

Department of Consumer and Business Services
Records Retention Schedule 2015-0013
Effective Date: April 2017
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Oregon State Archives Records Retention Schedule

Edition: March 2017

Organizational Placement

Schedule Number: 2015-0013

Agency: Department of Consumer and Business Services (DCBS)
Division: Office of the Director
Section: Administration

Program Description

The DCBS director is responsible for oversight and administration of the state's largest regulatory and consumer protection agency. The director is chiefly responsible for department policy, budget, and planning. The director is appointed by the Governor, serves as Oregon's Insurance Commissioner, and appoints the Insurance Division's administrator. The deputy director serves at the pleasure of the director. Both positions serve on various committees as a part of their positions.

The Internal Audits Program assists all levels of management at DCBS by providing evaluations of the financial, accounting, and operational controls of the department divisions and programs. This includes determining compliance with established policies and rules, accomplishment of goals and objectives, as well as the effective and efficient use of resources. The internal auditor reports findings to division management, the director or deputy director, as appropriate, and an internal audits committee. The DCBS internal audit committee is comprised of representatives from each DCBS division and board, the deputy director, and the internal auditor.

The Workers' Compensation Management-Labor Advisory Committee (originally known as the "Mahonia Hall Group") studies all facets of the workers' compensation system and reviews the standards for determining permanent disability. The committee also advises the department on proposed changes in division programs.

Program Records

- 001 Director's Correspondence, Presentations and Speeches**
Retain 10 years, destroy
- 002 Governor's Forwarded Letters**
Retain 3 years, destroy
- 003 Legislator Inquiry Records**
Retain 3 years, destroy
- 004 Strategies, Accomplishments, and Action Plans**
Retain permanently, transfer to State Archives after 10 years
- 005 Workers' Compensation Management – Labor Advisory Committee Records**
 - (a) Retain minutes, exhibits, and agendas 20 years, destroy
 - (b) Retain all other records 6 years, destroy

State Agency General Records Retention Schedule Records:

Includes but is not limited to:

Administrative Records – OAR 166-300-0015

Calendar and Scheduling Records
Correspondence
Legislative Tracking Records

Oregon State Archives Records Retention Schedule

Edition: March 2017

Financial Records – OAR 166-300-0025

Audit Reports

Internal Audit Reports

Databases

AUDIT TRACKING SYSTEM

BUSINESS CONTINUATION PLANNING SYSTEM

Oregon State Archives Records Retention Schedule

Edition: March 2017

Organizational Placement

Schedule Number: 2015-0013

Agency: Department of Consumer and Business Services (DCBS)
Division: Office of the Director
Section: Administration
Unit: Communications Services

Program Description

The Communications Services Section provides support and assistance to the Office of the Director and DCBS divisions through communications planning, media relations, publications, and special project work. The section is responsible for portions of the DCBS website design as well as most graphic design projects for the agency. It produces the online Connections newsletter for agency employees. The section also prepares written publications and interactive presentations to support the agency's programs.

The Multicultural Communications Program's mission is to promote, guide, and enhance the delivery of all DCBS services to Oregon's multicultural communities and its vision is to ensure quality service to limited English-speaking DCBS customers by removing obstacles that might hinder that due to language or cultural barriers. The program's strategic goals are to build internal and external communication; build bridges of communication among the department, divisions, and the community; increase outreach; ensure outreach to limited-English proficient customers and underserved populations; foster cultural receptivity; increase and enhance cultural understanding and receptive attitudes in DCBS; utilize translation and interpretation services; and make more effective use of translation and interpretation services within DCBS.

Program Records

006 Photographs, Slides, and Images

- (a) Retain images of excellent quality (publication ready) and images of good quality that depict significant events 20 years
- (b) Retain lesser quality images (out of focus, technically inferior) or images depicting routine events for 5 years, destroy

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records – OAR 166-300-0015

Calendar and Scheduling Records
Correspondence
Policy and Procedure Guidelines and Manuals
Press Releases
Professional Membership Records
Publication Preparation Records
Work Orders

Databases

BUSINESS CONTINUATION PLANNING SYSTEM

Oregon State Archives Records Retention Schedule

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Organizational Placement

Schedule Number: 2015-0013

Agency: Department of Consumer and Business Services (DCBS)
Division: Office of the Director
Section: Employee Services
Unit: Organizational Development and Training

Program Description

Organizational Development and Training provides agency management and staff with enterprise-wide trainings on a variety of topics. The unit also tracks each employee's training history and performs planning for training opportunities and events. The unit also tracks all training for DCBS staff that is mandated by a court of law.

Program Records

None

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records – OAR 166-300-0015

Business Plan Records
Calendar and Scheduling Records
Conference, Seminar, and Training Program Records
Contracts and Agreements
Correspondence
Publication Preparation Records
Staff Meeting Records

Databases

PERFORMANCE MANAGEMENT EVALUATION
TRAINING

Oregon State Archives Records Retention Schedule

Edition: March 2017

Organizational Placement

Schedule Number: 2015-0013

Agency: Department of Consumer and Business Services (DCBS)
Division: Office of the Director
Section: Employee Services
Unit: HR Management Consultation and Employee Relations

Program Description

The HR Management Consultation and Employee Relations Unit provides DCBS with personnel management services, including recruitment, job classification, compensation determinations, and department policies and procedures coordination.

Program Records

None

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records – OAR 166-300-0015

Calendar and Scheduling Records
Correspondence
LEDS Certification Records
Policy and Procedure Guidelines
Public Records Disclosure Request
Staff Meeting Records

Personnel Records – OAR 166-300-0040

Affirmative Action Records	Layoff Records
Collective Bargaining Records	Position Description and Reclassification Records
Criminal Background Check Records	Position Inventory Control System (PICS) Reports
Employee Medical Records	Recruitment and Selection Records
Employee Personnel Records	Volunteer Program Records
Employee Suggestion Award Records	Work Schedules and Assignment Records
Employee Training Records	
Employment Eligibility Verification Form (I-9)	
Equal Employment Opportunity Commission Compliance Records	
Equal Employment Opportunity Complaint Records	
Human Resource Services Division Statistical Reports	

Databases

GRIEVANCE/DISCIPLINE/LAWSUIT/RECLASS
PERSONNEL
RECRUITMENT

Oregon State Archives Records Retention Schedule

Edition: March 2017

Organizational Placement

Schedule Number: 2015-0013

Agency: Department of Consumer and Business Services (DCBS)

Division: Office of the Director

Program: Ombudsman for Injured Workers

Program Description

The Ombudsman for Injured Workers was established as an independent advocate for injured workers under Oregon Revised Statue 656.709. The ombudsman's office assists injured workers in navigating the workers' compensation system by helping them understand their rights and responsibilities, investigating complaints, and acting to resolve those complaints.

Program Records

007 Ombudsman for Injured Workers Quarterly Report to the Governor

Retain permanently, transfer to State Archives after 25 years

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records – OAR 166-300-0015

Business Plan Records

Calendar and Scheduling Records

Correspondence

Financial Records – OAR 166-300-0025

Budget Preparation Records

Databases

BUSINESS CONTINUATION PLANNING SYSTEM

INQUIRY TRACKING SYSTEM

KEY MEASURES SYSTEM

Oregon State Archives Records Retention Schedule

Edition: March 2017

Organizational Placement

Schedule Number: 2015-0013

Agency: Department of Consumer and Business Services (DCBS)

Division: Office of the Director

Program: Small Business Ombudsman

Program Description

The office of the Small Business Ombudsman (SBO) was created in 1990 as part of the package of reforms to Oregon's workers' compensation system. The ombudsman is appointed by the DCBS director, with the concurrence of the Governor, and serves as a workers' compensation resource, assisting small businesses in the areas of insurance and claims processing matters. This includes the intervention, investigation, and resolution of any workers' compensation related issue. Additionally, the office undertakes an educational role to provide information to employers, trade groups, agents, and insurers on relevant workers' compensation issues.

Program Records

008 Employer Files

Retain until business has no activity with the office for 5 years or until office receives notification that the business has closed, destroy

009 Small Business Ombudsman Quarterly Report to the Governor

Retain permanently, transfer to the State Archives after 25 years

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records – OAR 166-300-0015

Calendar and Scheduling Records

Conference, Seminar and Training Program Records

Correspondence

Telecommunications Logs

Databases

BUSINESS CONTINUATION PLANNING SYSTEM

INQUIRY TRACKING

Oregon State Archives Records Retention Schedule

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Organizational Placement

Schedule Number: 2015-0013

Agency: Department of Consumer and Business Services (DCBS)

Division: Building Codes Division (BCD)

Section: Administration

Program Description

The Administration Section provides leadership and oversight of planning, policy development, and coordination of the division's programs and activities. Administration provides support and performs or coordinates work for the administrator and deputy administrator of the division. Administration staff is responsible for organizing and receiving information and materials from division staff, stakeholders, governmental partners, and the general public. Support staff, among other office duties, log, route, and track correspondence and track assignments to division staff. Administration also provides staff support for various task forces both inside and outside the division.

Program Records

010 Performance Measures

Retain 8 years, destroy

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records - OAR 166-300-0015

Attorney General Opinions

Business Plan Records

Calendar and Scheduling Records

Correspondence

Legislative Tracking Records

Policy and Procedure Guidelines and Manuals

Policy Development and Planning Records

Postal Records

Staff Meeting Records

Databases

ACCELA

AMUSEMENT RIDE PERMIT

L2K

MINOR LABEL SALES

MY LICENSE

SIERRA PERMIT SYSTEM

VESSELS

Oregon State Archives Records Retention Schedule

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Organizational Placement

Schedule Number: 2015-0013

Agency: Department of Consumer and Business Services (DCBS)
Division: Building Codes Division (BCD)
Section: Enforcement Services

Program Description

The Enforcement Services Section is responsible for enforcing compliance with BCD licensing rules and statutes throughout the state. The section provides advice and assistance, education, and other resources to local jurisdictions, construction industry professionals, building owners, and the general public regarding BCD licensing statutes and rules. Program staff receive inquiries and complaints from various concerned parties such as unions, contractors, local jurisdictions, and citizens. They perform an initial inquiry to verify facts. The enforcement officers perform a complete investigation. Investigations may result in informal mediation, stipulated orders, consent orders, settlement agreements, notice of civil penalties, administrative hearings, injunctions, and orders of corrective action. The specialty code related boards make final decisions. The board's final orders may be appealed to the Court of Appeals. Criminal charges are referred Oregon's Department of Justice.

Program Records

011 Building Code Violation Complaint and Investigation Case Files

- (a) Retain records of contested cases and cases appealed to court 10 years after case closed, destroy
- (b) Retain records of cases closed by final order 5 years after case closed, destroy
- (c) Retain all other records 1 year, destroy

012 Compliance Litigation Records

Retain 5 years after case closed, destroy

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records – OAR 166-300-0015

Calendar and Scheduling Records

Correspondence

Litigation Records

Databases

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Oregon State Archives Records Retention Schedule

Edition: March 2017

Organizational Placement

Schedule Number: 2015-0013

Agency: Department of Consumer and Business Services (DCBS)

Division: Building Codes Division (BCD)

Section: Fiscal and Customer Services

Program Description

Fiscal and Customer Services provides support services to the division in the areas of reception, accounting, budgeting, purchasing, contracting, and facility maintenance.

