records, brochures, research records, price lists, and correspondence. (Retention: (a) Brochures, exhibit catalogs, installation photographs and slides, and inventory lists: permanent; (b) Contracts and agreements: 6 years after expiration; (c) All other records: 10 years after exhibit ends.)

(10) **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. (Retention: (a) Damage loss and claim records: 5 years after claim paid and resolved; (b) All other records: 5 years after superseded or expired.)

(11) **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. (Retention: (a) Individual member records: 5 years after membership ends; (b) Address changes: until entered and verified; (c) All other records: 5 years.)

(12) **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. (Retention: (a) Catalog worksheets: until entered in catalog records and verified; (b) Inventory and location records: until superseded; (c) Temporary custody receipts: until accessioned, or disposition of object; (d) All other records: permanent.)

(13) **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. (Retention: 1 year.)

(14) **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. (Retention: (a) Policies, procedures and facility reports: 2 years after superseded; (b) All other records: 5 years after object returned or insurance claim paid.)

(15) **Volunteer Records** Series documents the administration of the museum and historical society's volunteer and intern programs. Records may include recruitment and selection records, volunteer personnel and intern personnel information forms, intern agreements, volunteer and intern time records, emergency notification forms, publicity records, insurance documentation, and correspondence. (Retention: (a) Time records: 3 years; (b) Contracts and agreements: 6 years after expiration; (c) All other records: 3 years after volunteer leaves program.)

Stat. Auth.: ORS Ch. 192 & 357

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

Hist.: OSA 11-1997, f. & cert. ef. 11-3-97

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SECRETARY OF STATE, ARCHIVES DIVISION

DIVISION 126

GENERAL SCHEDULES

166-126-0010

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. (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.) (Retention: 20 years, separately or in Veteran's Case Files.)

(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. (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. (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 214's; 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. (Retention: (a) DD 214's: 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 Ch. 192 & 357

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

Hist.: OSA 11-1997, f. & cert. ef. 11-3-97

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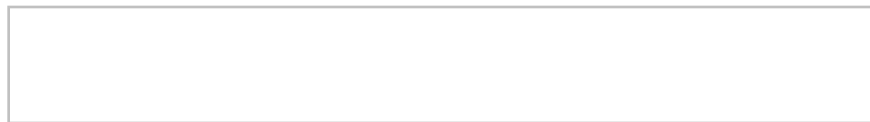
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SECRETARY OF STATE, ARCHIVES DIVISION

DIVISION 300

166-300-0010

State Agency General Records Retention Schedules

The general schedules found in the 300 series of divisions of this chapter are applicable to the records of state agencies.

Stat. Auth.: ORS Ch. 357.895

Stats. Implemented: ORS Ch. 357.895

Hist.: OSA 1-1995, f. & cert. ef. 5-25-95ß

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SECRETARY OF STATE, ARCHIVES DIVISION

DIVISION 303

GENERAL SCHEDULES

166-303-0010

Administrative Records

This General Schedule is applicable to the administrative records of state agencies. They 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:

(1) **Administrative Rule Advisory Committee Records** Series documents the activities of agency-appointed advisory committees to help develop administrative rules for an agency. Records may include membership lists, minutes, agendas, correspondence, fiscal impact statements, work notes, draft rules, member comments on drafts, and final committee version of rules. (Retention: 6 years after repeal of rule).

(2) **Administrative Rule Preparation Records** Series documents the formulation and adoption of an agency's administrative rules. Records may include an agency's adopted administrative rules, notices of proposed amendment to rule, correspondence, certificate and order for filing administrative rule with the Secretary of State, notices of adoption of rule, public hearing notices, statements of need, bulletins, and work notes and drafts. (Secretary of State maintains statewide record copy.) (Retention: 6 years after repeal of rule).

(3) **Agency Planning Records** Series documents agency planning efforts. Records include strategic plans, mission statements, preliminary drafts, work notes, and related correspondence. (Retention: 20 years).

(4) **Attorney General Opinions** Series documents Attorney General Opinions and attorney's letters of advice. The records may include requests for opinions, opinions, letters of advice, copies of legislative bills, statutes and administrative rules, and correspondence. (Department of Justice maintains statewide record copy.) (Retention: 20 years).

(5) **Conference Records** Series provide a record of conferences, seminars and training attended or hosted by agency personnel. Records may include agendas, lodging records, reports, speeches, seminar descriptions, evaluations, registration material, workshop handouts, and correspondence. (Retention: 5 years).

(6) **Contracts and Agreements** Series documents the negotiation, execution, completion, and termination of legal agreements between an agency and other parties. Series does not include contracts or agreements made for personal

services or leases. Records include a copy of the official contract or agreement, amendments, exhibits, and addenda. (Retention: Contracts or Agreements documenting building construction, alterations, or repair, 10 years after expiration; Other Contracts 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.**

(7) **Correspondence, Administrative** Series documents communications received or sent which contain significant information about an agency's programs. Records include letters sent and received, memoranda, notes, enclosures, and attachments. (Retention: 5 years).

(8) **Correspondence, Ephemeral** Series documents communications received or sent which do not contain significant information about an agency's programs (Correspondence, Administrative), fiscal status (Correspondence, Fiscal), or routine agency operations (Correspondence, General). Records include, but are not limited to, advertising circulars, drafts and worksheets, desk notes, memoranda, and other records of a preliminary or informational nature. (Retention: until read).

(9) **Correspondence, General** Series documents communications received or sent which do not contain significant information about an agency's programs. Records include letters sent and received, memoranda, notes, transmittals, acknowledgments, community affair notices, charity fund drive records, routine requests for information or publications, enclosures, and attachments. (Retention: 1 year).

(10) **Leases** Series documents agreements made by an agency for the transfer of the right to possession and use (but not sale) of goods or property for a specified term. Series includes copies of lease agreements and amendments or addenda. Leases are typically for office space, equipment, real estate, or facilities. (Retention: 4 years after expiration).

(11) **Legislative Development Advisory Committee Records** Series documents the activities of agency-appointed advisory committees to help develop legislation for an agency. Records include membership lists, minutes, agendas, correspondence, fiscal impact statements, work notes, draft legislation, member comments on drafts, and final committee version of legislation. (Retention: 6 years).

(12) **Legislative Tracking Records** Series used to monitor legislation which may have an impact on an agency's programs or policies. Records include concept statements, proposals, bill logs, fiscal/ organizational impact analysis papers, copies of bills, testimony summaries, committee reports, agendas, and correspondence. (Retention: 6 years).

(13) **Mailing Lists** Series is used to facilitate billing, community outreach, and other agency functions. (Retention: Until superseded).

(14) **Organization Charts** Series shows lines of administrative responsibility within an agency. Records may include drafts and final charts, statements, studies, and related records. (Retention: 4 years after superseded).

(15) **Parking Records** Series documents parking provided for members of an agency's staff or the public. Records include parking permits and applications, special permits, and permit receipts. (Retention: 2 years).

(16) **Personal Service Contracts** Series documents contractual agreements made by an agency with individuals or firms for services rendered. Records include contracts (terms and provisions), addenda, exhibits, justification statements, input forms (Department of Administrative Services), authorized signature sheets, contractor selection statements, proposals, expense claim records, and correspondence. (Retention: 6 years after expiration).

(17) **Policy and Procedure Manuals** Series used to provide instructions, rules, and guidelines for current agency policies and office procedures. (Retention: 6 years after superseded).

(18) **Policy Statements and Directives** Series documents the development of an agency's policies and procedures. Records may include authorizing bulletins and advisories, mission and goal statements, and final policy statements and directives. (Retention: 6 years after superseded).

(19) **Postal Records** Series documents transactions with the U.S. Postal Service and private carriers. Records include postage meter records, receipts for express deliveries, registered and certified mail, insured mail, special delivery receipts and forms, loss reports, and correspondence. (Retention: 4 years).

(20) **Press Releases** Series documents agency information officially released to the media for dissemination to the public. Records may include press or news releases and public service announcements. (Retention: 10 years).

(21) **Professional Membership Records** Series documents institutional or agency-paid individual memberships and activities in professional organizations. (Retention: 6 years).

(22) **Scheduling Records** Series documents scheduling and reservations related to participation in and use of various agency activities, events, classes, and meeting rooms. Records may include schedules, logs, lists, requests, and related records. (Retention: 1 year, destroy. (Retention: 1 year).

(23) **Security Records** Series documents security provided for agency buildings and grounds. Records include security logs, sign-in sheets, security reports, incident reports, and related records. (Retention: 5 years).

(24) **Signature Authorizations** Series certifies that designated agency employees are authorized to sign fiscal and contractual documents. (Retention: 6 years after authorization expired).

(25) **Staff Meeting Records** Series documents the activities of staff meetings that are not subject to Oregon's Public Meetings Law (ORS 192.610 to 192.690). Records may include minutes, notes, reports, and memoranda. (Retention: 2 years).

Stat. Auth.: ORS Ch. 192 & 357

Stats. Implemented: ORS Ch. 192 & 357

Hist.: OSA 1-1995, f. & cert. ef. 5-25-95; OSA 3-1996, f. 4-9-96, cert. ef. 4-15-96

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SECRETARY OF STATE, ARCHIVES DIVISION

DIVISION 304

GENERAL SCHEDULES

166-304-0010

Facilities Records

This General Schedule is applicable to the facilities records of State Agencies. They 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:

- (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 as-builts, remodeling, major repair, and engineering blueprints, chemical identification data, and safety materials such as copies of Material Safety Data Sheets (MSDS). (Retention: Life of structure).
- (2) **Damaged/Stolen Property Records** Used to prepare reports sent to Department of Administrative Services Risk Management Division 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. (Retention: 4 years).
- (3) **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"; this section.)
- (4) **Equipment/Property Disposition Records** (Retention: 4 years). Series documents the location, use, and transfer of agency-owned property and equipment. Records may include expendable property inventory listings, property disposition requests and notices, equipment transfer memoranda or forms, warranties, and correspondence. (Retention: Until equipment disposed of).
- (5) **Fixed Asset Inventory Reports** Series documents the acquisition, maintenance, and disposition of non-expendable property purchased with the agency's capital outlay funds. (Retention: 4 years).
- (6) **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. (See also SAFETY

section.) (Retention: Until superseded).

(7) **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. (Retention: Until superseded).

