

Department of Administrative Services
Records Retention Schedule 2013-0004
Effective Date: January 2014
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Oregon State Archives Records Retention Schedule

Edition: December 2013

Expires: January 2019

Organizational Placement

Schedule Number: 2013-0004

Agency: Department of Administrative Services
Division: Chief Operating Office
Program: Administration

Program Description

The Chief Operating Office provides leadership and policy direction to the Department of Administrative Services (DAS) and all other state executive branch agencies. The office oversees the agency's internal audit, public affairs, economic analysis, legislative, and performance and project management work. The Director of DAS (a.k.a. Chief Operating Officer, or COO) is appointed by the governor, subject to confirmation by the Oregon Senate, and serves at the pleasure of the governor; the director is supported by an agency deputy director (ORS 184.315 – 184.335). The Chief Operating Office was formerly known as the Director's Office.

The Director of DAS serves on numerous statewide committees and advisory groups, including the Enterprise Leadership Team, which makes recommendations to the governor and COO on long term strategic policies, statewide initiatives, statewide prioritization, communication and budget processes; Financial Estimate Committee, which prepares financial impact statements on statewide election measures (ORS 250.125); Statewide Audit Advisory Committee (SAAC) (see Internal Auditor program); and State Data Center Directors' Advisory Board (see Enterprise Technology Services). The director also facilitates meetings of state agency directors, to keep them apprised of state government news and business. The deputy director also serves on committees and workgroups, including the Enterprise Information Security Advisory Board (see Chief Information Office's Enterprise Security Office); DAS Internal Audit Committee (see Internal Auditor program); Capitol Planning Commission (see Enterprise Goods and Services Division); and the Administrative Business Services Directors Group, which provides leadership and feedback on enterprise business management opportunities.

The 75th Legislative Assembly directed DAS to form a workgroup to make a recommendation on the potential benefits of separating its policy and service functions, and to report on the methodologies used in its agency assessments and service charges (O.L. 2009, Ch. 657, budget note). The Chief Operating Office maintains the official copy of HB 5002 Workgroup's records.

The Oregon Progress Board, created in 1989 to monitor/update Oregon's 20-year strategic vision, was defunded for the 2009-11 biennium (O.L. 2009, Ch. 885, §§18-22; ORS 284.600 et seq.). The Chief Operating Office maintains the Oregon Progress Board's records and publications, including the biennial Oregon Benchmark and Oregon Population Survey reports.

Program Records

- 001 Administrative Business Services Group Records**
Retain 10 years, destroy
- 002 Chief Operating Officer / DAS Director's Presentations, Testimony, and Policy-Related Correspondence, 1951 – [ongoing]** **2 c.f.**
Retain permanently, transfer to State Archives at the conclusion of each administration
- 003 Department of Administrative Services Customer Survey Records**
Retain 6 years, destroy

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- | | | |
|------------|--|----------------|
| 004 | Enterprise Leadership Team Formation and Organizational Records; Meeting Agendas, Exhibits, Minutes and Recaps; and Final Reports, 2011 – [ongoing] | .5 c.f. |
| | Retain permanently, transfer to State Archives after 5 years | |
| 005 | HB 5002 Workgroup Formation and Organizational Records; Meeting Agendas, Exhibits, Minutes and Summaries; and Final Reports, 2009 – 2010 | .5 c.f. |
| | Retain permanently, transfer to State Archives after 5 years | |
| 006 | Oregon Option Records, 1994 – 1999 | .5 c.f. |
| | Retain permanently, transfer to State Archives | |
| 007 | Oregon Progress Board Meeting Records, 1989 – 2011 | .5 c.f. |
| | (a) Retain formation and organizational records, and meeting agendas, exhibits and minutes permanently, transfer to State Archives after 3 years | |
| | (b) Retain audio recordings 1 year after approval of meeting minutes, destroy | |
| 008 | Oregon Progress Board Reports and Publications, 1989 – 2011 | .5 c.f. |
| | (a) Retain publications permanently, transfer to State Archives after 3 years | |
| | (b) Retain executive director quarterly progress reports 30 years, destroy | |
| | (c) Retain research statistics 30 years, destroy | |
| | (d) Retain report/publication records 2 years after completion of final document, 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 Development and Planning Records

Staff Meeting Records

Financial Records (OAR 166-300-0025)

Budget Preparation Records

Databases

None

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Organizational Placement

Schedule Number: 2013-0004

Agency: Department of Administrative Services
Division: Chief Operating Office
Program: Internal Auditor

Program Description

The Internal Auditor fulfills the Department of Administrative Service's responsibility to establish policies for internal audit functions in state government consistent with commonly recognized industry standards and practices, and to ensure the integrity of the internal audit process in state agencies. It reports annually on statewide internal audit activities (ORS 184.360).