Program Records

None

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records - OAR 166-300-0015

Calendar and Scheduling Records

Correspondence

Facilities/Property Records – OAR 166-300-0020

Facility Work Orders

Financial Records – OAR 166-300-0025

Budget Preparation Records

Grant Records Purchasing Records

Receipts Records

Warrants Records

Key Assignment Records

Policy & Procedure Guidelines and Manuals

Visitor Logs

Cash Receipt Records

Personnel Records – OAR 166-300-0040

Recruitment & Selection Records

Databases

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AMUSEMENT RIDE PERMIT

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LICENSE AND ELEVATOR BILLING SYSTEMS

MINOR LABEL SALES

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VESSELS

Oregon State Archives

Records Retention Schedule

Edition: March 2017

Organizational Placement

Schedule Number: 2015-0013

Agency: Department of Consumer and Business Services (DCBS)
Division: Building Codes Division (BCD)
Section: Policy and Technical Services

Program Description

The Policy and Technical Services Section is responsible for the development and administration of statewide building codes (including the Oregon Specialty Code for structural, mechanical, electrical, plumbing, residential, boiler, elevator, manufactured homes, and recreational vehicles) and for the federal Americans with Disabilities Act (ADA). The state building codes are developed through administrative rulemaking process and are adopted by reference as Oregon Administrative Rule (OAR Chapter 918).

The section is responsible for consistent administration of building codes among all the jurisdictions in the State of Oregon. The section is also responsible for issuing interpretation of building codes and alternate method rulings and rendering decisions on code appeals. It processes Oregon Administrative Rule filings and code amendments. In addition, the section prepares and distributes informational brochures, fact sheets, and advisories. Section staff also develops the questions for building trade licensing and certification examinations each time a code is updated.

Program Records

013 Alternate Method Ruling Records

Retain 2 code cycles after approval terminated or repealed, destroy

014 Americans with Disabilities Act (ADA) Waiver and Appeal Records

Retain 2 years, destroy

015 Approved Building Codes

Retain permanently transfer to State Archives after administrative need ends

016 Code Amendment Records

Retain 2 code cycles after repeal of entire code, destroy

017 Code Development Records

(a) Retain hearing video streaming 3 years, destroy

(b) Retain hearing summary records 3 years after summarized or transcribed, destroy

(c) Retain all other records 2 code cycles after repeal of entire code, destroy

018 Code Interpretation Records

Retain interpretations 2 code cycles after repeal of ruling or code, whichever is sooner, destroy

019 Drug Lab “Unfit for Use” Reports

Retain 5 years after certificate of fitness issued, destroy

020 Jurisdiction Delegation Assumption Records, Notice of Inspection Fee Adoption and Appeals

Retain 8 years after changes, notices or appeals, destroy

021 Local Building Department Newsletter

Retain 10 years, destroy

Oregon State Archives Records Retention Schedule

Edition: March 2017

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records – OAR 166-300-0015

Administrative Rule Preparation Records

Calendar and Scheduling Records

Mailing Lists

Publication Preparation Records

Databases

NONE

Oregon State Archives

Records Retention Schedule

Edition: March 2017

Organizational Placement

Schedule Number: 2015-0013

Agency: Department of Consumer and Business Services (DCBS)
Division: Building Codes Division (BCD)
Section: Policy and Technical Services
Unit: Board Support

Program Description

The Board Support Unit provides support to each of the building trade disciplines in the Building Codes Division, including their advisory boards. Board support involves scheduling board meetings, preparing and distributing agendas and packets for members, attending meetings and preparing minutes, and training new members in board procedures. The unit supports the Board of Boiler Rules, Building Codes Structures Board, Residential and Manufactured Structure Board, Mechanical Board, State Plumbing Board, Electrical and Elevator Board, the Construction Industry Energy Board. In 2010, the Legislature combined the Manufactured Structures and Parks Advisory Board into the Residential and Manufactured Structures Board and created a new board: The Construction Industry Energy Board.

Program Records

- 022 Building Codes Structures Board Records [1995 – ongoing], 5 c.f.**
 - (a) Retain permanently, transfer to State Archives after administrative need ends
 - (b) Retain records and video/audio recordings on division website for 5 years then destroy
- 023 Construction Industry Energy Board Records [2010 – ongoing]**
 - (a) Retain permanently, transfer to State Archives after administrative need ends
 - (b) Retain records and video/audio recordings on division website for 5 years then destroy
- 024 Electrical and Elevator Board Records [1994 – ongoing], 5 c.f.**
 - (a) Retain permanently, transfer to State Archives after administrative need ends
 - (b) Retain records and video/audio recordings on division website for 5 years then destroy
- 025 Manufactured Structures and Parks Advisory Board Records [1971 – 2009], 5 c.f.**
 - (a) Retain permanently, transfer to State Archives after administrative need ends
 - (b) Retain records and video/audio recordings on division website for 5 years then destroy
- 026 Mechanical Board Records [2005 – ongoing], 5 c.f.**
 - (a) Retain permanently, transfer to State Archives after administrative need ends
 - (b) Retain records and video/audio recordings on division website for 5 years then destroy
- 027 Plumbing Board Records [1995 – ongoing], 5 c.f.**
 - (a) Retain permanently, transfer to State Archives after administrative need ends
 - (b) Retain records and video/audio recordings on division website for 5 years then destroy
- 028 Residential and Manufactured Structures Board Records [2004 – ongoing], 5 c.f.**
 - (a) Retain permanently, transfer to State Archives after administrative need ends
 - (b) Retain records and video/audio recordings on division website for 5 years then destroy
- 029 Tri-County Building Industry Service Board Records [1999 – 2003], 2 c.f.**
 - (a) Retain permanently, transfer to State Archives after administrative need ends
 - (b) Retain records and video/audio recordings on division website for 5 years then destroy

Oregon State Archives Records Retention Schedule

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State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records – OAR 166-300-0015

Calendar and Scheduling Records

Correspondence

Mailing List Records

Board and Commission Records (OAR 166-350-0010)

Appeal and Review Records

Databases

NONE

Oregon State Archives Records Retention Schedule

Edition: March 2017

Organizational Placement

Schedule Number: 2015-0013

Agency: Department of Consumer and Business Services (DCBS)
Division: Building Codes Division (BCD)
Section: State Inspection Services
Unit: Statewide Services

Program Description

The Statewide Services Unit oversees construction disciplines not covered by the Field Operations program or Prefabricated, Manufactured, and Recreational Vehicle program. The program also oversees the elevator, amusement rides, and boiler programs. Statewide Services reviews plans and performs inspections of passenger and freight elevators, escalators, wheelchair lifts, and other conveyances. Inspections are done at installation and periodically. In addition, Statewide Services regulates the installation, operation, and repair of boilers and pressure vessels for the boiler industry.

Program Records

- 030 Accident and Explosion Records**
Retain 2 years, destroy
- 031 Alternate Method Code Approval Records**
Retain 10 years after substantial completion, destroy
- 032 Amusement Ride Permit Records**
Retain 4 years, destroy
- 033 Amusement Ride Violation Records**
Retain 4 years, destroy
- 034 Boiler and Elevator Permit Records**
 - (a) Retain elevator plan review, permit, and inspection records 3 years, destroy
 - (b) Retain all boiler permit records 4 years, destroy
- 035 Elevator Case Files**
Retain 4 years, destroy
- 036 Minor Label Permit Files**
Retain permit and inspection records 2 years, destroy

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records – OAR 166-300-0015

Calendar and Scheduling Records

Correspondence

Financial Records – OAR 166-300-0025

Receipts

Oregon State Archives Records Retention Schedule

Edition: March 2017

Databases

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AMUSEMENT RIDE PERMIT

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Oregon State Archives Records Retention Schedule

Edition: March 2017

Organizational Placement

Schedule Number: 2015-0013

Agency: Department of Consumer and Business Services (DCBS)
Division: Building Codes Division (BCD)
Section: Statewide Services
Unit: Certification and Licensing

Program Description

The Certification and Licensing program licenses building trade professionals and businesses, and certifies plans examiners and inspectors. Trade professionals and businesses are licensed to do work and their licenses must be renewed on two- or three-year code revision cycles. Plans examiners and inspectors are certified to inspect the work of licensed tradespeople and their certifications are good for life and do not expire. The types of tradespeople who must be licensed include electricians, plumbers, boiler/pressure vessel technicians, manufactured home installers, and elevator technicians. The goal of the program is to provide competent, knowledgeable, and professional building officials, plans examiners, and inspectors for the State of Oregon. The program also reviews and monitors continuing education providers and courses. Certified and licensed people must attend continuing education courses on each new version of the building codes. The codes are generally revised every three years. The program maintains reciprocal licensing and certification agreements with other states to allow tradespeople to work between states without getting additional licenses.

Program Records

037 Plan Examiner (Reviewer) and Inspector Certification Files

Retain 5 years, destroy

038 Tradespeople and Business Licensing and Registration Records

(a) Retain approved or denied applications files 1 year unless litigated, destroy

(b) Retain incomplete files 6 months after last activity, destroy

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records – OAR 166-300-0015

Calendar and Scheduling Records

Correspondence

Conference, Seminar, and Training Records

Financial Records – OAR 166-300-0025

Receipts

Databases

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VESSELS

Oregon State Archives Records Retention Schedule

Edition: March 2017

Organizational Placement

Schedule Number: 2015-0013

Agency: Department of Consumer and Business Services (DCBS)
Division: Building Codes Division (BCD)
Section: Statewide Services
Unit: Field Operations

Program Description

The Field Operations Unit administers building code enforcement in areas of the state where building codes are not administered by local jurisdictions (with the exception of RV parks). Field offices provide building code and permit information to the public and the construction trades industry, review construction plans, issue building permits, and inspect construction sites for building code and permit compliance.

Program Records

039 Construction Permit Records

- (a) Retain completed publicly owned or essential facility (as defined in ORS 455.447) structure permit records for 100 years, destroy
- (b) Retain completed non-publicly owned structure records for 2 years after completion, destroy
- (c) Retain other permit records 2 years after revoked or expired, destroy
- (d) Retain 180 days if no permit issued, destroy

040 Construction Plan Review Case Files

- (a) Retain publicly owned or essential facility (as defined in ORS 455.447) structure records, if permit issued, 100 years, destroy
- (b) Retain non-publicly owned structure records, if permit issued, 2 years after substantial completion, destroy
- (c) Retain 180 days if no permit issued, destroy

041 Inspector Activity Reports (Dailies)

Retain 1 year, destroy

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records - OAR 166-300-0015

Calendar and Scheduling Records

Correspondence

Financial Records – OAR 166-300-0025

Receipts

Databases

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MINOR LABEL SALES

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Oregon State Archives

Records Retention Schedule

Edition: March 2017

Organizational Placement

Schedule Number: 2015-0013

Agency: Department of Consumer and Business Services (DCBS)
Division: Building Codes Division (BCD)
Section: Statewide Services
Program: Prefabricated Structures, Manufactured Structures, and Recreational Vehicles

Program Description

The Prefabricated Structures, Manufactured Structures, and Recreational Vehicle Unit oversees construction disciplines not covered by the Field Operations program or the Statewide Services program. The unit oversees prefabricated structures, manufactured home in-plant, manufactured home consumer assistance, and recreational vehicle programs.

For manufactured homes, the unit reviews designs and construction plans to ensure that manufacturers are complying with plans approved by the Design Approval Primary Inspection Agency (DAPIA) and standards set by the federal Department of Housing and Urban Development (HUD). It inspects manufactured structures at factories and evaluates the effectiveness of manufacturer's quality assurance systems. The unit also inspects dealer lots and mediates consumer complaints of manufactured structures and dealers, and tracks the ownership records for manufactured structures. Statewide Services also provides a quality assurance system for recreational vehicles in and out of the state for RVs sold in Oregon. It reviews designs and constructions plans and does audits and inspections of RVs at factories and dealer lots.