(8) **Vehicle Accident Records** Series documents accidents involving state-owned vehicles. Records may include state claim form, photographs, accident reports, repair estimates, and memoranda. (Department of Administrative Services Risk Management Division maintains the statewide record copy of the Claim Form.) (Retention: 5 years).

(9) **Vehicle Maintenance Records** Series documents agency's fleet maintenance. Records may include maintenance and repair logs, maintenance requests and work orders, gas slips, repair notices and authorizations, and related correspondence. (Retention: 2 years after vehicle disposed of).

(10) **Work Orders** Series documents requests and authorizations for services and/or repairs. Records may include property and equipment repair requests and authorizations, copy center work orders, printing orders, telephone service orders and correspondence. (Retention: 4 years).

Stat. Auth.: ORS Ch. 192 & 357

Stats. Implemented: ORS Ch. 192 & 357

Hist.: OSA 2-1995, f. & cert. ef. 5-25-95; OSA 3-1996, f. 4-9-96, cert. ef. 4-15-96

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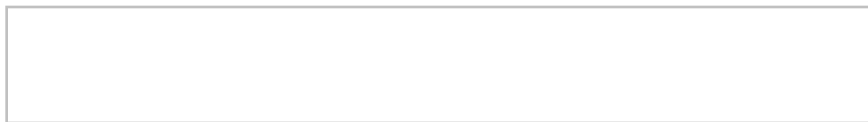
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SECRETARY OF STATE, ARCHIVES DIVISION

DIVISION 305

GENERAL SCHEDULES

166-305-0010

Financial Records

This General Schedule is applicable to the financial records of State Agencies. They 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:

- (1) **Account Reconciliation Records** Series documents the reconciliation of funds and accounts such as cash accounts, fixed asset to capital expenditures, or federal revenue to federal expenditures. Records may include printouts, worksheets, reports, schedules, and other supporting documentation. (Retention: 4 years).
- (2) **Accounting System Input Documents and Listings** Series documents transactions or changes entered into the accounting system and is used to control accuracy of data entry and to verify data input and batch control. The records include input documents, batch control reports, hand-posted spread sheets, and memoranda. (Retention: 4 years).
- (3) **Accounts Payable Reports** Series documents current outstanding liabilities and provides a record of payments of bills by the agency and may serve as a subsidiary ledger. (Retention: Fiscal year-end accounts payable register by fund and document, 4 years; Other reports, 2 years).
- (4) **Accounts Receivable Reports** Series documents billings and collections and provides a record of money owed to the agency. Serves as a subsidiary ledger of original entry/input, recording amounts received from debtors for goods and/or services. Aging reports are used to monitor accounts which are outstanding and overdue. (Retention: Monthly subsidiary by billed agency report, 4 years; Other reports, Until superseded).
- (5) **Annual Financial Reports** Series documents an 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 Audits Division and for input into the Statewide Financial Report 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. (Department of Administrative Services maintains state-wide record copy.) (Retention: 10 years).

(6) **Audit Reports** Series documents the examination of an 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. (Secretary of State maintains the state-wide record copy of their audits.) (Retention: Secretary of State audits, 20 years; Internal audits, 5 years; Grant fund audits, 5 years).

(7) **Bank Statements** Series documents current status and transaction activity of agency funds held at bank. Records may include validated deposit slips and/or paid check copies. (Retention: 4 years).

(8) **Budget Allotment Reports** Series implements containment within quarterly budget authorizations using expenditure, encumbrance, and budget data. Used to develop and monitor apportioned fiscal distributions. (Retention: 2 years).

(9) **Budget Preparation Records** Series used 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. May also include Monthly Trial Balance summaries, Expenditure Projection Details Reports, Revenue Projection Detail Reports, Monthly Encumbrance Registers, and Voucher Registers. (Retention: Present and previous biennium).

(10) **Cash Receipt Records** Series documents tabulated and keyed-in transactions for cash received by an agency. Records may include cash register tapes or equivalent, copies of receipts, and batch sheets. (Retention: 6 years). (See also "Receipts" and "Receipt Registers")

(11) **Check Registers** Series provides an original entry listing which logs checks issued by an agency. (Retention: 6 years).

(12) **Checks** Series documents redeemed checks written on agency accounts. Includes redeemed, void and canceled checks. May also include supporting documentation. (Retention: 6 years).

(13) **Correspondence, Fiscal** Series documents significant communication between an agency and other government agencies, vendors, and the public pertaining to the agency's fiscal policy, obligations and revenue. Records include letters sent and received by an agency's administrative and/or business office staff. (Retention: 4 years).

(14) **Cost Center, Limitation/Cash Account and Fund Split Tables** Series provides a record of the organization of an agency's accounting information. It also relates the accounting system to an agency's organizational structure, budgeting system and State-wide Financial Reporting System. It documents revenue codes, cost centers, cross-references between accounts. The records include Cost Center Tables, Limitation/Cash Account Tables, and Fund Split Tables. (Retention: 4 years).

(15) **Debit/Credit Advices** Series used to receipt and/or verify special deposits or withdrawals and to adjust dollar amounts in funds because of recording errors or fund transfers between accounts. (Retention: 4 years).

(16) **Deposit Slips** Series documents cash deposited in banks and is used to reconcile agency and bank accounts. (Retention: 6 years).

(17) **Emergency Board Request Records** Series documents an agency's requests to the Legislative Emergency Board for additional funds or authority to spend funds between legislative sessions. Records may include 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: Present and previous biennium).

(18) **Encumbrance Registers** Series provides a listing of outstanding encumbrances (financial obligations), purchase commitments, and vouchers written to liquidate or reduce encumbrances. (Retention: Fiscal year-end register by fund

within cost center, 4 years; Other reports, Until superseded).

(19) **Expenditure Projection Reports** Series summarizes and forecasts expenditure, encumbrance, and budgetary data, and is used to monitor and control expenditures in accordance with Legislatively Approved Budgets. (Retention: Monthly reports by cost center within fund, 4 years; Other reports, 2 years).

(20) **General Ledger Transaction Reports** Series provides a record of all fiscal transactions of an agency each month. Data is used to prepare an agency's financial statements. (Department of Administrative Services maintains state-wide EAS and SFMS record copy) (Retention: 4 years).

(21) **Grant Records** Series documents application, expenditure data, and status of federal grants in which an agency is either the grantee or the disbursing agent. The series may contain the following records: grant applications, project narratives, proposed budgets, notices of grant awards, project reviews, fund requests, progress reports, capital outlay expenditure reports, adjustment notices, letters of credit, contracts, financial reports, performance reports, federal evaluations, allocation preparation reports, grant status summaries, audit reports, reimbursement requests, correspondence, and quarterly, annual and final expenditure reports. May also include fixed-asset purchase, inventory, and disposal records. (Retention: Grant records, 5 years after final or annual expenditure report accepted; Unsuccessful Grant Applications, 3 years after rejection or withdrawal; Fixed asset records, 4 years after disposition of assets).

(22) **Invoice Registers** Series provides a listing of who was billed by the agency for services rendered and provides a detailed breakdown of individual invoice billings. (Retention: 6 years).

(23) **Invoices** Series documents goods and services billed by an agency. Information may include invoice number, date, transaction description, identification of parties involved, prices, and terms of sale. (Retention: 6 years).

(24) **Journal Entry Registers** Series used as an account record of original entry/input and provides a record of debit and credit journal transactions. (Retention: 4 years).

(25) **Journal Vouchers** Series documents authorized movement of monies between various cost centers and statutory funds. Series serves as notification to Control Accounting to make journal entries. (Retention: Records documenting transfers between statutory funds, 75 years, Other records, 6 years).

(26) **Legislatively Adopted Budgets** Series provides a comprehensive financial plan for an agency's biennial operating budget which has been 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. (Department of Administrative Services maintains state-wide record copy) (Retention: 20 years).

(27) **Limitation and Cash Account Transfer Records** Series documents the transfer of funds between accounts, funds, and suspense accounts. Records may include Limitation/Cash Account Cross Reference Tables and transfer requests. (Retention: 4 years).

(28) **Petty Cash Fund Records** Series used to document petty cash activity for an agency. Records include requests and authorizations to establish petty cash funds, ledgers, statements, requests for disbursements, copies of receipts and invoices. (Retention: 4 years).

(29) **Project Accounting Records** Series provides a record of detailed and/or summarized transactions for projects and constitutes a subsidiary record for projects. The records include detail transaction reports, revenue and expenditure summary reports. (Retention: Detail by object or account, and summary expenditure and revenue reports, 4 years; Other records, 2 years).

(30) **Receipt Registers** Series provides a detailed list of processed cash receipt transactions and is used to verify receipts, estimate revenue, and reconcile accounts. (Retention: Monthly register by number within fund, 4 years; Other reports, 2 years).

- (31) **Receipts** Series documents acknowledgement of payment and/or delivery. (Retention: 6 years).
- (32) **Revenue Projection Reports** Series provides a summary record of revenue received and estimated revenue information and is used to evaluate forecasted revenue earned in relation to budget estimates for the period. (Retention: Detail by cost center within fund reports, 4 years; Other reports, 2 years).
- (33) **Revenue Registers** Series provides a transaction detail listing of current revenue earned and supplements the Revenue Projection Report and also provides management with a listing of revenue by customer. (Retention: 4 years).
- (34) **Travel Expense Records** Series documents reimbursement claims made by employees for travel and related expenses. May include travel expense detail sheets, supporting documentation, and correspondence. (Retention: 4 years).
- (35) **Trial Balance Reports** Series provides a summary of General Ledger accounts and documents an agency's current financial position and is used to prepare the agency's financial statements. Reports may include summary by fund within object (weekly and monthly), summary by type of fund, summary by object within fund, and detail by object within fund. (Retention: Detail by object within fund report, 4 years; Other reports, 2 years).
- (36) **Voucher Registers** This series is a book of original entry and provides a listing of vouchered disbursement transactions. It is used to control the use of vouchers and to reconcile an agency's cash account. (Retention: Monthly reports by number within fund register, 4 years; Other reports, 2 years).
- (37) **Vouchers** Series provides source documentation of individually authorized expenditure transactions. This group of records is the documentation and backup for all payments to vendors. Also serves as notification to Control Accounting to make journal entries. Voucher files may contain invoices, receipts, travel expense detail sheets, purchase requests, purchase orders, canceled checks, other supporting documents, and correspondence. (Retention: 6 years).
- (38) **Warrant Cancellation Request Records** Series used to request cancellation of warrants issued on vouchers, and to request the issue of duplicates. Records include request memoranda, photocopies of checks, and memoranda from the Department of Administrative Services confirming reissuance. (Retention: 6 years).
- (39) **Warrants** Series used to guarantee and authorize claim payment. (Retention: 6 years).
- (40) **Competitive Bid Records** Series documents the evaluation and award of bids to vendors and/or agencies and provides evidence of accepted and rejected bids. Records may include 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: 6 years after bid awarded or canceled).
- (41) **Purchasing Records** Series documents the purchase of goods and services by an agency. Records may include purchase orders and requests, purchase authorizations, requisitions, contract release orders, price agreements, material/cost specifications, copy center/printing orders, telephone service orders, and correspondence. (Retention: 6 years).
- (42) **Vendor History Reports** Series provides vendor data which is used to select vendors, and to track voucher and purchase order status. (Retention: Annual report, 4 years; Other reports, 2 years).