The Statewide Audit Advisory Committee (SAAC) was created in 2004 to promote excellence and professional standards in state government internal auditing. SAAC provides statewide guidance, support, reviews and recommendations regarding internal auditing programs and reports; it also advises the Chief Operating Office, and the Director of DAS, who chairs the committee. The program maintains the official copy of SAAC's records (ORS 184.360; OAR 125 Division 700).

Program Records

009 Chief Audit Executive / Internal Audit Directors Meeting Records

- (a) Retain minutes and exhibits 20 years, destroy
- (b) Retain audio recordings 1 year after approval of meeting minutes, destroy

010 Statewide Audit Advisory Committee Records

- (a) Retain annual internal audit activity reports, and meetings agendas, exhibits and minutes 20 years, destroy
- (b) Retain survey records 6 years, destroy
- (c) Retain formation and organizational records 2 years after life of committee, destroy
- (d) Retain meeting audio recordings 1 year after approval of meeting minutes, destroy

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records (OAR 166-300-0015)
Correspondence
Policy and Procedure Guidelines and Manuals
Policy Development and Planning Records
Financial Records (OAR 166-300-0025)
Audit Report Records
Internal Audit Reports

Databases

None

Oregon State Archives Records Retention Schedule

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Organizational Placement

Schedule Number: 2013-0004

Agency: Department of Administrative Services
Division: Chief Operating Office
Program: Legislative Coordination

Program Description

Legislative Coordination provides guidance and training for state agency staff that regularly work with the Governor's Office and Legislative Assembly. It produces a legislative directory every two years (at the beginning of each regular session) that contains contact information for agency legislative staff and guidelines for working with the Legislative Assembly (EO-98-01).

Legislative Coordination hosts the Legislative Information Notification Update System (LINUS), a web-based application that provides state agency access to information from the Office of Legislative Counsel's Oregon Legislative Information System (OLIS). The official copy of the records posted on LINUS are maintained by the state agency account holders. State agency legislative coordinators provide input regarding the operations and needed enhancements of LINUS. The Legislative Coordination program provides training for agency staff involved in the legislative process, offers additional bill tracking updates through legislative coordinator and LINUS listservs, and hosts an informal meeting of legislative coordinators during sessions.

Legislative Coordination works with state agencies to help them accomplish their work with the Oregon Indian Tribal Governments. It fulfills the agency's responsibility to coordinate annual training on tribal issues. In addition, DAS works with the Governor's Office and the Commission on Indian Services to coordinate the Annual State Tribal Government to Government Summit.

The program maintains the Oregon transparency website (www.oregon.gov/transparency), which was created by the Legislative Assembly in 2009 to provide greater access to nonexempt public records regarding state agency revenues, expenditures, contracting and human resources. The official copy of the records posted on the transparency website are maintained by the respective state agencies. The Transparency Oregon Advisory Commission was created to provide the Department of Administrative Services (DAS) with advice and recommendations on the creation, contents and operation of the transparency website, and directed to report biennially to the Legislative Assembly on its performance and enhancements. The commission receives staff support from the agency (O.L. 2009, Ch. 838; ORS 184.483). The Legislative Fiscal Office maintains the official record copy of the Transparency Oregon Advisory Commission's records.