Program Records

- 042 Housing and Urban Development (HUD) Monthly Reports**
Retain 2 years, destroy
- 043 Manufactured Home Ownership Tracking Files**
Retain 6 years, destroy
- 044 Manufactured Structures In-plant and Dealer Lot Inspection Records**
 - (a) Retain records of inspections, 'red-tagging,' and actions, permanently (as defined in 24 CFR 3282.362 (G) (d))
 - (b) Retain all other records 4 years, destroy
- 045 Manufactured Structure Label Issue and Control Records**
 - (a) Retain records of labels issued, applied, removed and replaced, and copies of data plates permanently (24 CFR 3282.362 (G) (d))
 - (b) Retain all other records 4 years, destroy
- 046 Manufactured Structure, Residential, & RV Park Plan Review Files**
 - (a) Retain manufactured structure records, if permit issued permanently (24 CFR 3282.362 (G) (d))
 - (b) Retain 180 days if no permit issued, destroy
 - (c) Retain residential and RV park records 2 years, destroy

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047 Prefabricated Structure Inspection Reports

- (a) Retain publicly owned or essential facility (ORS 455.447) structure records, if permit issued, 100 years, destroy
- (b) Retain non-publicly owned structure records, if permit issued, 2 years after substantial completion, destroy
- (c) Retain 180 days if no permit issued, destroy
- (d) Retain prefabricated structure manufacturer registration records 2 years, destroy

048 Recreational Vehicle and RV Park Plan Review Case Files

Retain 2 years, destroy

049 Recreational Vehicle In-Plant and Dealer Lot Inspection Reports

Retain 2 years, destroy

050 Recreational Vehicle Inspection Reports

Retain 2 years, destroy

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records – OAR 166-300-0015

Calendar and Scheduling Records

Correspondence

Litigation Records

Databases

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SIERRA PERMIT SYSTEM

Oregon State Archives Records Retention Schedule

Edition: March 2017

Organizational Placement

Schedule Number: 2015-0013

Agency: Department of Consumer and Business Services (DCBS)
Division: Central Services Division (CSD)
Section: Financial Services
Unit: Accounting Services

Program Description

The Accounting Services Unit is responsible for processing disbursements, account reconciliation of funds, processing money and credit card payments received for DCBS. The unit processes accounting system input documents, annual financial reports, bank transaction activity, general ledger transactions, Oregon Treasury reports, revenue reclasses, revenue refunds, credit card charges, and credit card refunds for the Department of Consumer and Business Services.

Program Records

None

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records – OAR 166-300-0015

Calendar and Scheduling Records
Correspondence

Financial Records – OAR 166-300-0025

Account Receivable Reports
Account Reconciliation Records
Account Transfer Records
Accounts Payable Records
Accounting Structure Organizational Hierarchy Records
Accounting System Input Documents and Listings and Agency Control Reports
Annual Financial Reports
Bank Statements
Cash Receipt Records
Petty Cash Fund Records
Travel Expense Records
Vendor Reports
Voucher Records
Warrant Records
1099-Miscellaneous Forms Records

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Edition: March 2017

Databases

BUILDING CODES LICENSE & ELEVATOR BILLING (BCDLIC)
CENTRAL ACCOUNTS RECEIVABLE (CARS)
DRAFT QUATERLY FINANCIAL STATEMENT REVIEW
INSURANCE DIVISION FUNDING PROPOSAL
LOIS REVENUE AND RECEIVABLE REPORTS
MONTHLY EXPENDITURE REPORT
REQUIRED MINIMUM CASH BALANCE ANALYSIS

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Organizational Placement

Schedule Number: 2015-0013

Agency: Department of Consumer and Business Services (DCBS)

Division: Central Services Division (CSD)

Section: Administration

Program Description

The Administration Section is responsible for coordination and oversight for the division, and is responsible for fiscal management for DCBS. The section has direct responsibility for the coordination of the division's policies and procedures and the agency's records management program, and signature authorization functions.

Program Records

None

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records – OAR 166-300-0015

Calendar and Scheduling Records

Correspondence

Policy and Procedure Guidelines and Manuals

Policy Development and Planning Records

Signature Authorizations

Information and Records Management Records – OAR 166-300-0030

Records Management Records

Databases

NONE

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Organizational Placement

Schedule Number: 2015-0013

Agency: Department of Consumer and Business Services (DCBS)
Division: Central Services Division (CSD)
Section: Financial Services
Unit: Budget

Program Description

The Budget Unit helps department managers develop and control the biennial budget. It prepares quarterly allotment reports, provides expenditure and cash flow information, prepares fiscal impact analysis, and analyzes fund balances. It also coordinates an internal agency investment council that makes recommendations on fund investment policies.

Program Records

None

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records - OAR 166-300-0015

Calendar and Scheduling Records

Correspondence

Legislative Tracking Records

Financial Records – OAR 166-300-0025

Budget Allotment Reports

Budget Preparation Records

Emergency Board Request Records

Databases

NONE

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Organizational Placement

Schedule Number: 2015-0013

Agency: Department of Consumer and Business Services (DCBS)
Division: Central Services Division (CSD)
Section: Financial Services
Unit: Collections

Program Description

The Collections Unit is responsible for the timely collection of past due funds owed to DCBS. The unit consistently interacts with agency divisions and boards, as well as other state agencies, to pursue collections. The unit has the ability to place liens on real property of outstanding debtors to collect money owed to the agency.

Program Records

- 051 Debtor Case Files**
Retain 4 years after case closed, destroy
- 052 Lien Judgment Records**
Retain 10 years after satisfaction, destroy
- 053 Recorded Injunctions**
Retain 10 years after injunction granted, destroy

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records - OAR 166-300-0015

Calendar and Scheduling Records
Correspondence

Financial Records – OAR 166-300-0025

Account Reconciliation Records

Databases

NONE

Oregon State Archives Records Retention Schedule

Edition: March 2017

Organizational Placement

Schedule Number: 2015-0013

Agency: Department of Consumer and Business Services (DCBS)
Division: Central Services Division (CSD)
Section: Financial Services
Unit: Payroll

Program Description

The Payroll Unit is responsible for processing payroll and employee benefits for the Department of Consumer and Business Services.

Program Records

None

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records - OAR 166-300-0015

Calendar and Scheduling Records

Correspondence

Financial Records – OAR 166-300-0035

Oregon State Payroll Application Reports

Personnel Records – OAR 166-300-0040

Benefit Continuation Records

Employee Benefits Records

Work Schedules and Assignment Records

Databases

EMPLOYEE LEAVE BALANCE TOOL

FMLA/OFLA

Oregon State Archives Records Retention Schedule

Edition: March 2017

Organizational Placement

Schedule Number: 2015-0013

Agency: Department of Consumer and Business Services (DCBS)
Division: Central Services Division (CSD)
Section: Financial Services
Unit: Workers' Compensation Assessments
Program: Premium Assessments

Program Description

Premium Assessments collects and processes assessments charged to insurers, self-insured employers, and self-insured employer groups under ORS 656.612. Premium assessments are used to fund Department of Consumer and Business Services programs such as Workers' Compensation Board, Workers' Compensation Division, Oregon OSHA, Insurance Division, as well as Oregon Health & Science University research on occupational and environmental toxicology. The program sets the annual assessment rate that is based on projected revenues, expenditures, and cash balances.

Program Records

054 Civil Penalties (Self Insured Assessment and Premium Assessment Reports)

Retain 6 years, destroy

055 Premium Assessment Report Records

Retain 6 years, destroy

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records - OAR 166-300-0015

Calendar and Scheduling Records

Correspondence

Databases

PREMIUM ASSESSMENT (PADS)

SELF INSURED ASSESSMENT RECORDS (SIPAR)

CIVIL PENALTIES

Oregon State Archives Records Retention Schedule

Edition: March 2017

Organizational Placement

Schedule Number: 2015-0013

Agency: Department of Consumer and Business Services (DCBS)
Division: Central Services Division (CSD)
Section: Financial Services
Unit: Workers' Compensation Assessments
Program: Worker's Benefit Fund Assessment

Program Description

The Worker's Benefit Fund Assessment Program collects and tracks "cents-per-hour" payroll assessment collected under authority of ORS 656.506. They are reported and paid by employers with other payroll taxes. The assessment fund programs for direct benefits to injured workers and employers who help make it possible for them to return to the workforce.

Program Records

056 Assessment Report Records

Retain 6 years, destroy

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records - OAR 166-300-0015

Calendar and Scheduling Records

Correspondence

Policy and Procedure Guidelines and Manuals

Financial Records – OAR 166-300-0025

Audit Reports

Credit and Debit Receipts

Unclaimed Property Report

Databases

WCTAX

Oregon State Archives Records Retention Schedule

Edition: March 2017

Organizational Placement

Schedule Number: 2015-0013

Agency: Department of Consumer and Business Services (DCBS)
Division: Central Service Division (CSD)
Section: Information Technology & Research (IT&R)
Unit: Research
Program: Bureau of Labor Statistics (BLS) Programs

Program Description

IT&R receives federal grant funds each year through a cooperative agreement with BLS to collect Oregon occupational injury and illness data for two BLS programs: the Survey of Occupational Injuries and Illnesses (SOII), and Census of Fatal Occupational Injuries (CFOI). SOII data are collected via phone, mail, and the Internet. The survey respondent or IT&R staff enter the data into a federal data system. CFOI data are entered into the federal system by IT&R staff from a variety of source documents collected from other agencies, businesses, workers' compensation claim records, and the media. IT&R publishes statistics produced from the survey and CFOI data on the Internet.

Program Records

057 Census of Fatal Occupational Injury Statistical Records

Retain one year after submission of final updated CFOI data file for year referenced, or after a date otherwise specified in a variance to the work statement in the annual cooperative agreement whichever is longer, destroy

058 CFOI Source Documents

Retain 5 years, destroy

059 Cooperative Agreement Application and Supporting Documents

Retain 3 years after the close of the agreement period, destroy

060 Survey of Occupational Injuries & Illnesses Forms and Documents Received from Respondents

Retain 30 days after final Case and Demographic estimates have been generated, destroy

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records – OAR 166-300-0015

Calendar and Scheduling Records

Correspondence

Public Records Disclosure Request Records

Publication Preparation Records

Financial Records – OAR 166-300-0025

Grant Records

Databases

BUREAU OF LABOR STATISTICS SOII AND CFOI DATABASE

DCBS: CLAIMS INFORMATION SYSTEM; EMPLOYER DATA SYSTEM; WCTAX SYSTEM

OREGON EMPLOYMENT DEPARTMENT: UI TAX DATABASE; QCEW DATABASE

Oregon State Archives

Records Retention Schedule

Edition: March 2017

Organizational Placement *Schedule Number: 2015-0013*

Agency: Department of Consumer and Business Services (DCBS)

Division: Central Services Division (CSD)

Section: Information Technology & Research

Program Description

The IT&R Section is the central office that provides a broad range of specialized technical services in the areas of information systems, data analysis/dissemination, and computer/telecommunication services for a large diverse agency. The section staff support the collection, processing, analysis, and dissemination of statewide and regional data about agency programs.

Research Services include policy research and analysis; survey design and administration; actuarial studies; workload, revenue, and expenditure forecasts; data analysis; long-range information needs planning; project management; ad hoc report generation; econometric modeling; complex research studies; decision support and management information report development; report writing; and consultations on research design, sampling plans, and other technical research activities.

Information Technology services include long-range technology needs planning and implementation; project management; analysis of user automation/information requirements; database and application design and implementation; data security; programming; computer operations; production control; testing; training; data communications; hardware and software support; local area network and personal computer support; server installation and maintenance; and service desk staffing for troubleshooting local area network, printer, and personal computer problems and answering user questions.