Stat. Auth.: ORS Ch. 192 & 357

Stats. Implemented: ORS Ch. 192 & 357

Hist.: OSA 3-1995, f. & cert. ef. 5-25-95, OSA 3-1996, f. 4-9-96, cert. ef. 4-15-96

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SECRETARY OF STATE, ARCHIVES DIVISION

DIVISION 306

GENERAL SCHEDULES

166-306-0010

Information Management Records

This General Schedule is applicable to the information management records of State Agencies. They 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:

(1) **Computer System Maintenance Records** Series documents the maintenance of an agency'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: Records related to system or component repair or service, For life of system or component; Records related to regular or vital records backups, As needed).

(2) **Computer System Program Documentation** Series documents the addition, modification, or removal of software from an agency computer system. Records usually fall into six categories.

- (a) Records that document operating systems;
- (b) Records that document the in-house creation and modification of application programs;
- (c) Records that document the structure and form of datasets;
- (d) Records that document the use of commercial software packages;
- (e) Records that document the structure of the system; and
- (f) 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. (See also "Information System Planning and Development Records," "Software Management Records," and "Computer System Maintenance Records"; this section.) (Retention: For the life of the system).

(3) **Filing System Records** Series documents the establishment, maintenance, alteration, or abolition of agency and/or program filing systems. Records include master file lists, organizational charts, program descriptions, and (Retention: 10 years after superseded or abolished).

(4) **Forms Development Records** Series used to develop new or revised forms for an agency and to provide a history of previous forms. Records may include sample forms, drafts, revisions, form logs/listings, proposals, authorizations and illustrations. (Retention: Until Superseded).

(5) **Information Service Subscription Records** (Series documents agency subscriptions to information services. Records may include subscriptions, invoices, and correspondence. Retention: 4 years).

(6) **Information System Planning and Development Records** Series documents 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 Systems Division (DAS-ISD) information technology plans, DAS-ISD feasibility studies, DAS-ISD cost-benefit analyses, agency studies and surveys, system specifications and revisions, component proposals, technical literature, vendor literature and proposals, and correspondence. (Retention: Implemented systems, For life of system; Unimplemented systems, 5 years).

(7) **Microfilm Quality Control Records** Series documents 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 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).

(8) **Public Records Disclosure Request Records** Series documents requests for disclosure of public records and provides a record of an agency's responses. The records may include 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: 5 years).

(9) **Records Management Records** Series documents the authorized retention, scheduling, inventory, and disposition of an agency's public records. Records include Archives Division retention schedules, inventory worksheets, schedule authorizations, procedure guidelines, transmittals, destruction authorizations, and correspondence. (Retention: 5 years after superseded).

(10) **Software Management Records** Series documents the use of software in agency information systems. Series is used 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 include software purchase records, software inventories, software licenses, site licenses, and correspondence. (Retention: Until software disposed of or upgraded).

(11) **Telecommunications System Management Records** Series documents the creation, modification, or disposition of agency telecommunications systems. Records may include equipment records, Federal Communications Commission records, repair order forms, system planning records, telecommunications maintenance contracts, telecommunications service orders, and correspondence. (Retention: Until software disposed of or upgraded).

Stat. Auth.: ORS Ch. 192 & 357

Stats. Implemented: ORS Ch. 192 & 357

Hist.: OSA 2-1995, f. & cert. ef. 5-25-95; OSA 3-1996, f. 4-9-96, cert. ef. 4-15-96

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SECRETARY OF STATE, ARCHIVES DIVISION

DIVISION 307

GENERAL SCHEDULES

166-307-0010

Payroll Records

This General Schedule is applicable to the payroll records of State Agencies. They 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:

- (1) **Deduction Authorization Records** Series documents employee application and authorization for voluntary payroll deductions, direct bank deposits, and related actions. Records may include insurance applications, enrollment cards, deduction authorizations, approval notices and deduction terminations. (Retention: 2 years after superseded or terminated, or employee separation).
- (2) **Deduction Registers** Series documents deductions from agency employee gross pay. Deductions include federal income and social security taxes, state tax, workers' compensation, union dues, insurance, deferred compensation, credit union, parking permit, pre-written checks, garnishments, levies, charitable contributions, and others. (Retention: Registers documenting state and federal taxes, 5 years; Other registers, 4 years).
- (3) **Employee Time Records** Series documents hours worked and leave hours by agency employees. (Retention: 4 years).
- (4) **Federal and State Tax Records** Series documents 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), and related federal and state completed forms. (Retention: 5 years).
- (5) **Garnishment Records** Series documents requests and court orders to withhold wages from employee earnings for garnishments, tax levies, support payments, or other reasons. Usually includes original writs of garnishment, recapitulations of amounts withheld, and related records. (Retention: 4 years after resolution).
- (6) **Oregon State Payroll System (OSPS) Reports** Series, generated by the Department of Administrative Services Joint Payroll System, is used to keep an agency updated on employee earnings, deductions and leave accrual. Reports may include Time Sheet Audit and Control Reports, Time Sheet Exception Reports, Payroll Register Detail and

Summary Reports, and Deduction Register Detail and Summary Reports. Other reports include FICA Magnetic Tape Reconcile Detail, PERS Current Employee Contribution, Deferred Compensation by Plan, Year-to-Date Corrections, and ACH Direct Deposit Register. (The Oregon State Payroll System has the statewide record copy for the Leave Accrual Detail Transaction Register (1987 - present), the Payroll Register Detail Report (1951 - present), and the Payroll Year-to-Date Register (1976 - present)). (Retention: Leave Accrual Detail Transaction Register, 10 years; Monthly Payroll Register, 10 years; Other reports, 4 years).

(7) **Payroll Administrative Reports (Non-OSPS)** Series may consist of reports, statistical studies, and other records created by an agency and used for budget preparation, projections, workload and personnel management, research, and general reference. (Retention: 4 years).

(8) **Unemployment Compensation Claim Records** Series documents claims submitted by former agency employees for unemployment compensation and usually includes claims, notices, reports, and related records. May also include records generated by claim determination appeals. (Retention: 4 years).

(9) **Unemployment Reports** Series documents employee earnings on a quarterly basis. Used to determine costs and charges in the event of an unemployment compensation claim. (Retention: 4 years).

(10) **Wage And Tax Statements** Series documents individual employee earnings and withholdings for state and federal income taxes and Federal Insurance Contributions Act (FICA). Also known as federal tax form W-2. (Retention: 5 years).

(11) **Withholding Allowance Certificates** (W-4's) Series documents the income tax exemption status of individual employees. (Retention: 5 years after superseded or employee separates).

Stat. Auth.: ORS Ch. 192 & 357

Stats. Implemented: ORS Ch. 192 & 357

Hist.: OSA 1-1995, f. & cert. ef. 5-25-95; OSA 3-1996, f. 4-9-96, cert. ef. 4-15-96

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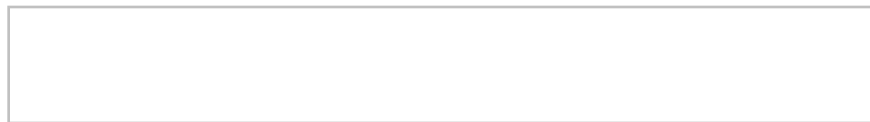
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SECRETARY OF STATE, ARCHIVES DIVISION

DIVISION 308

GENERAL SCHEDULES

166-308-0010

Personnel Records

This General Schedule is applicable to the personnel records of State Agencies. They 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:

- (1) **Affirmative Action Records** Series documents agency compliance with the statutes and regulations of the U.S. Equal Employment Opportunity Commission dealing with affirmative action. May include plans, updates, policy statements, reports, and supporting information. (Retention: Final Plans, if filed with Governor's Affirmative Action Office, 3 years; Final Plans, if not filed with Governor's Affirmative Action Office, 15 years; Other records, 3 years).
- (2) **Collective Bargaining Records** Series documents collective bargaining between an agency and a bargaining unit. Records may include union contract 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. (Retention: Contracts, 50 years; Other Records, 6 years after contract expiration).
- (3) **Comparable Worth Study Records** Series documents the study, analysis and resolution of pay equity, alleged job discrimination, and related issues involving an agency and its employees. Records may include job content questionnaire summaries, position allocation reports, personnel reclassification studies, job category listings, study outlines, graphs, tables, and significant related records. (Retention: 15 years).
- (4) **Equal Employment Opportunity Commission Compliance Records** Series documents agency compliance with U.S. Equal Employment Opportunity Commission regulations. Records may include EE0-4 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 meetings records, related correspondence, and other records described in **29 CFR 1613.222**. (Retention: Plans, updates, and policy statements, 50 years; Complaint records and documentation, 3 years after final decision issued; Other records, 3 years).
- (5) **Human Resources Management Division Statistical Reports** Series consists of regular statistical reports transmitted to the agency by the Department of Administrative Services Human Resources Management Division.

(Retention: 4 years).

(6) **Individual Employee Personnel Records** Series documents employees' work history. Records may include 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 and complaint records, and correspondence. (Department of Administrative Services Human Resources Management Division maintains the statewide record copy of the Employee History File.). (Retention: Employment applications (most recent and first successful), Personnel Actions (other than salary changes), Oaths of Office, Home Address/ Telephone Disclosures and Emergency Notification Forms (most recent copy), 10 years after separation; Grievance, complaint, and disciplinary records, 3 years or practice stipulated by collective bargaining agreement); Other records, 3 years).