Program Records

- 011 Legislative Concept Request Forms**
Retain 2 years after submission deadline, destroy
- 012 State Agency Legislative Contacts Directory**
Retain 2 years after publication, destroy
- 013 Tribal Coordination Summit Records**
Retain 4 years, destroy

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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
Conference, Seminar, and Training Program Records
Correspondence
Mailing Lists
Meeting Records
Policy and Procedure Guidelines and Manuals
Publication Preparation Records
Staff Meeting Records
Information and Records Management Records (OAR 166-300-0030)
Computer System Maintenance Records
Computer System Program Documentation
Forms Development Records

Databases

LINUS

Oregon State Archives Records Retention Schedule

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Organizational Placement

Schedule Number: 2013-0004

Agency: Department of Administrative Services
Division: Chief Operating Office
Program: Office of Economic Analysis
Unit: Corrections and Oregon Youth Authority Population Forecasting

Program Description

The Office of Economic Analysis (OEA) provides forecasts of the state's economy, revenue, population, corrections population, and Oregon Youth Authority population. The forecasts are used by the Governor's Office, Legislative Assembly, state agencies, and the general public.

The Corrections and Oregon Youth Authority Population Forecasting unit compiles population forecasts of state prison inmates, felony probation caseloads, parole and post-prison supervision caseloads, and local control population. Forecast reports evaluate the impact of major policies on the prison population and overview intake trends. Forecasts are released annually on April 1 and October 1 (ORS 184.351). The forecasting is guided by the Corrections Population Forecast Advisory Committee. Created in 1990, the committee is composed of individuals knowledgeable about the criminal justice system and trends that may affect the offender population (EO-95-06).

The OEA's Corrections and Oregon Youth Authority Population Forecasting unit also compiles the Oregon Youth Authority Demand Forecast, which projects the number of youths who will be committed to the Oregon Youth Authority over the next decade. It forecasts the population of secure youth facilities, accountability camps, work-study camps, and intake. The forecasting is guided by the Juvenile Correction Population Forecasting Advisory Committee, which was created in 1990 and is composed of individuals knowledgeable about the juvenile justice system and trends that may affect the juvenile offender population (EO-08-15; EO-04-02; EO-98-06).

Program Records

- 014 Corrections Population Forecast Advisory Committee Meeting Records**
Retain 20 years, destroy
- 015 Juvenile Correction Population Forecasting Advisory Committee Meeting Records**
Retain 20 years, destroy
- 016 Oregon Corrections Population Forecast Records**
 - (a) Retain final reports and methodologies 20 years, destroy
 - (b) Retain report preparation records 6 years after publication of final report, destroy
- 017 Oregon Youth Authority Demand Forecast Records**
 - (a) Retain final reports and methodologies 20 years, destroy
 - (b) Retain report preparation records 6 years after publication of final report, destroy

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records (OAR 166-300-0015)
Policy and Procedure Guidelines and Manuals

Databases

CORRECTIONS POPULATION
YOUTH AUTHORITY

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Organizational Placement

Schedule Number: 2013-0004

Agency: Department of Administrative Services
Division: Chief Operating Office
Program: Office of Economic Analysis
Unit: Economic and Revenue Forecasting

Program Description

Economic and Revenue Forecasting is the state's primary source for economic and revenue forecasts. The unit is responsible for developing and interpreting economic and revenue forecasts and assessing their implications for state budgeting and strategic decisions. Economic and revenue forecasts are released quarterly.

Economic and Revenue Forecasting provides staff support to the Governor's Council of Economic Advisors, which advises the Governor regarding future economic activity in the State of Oregon from the perspective of academia, business and industry, and financial institutions; the Council of Revenue Forecast Advisors, which reviews and provides suggestions regarding the unit's quarterly economic and revenue forecast reports from the perspective of specialists in accounting, financial planning and economics; and the DAS Economic Advisory Committee, which provides OEA with economic planning and forecasting advice from state agencies. Economic and Revenue Forecasting maintains the official copy of these three group's records.

The Economic and Revenue Forecasting unit also compiles reports for the U.S. Census Bureau on selected state revenues. In conjunction with the Oregon Progress Board, the unit oversaw the biennial Oregon Population Survey (discontinued 2008), which collected representative data from state residents on a variety of social, economic, demographic and opinion topics (see Oregon Progress Board publications, in this division's Administration program).