Program Records

061 Information Analysis Project Records

- (a) Retain one copy of final statistical report permanently, transfer to State Archives after 10 years
- (b) Retain methodology records for unique studies 40 years, destroy
- (c) Retain methodology records for repeated studies, final analysis, results and internal reports for studies, surveys and other analytical projects, and results records used to respond to legislative requests 10 years, destroy
- (d) Retain final analysis and result used to respond to other information requests 2 years, destroy
- (e) Retain all other project records 2 years or until superseded or obsolete, destroy

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records – OAR 166-300-0015

Calendar and Scheduling Records

Correspondence

Public Records Disclosure Request Records

Oregon State Archives Records Retention Schedule

Edition: March 2017

Information and Records Management Records – OAR 166-300-0030

Computer System Maintenance Records
Computer System Program Documentation
Computer System Security Records
Computer System Wiring Records
Information System Planning and Developing Records
Software Management Records
User Support Records

Databases

RESEARCH DATA MART
ALL DCBS

Oregon State Archives Records Retention Schedule

Edition: March 2017

Organizational Placement

Schedule Number: 2015-0013

Agency: Department of Consumer and Business Services (DCBS)
Division: Central Services Division
Section: Operations
Unit: Facilities and Inventory

Program Description

The Facilities and Inventory Unit is responsible for the physical inventory of DCBS and serves as the liaison to the Department of Administrative Services, which owns the DCBS building. The unit also maintains and operates a lease warehouse space for off-site storage and coordinates surplus of excess property items.

Program Records

None

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records – OAR 166-300-0015

Calendar and Scheduling Records

Correspondence

Key Assignment Records

Staff Meeting Records

Facilities/Property Records – OAR 166-300-0020

Asset Inventory Records

Building Records

Damaged/Stolen Property Records

Equipment Maintenance Records

Equipment/Property Disposition Records

Facility Work Orders

Hazardous Substance Employer Survey Records

Master Material Safety Data Sheets

Vehicle Records

Databases

FACET

KEY

Oregon State Archives Records Retention Schedule

Edition: March 2017

Organizational Placement

Schedule Number: 2015-0013

Agency: Department of Consumer and Business Services (DCBS)
Division: Central Services Division (CSD)
Section: Operations
Unit: Procurement/Telecommunications

Program Description

The Procurement/Telecommunications unit assists the Department of Consumer and Business Services (DCBS) divisions in soliciting, selecting and monitoring personal service contracts. The unit prepares interagency, interstate, and intergovernmental agreements. The unit also prepares print orders, copy orders and purchase orders for the department. Telecommunications provides centralized support services to the entire agency's telecommunication systems, including those at field offices. The unit is responsible for the purchase, installation, maintenance, and removal of all phone systems owned by the agency.

Program Records

None

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records – OAR 166-300-0015

Attorney General Opinions
Calendar and Scheduling Records
Correspondence
Contracts and Agreements

Financial Records – OAR 166-300-0025

Competitive Bid Records
Purchasing Records

Databases

CONTRACT
REQUISITION LOG
PRINT/COPY CENTER LOG

Oregon State Archives Records Retention Schedule

Edition: March 2017

Organizational Placement

Schedule Number: 2015-0013

Agency: Department of Consumer and Business Services (DCBS)
Division: Central Services Division
Section: Operations
Unit: Supply and Mail Services

Program Description

The Supply and Mail Services Unit is responsible for coordinating and delivering all agency incoming and outgoing mail and packages to the appropriate destinations. The stockroom manages all conference room setups, cubicle moves and modifications, receiving, warehouse storage, repairs, and fulfillment of all work orders.

Program Records

None

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records – OAR 166-300-0015

Calendar and Scheduling Records
Correspondence
Mailing Lists
Postal Records
Staff Meeting Records

Databases

CERTIFIED MAIL
STOCKROOM SUPPLY
STOCKROOM WORK ORDERS
UPS

Oregon State Archives Records Retention Schedule

Edition: March 2017

Organizational Placement

Schedule Number: 2015-0013

Agency: Department of Consumer and Business Services (DCBS)

Division: Division of Finance and Corporate Securities (DFCS)

Section: Administration

Program Description

The Administration Section provides overall policy direction and administrative guidance to the division. In coordination with Fiscal and Business Services and Employee Services, it performs division-level budget, purchasing, contracting, personnel, training, and first-line computer support functions for the division. It oversees the division's legislative tracking and administrative rules development processes. The section also coordinates the division's public information activities with the Communications Services Section.

Program Records

062 Performance Measures

Retain 8 years, destroy

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records - OAR 166-300-0015

Administrative Rule Preparation Records

Attorney General Opinions

Calendar and Scheduling Records

Correspondence

Legislative Tracking Records

Mailing Lists

Publication Records

Press Releases

Staff Meeting Minutes

Databases

FINANCIAL INSTITUTION REGISTRATION AND ENFORCEMENT (FIRE)

LICENSING, ENFORCEMENT AND REGISTRATION

Oregon State Archives

Records Retention Schedule

Edition: March 2017

Organizational Placement

Schedule Number: 2015-0013

Agency: Department of Consumer and Business Services (DCBS)
Division: Division of Finance and Corporate Securities (DFCS)
Program: Banks, Trusts, and Credit Union
Unit: Depository Institutions

Program Description

The Depository Institutions, Banks, Trusts, and Credit Union Program is responsible for chartering banks, trust companies, savings and loan institutions, and credit unions. The unit conducts examinations of depository institutions to ensure safety and soundness and compliance with consumer protection laws. It also investigates complaints and conducts “for cause” examinations of all regulated institutions. If violations are found, administrative action is taken. Criminal cases are referred to a law enforcement agency, federal regulatory agencies, or both.

Program Records

- 063 Annual Reports of the Division of Finance and Corporate Securities, 1998 – 2001**
 - (a) Retain 1 copy of each annual report permanently, transfer to State Archives after administrative need ends
 - (b) Retain quarterly abstracts 5 years, destroy
- 064 Bank and Trust Company Annual Principals Rosters**

Retain 6 years, destroy
- 065 Banks, Trusts, and Credit Union Examination Reports**
 - (a) Retain final reports and responses 10 years, destroy
 - (b) Retain work papers 7 years, destroy
- 066 Complaint and Investigation Records**
 - (a) Retain investigations 20 years after closed, destroy
 - (b) Retain complaints 5 years, destroy
- 067 Credit Union Lists of Officials**

Retain 6 years, destroy
- 068 Depository Institutions Opinion Letters**

Retain until superseded or obsolete, destroy
- 069 Federal Deposit Insurance Corporation Crime Reports**

Retain 2 years, destroy
- 070 Original Depository Institution Records**
 - (a) Retain original institution and Reserve Depository Appointment records 5 years after merger, destroy
 - (b) Retain failed institution records 10 years after closure, destroy
- 071 Pledged Securities Records**

Retain 1 year after termination of activity and securities released, destroy
- 072 Stock or Cash Dividend Declarations**

Retain 2 years, destroy

Oregon State Archives Records Retention Schedule

Edition: March 2017

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records OAR 166-300-0015

Calendar and Scheduling Records

Correspondence

Publication Preparation Materials

Databases

LICENSING, ENFORCMENT AND REGISTRATION

Oregon State Archives Records Retention Schedule

Edition: March 2017

Organizational Placement

Schedule Number: 2015-0013

Agency: Department of Consumer and Business Services (DCBS)
Division: Division of Finance and Corporate Securities (DFCS)
Section: Enforcement, Securities, and Identity Theft
Unit: Enforcement

Program Description

The Enforcement Unit of the Enforcement, Securities, and Identity Theft Section is responsible for providing consumer protection through enforcement actions. The unit investigates complaints against people, business entities, and corporations licensed or regulated by the division. The unit acts on complaints, referrals from law enforcement and regulatory agencies, and upon information obtained while monitoring the Oregon financial marketplace. If violations are found and it is deemed appropriate to take further steps, the unit initiates administrative or civil action. Criminal referrals are made to law enforcement agencies. In addition, the unit promotes educated and informed investment decisions by Oregonians by providing information to the public with the objectives of educating consumers about the risks of investments and to provide the tools necessary to avoid fraudulent investments and ID theft.

Program Records

- 073 Citizen Complaint and Investigation Files**
(a) Retain investigations 20 years after closed, destroy
(b) Retain complaints 5 years, destroy
- 074 Enforcement Opinion Letters**
Retain until superseded or obsolete, destroy
- 075 Litigation Case Files**
Retain 50 years after closed, destroy

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records - OAR 166-300-0015

Calendar and Scheduling Records
Conference, Seminar, and Training Program Records
Correspondence
Publication Preparation Materials

Databases

CENTRAL REGISTRATION DEPOSITORY
FINANCIAL INSTITUTION REGISTRATION AND ENFORCEMENT (FIRE)
LICENSING, ENFORCEMENT, AND REGISTRATION
INVESTMENT ADVISOR REGISTRATION DEPOSITORY

Oregon State Archives Records Retention Schedule

Edition: March 2017

Organizational Placement

Schedule Number: 2015-0013

Agency: Department of Consumer and Business Services (DCBS)
Division: Division of Finance and Corporate Securities (DFCS)
Section: Enforcement, and Securities, and Identity Theft
Unit: Registration and Licensing

Program Description

The Registration and Licensing Unit provides consumer protection for investors by registering securities offers made in Oregon and licensing businesses with people who sell investment securities and investment advisors. The unit conducts routine field examinations of the books and records and operating practices of securities licensees operating in Oregon to ensure compliance with securities laws. The unit also publishes information for firms entering the securities industry and offers training to the industry about division programs.

Program Records

- 076 Broker-Dealer and Investment Adviser Examination Records**
Retain 7 years or until superseded, destroy
- 077 Broker-Dealer and Investment Adviser Firm License Records**
Retain 9 years after file closed, destroy
- 078 Broker-Dealer and Investment Adviser Surety Bond Records**
Retain 6 years after cancelled, return to insurance company
- 079 Securities Opinion Letters**
Retain until superseded or obsolete, destroy
- 080 Securities Registration Files**
Retain 9 years after closed, destroy
- 081 Securities Salesperson License Files**
Retain 9 years after file closed, destroy

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records - OAR 166-300-0015

Calendar and Scheduling Records
Conference, Seminar, and Training Program Records
Correspondence
Publication Preparation Materials

Databases

CENTRAL REGISTRATION DEPOSITORY
FINANCIAL INSTITUTION REGISTRATION AND ENFORCEMENT (FIRE)
LICENSING, ENFORCEMENT, AND REGISTRATION
INVESTMENT ADVISOR REGISTRATION DEPOSITORY

Oregon State Archives Records Retention Schedule

Edition: March 2017

Organizational Placement

Schedule Number: 2015-0013

Agency: Department of Consumer and Business Services (DCBS)
Division: Division of Finance and Corporate Securities (DFCS)
Section: Financial Services
Unit: Non-Depository Institutions

Program Description

The Non-Depository Institutions Unit of the Financial Services Section licenses or registers appraisal management companies; check cashing businesses; consumer finance companies, including short-term personal loan lenders; collection agencies; pawnbrokers; debt management service providers; money transmitters; and preneed funeral services. The unit conducts examinations of the operations of these entities for compliance with consumer protection laws. It also investigates complaints and conducts “for cause” examinations of all regulated institutions. If violations are found, administrative action is taken. Criminal cases are referred to a law enforcement agency.