(7) **Layoff Records** Series documents procedures and computations used in laying off agency employees. May include service credit computations, service credit lists, layoff ranking lists, layoff notice letters, employee layoff election forms, and correspondence. Related records may be filed in Individual Employee Personnel Files. (Retention: 3 years).

(8) **Position Description And Reclassification Records** Series documents studies and evaluations of positions to determine if reclassification is appropriate. Records may include old and new position descriptions, organizational charts, classification specifications, desk audits, classification review reports, and correspondence. (Retention: 3 years).

(9) **Position Inventory Computerized System (PICS) Reports** Series documents agency compliance with budgetary personnel authority. (Retention: 4 years).

(10) **Recruitment And Selection Records** Series documents the recruitment and selection of agency employees. Records include job announcements, applicant lists, position advertisement records, civil service and other examination records, classification specifications, affirmative action statistical sheets, interview questions, interview notes and applicant scoring notes, applicant background investigation information, position authorization forms, certifications of eligibles, employment eligibility verification forms, recruitment summary records, and other related records. (Retention: Recruitment summary records, 10 years; Unsolicited applications, 3 months); Other records, 3 years after position filled or recruitment canceled).

(11) **Training Program Records** Series documents the design and implementation of training programs provided to agency employees. Records may include class descriptions, instructor certifications, planning documentation, instructional materials, course outlines, class enrollment and attendance records, and related significant records. (Retention: 5 years).

(12) **Volunteer Program Records** documents the activities and administration of volunteer programs in an agency. Records may include volunteer hour statistics, volunteer program publicity records, insurance requirement information, and inactive volunteer files. (Retention: 5 years).

Stat. Auth.: ORS Ch. 192 & 357

Stats. Implemented: ORS Ch. 192 & 357

Hist.: OSA 1-1995, f. & cert. ef. 5-25-95; OSA 3-1996, f. 4-9-96, cert. ef. 4-15-96

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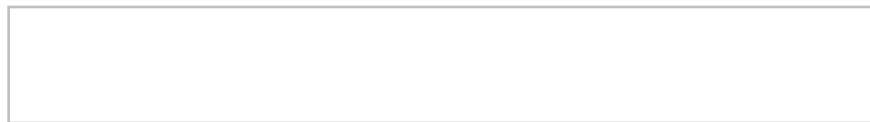
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SECRETARY OF STATE, ARCHIVES DIVISION

DIVISION 310

GENERAL SCHEDULES

166-310-0010

Risk Management Records

This General Schedule is applicable to the risk management records of state agencies. They 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:

- (1) **Emergency Response Plans and Procedures** Series documents procedures to be followed in the event of emergency. Records may include step-by-step procedures. (Retention: Until superseded).
- (2) **Incident Reports** Series documents incidents which result in an investigation of fraud. Information includes correspondence documenting incident, investigation report, and resolution/final determination. (Retention: 5 years).
- (3) **Insurance Fund Claims** Series documents requests for payment of insurance claims from 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).
- (4) **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 include logs and summaries, serious injury reports, injury cost reports, and annual occupational injuries and illnesses surveys. (Retention: 5 years).
- (5) **Personnel Accident Incident Reports** Series used to report employee accidents to agency supervisors. Records include SAIF accident reports, accident reports, occupational injury report and investigation, and employee identification and physical assessment form. (Retention: 10 years).
- (6) **Risk Factor Evaluation Records** The series is used to assess various risk factors for an agency and determine appropriate insurance needs. Records may include 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. (Retention: 4 years).

(7) **Safety Inspection and Compliance Records** Series provides a record of safety inspections and documents agency compliance with state and local safety regulations. Records include reports on building, fire alarm system, elevator, and boiler inspections performed by state and local agencies as well as citations received by the agency. Also includes follow-up actions and correspondence. (Retention: 10 years).

(8) **Safety Plans** Series documents an agency's plan to promote a safe work environment for its employees. (Retention: Until superseded).

(9) **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. (Retention: 6 years after claim closure).

(10) **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. (Retention: 1 year).

(11) **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. (Retention: 6 years).

(12) **Workplace Safety Committee Records** Series documents the actions of workplace safety committees. Records may include minutes, agendas, exhibits, reports, and related correspondence. (Retention: Minutes, 10 years; Other records, 5 years).

Stat. Auth.: ORS Ch. 192 & 357

Stats. Implemented: ORS Ch. 192 & 357

Hist.: OSA 3-1995, f. & cert. ef. 5-25-95; OSA 3-1996, f. 9-4-96, cert. ef. 9-15-96

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SECRETARY OF STATE, ARCHIVES DIVISION

DIVISION 400

EDUCATIONAL SERVICE DISTRICTS, SCHOOL DISTRICTS, AND INDIVIDUAL SCHOOL RECORDS

166-400-0005

Educational Service Districts, School Districts, and Individual School Records

This General Schedule prescribes minimum retention periods for public records created and maintained by the public schools of Oregon including educational service districts, school districts, and individual schools. 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.

Stat. Auth.: ORS Ch. 192 & 357

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

Hist.: OSA 6-1997, f. & cert. ef. 4-22-97

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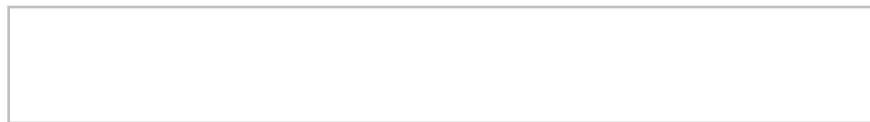
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SECRETARY OF STATE, ARCHIVES DIVISION

DIVISION 405

EDUCATIONAL SERVICE DISTRICTS, SCHOOL DISTRICTS, AND INDIVIDUAL SCHOOL RECORDS

Administrative Records

166-405-0010

Administrative Records

This General Schedule is applicable to the administrative records of public schools, including education service districts, school districts, and individual schools. 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.

(1) **Association and Organization Membership Records** 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: 2 years after school year in which records were created).

(2) **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; 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).

(3) **Bond Election Records** 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).

(4) **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. Records may be exempt from public disclosure per ORS 192.501(1), (3), (13), and OAR 414-300-0060(2). (Minimum retention: 3 years after school year in which records were created).

(5) **Child Care Facility License Records** 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).

(6) **Committee and Board Meeting Records** 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, official copy: Permanent; (b) Agendas, 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 school year in which records were created).

(7) **Committee and Board Member Records** 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).

(8) **Conference and Workshop Records** 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).

(9) **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 personal service agreements, leases, or property records. SEE ALSO Personal Service Contracts and Instructional Services Agreements in this section. (Minimum retention: (a) Contracts or agreements documenting building construction, alterations, or repair: 10 years after substantial completion; (b) Other contracts and agreements: 6 years after expiration).

(10) **Correspondence, Ephemeral** Records document communications received or sent which do not contain significant information about a school, district, or ESD's programs, fiscal status, or routine operations. Records include but are not limited to advertising circulars, drafts and worksheets, desk notes, memoranda, and other records of a preliminary or informational nature. (Minimum retention: Until read).

(11) **Correspondence, General** Records document the activities of a school, district, or ESD as recorded in letters, memorandum, and other types of correspondence. General or routine correspondence are records of a transitory or

housekeeping nature which do not add significant information to the program or primary functional responsibility of the office. Records include letters sent and received, memoranda, notes, transmittals, acknowledgments, community affairs notices, charity fund drive records, routine requests for information or publications, enclosures, attachments, and similar records. (Minimum retention: 1 year after school year in which records were created).

(12) **Correspondence, Policy and Historical** Records document the activities of a school, district, or ESD as recorded in letters, memorandum, and other types of correspondence. Policy and historical correspondence documents policy, sets important precedents, and records historic events related to the organization or operation of the school, district, or ESD. Records may include letters sent and received, memoranda, notes, reports, studies, and related records. (Minimum retention: Permanent).

(13) **Correspondence, Program and Administrative** Records document the activities of a school, district, or ESD as recorded in letters, memorandum, and other types of correspondence, including electronic mail. Program and administrative correspondence documents and adds significant information to the program or primary functional responsibility of the office. Records include letters sent and received, memoranda, notes, and other records related to specific programs or primary functions. (Minimum retention: Same as the program or functional records series to which it relates).

(14) **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).

(15) **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).

(16) **Eighth Grade Examination Records** 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).

(17) **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).

(18) **Food/Nutrition Service Program Records** 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)).

(19) **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).

(20) **Grant Records** Records document the application, evaluation, awarding, administration, monitoring, and status of grants in which the school, district, or ESD is the recipient, grantor, allocator, or administrator. Grants may come from federal 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 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. SEE ALSO Financial Records section. (Minimum retention: (a) Unsuccessful grant applications: 1 year after rejection or withdrawal; (b) Fixed asset records: 3 years after disposition of assets; (c) Other records: 5 years after final or annual expenditure report accepted).

(21) **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).

(22) **Instructional Services Agreements** Records document the agreement between a school, district, or ESD and other entities for educational services. Records may include but are not limited to agreements; letters of understanding; and related documentation and correspondence. SEE ALSO Contracts and Agreements in this section. (Minimum retention: 6 years after expiration).

(23) **Key Issuance Records** Records document key assignments and deposits (if applicable) for school, district, or ESD faculty, staff, students, and others using institution facilities. Series may also document administration of an 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 correspondence and documentation. SEE ALSO Security Records in this section. (Minimum retention: (a) Records relating to individual employees: 1 year after key or card is returned; (b) Records relating to the system or system repair and service: life of the system).

(24) **Legal Case Files and Records** 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. Records may be exempt from public disclosure per ORS 192.501 (1) and 192.502 (2). (Minimum retention: 10 years after final disposition of case).

(25) **Legal Opinion and Advice Records** 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; copies of legislative bills, statutes, and administrative rules; and related correspondence. (Minimum retention: Permanent).

(26) **Legislative Tracking Records** 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: 6 years).

(27) **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).

(28) **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).

(29) **Organization Charts** 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: (a) Final chart: 4 years after superseded; (b) Other records: Administrative need).

(30) **Parent-Teacher Organization Records** Records document the history, development, policies, and actions of parent-teacher organizations. 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: 3 years after school year in which records were created).

(31) **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) Citation records: 3 years after resolved; (b) Other records: 3 years).