Program Records

- 018 Census Survey Responses**
Retain 3 years, destroy
- 019 Council of Revenue Forecast Advisors Meeting Records**
Retain 10 years, destroy
- 020 DAS Economic Advisory Committee Meeting Agendas, Minutes and Presentations**
Retain 10 years, destroy
- 021 Economic and Revenue Forecast Methodologies**
Retain 20 years after superseded, destroy
- 022 General Fund Tracking Reports**
Retain 20 years, destroy
- 023 Governor's Council of Economic Advisors Meeting Agendas, Minutes, Presentations**
1981 – [ongoing] 2 c.f.
Retain permanently, transfer to State Archives after 5 years
- 024 Quarterly Economic and Revenue Forecast Records**
1981 – [ongoing] 2 c.f.
 - (a) Retain final reports permanently, transfer to State Archives after 5 years
 - (b) Retain report preparation records 6 years after publication of final report, destroy

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025 Special Reports and Studies
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
Publication Preparation Records

Databases

ECONOMIC
LOTTERY
OREGON POPULATION
REVENUE

Oregon State Archives Records Retention Schedule

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Organizational Placement

Schedule Number: 2013-0004

Agency: Department of Administrative Services
Division: Chief Operating Office
Program: Office of Economic Analysis
Unit: Oregon Highway Cost Allocation Study

Program Description

The Office of Economic Analysis (OEA) manages the Oregon Highway Cost Allocation Study, which determines the fair share that each class of road users should pay for the maintenance, operation and improvement of Oregon's highways, roads and streets; and recommends necessary adjustments to existing tax rates and fees to bring about a closer match between payments and responsibilities for each vehicle class. The biennial study is used by the Legislative Assembly to determine changes in weight-mile and fuel taxes and vehicle registration fees (ORS 366.506).

The Oregon Highway Cost Allocation Study (HCAS) is conducted by consultants to the OEA. The Oregon Department of Transportation provides technical assistance and most of the data and information used in the study. A Study Review Team of outside transportation policy experts identifies key issues to be studied, selects the contractor to conduct the HCAS, and reviews the consultant's analysis and work products. The OEA provides staff support to the Study Review Team and maintains the official copy of its records; it also maintains all records of the HCAS.

Program Records

- 026 Oregon Highway Cost Allocation Study Final Reports**
Retain 20 years after publication, destroy
- 027 Oregon Highway Cost Allocation Study Review Team Meeting Minutes**
Retain 20 years after publication of study, 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
Publication Preparation Records
Financial Records (OAR 166-300-0025)
Competitive Bid Records

Databases

None

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Organizational Placement

Schedule Number: 2013-0004

Agency: Department of Administrative Services
Division: Chief Operating Office
Program: Office of Transformation

Program Description

The Office of Transformation enables the agency to more effectively and efficiently meet the policy and service needs of its stakeholders and customers. The office began its work simultaneously with the HB 5002 Workgroup (see this division's Administration program). Through the Wall-2-Wall Initiative, the office helps the agency accomplish its objectives by bringing a systematic approach to eliminating waste, improving quality, and increasing customer satisfaction using tools such as Lean Six Sigma, a popular quality control methodology.

The Office of Transformation, which completed its work in 2011, conducted and analyzed surveys of agency customers and employees; it also received employee input for the initiative on GovSpace, an internet based collaboration tool (see Application Delivery program, Enterprise Technology Services). With oversight from the Chief Operating Officer, and the Wall-2-Wall Initiative Steering Committee, the program implemented continuous process improvement, data analytics, planning, new management techniques, and ongoing cultural change in the agency.

Program Records

- 028 Lean Project Records [ended 2011]**
Retain 6 years, destroy
- 029 Target Review Quarterly Reports [ended 2011]**
Retain 6 years, destroy
- 030 Wall-2-Wall Initiative Records [ended 2011]**
 - (a) Retain final reports, and steering committee meeting records 10 years, destroy
 - (b) Retain input, performance and survey records 6 years, destroy

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records (OAR 166-300-0015)
Agency Organizational Records
Business Plan Records
Conference, Seminar, and Training Program Records
Contracts and Agreements
Correspondence
Policy and Procedure Guidelines and Manuals
Policy Development and Planning Records
Publication Preparation Records
Information and Records Management Records (OAR 166-300-0030)
Forms Development Records

Databases

Office of Transformation staff accessed all Department of Administrative Services databases, internet based collaboration tools, and information management systems on an as needed basis.