Program Records

- 082 Non-Depository Complaint and Investigation Records**
 - (a) Retain investigations 20 years after closed, destroy
 - (b) Retain complaints 10 years, destroy
- 083 Non-Depository Licensee Report**
 - (a) Retain pre-need funeral and cemetery reports 10 years, destroy
 - (b) Retain all other records 5 years, destroy
- 084 Non-Depository Institutions Examination Reports**
 - Retain 7 years, destroy
- 085 Non-Depository Institutions Opinion Letters**
 - Retain until superseded or obsolete, destroy
- 086 Non-Depository Licensing/Registration Records**
 - Retain 10 years after closed, destroy
- 087 Non-Depository Pledged Securities Records**
 - Retain 1 year after termination of activity and securities released or returned on, destroy

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records - OAR 166-300-0015

Calendar and Scheduling Records
Conference, Seminar, and Training Program Records
Correspondence
Publication Preparation Materials

Databases

LICENSING, ENFORCEMENT AND REGISTRATION
L2K FINLIC

Oregon State Archives Records Retention Schedule

Edition: March 2017

Organizational Placement

Schedule Number: 2015-0013

Agency: Department of Consumer and Business Services (DCBS)
Division: Division of Finance and Corporate Securities (DFCS)
Section: Mortgage Lending and Manufactured Structure Dealers (ML)

Program Description

The Mortgage Lending and Manufactured Structure Dealers Section licenses mortgage bankers and brokers, loan originators, and manufactured structure dealers. It also investigates complaints and conducts “for cause” examinations of all regulated institutions. If violations are found, administrative action is taken. The unit also publishes the Mortgage Regulation News to inform the industry of changes in law, administrative actions, and industry-related issues and statistics.

Program Records

- 088 Mortgage Lending (ML) Complaint and Investigation Records**
 - (a) Retain investigations 20 years after closed, destroy
 - (b) Retain complaints 10 years, destroy
- 089 Mortgage Lending (ML) Examination Reports**
Retain 7 years, destroy
- 090 Mortgage Lending (ML) Financial Condition Records**
Retain 10 years after closed, destroy
- 091 Mortgage Lending (ML) Opinion Letters**
Retain until superseded or obsolete, destroy
- 092 Mortgage Lending (ML) Licensee Annual Reports**
Retain 10 years, destroy
- 093 Mortgage Lending (ML) Licensing/Registration Records**
Retain 10 years after closed, destroy
- 094 Mortgage Lending (ML) Pledged Securities Records**
Retain 5 years after termination of activity and securities released or returned, destroy

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records - OAR 166-300-0015

Calendar and Scheduling Records
Conference, Seminar, and Training Program Records
Correspondence
Publication Preparation Materials

Databases

L2K
LICENSING, ENFORCEMENT AND REGISTRATION
NATIONAL MORTGAGE LICENSING SYSTEM

Oregon State Archives Records Retention Schedule

Edition: March 2017

Organizational Placement

Schedule Number: 2015-0013

Agency: Department of Consumer and Business Services (DCBS)

Division: Insurance

Section: Administrative Services

Program Description

The Administrative Services Section provides overall policy direction and administrative guidance to the Insurance Division. The section also advises the DCBS director, who is the state Insurance Commissioner, on insurance regulatory policy and consumer service. It is advised on insurance regulatory issues by the division advisory committee. Administration handles budget, purchasing, contracting, personnel, training, and first-line computer support functions for the division. It oversees legislative tracking and administrative rules development. It also coordinates public information activities and publication preparation with the Communications Services Section. Publications produced by Administrative Services include The Regulator newsletter (titled Informer until 1996). Periodically, Insurance Division bulletins are issued to provide law, rule, or policy interpretation for the insurance industry. The Consumer Protection Unit performs informal mediation on workers' compensation premium audits to resolve disputes between employers and insurers.

Program Records

095 1967 Oregon Insurance Code Revision Records

Retain 140 years, destroy

096 Contested Case Hearings Files

Retain 5 years after resolved, destroy

097 Final Orders (Director's Dockets)

Retain 25 years, destroy

098 Insurance Advisory Committee Records

Retain 2 years, destroy

099 Insurance Division Bulletin Records

Retain 15 years, destroy

100 Performance Measures

Retain 8 years, destroy

101 Premium Audit Hearing Files

Retain 2 years, destroy

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records – OAR 166-300-0015

Administrative Rule Preparation Records

Calendar and Scheduling Records

Correspondence

Legislative Tracking Records

Mailing Lists

Policy and Procedure Guidelines and Manuals

Press Releases

Publication Preparation Records

Oregon State Archives Records Retention Schedule

Edition: March 2017

Staff Meeting Records

Financial Records – OAR 166-300-0025

Budget Preparation Records

Databases

INSURANCE AGENTS LICENSING SYSTEM

Oregon State Archives

Records Retention Schedule

Edition: March 2017

Organizational Placement

Schedule Number: 2015-0013

Agency: Department of Consumer and Business Services (DCBS)

Division: Insurance

Section: Financial Regulation

Program Description

The Financial Regulation Section is responsible for licensing insurance companies to transact business in Oregon. It is charged with making sure companies selling insurance to Oregonians are financially sound and can fulfill their obligations to their customers. The section maintains corporate and financial information on companies' currently selling insurance in Oregon and makes it available to the public. It is advised on regulatory issues by informal internal advisory committees. The section conducts financial examinations (desk audits and field examinations) of insurance companies. It also collects and audits insurance taxes paid by insurers. In addition, the section provides guidance to companies when their financial health is in question. If an Oregon insurance company becomes insolvent, the program assumes control (receivership) of the company to manage its assets on behalf of policyholders.

Program Records

102 Advisory Committee Records

Retain 2 years, destroy

103 Denied Insurer Licensing Applications

(a) Retain application and checklist 2 years, destroy

(b) Retain all other application documentation until withdrawn or denied, destroy

104 Financial Analyst Files

Retain 6 years, destroy

105 Insurance Company Annual Financial Statements

(a) Retain domestic insurer records 25 years, destroy

(b) Retain foreign insurer Oregon pages 8 years, destroy

(c) Retain foreign insurer statements current year, destroy

(d) Retain State Accident Insurance Fund Corporation and subsidiaries annual statements 1 year after superseded or obsolete, destroy

106 Insurance Company Corporate Records

(a) Retain domestic insurer records 35 years after certificate of authority no longer valid, destroy

(b) Retain foreign insurer records 3 years after company closed, destroy

(c) Retain foreign insurer biographical affidavits and holding company registration statements until issuance of certificate of authority, destroy

107 Insurance Company Security Deposit Records

Retain 4 years, destroy

108 Insurance Company Tax Liability Records

Retain 8 years, destroy

109 Insurer Financial Examination Records

(a) Retain domestic insurer examination reports 25 years, destroy

(b) Retain foreign insurer examination reports until superseded or obsolete, destroy

(c) Retain work papers 8 years, destroy

Oregon State Archives

Records Retention Schedule

Edition: March 2017

110 Insurer Receivership Records

- (a) Retain key domestic and foreign insurer records 35 years after court closure, destroy
- (b) Retain non-key domestic insurer records 3 years after court closure, destroy
- (c) Retain non-key foreign insurer records until court closure, destroy

111 Registered Agent Appointments

Retain until superseded or obsolete, destroy

112 Registered Entity Records

- (a) Retain biographical affidavits submitted with discount medical plan until issuance of registration, destroy
- (b) Retain all other records 3 years after license or registration no longer valid, destroy

113 “Schedule P” Workers' Compensation Insurer Premium Records

Retain 4 years, destroy

114 Specialized Coverage Records

Retain 4 years, destroy

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records – OAR 166-300-0015

Calendar and Scheduling Records

Correspondence

Databases

INSURANCE AGENTS LICENSING SYSTEM

PRETAX

Oregon State Archives

Records Retention Schedule

Edition: March 2017

Organizational Placement

Schedule Number: 2015-0013

Agency: Department of Consumer and Business Services (DCBS)
Division: Insurance
Section: Market Regulation
Unit: Consumer Advocacy and Market Surveillance

Program Description

The Consumer Advocacy and Market Surveillance Unit is responsible for protecting the insurance-buying public's interests by resolving complaints against insurance companies, agencies, and producers. It responds to complaints and grievances from consumers to verify the facts and resolve the situation. It may initiate an investigation if a producer (agent), agency, or insurance company has performed illegal activities. Contested case hearings are performed by the Office of Administrative Hearings. The DCBS director, as state's Insurance Commissioner, retains final decision authority. It is advised on consumer protection issues by informal internal advisory committees. The program performs market conduct examinations to determine compliance with the Insurance Code and how insurers treat consumers. Rates and form approval and producer licensing are also part of this program. In addition, the unit provides public information and education on insurance issues and advocates for all insurance consumers' interests with government agencies, public interest groups, and insurance industry groups. The unit provides information on such topics as auto, homeowners, life, health, long-term care, Medicare supplement, and general insurance information.

Program Records

- 115 Adhoc Advisory Committee Records**
Retain 2 years, destroy
- 116 Annual Statements – Market Conduct**
Retain 5 years, destroy
- 117 Complaint Records**
Retain 8 years after resolved, destroy
- 118 Enrollment Reports**
Retain 10 years, destroy
- 119 Investigation Records**
Retain 8 years after resolved, destroy
- 120 Mandatory Health Insurer Reports**
 - (a) Retain Prompt Payment Reports 8 years, destroy
 - (b) Retain all other records 2 years, destroy
- 121 Market Conduct Examination Records**
 - (a) Retain examination reports 15 years, destroy
 - (b) Retain work papers 8 years or until superseded, destroy
- 122 Market Surveillance Records and Analyst Files**
Retain 8 years, destroy
- 123 Patient Protection Grievance Reports**
Retain 5 years, destroy

Oregon State Archives Records Retention Schedule

Edition: March 2017

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records – OAR 166-300-0015

Calendar and Scheduling Records

Correspondence

Publication Preparation Records

Personnel Records – OAR 166-300-0040

Volunteer Program Records

Databases

FILING

Oregon State Archives Records Retention Schedule

Edition: March 2017

Organizational Placement

Schedule Number: 2015-0013

Agency: Department of Consumer and Business Services (DCBS)
Division: Insurance
Section: Market Regulation
Unit: Operations
Program: Producer Licensing

Program Description

The Producer Licensing Unit licenses insurance producers, agencies, and adjusters to do business in Oregon. The unit also establishes licensing requirements, regulates continuing education providers, and monitors continuing education of insurance producers to make certain that producers continue to meet high professional standards. It is advised on producer licensing issues by informal internal advisory committees.

Program Records

124 Adhoc Advisory Committee Records

Retain 2 years, destroy

125 Insurance Producer and Agency License Files

(a) Retain accepted applications 5 years after received, destroy

(b) Retain renewal coupons 2 years, destroy

(c) Retain close out applications 1 year after received, destroy

(d) Retain all other records 2 years from receipt, destroy

126 Insurance Producer Continuing Education Provider and Course Approval Records

Retain until expired, destroy

127 Insurance Producer Termination and Affiliation and Address Change Records

Retain until entered and verified, destroy

128 License Processing Fiscal Records

Retain 1 year after license processed, destroy

129 Special Merit Handling and Felony Waiver Records

(a) Retain felony waiver records 10 years after waiver issued, destroy

(b) Retain all other records 10 years, destroy

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records – OAR 166-300-0015

Calendar and Scheduling Records

Correspondence

Policy Development Planning Records

Databases

INSURANCE AGENTS LICENSING SYSTEM

Oregon State Archives

Records Retention Schedule

Edition: March 2017

Organizational Placement

Schedule Number: 2015-0013

Agency: Department of Consumer and Business Services (DCBS)
Division: Insurance
Section: Market Regulations
Unit: Rates and Forms

Program Description

The Rates and Forms Unit reviews filings to be certain they comply with Oregon insurance laws and rules so that consumers pay fair and nondiscriminatory rates for insurance products. “Rates” are the amounts an insurer charges for insurance products (premiums). “Forms” are policies, rules, illustrations, riders, endorsements, and advertisements. It is advised on rates and forms issues by informal internal advisory committees. The program also informs the industry and the public of health insurance premium rates for various parts of the state by publishing Health Insurance Geographic Average Rates Reports.