(32) **Personal Service Agreements** Records document contractual agreements made by a school, district, or ESD with individuals or organizations for services rendered. Records may include but are not limited to contracts or agreements, addenda, exhibits, justification statements, contractor selection statements, proposals, expense records, correspondence, and related documentation. SEE ALSO Contracts and Agreements in this section. (Minimum retention: 6 years after expiration).

(33) **Policy and Planning Records** 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) Annual board adopted policy and district-wide administrative rules, official copy: Permanent; (b) Planning documents: 20 years; (c) Working papers and draft material: 1 year after school year in which final document produced).

(34) **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. (Minimum retention: 3 years after school year in which records were created).

(35) **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: 2 years after school year in which records were created).

(36) **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: 1 year after superseded or obsolete).

(37) **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 disposed of).

(38) **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) Significant publications, official copy: Permanent; (b) Preparation records: Until published; (c) Other publications and records: Administrative need).

(39) **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) Annual reports and studies with historical value or policy implications: Permanent; (b) Other reports and studies: 5 years or as required by government or agency; (c) Working papers and draft material: 1 year after school year in which final document produced).

(40) **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: (a) ESD records: 5 years after school year in which records were created; (b) Other records: 1 year after school year in which records were created).

(41) **School Census Records** 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).

(42) **School, District, Or ESD History Records** 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).

(43) **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, 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).

(44) **Special Education Census Reports** Records 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).

(45) **Staff Meeting Records** 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).

(46) **Standardization Records** 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).

(47) **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) Official copy: Permanent; (b) Other copies: Until superseded or obsolete).

(48) **Student Information and Demographic Records** 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: Administrative need).

(49) **Student Organization Administrative Records** 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; budget and accounting records; handbooks; officer and member rosters; scrapbooks; photographs; and related documentation and correspondence. (Minimum retention: (a) Constitution and bylaws: Until superseded; (b) Other records: 2 years after school year in which records were created).

(50) **Superintendent of Schools Records** 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).

(51) **Test Administration Records** 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).

Stat. Auth.: ORS Ch. 192 & 357

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

Hist.: OSA 6-1997, f. & cert. ef. 4-22-97

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Oregon Administrative Rules 1998 Compilation

SECRETARY OF STATE, ARCHIVES DIVISION

DIVISION 406

EDUCATIONAL SERVICE DISTRICTS, SCHOOL DISTRICTS, AND INDIVIDUAL SCHOOL RECORDS

Curriculum and Instruction Records

166-406-0010

Curriculum and Instruction Records

This General Schedule is applicable to the curriculum and instruction records of public schools, including education service districts, school districts, and individual schools. 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.

- (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: (a) Official copy: 10 years after school year in which records were created; (b) Other copies: Until superseded or obsolete).
- (2) **Curriculum Development Records** 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 school year in which records were created).
- (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: 7 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).

Stat. Auth.: ORS Ch. 192 & 357

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

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SECRETARY OF STATE, ARCHIVES DIVISION

DIVISION 407

EDUCATIONAL SERVICE DISTRICTS, SCHOOL DISTRICTS, AND INDIVIDUAL SCHOOL RECORDS

Facility and Equipment Records

166-407-0010

Facility and Equipment Records

This General Schedule is applicable to the facility and equipment records of public schools, including education service districts, school districts, and individual schools. 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.

(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) Management Plan: 3 years after superseded; (b) Records of measurements taken to monitor employee exposure to asbestos: 30 years after employee separation; (c) 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) Floor plans, layouts, specifications, final inspection reports, permits for completed structures: Life of the structure; (b) Other permits: 2 years after revoked or expired; (c) Contracts and agreements documenting building construction, alterations, or repair: 10 years after substantial completion; (d) 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) Contracts and agreements documenting building construction, alterations, or repair: 10 years after expiration; (b) Other records: Life of the structure).

(5) 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) Overdue records: Until equipment is returned or debts reconciled or deemed uncollectible; (b) Other records: 2 years after school year in which equipment is returned).

(6) 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: 3 years after equipment disposed of).

(7) 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) Approved application records: 3 years after school year in which records were created; (b) Denied applications: 1 year after school year in which records were created).

(8) 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) Material safety data sheets: Until superseded or obsolete; (b) Other records: 6 years after school year in which records were created).

(9) 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: 3 years after superseded).

(10) **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 property disposed of).

(11) **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: Permanent).

(12) **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) Permits: 5 years; (b) Other records: Until equipment is no longer in service).

(13) **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 Ch. 192 & 357

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

Hist.: OSA 6-1997, f. & cert. ef. 4-22-97

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SECRETARY OF STATE, ARCHIVES DIVISION

DIVISION 408

EDUCATIONAL SERVICE DISTRICTS, SCHOOL DISTRICTS, AND INDIVIDUAL SCHOOL RECORDS

Financial Records

166-408-0010

Financial Records

This General Schedule is applicable to the financial records of public schools, including education service districts, school districts, and individual schools. 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.

(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) Records documenting expenditure of federal funds: 5 years after final or annual expenditure report accepted; (b) Other records: 3 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: 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: 3 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: 3 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) **Competitive Bid Records** Records document the evaluation and award of bids to vendors or agencies and provides evidence of accepted and rejected bids for services and products purchased by the school, district, or ESD. 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, tally sheets, bid specifications, records of accepted and rejected bids, correspondence, and related documentation. (Minimum retention: (a) Accepted bids: 6 years after bid awarded or canceled;

(b) Rejected bids: 3 years).

(9) **Correspondence, Fiscal** Records document significant communication between a school, district, or ESD and other government agencies, vendors, and the public concerning fiscal policy, obligations, revenue, financial accounts, and related topics. Records may include letters, memoranda, and related correspondence sent and received. (Minimum retention: 3 years).

(10) **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).

(11) **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) Annual report, official copy: Permanent; (b) Working

papers and draft material: 3 years).

(12) **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) Year-end ledgers: 10 years; (b) Other general ledgers: 3 years).

(13) **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) Conditional gift, contribution, and donation records: 6 years after expiration of agreement or conditions met; (b) Other records: 3 years).

(14) **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 maturity).

(15) **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).

(16) **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).

(17) **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) Records documenting expenditure of federal funds: 5 years after final or annual expenditure report accepted; (b) Other records: 3 years).

(18) **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) Records of revenue from federal and state sources: 5 years after final or annual expenditure report accepted; (b) Other records: 3 years).

(19) **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).

(20) **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) Year-end payroll register: 75 years; (b) Leave accrual and monthly payroll registers: 10 years; (c) Records documenting federal funds: 5 years after final or annual expenditure report accepted; (d) Other subsidiary ledgers, journals, and registers: 3 years).

(21) **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).

(22) **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 Ch. 192 & 357

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

Hist.: OSA 6-1997, f. & cert. ef. 4-22-97

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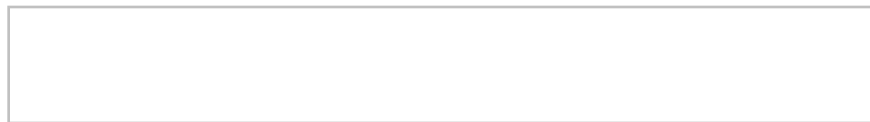
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SECRETARY OF STATE, ARCHIVES DIVISION

DIVISION 409

EDUCATIONAL SERVICE DISTRICTS, SCHOOL DISTRICTS, AND INDIVIDUAL SCHOOL RECORDS

Information Management Records

166-409-0010

Information Management Records

This General Schedule is applicable to the information management records of public schools, including education service districts, school districts, and individual schools. 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.

(1) **Computer System Maintenance Records** 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) Records related to system or component repair or service: Life of the system or component; (b) Records related to regular or essential records backups: As needed).

(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: Life of the system).

(3) **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: 10 years after superseded or abolished).

(4) **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).

(5) **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).

(6) **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) Implemented systems: Life of the system; (b) Unimplemented systems: 3 years).

(7) **Microfilm Quality Control Records** Records document that microfilm produced by or for public schools, school districts, or ESDs 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, camera/processor/duplicator inspection reports, equipment and operator logs, and correspondence. (Minimum retention: Same as related microfilm).

(8) **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: 5 years).

(9) **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: 5 years after superseded).

(10) **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: Until software disposed of or upgraded).

(11) **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: Life of the system).

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

Hist.: OSA 6-1997, f. & cert. ef. 4-22-97

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SECRETARY OF STATE, ARCHIVES DIVISION

DIVISION 410

EDUCATIONAL SERVICE DISTRICTS, SCHOOL DISTRICTS, AND INDIVIDUAL SCHOOL RECORDS

Library and Media Records

166-410-0010

Library and Media Records

This General Schedule is applicable to the library and media records of public schools, including education service districts, school districts, and individual schools. 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.

(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) Registers: Until superseded or obsolete; (b) 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) Extension and cancellation records: 1 month; (b) Equipment inventories: 3 years after superseded; (c) 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) Overdue records: Until material is returned or debts reconciled or deemed uncollectible; (b) 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 material is disposed of).

(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 Ch. 192 & 357

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

Hist.: OSA 6-1997, f. & cert. ef. 4-22-97

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SECRETARY OF STATE, ARCHIVES DIVISION

DIVISION 411

EDUCATIONAL SERVICE DISTRICTS, SCHOOL DISTRICTS, AND INDIVIDUAL SCHOOL RECORDS

Payroll Records

166-411-0010

Payroll Records

This General Schedule is applicable to the payroll records of public schools, including education service districts, school districts, and individual schools. 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.

(1) **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) PERS enrollment forms, official copy: 75 years after date of hire; (b) Other records: 3 years after employee separation).

(2) **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: (a) Time sheets: 3 years; (b) Summary reports: 1 year; (c) Other records: 3 years after employee separation).

(3) **Federal and State Tax Records** Records document the collection, distribution, deposit, and transmittal of federal and state income taxes and social security tax. Records may include but are not limited to employers quarterly federal tax returns; federal tax deposit coupons; Oregon quarterly withholding tax returns; Oregon withholding tax payment coupons; Oregon annual withholding reconciliation reports; withholding allowance certificates (W-4); social security reports; wage and tax statements (W-2); and related federal and state tax forms. (Minimum retention: (a) Withholding

allowance certificates (W-4): 5 years after superseded or employee separation; (b) Other records: 5 years).

(4) **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).

(5) **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) Year-end payroll register: 75 years; (b) Leave accrual and monthly payroll registers: 10 years; (c) Other registers: 3 years).