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Organizational Placement

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Agency: Department of Administrative Services
Division: Chief Operating Office
Program: Public Affairs

Program Description

Public Affairs conducts internal and external communications for the Department of Administrative Services (DAS), and coordinates the state's government web publishing. The program administers the official websites of Oregon state government (Oregon.gov) and DAS (Oregon.gov/das), and also supports the Governor's official website (Oregon.gov/Gov).

Public Affairs supports the Governor's communications team, providing message development and news media relations, and serving as a consultant and liaison between the Governor's office and state agencies, boards and commissions. The program is led by the public affairs manager, who chairs the State Communications Council, a monthly informational meeting of department-level communications directors and public information officers. The public affairs manager also chairs the Governor's Message Cabinet, a confidential meeting of major department-level communications officers and the Governor's communications team.

Public Affairs staff coordinate the governor-sponsored State E-Governance Board, which uses collaborative governance to promote consistency of content throughout Oregon.gov web pages. The board addresses issues that arise in the agency's administration of Oregon.gov, providing a connection between the web-related business needs of state agencies, vendor support, and the DAS Electronic Government program (see Enterprise Technology Services). The State E-Governance Board makes decisions regarding the DAS content management system, and its taxonomy, templates and directories. The Public Affairs program supports the work of the State E-Governance Board, publishing guidelines on the creation, use and style of Web 2.0 sites and social networking media, and maintaining the official copy of the board's records.

Public Affairs publishes the agency's internal and external communications, providing graphic design, photography and text/photo editing services. It publishes handbooks and brochures on agency program services; responds to customer website feedback; issues press releases and responds to media requests; compiles and maintains current contact lists; and implements templates and standards for reports and presentations. Public Affairs also responds to agency public records requests; reviews drafts of agency policies, procedures and reports; maintains the agency calendar; and provides DAS website oversight. The program coordinates internal discussion about all DAS communications through the Communications and E-Governance Committees. In support of state agencies, Public Affairs produces writing and editorial guides; and posts selected feature stories, and state office building closure notices, on the DAS website.

Program Records

- 031 Department of Administrative Services Brochures/Handbooks on Agency Services**
Retain 2 years after superseded or obsolete, destroy
- 032 Department of Administrative Services Communications Committee Meeting Agendas, Exhibits and Minutes**
Retain 10 years, destroy

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- 033 Department of Administrative Services E-Governance Committee Meeting Agendas, Exhibits and Minutes**
Retain 10 years, destroy
- 034 Department of Administrative Services External Newsletter (*What's Up at DAS*) [ended 2011]**
Retain 10 years, destroy
- 035 Department of Administrative Services Internal Newsletter (*E-connect*) [ended 2010]**
Retain 10 years, destroy
- 036 State Communications Council Meeting Records**
Retain 20 years, destroy
- 037 State E-Governance Board Records**
 - (a) Retain final reports, and meeting agendas, attachments and recaps 20 years, destroy
 - (b) Retain formation and organizational records 2 years after the life of the board, destroy
- 038 Website Feedback Records**
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
Mailing Lists
Policy and Procedure Guidelines and Manuals
Policy Development and Planning Records
Press Releases
Public Records Disclosure Request Records
Publication Preparation Records
Staff Meeting Records
Financial Records (OAR 166-300-0025)
Vendor Reports Records
Information and Records Management Records (OAR 166-300-0030)
Forms Development Records

Databases

PUBLIC RECORDS REQUEST

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Organizational Placement

Schedule Number: 2013-0004

Agency: Department of Administrative Services
Division: Chief Financial Office
Program: Administration

Program Description

The Chief Financial Office (CFO) is responsible for providing accurate and objective information to state leaders and the general public to enable the wise use of state resources. The Administration section provides support to the entire division, including editing and formatting documents for CFO's Budget Policy program in its preparation of the Governor's recommended budget (see Budget Policy program). Administration coordinates CFO's data collection, compilation, and provision of the biennial state agency fee report for the Legislative Assembly. The fee report lists all fees charged by state agencies, including any fee changes that have occurred (ORS 291.060). Administration also files state agency pre-session bills with the Legislative Assembly (ORS 171.130); and legislative concepts and appropriation bills after the Governor has approved them. Between sessions of the Legislative Assembly, CFO Administration also compiles and submits state agency requests and reports to the Emergency Board and interim Joint Committee on Ways and Means. The Legislative Fiscal Office maintains the official copy of all legislative committee records, including those of the Emergency Board.