Program Records

- 130 Adhoc Advisory Committee Records**
Retain 2 years, destroy
- 131 Health Insurance Geographic Average Rates Reports**
Retain 5 years, destroy
- 132 Insurance Policy and Rate Records**
 - (a) Retain consent to rate property/casualty filings 30 days after policy expires, destroy
 - (b) Retain all other records 30 days, destroy
- 133 Insurance Rating Bureau Polices and Rates and Statistical Reports**
 - (a) Retain forms, rates and statistical reports 5 years, destroy
 - (b) Retain all other records until superseded or obsolete, destroy
- 134 Medicare Supplement and Long Term Care Tax Qualified Policy and Rate Records**
 - (a) Retain rates and forms 3 years, destroy
 - (b) Retain advertisements and correspondence 2 years, destroy
 - (c) Retain all other records 30 days, destroy
- 135 Title Insurance Policy and Rate Records**
 - (a) Retain forms 10 years, destroy
 - (b) Retain rates 5 years, destroy
- 136 Workers' Compensation Insurance Policy and Rate Records**
 - (a) Retain forms 10 years, destroy
 - (b) Retain rates 5 years, destroy

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records – OAR 166-300-0015

Calendar and Scheduling Records
Correspondence

Databases

INSURANCE AGENTS LICENSING SYSTEM

Oregon State Archives Records Retention Schedule

Edition: March 2017

Organizational Placement

Schedule Number: 2015-0013

Agency: Department of Consumer and Business Services (DCBS)

Division: Insurance

Section: Senior Health Insurance Benefits Assistance (SHIBA)

Program Description

The Senior Health Insurance Benefits Assistance (SHIBA) program provides free counseling to people with Medicare and those who assist them. Volunteers who are trained in Medicare can help people select a Medicare prescription drug plan; find out if they are receiving all possible benefits; compare supplemental health insurance policies; review a bill; and file an appeal or complaint. This program is part of the Oregon Department of Consumer and Business Services and is funded by a federal grant.

Program Records

137 Case File Records

Retain until final resolution, destroy

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records - OAR 166-300-0015

Calendar and Scheduling Records

Contracts and Agreements

Correspondence

Policy and Procedure Guidelines and Manuals

Policy Development and Planning Records

Financial Records – OAR 166-300-0025

Competitive Bid Records

Databases

NATIONAL PERFORMANCE REPORTS

Oregon State Archives

Records Retention Schedule

Edition: March 2017

Organizational Placement

Schedule Number: 2015-0013

Agency: Department of Consumer and Business Services (DCBS)
Division: Oregon Occupational Safety and Health Division (Oregon OSHA)
Section: Administration

Program Description

The primary function of the Administrator's Office is to set policy and direct Oregon OSHA's statewide occupational safety and health programs. This includes establishing goals and strategies for reducing occupational injuries, illnesses, and fatalities in Oregon. The administrator works with various management and labor advisory committees to obtain guidance in policy decision making. The administrator also represents Oregon OSHA at the Legislative Assembly and Governor's Office. Since enactment of the Oregon Safe Employment Act in 1973, Oregon OSHA has administered a federally approved occupational safety and health State Plan. Federal OSHA monitors Oregon's State Plan through annual reviews of the agreement. The Appeals Unit conducts informal conferences to attempt resolution on citations issued to Oregon employers. Unresolved citations are referred to the Workers' Compensation Board for formal hearings. By statute, the Oregon Bureau of Labor and Industries (BOLI) conducts 11c discrimination investigations. Oregon OSHA conducts quarterly audits of BOLI's case files to ensure the investigations are thorough and that all elements of the complaint allegations are adequately tested.

Program Records

- 138 11c Discrimination Case Evaluations**
Retain 3 years after evaluation completed, destroy
- 139 Performance Measures**
Retain 8 years, destroy

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records – OAR 166-300-0015

Administrative Rule Preparation Records
Calendar and Scheduling Records
Correspondence
Legislative Development Advisory Committee Records
Legislative Tracking Records
Press Releases
Security Records
Staff Meeting Records

Databases

CASE APPEALS TRACKING
EMPLOYER DATA SYSTEM

Oregon State Archives Records Retention Schedule

Edition: March 2017

Organizational Placement

Schedule Number: 2015-0013

Agency: Department of Consumer and Business Services (DCBS)
Division: Oregon Occupational Safety and Health Division (Oregon OSHA)
Section: Administration
Unit: Communications

Program Description

The Communications Unit is responsible for providing information to the public, division staff, and the media about Oregon OSHA programs. Staff utilizes multiple means of information dissemination, including publications, conferences, workshops, the Web, and media opportunities.

Program Records

140 Photographs, Slides, and Images

- (a) Retain images of excellent quality (publication ready) and images of good quality that depict significant events 20 years
- (b) Retain lesser quality images (out of focus, technically inferior) or images depicting routine events for 5 years, destroy

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records – OAR 166-300-0015

Calendar and Scheduling Records
Correspondence
Press Releases
Publication Preparation Records

Databases

EMPLOYER DATA SYSTEM
All OROSHA databases

Oregon State Archives Records Retention Schedule

Edition: March 2017

Organizational Placement

Schedule Number: 2015-0013

Agency: Department of Consumer and Business Services (DCBS)
Division: Oregon Occupational Safety and Health Division (Oregon OSHA)
Section: Administration
Unit: Internal Education

Program Description

The Internal Education Unit for Oregon OSHA is responsible for education of Oregon OSHA staff about safety laws and best practices.

Program Records

None

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records – OAR 166-300-0015

Business Plan Records
Calendar and Scheduling Records
Conference, Seminar, and Training Program Records
Correspondence
Mailing Lists
Staff Meeting Records

Personnel Records – OAR 166-300-0015

Employee Training Records

Databases

All OROSHA databases

Oregon State Archives Records Retention Schedule

Edition: March 2017

Organizational Placement

Schedule Number: 2015-0013

Agency: Department of Consumer and Business Services (DCBS)
Division: Oregon Occupational Safety and Health Division (Oregon OSHA)
Section: Administrative Services

Program Description

The Administrative Services Section is responsible for division fiscal and business services coordination; facilities management; computer and data support; as well as enforcement citation processing and records management through the Office Operations Unit.

Fiscal and business coordination includes preparing the biennial budget and federal grants; forecasting and monitoring of expenditures; preparing fiscal impacts and legislative requests; preparing of personal services and purchasing contracts; processing requisition and invoices for goods and services; arranging travel and processing reimbursements; and conducting the annual fixed asset of inventory.

Facility support includes coordinating space planning for Oregon OSHA central and field offices, including remodels; relocations and handling lease negotiations; and coordinating repair and maintenance services with landlords. The section also maintains the division's Business Continuity and Recovery Plan.

Computer support includes providing hardware and software support for the data and computer needs for all staff and providing support for the federal NCR IMIS microcomputers, which houses the database Oregon OSHA uses for entering and reporting all enforcement activities.

Program Records

None

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records – OAR 166-300-0015

Correspondence

Professional Membership Records

Financial Records – OAR 166-300-0025

Grant Records

Databases

FACET

Oregon State Archives Records Retention Schedule

Edition: March 2017

Organizational Placement

Schedule Number: 2015-0013

Agency: Department of Consumer and Business Services (DCBS)
Division: Oregon Occupational Safety and Health Division (Oregon OSHA)
Section: Administrative Services
Unit: Office Operations (OFFOP)

Program Description

The Office Operations Unit is responsible for verifying the accuracy of forms and data in all Enforcement Safety and Health complaint and inspection files. Alleged violations found during inspections are issued as citations, which become part of the inspection records. The unit prepares and issues citations, records payments, coordinates collections of receivables with FABS Collections Unit, and responds to all public records requests.

Program Records

141 Complaint Files

- (a) Retain health complaints 30 years, destroy
- (b) Retain safety complaints 10 years, destroy

142 Employer Inspection Files

- (a) Retain health and accident/fatality inspections files 30 years, destroy
- (b) Retain safety inspections files 10 years, destroy
- (c) Retain all other records (“Extra Documents”) until final, destroy

143 Medical Records

- (a) Retain until citation is final, destroy
- (b) Retain 30 days after In-Compliance inspection is closed, destroy

144 Trade Secret Records

- (a) Retain until citation is final, contact employer to return or destroy
- (b) Retain 30 days after In-Compliance inspection is closed, contact employer to return or destroy

145 Undeveloped Inspection Film, Audio, and Videotape Inventory Records

Retain 6 federal fiscal years, destroy

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records – OAR 166-300-0015

Correspondence

Databases

EMPLOYER DATA SYSTEM

COMPLIANCE OFFICER ACTIVITY LOG (COAL)

OSHA IMIS

Oregon State Archives Records Retention Schedule

Edition: March 2017

Organizational Placement

Schedule Number: 2015-0013

Agency: Department of Consumer and Business Services (DCBS)
Division: Oregon Occupational Safety and Health Division (Oregon OSHA)
Section: Consultation and Public Education

Program Description

The Consultation and Public Education Section provides confidential assistance to employers and employees in evaluating work environments and increasing awareness of occupational safety and health in the workplace. Trained safety and health professionals provide services to help employers identify and correct occupational safety and health hazards. Samples may be taken from a worksite for laboratory testing by the Occupational Health Laboratory in Portland. These services are designed to help reduce work-related injuries, illnesses, and fatalities, and the associated high cost of workers' compensation insurance. Section staff also provides information about establishing and running effective safety and health programs in the workplace.

Program Records

146 Annual Consultation Reports
Retain 20 years, destroy

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records – OAR 166-300-0015
Calendar and Scheduling Records
Correspondence

Databases

EMPLOYER DATA SYSTEM (CONSULTATION)

Oregon State Archives Records Retention Schedule

Edition: March 2017

Organizational Placement

Schedule Number: 2015-0013

Agency: Department of Consumer and Business Services (DCBS)
Division: Oregon Occupational Safety and Health Division (Oregon OSHA)
Section: Consultation and Public Education
Unit: Public Education

Program Description

The Public Education Unit for Oregon OSHA is responsible for providing educational opportunities for companies and Oregon OSHA staff to learn about safety laws and best practices. Workshops are offered year-round throughout Oregon. Companies may request on-site presentations and training from this program and several classes are available online. Oregon OSHA also co-sponsors annual stakeholder conferences with an outside organization.

Program Records

None

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records – OAR 166-300-0015

Calendar and Scheduling Records
Conference, Seminar, and Training Program Records
Correspondence
Mailing Lists
Staff Meeting Records

Databases

OSHA EDUCATION (EDU)

Oregon State Archives

Records Retention Schedule

Edition: March 2017

Organizational Placement

Schedule Number: 2015-0013

Agency: Department of Consumer and Business Services (DCBS)
Division: Oregon Occupational Safety and Health Division (Oregon OSHA)
Section: Consultation and Public Education
Program: Safety and Health Achievement Recognition Program (SHARP)

Program Description

The Safety and Health Achievement Recognition Program (SHARP) is a cooperative Oregon OSHA voluntary recognition program that encourages companies to exceed minimum OSHA safety requirements. Companies must meet minimum criteria in order to be eligible to participate in SHARP. The program focuses on seven key areas viewed as necessary to have a comprehensive safety and health program. Those areas are management leadership, employee involvement, administration and supervision, planning and evaluation, hazard anticipation and detection, hazard prevention and control, and safety and health training. After a SHARP participant qualifies for second-year SHARP participation, Oregon OSHA waives the programmed health and safety inspections done by the Health and Safety Enforcement program as long as the companies are in the SHARP program and up to three years after graduating from the SHARP program. Oregon OSHA operates this program under an agreement with federal OSHA.