(6) **Unemployment Compensation Claim Records** 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).

(7) **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).

Stat. Auth.: ORS Ch. 192 & 357

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

Hist.: OSA 6-1997, f. & cert. ef. 4-22-97

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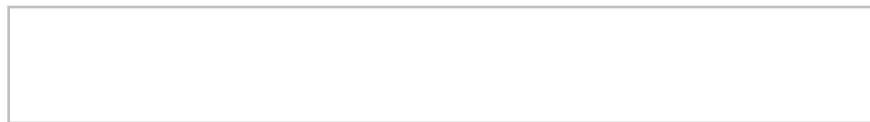
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SECRETARY OF STATE, ARCHIVES DIVISION

DIVISION 412

EDUCATIONAL SERVICE DISTRICTS, SCHOOL DISTRICTS, AND INDIVIDUAL SCHOOL RECORDS

Personnel Records

166-412-0010

Personnel Records

This General Schedule is applicable to the personnel records of public schools, including education service districts, school districts, and individual schools. 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.

(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) Plans, updates, and policy statements: 15 years; (b) Other records: 3 years).

(2) **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) Contracts: 50 years; (b) Other records: 6 years after contract expires).

(3) **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) Compensation plans: 20 years; (b) Pay range tables, merit matrixes: Until superseded; (c) Other records: 3 years).

(4) **Criminal History 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. Records may be exempt from public disclosure per ORS 192.502(2). SEE ALSO Employee Personnel Records and Recruitment and Selection Records in this section. (Minimum retention: (a) If current employee or if applicant hired: 3 years after separation; (b) If applicant not hired: 2 years after position filled or recruitment canceled).

(5) 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. Records may be exempt from public disclosure per ORS 192.502(2). SEE ALSO Employee Payroll Records in the Payroll Records section. (Minimum retention: (a) PERS enrollment records, official copy: 75 years after date of hire; (b) Other records: 2 years after employee separation or eligibility expired).

(6) 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 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. Records may be exempt from public disclosure per ORS 192.502(2). SEE ALSO Hazard Exposure Records in this section. (Minimum retention: (a) Hazard exposure records: 30 years after separation [or as specified by 29 CFR 1910.20]; (b) Other records: 3 years after separation).

(7) 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. 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: (a) 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) Grievance, complaint, and disciplinary records: 3 years; (c) Other records: 3 years after separation).

(8) 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).

(9) Equal Employment Opportunity Commission Compliance Records 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) Plans, updates, and

policy statements: 50 years; (b) Complaint records and documentation: 3 years after final decision issued; (c) Other records: 3 years).

(10) **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. Records may be exempt from public disclosure per ORS 192.502(2). (Minimum retention: 3 years).

(11) **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. Records may be exempt from public disclosure per ORS 192.502(2). SEE ALSO Employee Medical Records in this section. (Minimum retention: 30 years after separation (or as specified by 29 CFR 1910.20)).

(12) **Layoff, Dismissal, and Non-Renewal Records** 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: 10 years after final disposition).

(13) **Personnel Research Records** 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) Final study or report: Permanent; (b) Other records: 5 years).

(14) **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: Current and previous description).

(15) **Recruitment and Selection Records** Records document the recruitment and selection of school, district, and ESD employees. Records may also document the recruitment and selection of the school superintendent as well as 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, examination records, classification specifications, affirmative actions records, interview questions, interview and application scoring notes, applicant background investigation information, letters of reference, civil service records, position authorization forms, certifications of eligibles, employment eligibility verification forms, recruitment summary records, and related correspondence and documentation. Records may be exempt from public disclosure per ORS 192.502(2). SEE ALSO Criminal History Check Records, Employee Personnel Records, and Employment Eligibility Verification Forms (I 9) in this section. (Minimum retention: (a) Unsolicited applications and resumes: 3 months; (b) Successful applicant records: Transfer to Employee Personnel Record; (c) Unsuccessful applications and other records: 2 years after position filled or recruitment canceled).

(16) **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) Licensed (Certificated) Personnel Reports: 2 years after school year in which records were created; (b) Substitute teachers records: 1 year after school year in which records were created; (c) Other records: 75 years after date of hire).

(17) **Training 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).

(18) **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) Volunteer worker records: 3 years after separation; (b) Other records: 5 years).

(19) **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 Ch. 192 & 357

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

Hist.: OSA 6-1997, f. & cert. ef. 4-22-97

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SECRETARY OF STATE, ARCHIVES DIVISION

DIVISION 413

EDUCATIONAL SERVICE DISTRICTS, SCHOOL DISTRICTS, AND INDIVIDUAL SCHOOL RECORDS

Safety and Risk Management Records

166-413-0010

Safety and Risk Management Records

This General Schedule is applicable to the safety and risk management records of public schools, including education service districts, school districts, and individual schools. 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.

(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) Employee hazard exposure records: 30 years after employee separation (or as specified by 29 CFR 1910.20); (b) Other records, if no claim filed: 3 years; (c) Other records, if claim filed: Transfer to claim record).

(2) **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).

(3) **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) Fire drill reports: 1 year after school year in which records were created; (b) Other records: 1 year after superseded or obsolete).

(4) **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: 10 years after final disposition of claim).

(5) **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) Property, liability, and employee group insurance: 75 years after expiration if no claims pending; (b) Other insurance: 6 years after expiration if no claims pending).

(6) **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).

(7) **Risk Factor Evaluation Records** Records document the assessment of various risk factors related to buildings, grounds, or services to identify potential hazards and liabilities, and to determine the appropriate insurance needs of a school, district, or ESD. Records may include but are not limited to worksheets; 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 survey; inspections; and related correspondence and documentation. SEE ALSO Insurance Policy Records in this section. (Minimum retention: (a) Records documenting formation or change of policy: 50 years; (b) Other records: 5 years).

(8) **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 after school year in which records were created).

(9) **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: 6 years).

(10) **State Accident Insurance Fund (SAIF) Claim Records** Records document job-related injury and illness compensation claims made by school, district, and ESD employees to the State 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) SAIF injury reports: 1 year; (b) Other records: 6 years after settlement of claim).

(11) **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) Statistical reports: 5 years; (b) Other records, if action taken: 10 years after final disposition of claim; (c) Other records, if no action taken: 3 years).

(12) Workers' Compensation Claim Records Records document the workers' compensation claims of the school, district, and ESD. Records document occupational injury and accident claims, insurance coverage, and related reimbursement issues. Records may include but are not limited to 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. (Minimum retention: 6 years after settlement of claim).

(13) 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) OSHA logs and summaries, official copy: 5 years after end of year to which they relate; (b) Other records: 3 years).

Stat. Auth.: ORS Ch. 192 & 357

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

Hist.: OSA 6-1997, f. & cert. ef. 4-22-97

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**Oregon Administrative Rules
1998 Compilation**

SECRETARY OF STATE, ARCHIVES DIVISION

DIVISION 414

EDUCATIONAL SERVICE DISTRICTS, SCHOOL DISTRICTS, AND INDIVIDUAL SCHOOL RECORDS

Student Education Records

166-414-0010

Student Education Records

This General Schedule is applicable to the student education records of public schools, including education service districts, school districts, and individual schools. 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. Other pertinent information regarding access to student education records is included in the Federal Family Education Rights and Privacy Act (34 CFR 99) and OAR 581-021-0220 through 581-021-0440.

(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) **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; and related documentation. The attendance recorded on the Student Permanent Record is a summary of this information. SEE ALSO Student Permanent Record in this section. (Minimum retention: 3 years after school year in which records were created).

(3) **Behavioral Records, Major** 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: 3 years after school year in which records were created).

(4) **Behavioral Records, Minor** 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; and related correspondence and documentation. (Minimum retention: Until end of school year).

(5) **Child Care Facility Residency Records** Records document students who live or have lived in child care 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).

(6) **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, 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).

(7) **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).

(8) **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).

(9) **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: 3 years after school year in which records were created).

(10) **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).

(11) **Guidance and 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).

(12) **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).

(13) **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 Student Permanent Record in this section. (Minimum retention: 3 years after school year in which records were created).

(14) **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).

(15) **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) 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).

(16) **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).

(17) **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).

(18) **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).

(19) **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).

(20) **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: 3 years after school year in which records were created).

(21) **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 Student Permanent Record by the beginning of the next school year.* SEE ALSO Grade Records and Student Permanent Record in this section. (Minimum retention: (a) If information has been recorded on Student Permanent Record: 3 years after school year in which records were created; (b) If information has not been recorded on Student Permanent Record: Permanent).

(22) **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) All other records: 5 years after school year in which records were created; (c) ESD copies, if program at district level: Transfer records to home district after end of student participation; (d) 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).

(23) **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 medication administration records; records of nursing assessment and nursing care given in the school setting; medical records from outside health care providers and health care agencies; and psychological diagnostic test reports. *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).

(24) **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 other health screening results; Health Management Plan(s) prepared by the nurse for the student with special health needs; 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 health room visits, first aid given, and instructions sent to parents/ guardians. *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).

(25) **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 susceptibles 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) Certificate of Immunization Status (CIS): Until student reaches age 21 or graduates, whichever is longer; (b) Immunization Status Records - Susceptibles (Tracking Cards): Until student attendance ends).

(26) Student Permanent 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) Original: Permanent; (b) Readable photocopy retained by the former educational agency or institution when a student transfers out of district: 1 year).

(27) 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).

(28) 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).

(29) 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).

(30) 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 Ch. 192 & 357

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

Hist.: OSA 6-1997, f. & cert. ef. 4-22-97; OSA 7-1997(Temp), f. & cert. ef. 7-15-97; OSA 10-1997, f. & cert. ef. 10-15-97

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Oregon Administrative Rules 1998 Compilation

SECRETARY OF STATE, ARCHIVES DIVISION

DIVISION 415

EDUCATIONAL SERVICE DISTRICTS, SCHOOL DISTRICTS, AND INDIVIDUAL SCHOOL RECORDS

Transportation Records

166-415-0010

Transportation Records

This General Schedule is applicable to the transportation records of public schools, including education service districts, school districts, and individual schools. 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.

(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) Annual bus route reports: 5 years after school year in which records were created; (b) 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) Quarterly reports: 10 years after school year in which records were created; (b) Release forms: 3 years after school year in which records were created; (c) Other records: 1 year after school year in which records were created).

(5) **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: 1 year after school year in which complaint resolved).