Program Records

- 147 SHARP Consultative Employer File Records**
Retain 5 years after last consultation activity, destroy
- 148 SHARP Program Reports**
Retain until superseded or obsolete, destroy
- 149 SHARP Tracking Records**
Retain until superseded or obsolete, destroy

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records – OAR 166-300-0015

Calendar and Scheduling Records
Correspondence

Databases

SHARP

Oregon State Archives Records Retention Schedule

Edition: March 2017

Organizational Placement

Schedule Number: 2015-0013

Agency: Department of Consumer and Business Services (DCBS)
Division: Oregon Occupational Safety and Health Division (Oregon OSHA)
Section: Consultation and Public Education
Program: Voluntary Protection Program (VPP)

Program Description

The Voluntary Protection Program (VPP) is a cooperative federal OSHA compliance program that encourages companies to exceed minimum OSHA safety requirements. Companies must meet minimum criteria in order to be eligible to participate in VPP. The program focuses on four key areas viewed as necessary to have a comprehensive safety and health program. Those areas are management leadership and employee involvement, worksite analysis, hazard prevention and control, and safety and health training. In exchange for participation in VPP, OSHA waives the annual health and safety inspections done by the Health and Safety Enforcement program. Oregon OSHA operates this program under an agreement with federal OSHA.

Program Records

150 VPP Application Records

- (a) Transfer accepted applications to the VPP consultative employer file records, destroy dropped or revoked applications (per CSP 03-01-003)
- (b) Return denied applications to employer (per CSP -03-01-003)

151 VPP Consultative Employer File Records

Retain 5 years after last consultation activity, destroy

152 VPP Employer Tracking Record

Retain until superseded or obsolete, destroy

153 VPP Program Reports

Retain until superseded or obsolete, destroy

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records – OAR 166-300-0015

Calendar and Scheduling Records
Correspondence

Databases

VPP

Oregon State Archives Records Retention Schedule

Edition: March 2017

Organizational Placement

Schedule Number: 2015-0013

Agency: Department of Consumer and Business Services (DCBS)
Division: Oregon Occupational Safety and Health Division (Oregon OSHA)
Section: Enforcement
Unit: Health and Safety Enforcement

Program Description

Oregon OSHA's comprehensive Health and Safety Enforcement Unit conducts health and safety inspections of Oregon employer worksites. The Health Enforcement and Safety Enforcement Unit may conduct inspections upon referrals from other agencies, when it receives complaints, when a workplace accident occurs, and as part of an unannounced inspection schedule. All compliance officers follow the Field Inspection Reference Manual policies and Oregon Administrative Rules that outline staff procedures for inspections. Both public and private-sector employers are scheduled for inspections based on Oregon Administrative Rules, directives outlining inspection criteria, and federal OSHA rules. Inspections can result in citations being issued to employers when violations of Oregon occupational safety and health rules are found. Citations may carry monetary penalties. The Health Enforcement and Safety Enforcement Unit also ensures that workers' compensation insurance companies provide their policyholders with occupational safety and health loss-prevention services at no charge. In addition, the unit requires that self-insured employers write and implement occupational health and safety management plans. The Office Operations (OFFOP) Unit processes all citations from enforcement safety, health, and accident inspections.

Program Records

- 154 Employer Follow-up Surveys**
Retain 2 years, destroy
- 155 Fatality Intakes and Logs**
Retain 10 years, destroy
- 156 Field Inspection Reference Manual and Enforcement Policies**
Retain 10 years, destroy
- 157 Inspection Schedule Records**
 - (a) Retain list 1 year, destroy
 - (b) Transfer individual employer schedules to Employer Inspection Records
- 158 Insurer Inspection Program Records**
Retain 5 years, destroy

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records – OAR 166-300-0015

Calendar and Scheduling Records
Correspondence

Databases

COAL
OSHA IMIS

Oregon State Archives Records Retention Schedule

Edition: March 2017

Organizational Placement

Schedule Number: 2015-0013

Agency: Department of Consumer and Business Services (DCBS)
Division: Oregon Occupational Safety and Health Division (Oregon OSHA)
Section: Enforcement and Consultation
Unit: Field Offices

Program Description

The Field Offices Unit is responsible for conducting routine OSHA inspections, accident/fatality response inspections, and employer consultations around the state. When accidents or fatalities occur at a workplace, the field office may choose to have the company self-inspect and report on the incident or may investigate the incident itself. Consultations are done at the employer's request and usually consist of a site visit to examine the areas of concern.

Program Records

- 159 Accident Log and Employer Accident Investigation Reports**
Retain 3 years, destroy
- 160 Complaint Logs, Complaint INTAKE Form, "No Further Action Complaints," and Related Records**
Retain 3 years, destroy
- 161 Compliance Officer Activity Log Records (COAL Records)**
Retain 10 years, destroy
- 162 Consultation Report Records**
 - (a) Retain images, consultation request forms and the reports 5 years, destroy
 - (b) Retain images not used in the report 1 year, destroy
 - (c) Retain request form not resulting in consultation 1 year, destroy
 - (d) Retain Safety and Health Achievement Recognition Program (SHARP) employer reports for 3 years beyond duration of participation in SHARP, destroy
- 163 Undeveloped Inspection Photographic Film and Media (Audio, Photos, Video)**
Retain 1 federal fiscal year, transfer to the Records Management Unit in the DCBS Salem Central Office

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records – OAR 166-300-0015

Calendar and Scheduling Records
Correspondence

Databases

COAL

Oregon State Archives Records Retention Schedule

Edition: March 2017

Organizational Placement

Schedule Number: 2015-0013

Agency: Department of Consumer and Business Services (DCBS)
Division: Oregon Occupational Safety and Health Division (Oregon OSHA)
Section: Policy

Program Description

The Policy Section is responsible for coordinating overall division policy and ensuring overall consistency in the application of policy.

Several processes are coordinated through the Policy Group, including radio signal permits, which are provided to employers to ensure outdoor communication signals in the logging industry/forest activities are free of similar/same signals from other employers working in close proximity; the Agricultural Labor Housing (ALH) Program, which requires employers to register their labor housing with Oregon OSHA; ergonomic outreach to various industries; and violence in the health care industry.

The section formerly made worksite redesign grants to employers, employer and employee groups, and educational institutions and organizations to research and develop innovative solutions to workplace safety and health problems. More recently, the purpose of the grants is to research and develop safe patient handling pilot projects.

Program Records

- 164 Agricultural Labor Housing (ALH)/Farm Labor Camp (FLC) Registration Records**
Retain registrations and data 5 years, destroy
- 165 Customer Satisfaction Surveys Records**
 - (a) Retain surveys 1 year after entered or summarized, destroy
 - (b) Retain survey summaries 10 years, destroy
- 166 Radio Signal Permits**
Retain 3 years after superseded or obsolete, destroy
- 167 State Plan Records [1973 – ongoing], 5 c.f.**
Retain permanently, transfer to State Archives after agreement with federal OSHA is discontinued

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records – OAR 166-300-0015

Correspondence
Contracts and Agreements

Financial Records - 166-300-0025

Grant Records

Databases

AGRICULTURE LABOR HOUSING
RADIO CONTROL DEVICE PERMIT

Oregon State Archives Records Retention Schedule

Edition: March 2017

Organizational Placement

Schedule Number: 2015-0013

Agency: Department of Consumer and Business Services (DCBS)
Division: Oregon Occupational Safety and Health Division (Oregon OSHA)
Section: Policy
Unit: Occupational Health Laboratory

Program Description

The Occupational Health Laboratory Unit analyzes samples collected by field compliance officers and consultants to determine chemical composition and concentrations of hazardous substances. This information is used to determine whether workers are overexposed to these substances. The unit is also responsible for the calibration of equipment used in the laboratory and by field inspectors and consultation personnel statewide. The laboratory is accredited by the American Industrial Hygiene Association.

Program Records

- 168 Laboratory Accreditation Records**
Retain until certification lapses, destroy
- 169 Monthly Statistical Laboratory Report Records**
Retain 10 years, destroy
- 170 Occupational Health Laboratory Records**
 - (a) Retain inspections and consultations 50 years, destroy
 - (b) Retain raw data 3 years, destroy
 - (c) Retain report summaries 1 year, destroy
- 171 Quality Assurance Records**
Retain 2 years after the life of the equipment, destroy

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records – OAR 166-300-0015

Calendar and Scheduling Records
Contracts and Agreements
Correspondence

Policy and Procedure Guidelines and Manuals

Facilities/Property Records – OAR 166-300-0020

Equipment Maintenance Records

Databases

LABORATORY INFORMATION MANAGEMENT SYSTEM (LIMS)

Oregon State Archives Records Retention Schedule

Edition: March 2017

Organizational Placement

Schedule Number: 2015-0013

Agency: Department of Consumer and Business Services (DCBS)
Division: Oregon Occupational Safety and Health Division (Oregon OSHA)
Section: Policy
Unit: Standards and Technical Resources

Program Description

The Standards and Technical Resources Unit is responsible for writing new health and safety standards and providing resources to help employers understand new standards, interpret existing standards, learn the occupational safety and health requirements for a new business, and develop and guide safety committees.

The unit includes a resource center with a technical library, an occupational health and safety audiovisual lending library, and workplace health and safety research assistance.

Program Records

- 172 Adhoc Advisory Committee Records, [1980 – ongoing] 50 c.f.**
Retain permanently, transfer to State Archives after 10 years
- 173 Health and Safety Standard Histories**
Retain 40 years
- 174 Health and Safety Standard Interpretations (Letters of Interpretation)**
Retain 10 years
- 175 Health and Safety Standard Variance Records (Innovative Safety Committee Records)**
Retain 5 years after variance is revoked, destroy
- 176 Program Directives**
Retain until superseded or repealed, destroy
- 177 Technical Library Records**
 - (a) Retain master shelf lists or inventories until superseded or obsolete, destroy
 - (b) Retain circulation records until transaction is complete, destroy

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records – OAR 166-300-0015

Administrative Rule Preparation Records

Calendar and Scheduling Records

Correspondence

Financial Records – OAR 166-300-0025

Grant Records

Databases

All OROSHA databases

Oregon State Archives Records Retention Schedule

Edition: March 2017

Organizational Placement

Schedule Number: 2015-0013

Agency: Department of Consumer and Business Services (DCBS)

Program: Workers' Compensation Board (WCB)

Program Description:

The Workers' Compensation Board is an independent, quasi-judicial agency DCBS. Its mission is to provide timely and impartial resolution of disputes arising under workers' compensation law and the Oregon Safe Employment Act. The board is the appellate body that reviews administrative law judge workers' compensation orders on appeal, exercises own-motion jurisdiction, and reviews claim disposition agreements (compromise and release of workers' benefits). In addition, the board conducts hearings/reviews of appeals from Oregon Department of Justice decisions regarding applications for compensation under the Crime Victim Assistance Program and resolves disputes between workers and workers' compensation carriers arising from workers' civil actions against third parties. The board may also provide policy advice on workers' compensation issues to the DCBS director. With limited exceptions, board orders may be appealed to the Oregon Court of Appeals.

Program Records:

178 Board Records [1986 – present], 6 c.f.

(a) Retain minutes, agendas, bulletins, reports, and exhibits permanently, transfer to State Archives after 10 years

(b) Retain all other records, 5 years, destroy

179 Case Tracking Records

Retain 1 year after case closed, destroy

180 Contested Case File Records

Retain orders (Final Orders, Interim Orders, Settlement Agreements) 60 days after expiration of appeal rights, then transfer to WCD claim file

181 Monthly Report to the Governor

Retain 10 years, destroy

182 Performance Measures

Retain 8 years, destroy

State Agency General Records Retention Schedule Records:

Includes but is not limited to:

Administrative Records - OAR 166-300-0015

Administrative Rule Preparation Records

Calendar and Scheduling Records

Correspondence

Legislative Tracking Records

Policy and Procedure Guidelines and Manuals

Policy Development and Planning Records

Professional Membership Records

Security Records

Databases:

CASE MANAGEMENT SYSTEM DATA ENTRY

WORKERS' COMPENSATION SYSTEM

KEY MEASURES SYSTEM

Oregon State Archives Records Retention Schedule

Edition: March 2017

Organizational Placement

Schedule Number: 2015-0013

Agency: Department of Consumer and Business Services (DCBS)

Division: Workers' Compensation Division (WCD)

Section: Administration

Program Description

Administration provides the division's policy direction and leadership, including rulemaking, policy analysis, budget development and execution, strategic planning, performance measure development, and legislative concept development and tracking.

The Performance Management System provides a means by which WCD can be held accountable for adding value to the workers' compensation system. Through the measurement, analysis, and evaluation of performance data, public officials can identify ways to maintain or improve the efficiency and effectiveness of activities and provide the public with objective information on their results.

Program Records

183 Performance Measures

Retain 8 years, destroy

184 Suspense Letters

Retain 3 years, destroy

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records - OAR 166-300-0015

Administrative Rule Preparation Records

Attorney General Opinions

Calendar and Scheduling Records

Correspondence

Legislative Tracking Records

Policy and Procedure Guidelines and Manuals

Professional Membership Records

Financial Records – OAR 166-300-0025

Budget Preparation Records

Databases

CLAIMS TRACKING SYSTEM

COMPLIANCE AUDITS

NONCOMPLYING EMPLOYERS

KEY MEASURES SYSTEM

PROGRAM UTILIZES ALL WCD DATABASES

Oregon State Archives

Records Retention Schedule

Edition: March 2017

Organizational Placement

Schedule Number: 2015-0013

Agency: Department of Consumer and Business Services (DCBS)

Division: Workers' Compensation Division (WCD)

Section: Operations

Program Description

The Operations Section consists of five teams; Administrative Services, Claim Records, Communications, Policy, and Resource and Technology Services. The teams provide major support to the rest of the divisions in several areas. The section provides centralized coordination for the division related to rulemaking, legislation, bulletins and forms, legal issues, requests for hearings, electronic data interchange, and division projects. Also provided are technical expertise and support related to information technology, personal computers, phones, equipment, and supplies. The section creates and maintains workers' compensation claim data. Section teams maintain the division's websites and provide the public a centralized link within the division through outreach activities. In addition, the section provides for division staff and training need, and provides project management, project facilitation, and reception services.

Program Records

185 Adhoc Advisory Group Records

- (a) Retain agendas, minutes, and exhibits 10 years, destroy
- (b) Retain all other records 5 years, destroy

186 Contested Case Files

Retain 5 years after case closed, destroy

187 Independent Medical Examiner (IME) Continuing Education Course Certification Records

- (a) Retain documents until entered and backed up in the IME computer system, destroy
- (b) Retain all other records until superseded or obsolete

188 Medical Advisory Committee Records

- (c) Retain 10 years, destroy

189 Operations Section Working Files

- (a) Decisions and orders, transfer to workers' compensation claim file
- (b) Non-Appealable decisions or orders, retain working files 60 days after decision issued, destroy
- (c) Non-Appealed decisions or orders, retain working files 60 days after appeal rights expire, destroy
- (d) Appealed decisions or orders, retain working files 60 days after appeal process final, destroy

190 Public Opinion and Satisfaction Surveys Records

- (a) Retain summaries 10 years, destroy
- (b) Retain surveys 1 year after entered in computer or summarized, destroy

191 Public Training Evaluation Forms

Retain 2 years, destroy

192 Workers' Compensation Bulletin

- (a) Retain bulletin and any published attachments for 10 years after the bulletin is inactivated or becomes obsolete, whichever is later, destroy

Oregon State Archives Records Retention Schedule

Edition: March 2017

- (b) Retain other supporting documentation only for the current and prior version of the bulletin, or until the bulletin is eligible for destruction under (a), destroy

193 Workers' Compensation Claim Files

- (a) Retain fatal claims and permanent total disability claims 99 years after the record closure date, destroy
- (b) Retain Workers with Disabilities Program claims 75 years after the record closure date, destroy
- (c) Retain denied claims without litigation 6 months, destroy
- (d) Except as otherwise specified in the special schedule, retain all other Workers' Compensation Claims Files 10 years after the record closure date, destroy

194 Workers' Compensation Industry Notices

Retain 10 years, destroy

195 Workers' Compensation Publications

Retain 10 years after published

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records - OAR 166-300-0015

Administrative Rule Preparation Records
Calendar and Scheduling Records
Conference, Seminar and Training Program Records
Contracts and Agreements
Correspondence
Legislative Tracking Records
Mailing Lists
Postal Records
Publication Preparation Records
Public Records Disclosure Request Records
Telecommunication Logs

Information Management Records –OAR 166-300-0030

Filing System Records
Microfilm Quality Control Records
Records Management Records
User Support Records

Databases

CLAIMS INFORMATION SYSTEM
PROGRAM UTILIZES ALL WCD DATABASES

Oregon State Archives

Records Retention Schedule

Edition: March 2017

Organizational Placement

Schedule Number: 2015-0013

Agency: Department of Consumer and Business Services (DCBS)

Division: Workers' Compensation Division (WCD)

Section: Performance

Program Description

The Performance Section monitors and investigates Oregon employers, insurers, and employees to ensure Oregon's workers' compensation laws are upheld. Based on complaints and information received by the program, staff may investigate employers, insurers, injured workers, vocational providers, medical providers, worker leasing companies, and managed care organizations. Performance staff also perform audits of insurers, employers, and leasing companies to verify that acceptable performances and practices are occurring as they are being reported to the Workers' Compensation Division. It also licenses employee leasing companies and self-insured employers to ensure that they provide workers' compensation coverage for their workers.

As of July 1, 2009, the insurer must provide insurance policy information electronically to the department as the proof of workers' compensation coverage. Performance staff also work with the Information Management Division, National Council of Compensation Insurers, and other insurers to resolve problems and ensure integrity of proof-of-coverage data filed through Electronic Data Interchange transactions and stored in the Employer Coverage (EmpCov) database. Staff also provide training on employer coverage documentation and processing.

Program Records

196 Claim Reserve Audits

Retain 5 years, destroy

197 Employer Guaranty Contracts

Retain 99 years after contract canceled, destroy

198 Employer Interpreted Coverage Source Records

Retain 99 years, destroy

199 Extraterritorial Employer Coverage Records

Retain 2 years, destroy

200 Fraud and Abuse Investigation Case Files

Retain 10 years after case closed, destroy

201 Insurer Premium Assessment Audits

Retain 5 years, destroy

202 Insurer Registration Records

Retain 10 years, destroy

203 Insurer and Self-Insured Employer Annual Timeliness Audits

Retain 5 years, destroy

204 Insurer and Self-Insured Employer Focused Performance Audits

Retain until superseded or obsolete; destroy

205 Managed Care Organization Case Files

Retain 5 years, destroy

206 Managed Care Organization Certification Records

Retain 20 years after terminated, destroy

Oregon State Archives Records Retention Schedule

Edition: March 2017

- 207 Non-Complying Employer Investigation Records**
Retain 3 years after last activity, transfer to Central Services Division, Collections Unit
- 208 Quarterly Claims Processing Performance Reports**
Retain 1 year, destroy
- 209 Reserve Fund Reimbursement Records**
Retain 20 years, destroy
- 210 Self-Insured Employer Certification Records**
Retain 20 years after terminated, destroy
- 211 Worker Leasing Company License Records**
Retain 20 years after terminated, destroy

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records - OAR 166-300-0015

Calendar and Scheduling Records

Correspondence

Databases

EMPLOYER COVERAGE (EMPCOV)

PROGRAM UTILIZES ALL WCD DATABASES

Oregon State Archives

Records Retention Schedule

Edition: March 2017

Organizational Placement

Schedule Number: 2015-0013

Agency: Department of Consumer and Business Services (DCBS)

Division: Workers' Compensation Division (WCD)

Program: Resolution

Program Description

The Resolution Section provides administrative review for workers, employers, and insurers, who disagree on workers' compensation issues, and regulates and delivers return-to-work assistance to injured workers. This includes certification of vocational rehabilitation counselors and registry of vocational rehabilitation organizations.

Resolution Section staff investigate disputed matters and either issues an agreement when the dispute is mutually resolved or issues an appealable order. Resolution Section is responsible for putting into effect standards for rating permanent disability and for developing temporary disability rating standards to address specific disabilities not covered by the standards. Staff also recruit medical arbiters, schedule exams for workers, obtain reports, and investigate complaints against arbiters and physician reviewers.

Program Records

212 Complaints about Medical Arbiter Physicians

Retain 3 years after physician successfully completes division provided training about the medical arbiter process, destroy

213 Contested Case Hearings Records

Retain 5 years after closed, destroy

214 Medical Review Records

Retain 5 years after case closed, destroy

215 Preferred Worker Program Agreement Records

(a) Preferred Worker Program agreements (under ORS. 656.622) including justifications, transfer to workers' compensation claim file

(b) Retain supporting documentation 30 days after the agreement end date or completion date, destroy

216 Resolution Section Working Files

(a) Decisions and orders, transfer to workers' compensation claim file

(b) Non-appealable decisions or orders, retain working files 60 days after decision issued, destroy

(c) Non-appealed decisions or orders, retain working files 60 days after appeal rights expire, destroy

(d) Appealed decisions or orders retain working files 60 days after appeal process is final, destroy

217 Vocational Assistance Provider Registration Records

(a) Retain records of revocation of registration 5 years after the revocation is final, destroy

(b) Retain registration suspension records 3 years after expiration of any suspension, destroy

(c) Retain all other registration records 1 year after expiration of registration, destroy

Oregon State Archives

Records Retention Schedule

Edition: March 2017

- 218 Vocational Rehabilitation Counselor, Vocational Rehabilitation Intern and Return-to-Work Specialist Certification Records**
- (a) Retain records of revocation of certification 5 years after the revocation is final, destroy
 - (b) Retain suspension of certification records 3 years after expiration of any suspension, destroy
 - (c) Retain all other certification records 1 year after expiration of certification, destroy
- 219 Workers' Compensation Reconsideration Records**
- (a) After Orders on Reconsideration are issued, transfer to workers' compensation claim file
 - (b) Retain reconsideration records 5 years after record closure date, destroy
- 220 Workers' Compensation Reclassification Records**
- (a) Retain Denied Reclassification records for 60 days after appeal process is final, destroy
 - (b) Retain Approved Reclassification records for 10 years, destroy

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records - OAR 166-300-0015

Administrative Rule Preparation Records
Calendar and Scheduling Records
Contracts and Agreements
Correspondence
Mailing List Records

Databases

KEY MEASURES SYSTEM
CLAIMS TRACKING SYSTEM
COMPLIANCE AUDITS
EMPLOYER COVERAGE (EMPCOV)
NONCOMPLYING EMPLOYERS
PROGRAM UTILIZES ALL WCD DATABASES