(6) **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) Hazard reports: 1 year after school year in which hazard eliminated; (b) Other records: 1 year after school year in which records were created).

(7) **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) Annual reports: 5 years after school year in which records were created; (b) Other records: 3 years after vehicle disposed of).

(8) **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) Title application materials: Until title received; (b) Titles: Until vehicle disposed of; (c) Other records: 3 years after vehicle disposed of).

(9) **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 Ch. 192 & 357

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

Hist.: OSA 6-1997, f. & cert. ef. 4-22-97

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**Oregon Administrative Rules
1998 Compilation**

SECRETARY OF STATE, ARCHIVES DIVISION

DIVISION 500

ADMINISTRATIVE RULES UNIT

Procedural Rules

166-500-0000

Notice of Proposed Rulemaking

Before we adopt, amend, or repeal any of our rules, the Administrative Rules Unit shall give notice of the proposed adoption, amendment, or repeal:

- (1) In the Secretary of State's *Oregon 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 Administrative Rules Unit's mailing list established pursuant to ORS 183.335(7).
- (3) By mailing a copy of the Notice to the following persons and organizations:
 - (a) Associated Press;
 - (b) Capitol Press Room;
 - (c) Oregon Bar Association;
 - (d) Department of Justice.
- (4) By mailing a copy of the Notice to legislators as provided by ORS 183.335(14).

Stat. Auth.: ORS 183.360

Stats. Implemented: ORS 183.335 & 183.360

Hist.: PRD 1-1988, f. & cert. ef. 2-5-88; Former paragraphs (3)(b)(A) - (K) & (c)(A) - (M) renumbered to 160-01-000; OSA 4-1993, f. & cert. ef. 11-10-93, Renumbered from 164-01-000; OSA 8-1997, f. & cert. ef. 10-6-97

166-500-0005

Model Rules of Procedure

The Model Rules of Procedure as promulgated by the Attorney General of the State of Oregon under the Administrative Procedures Act effective September 15, 1997, are adopted as the rules of procedure for the Administrative Rules Unit.

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

Stat. Auth.: ORS 183.360

Stats. Implemented: ORS 183.335

Hist.: PRD 2-1988, f. & cert. ef. 2-5-88; PRD 6-1988, f. & cert. ef. 8-10-88; SOS-AD 1-1990, f. & cert. ef. 5-9-90; SOS-AD 2-1991, f. & cert. ef. 12-3-91; OSA 4-1993, f. & cert. ef. 11-10-93, Renumbered from 164-01-005; OSA 8-1997, f. & cert. ef. 10-6-97

166-500-0010

Definitions

OAR 166-500-0020 through 166-500-0055 state the requirements for adopting, amending, repealing or renumbering Administrative Rules permanently or temporarily. The following definitions apply to OAR 166-500-0000 through 166-500-0055.

(1) An "Adopted Rule" is a completely new rule added to an agency's existing body of rules. New rule numbers must be approved by the Administrative Rules Unit prior to filing.

(2) An "Amended Rule" is an existing rule which is modified by additions or deletions to the existing rule text without a change in numbering.

(3) The "Effective Date" for a Permanent Administrative Rule filed with the Administrative Rules Unit is no less than 21 days or more following the publication of the Notice in the *Oregon Bulletin*. The "effective date" for a Temporary Rule is the date the rule is filed with the Administrative Rules Unit unless a later date is specified by the agency.

(4) The "Model Rules of Procedures," for rulemaking (OAR 137-001-0005 through 137-001-0085) have been established by the Attorney General's office to implement the statutory requirements (ORS 183.341(2) of the Oregon Administrative Procedures Act (APA)).

(5) The "Notice of Proposed Rulemaking" is a formal process for informing the public of intended rulemaking action which includes an agency mailing to specific individuals and organizations, and publication of a Notice in the *Oregon Bulletin*.

(6) The "Notice of Proposed Rulemaking Hearing" is a formal process for informing the public of intended rulemaking action which includes an agency mailing to specific individuals and organizations, and publication of a Notice in the *Oregon Bulletin* (form ARC 920-1997).

(7) The "Oregon Administrative Rules Compilation" is an annual publication which contains the complete text of the Oregon Administrative Rules. The Oregon Administrative Rules Compilation is available in electronic and printed formats. Electronic versions are available through the Oregon State Archives World Wide Web Site at <http://arcweb.sos.state.or.us>. Printed copies are in the collections of Oregon's Public Documents Depository Libraries, listed in OAR 543-070-0000, and are available for purchase from the Administrative Rules Unit.

(8) The "*Oregon Bulletin*" is a monthly publication which documents all rulemaking actions promulgated between printings of the Oregon Administrative Rules Compilation. In addition to providing Notice of intended rulemaking action and adopted or amended rule text, it includes Executive Appointments, Executive Orders of the Governor and Opinions of the Attorney General. The *Oregon Bulletin* is available in electronic and printed formats. Electronic versions are available through the Oregon State Archives World Wide Web Site at <http://arcweb.sos.state.or.us>. Printed copies are in the collections of Oregon's Public Documents Depository Libraries, listed in OAR 543-070-0000, and are available for purchase from the Administrative Rules Unit.

(9) "Permanent Rule" is the adoption of new rules or the modification of existing rules and remains in effect until another rulemaking action is initiated on the specific rule (form ARC 930-1997).

(10) A "Rules Coordinator" is the person appointed by an agency to coordinate the writing and filing of Administrative Rules. An appointment of Rules Coordinator must be filed in writing with the Administrative Rules Unit. It is an agency's responsibility to monitor the appointment of a Rules Coordinator and to keep the appropriate forms updated (form ARC 910-1997).

(11) The "Rule Text" is the actual verbiage the agency uses in its rule to describe its implementation of pertinent statutes.

(12) A "Signature" is the original signature of the agency's authorized signer(s) who have legal authority to approve rulemaking filings, appoint agency rules coordinators or delegate rulemaking authority. ORS 183.325 requires delegations of rulemaking authority to be filed with the Administrative Rules Unit.

(13) A "Statement of Need and Fiscal Impact" form establishes the need for the proposed rulemaking action and its fiscal impact. This form accompanies the Notice of Proposed Rulemaking Hearing and the Notice of Proposed Rulemaking (form ARC 925-1997).

(14) A "Statement of Need and Justification" form establishes the need for the proposed rulemaking action and the justification for submitting the changes as a temporary rule rather than using the permanent rule process. This form accompanies the Certificate and Order for Filing Temporary Rules (form ARC 945-1997).

(15) "Stat. Authority" is an agency's statutory authority to make rules.

(16) "Stats. Implemented" is the statute(s), bill(s) or federal legislation that an agency implements through the rulemaking process.

(17) A "Summary" is a brief description of the subject of the rulemaking action.

(18) A "Temporary Rule" is a new adopted or amended rule which remains in effect for a maximum of 180 days (form ARC 940-1997).

[ED. NOTE: The form(s) referenced in this rule is not printed in the OAR Compilation. Copies are available from the agency.]

[Publications: The publication(s) referred to or incorporated by reference in this rule are available from the agency.]

Stat. Auth.: ORS Ch. 183

Stats. Implemented: ORS Ch. 183

Hist.: OSA 9-1997(Temp), f. & cert. ef. 10-6-97

166-500-0015

Fees

Fees charged by the Administrative Rules Unit are based upon actual personnel, equipment usage and materials costs and shall be as follows:

(1) Charges for services and products identified in this section, except services identified in subsections (f) and (g) of this section, may be billed upon request. An additional fee of \$3.00 will be made to cover accounting costs for billing:

(a) Research/Labor -- Per total request; beginning with the 31st minute -- \$10 per each half hour unit or portion of a half hour unit;

(b) Photocopies:

(A) 25¢ per page;

(B) Copies to be sent by facsimile (fax) -- \$5.00 for the first page and \$1.00 each for all following pages.

(c) Certifying administrative rule records -- \$5.00 per certification plus any copying, labor or research fees incurred in filling the request;

(d) Computer disks: \$1.00 per 3-1/2" high density computer disk plus labor;

(e) Oregon Administrative Rules Compilation bound set -- \$300.00 per year;

(f) Oregon Administrative Rules Compilation bound set purchased with a one-year subscription to the *Oregon Bulletin*; -- \$350.00 per year;

(g) *Oregon Bulletin*:

(A) One-year subscription -- \$75.00;

(B) Per issue -- \$7.00 each.

(2) Walk-in customers or customers with large requests will be assisted as workloads permit.

(3) 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.

[Publications: The publication(s) referred to or incorporated by reference in this rule are available from the agency.]

Stat. Auth.: ORS 183.360

Stats. Implemented: ORS 177.130, 183.370, Ch. 192 & 357.885

Hist.: SOS-AD 1-1992, f. & cert. ef. 2-11-92; OSA 4-1993, f. & cert. ef. 11-10-93, Renumbered from 164-01-015; OSA 7-1994(Temp), f. & cert. ef. 10-14-94; OSA 11-1994, f. & ef. 11-21-94; OSA 8-1997, f. & cert. ef. 10-6-97

166-500-0020

Administrative Rule Filing Requirements

(1) The Administrative Rules Unit shall compile, index and publish all rules adopted by each agency.

(2) All filings should be completed on the proper forms and submitted in the appropriate formats as outlined in OAR 166-500-0030 through 166-500-0055. All rulemaking forms are available from the Administrative Rules Unit.

(3) Agencies should submit completed filings to the Administrative Rules Unit, Oregon State Archives, Secretary of State, 800 Summer Street NE, Salem, Oregon 97310. For publication in the upcoming *Oregon Bulletin*, Notice forms must be submitted to the Administrative Rules Unit by 5:00 p.m. on the 15th day of the preceding month unless this deadline falls on a Saturday, Sunday or legal holiday when Notice forms are accepted until 5:00 p.m. on the preceding workday.

(4) Agencies desiring receipted copies of their rule filing should submit an additional photocopy of the filing form, with their rule filing, along with a pre-addressed envelope. Receipted copies will be mailed after the filing has been reviewed for completeness and computer disk readability has been verified. Administrative Rules Unit staff will contact an agency's Rules Coordinator within three working days to correct any errors or omissions.

(5) The Oregon Attorney General's Administrative Law Manual conforms with the procedures and requirements detailed in OAR 166-500-0030 through 166-500-0055.

[Publications: The publication(s) referred to or incorporated by reference in this rule are available from the agency.]

Stat. Auth.: ORS 183.360

Stats. Implemented: ORS 183.335 & 183.360

Hist.: OSA 9-1997(Temp), f. & cert. ef. 10-6-97

166-500-0030

Components of a Notice of Proposed Rulemaking Hearing or a Notice of Proposed Rulemaking Filing

(1) A Notice of Proposed Rulemaking Hearing or a Notice of Proposed Rulemaking filing consists of two items. These are:

- (a) One completed Notice of Proposed Rulemaking Hearing or Notice of Proposed Rulemaking form;
- (b) One completed Statement of Need and Fiscal Impact form.

(2) For publication in the upcoming *Oregon Bulletin*, Notice filings must be received by the Administrative Rules Unit by 5:00 p.m. on the 15th day of the preceding month unless this deadline falls on a Saturday, Sunday or legal holiday when Notice filings are accepted until 5:00 p.m. on the preceding workday.

- (a) A Notice of Proposed Rulemaking Hearing or Notice of Proposed Rulemaking filing may be faxed to the Administrative Rules Unit.
- (b) Prior notification to the Administrative Rules Unit is required before filing a Temporary rule by fax.

[Publications: The publication(s) referred to or incorporated by reference in this rule are available from the agency.]

Stat. Auth.: ORS 183.360

Stats. Implemented: ORS 183.335 & 183.360

Hist.: OSA 9-1997(Temp), f. & cert. ef. 10-6-97

166-500-0040

Components of a Permanent Administrative Rule Filing

(1) Permanent Administrative Rule filings have three components. These are:

(a) Two Certificate and Order for Filing Permanent Administrative Rules forms, including:

(A) One original filing form bearing the original signature of the agency's authorized signer; and

(B) One photocopy of the original filing form.

(b) A computer disk which contains the text of the rule in both ASCII and the original text format as described in 166-500-0045. Graphs, formulas, tables, appendices, etc. will not be included in the Oregon Administrative Rules Compilation. Agencies are still required to file a paper copy but do not have to file an electronic copy;

(c) One 8 1/2 by 11 inch paper copy of the rule text printed from the computer disk included with the filing:

(A) Agencies shall number paper copy pages consecutively and note any special formatting in the left margin where the formatting occurs.

(B) Agencies adopting or amending rules incorporating published works by reference may omit copies of the publications from their rule filings if:

(i) The publications are unusually voluminous, and/or costly to reproduce;

(ii) The location of the publication and its availability to the public are stated in the rule.

(2) Each Certificate and Order for Filing Permanent Administrative Rules shall be comprised only of administrative rules for which prior notice was published in the *Oregon Bulletin*.

[Publications: The publication(s) referred to or incorporated by reference in this rule are available from the agency.]

Stat. Auth.: ORS 183.360

Stats. Implemented: ORS 183.325, 183.330, 183.335, 183.355 & 183.360

Hist.: OSA 9-1997(Temp), f. & cert. ef. 10-6-97

166-500-0045

Computer Disk to be Filed as Part of Permanent Administrative Rule Filing

Computer Disk: One 3.5 inch, double-sided, high density computer disk (or more as needed) which contains two electronic copies of the text of each rule shall be filed. One electronic file shall be in ASCII text formatting language. The other electronic file shall be in the format of the original word processing program in which it was created. Computer disks which do not meet these requirements will not be accepted as filed and will be returned to the submitting agency. This disk shall meet the following requirements:

(1) Text layout in both files:

(a) Rule text shall contain only final wording;

(b) Formatting:

(A) Rules shall be typed in 10 or 12 point size;

(B) Typing shall be from margin to margin, not in column form;

- (C) Single spaces shall be used between sentences, words or any place multiple spaces might be used;
- (D) Division titles shall be centered, boldface and use all uppercase letters;
- (E) Division subtitles shall be centered, boldface and use initial capitalization only;
- (F) Rule numbers shall be flush left and boldface;
- (G) Rule titles shall be flush left, boldface and use initial capitalization;
- (H) Text has one level of indention throughout. Hanging paragraphs should not be used;
- (I) The text of each rule shall be followed by:
 - (i) The specific statutory authority for that rule; and
 - (ii) The specific statute(s) being implemented by that rule.
- (J) One extra line space (hard return) shall be inserted only in the following locations in the text:
 - (i) Before and after centered titles;
 - (ii) After the text of each rule.
- (c) Text shall appear in consecutive order by rule number;
- (d) Acceptable special formatting:
 - (A) Special font usage (eg. bold, italics, underline etc.);
 - (B) Special characters (eg. degree symbol);
 - (C) Quoted text;
 - (D) Centered text or titles; and
 - (E) Adoptions by reference.
- (2) Files:
 - (a) The affected rules only in each OAR division shall be in two separate files on the computer disk;
 - (b) Filenames for each ASCII formatted file shall begin with OAR three digit chapter number, followed by a hyphen (-), followed by three digit division number, followed by a period (.); followed by the lower-case letters "txt." A complete ASCII formatted filename would be as follows: 166-010.txt. Filenames for each file saved in the original word processing format shall be the same as the ASCII formatted files, except contain a different file name suffix. The file name suffix shall be the suffix customarily used by the original word processing program or designated by the agency. A complete formatted filename would be as follows: 166-000.doc or 166-000.wp.
- (3) Labeling: The outside of each disk shall be labeled with:
 - (a) Agency name;
 - (b) OAR chapter number;
 - (c) Division number(s);

(d) Whether formatted for IBM or Macintosh; and

(e) Name and version of word processing program used to create files.

Stat. Auth.: ORS 183.360

Stats. Implemented: ORS 183.355 & 183.360

Hist.: OSA 9-1997(Temp), f. & cert. ef. 10-6-97

166-500-0050

Components of a Temporary Administrative Rule Filing

(1) Temporary Administrative Rule filings have four components. These are:

(a) Two copies of the Certificate and Order for Filing Temporary Administrative Rules, including:

(A) One original filing form bearing the original signature of the agency's authorized signer; and

(B) One photocopy of the original form.

(b) A computer disk which contains the text of the rule in both ASCII and the original text format as described in 166-510-0041. Graphs, formulas, tables, appendices, etc. will not be included in the Oregon Administrative Rules Compilation. Agencies are still required to file a paper copy but do not have to file an electronic copy;

(c) One 8 1/2 by 11 paper copy of the rule text printed from the computer disk:

(A) Agencies shall number paper copy pages consecutively and note special formatting in the left margin where the formatting occurs.

(B) Agencies adopting or amending rules incorporating published works by reference may omit copies of the publications from their rule filings if:

(i) The publications are unusually voluminous, and/or costly to reproduce;

(ii) The location of the publication and its availability to the public are stated in the rule.

(d) Two copies of the Statement of Need and Justification.

(A) One original form bearing the original signature of the agency's authorized signer; and

(B) One photocopy of the original form.

(2) The Administrative Rules Unit will accept Temporary Rule filings by fax when:

(a) Notification is received by the Administrative Rules Unit prior to the fax transmission; and

(b) A complete Temporary Administrative Rule Filing, as described in sub-sections (1)(a) through (1)(d) of this rule, is received by the Administrative Rules Unit within three working days.

Stat. Auth.: ORS 183.360

Stats. Implemented: ORS 183.325, 183.330, 183.335, 183.355 & 183.360

166-500-0055

Computer Disk to be Filed as Part of Temporary Administrative Rule Filing

Computer Disk: One 3.5 inch, double-sided, high density computer disk (or more as needed) which contains two electronic copies of the text of each rule shall be filed. One electronic file shall be in ASCII text formatting language. The other electronic file shall be in the format of the original word processing program in which it was created. Computer disks which do not meet these requirements will not be accepted as filed and will be returned to the submitting agency. This disk shall meet the following requirements:

(1) Text layout in both files:

(a) Rule text shall contain temporary wording;

(b) Formatting:

(A) Rules shall be typed in 10 or 12 point size;

(B) Typing shall be from margin to margin, not in column form;

(C) Single spaces shall be used between sentences, words or any place multiple spaces might be used;

(D) Division titles shall be centered, boldface and use all uppercase letters;

(E) Division subtitles shall be centered, boldface and use initial capitalization only;

(F) Rule numbers shall be flush left and boldface;

(G) Rule titles shall be flush left, boldface and use initial capitalization;

(H) Text has one level of indention throughout. Hanging paragraphs should not be used;

(I) The text of each rule shall be followed by:

(i) The specific statutory authority for that rule; and

(ii) The specific statute(s) being implemented by that rule.

(J) One extra line space (hard return) shall be inserted only in the following locations in the text:

(i) Before and after centered titles;

(ii) After the text of each rule.

(c) Text shall appear in consecutive order by rule number;

(d) Acceptable special formatting:

(A) Special font usage (eg. bold, italics, underline etc.);

(B) Special characters (eg. degree symbol);

(C) Graphs, formulas, tables, appendices, etc. will not be included in the Oregon Administrative Rules Compilation.

Agencies are still required to file a paper copy but do not have to file an electronic copy;

(D) Quoted text;

(E) Centered text or titles; and

(F) Adoptions by reference.

(2) Files:

(a) The affected rules only in each OAR division shall be in two separate files on the computer disk;

(b) Filenames for each ASCII formatted file shall begin with OAR three digit chapter number, followed by a hyphen (-), followed by three digit division number, followed by a period (.); followed by the lower-case letters "txt." A complete ASCII formatted filename would be as follows: 166-010.txt. Filenames for each file saved in the original word processing format shall be the same as the ASCII formatted files, except contain a different file name suffix. The file name suffix shall be the suffix customarily used by the original word processing program or designated by the agency. A complete formatted filename would be as follows: 166-000.doc or 166-000.wp.

(3) Labeling: The outside of each disk shall be labeled with:

(a) Agency name;

(b) OAR chapter number;

(c) Division number(s);

(d) Whether formatted for IBM or Macintosh; and

(e) Name and version of word processing program used to create files.

Stat. Auth.: ORS 183.360

Stats. Implemented: ORS 183.355 & 183.360

Hist.: OSA 9-1997(Temp), f. & cert. ef. 10-6-97

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The 1998 Compilation contains Oregon Administrative Rules **filed through November 14, 1997.**

Updates? Use the [OAR Revision Cumulative Index](#) found in the [Oregon Bulletin](#) to access the full text of rulemaking actions after November 14, 1997.

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