In 2008 the Legislative Assembly created the Committee on Performance Excellence to assist state agencies by providing policy review, recognition and recommendations for the funding of proposals that enhance performance in state government. It was charged with establishing criteria for submission and review of continuous improvement projects; working with the Legislative Fiscal Office to establish a process for submitting recommendations to the legislature or Emergency Board for grant funding consideration; and making periodic public reports to the Governor, lawmakers and the general public on the achievement of performance excellence. All state agencies were directed to identify Secretary of State audit recommendations presenting opportunities for continuous improvement, and to report to the committee with plans for their utilization (O.L. 2008 SS, Ch. 7; ORS 182.560 - 182.570). CFO Administration supports the Committee on Performance Excellence and maintains the official copy of its records.

Program Records

- 039 Budget Policy Memo Notebooks [ended 2005]**
Retain 20 years, destroy
- 040 Committee on Performance Excellence Meeting Records and Final Reports**
Retain 20 years, destroy
- 041 Governor's Recommended Budget Supporting Documentation**
Retain 20 years, destroy
- 042 Legislative Concepts and Appropriation Bills**
Retain 4 years after end of legislative session, destroy
- 043 State Agency Fee Requests and Reports**
Retain 6 years after completion of agency fee report, destroy
- 044 State Agency Performance Reports (to the Committee on Performance Excellence)**
Retain 3 years after receipt by the Committee on Performance Excellence, destroy

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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

Policy and Procedure Guidelines and Manuals

Publication Preparation Records

Information and Records Management Records (OAR 166-300-0030)

Forms Development Records

Databases

KPM

STATE AGENCY FEE

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Organizational Placement

Schedule Number: 2013-0004

Agency: Department of Administrative Services
Division: Chief Financial Office
Program: Budget Policy

Program Description

The Budget Policy program prepares the Governor's Recommended Budget, and directs and monitors the development and execution of state agency budgets. The section develops and implements additional statewide strategies to assist agencies in achieving more efficient operational and budgetary savings. It publishes the biennial instructional manual for state agency budget and legislative concept development, and projects the impact of legislative actions and ballot measures on the state's financial situation. Budget Policy analysts work with state agencies throughout the budget development process, examining state agency requested budgets, and making recommendations to the Governor for development of the Governor's Recommended Budget. Budget Policy program staff members are also tasked with explaining the Governor's Recommended Budget to the Legislative Assembly and other interested groups.

The Budget Policy program is also responsible for compiling and maintaining state agency Annual Performance Progress Reports (APPRs), and assisting in the biennial update to agency legislatively approved Key Performance Measures (KPMs) prior to the submission of budget requests to the Joint Ways and Means Committee of the Legislative Assembly (ORS 291.110).

Program Records

- 045 Agency Annual Performance Progress Reports (APPRs)**
Retain 10 years, destroy
- 046 Agency Budget Working Files**
Retain 5 years, destroy
- 047 Budget and Legislative Concept Instructional Manual**
Retain 10 years after publication, destroy
- 048 Governor's Recommended Budgets, 1915 – [ongoing]** **5 c.f.**
Retain permanently, transfer to State Archives after 10 years
- 049 Legislatively Adopted Budgets, 1915 – [ongoing]** **5 c.f.**
Retain permanently, transfer to State Archives after 10 years
- 050 Legislatively Adopted Key Performance Measures (KPMs)**
Retain 50 years, destroy
- 051 Legislation and Ballot Measure Analysis Records**
Retain 12 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

ORBITS

Oregon State Archives Records Retention Schedule

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Organizational Placement

Schedule Number: 2013-0004

Agency: Department of Administrative Services
Division: Chief Financial Office
Program: Capital Finance and Planning

Program Description

Capital Finance and Planning (CFP) manages several independent financing programs and coordinates statewide budgeting for bonds and capital construction. It conducts bonded debt management and development of financing and budgeting strategies to maximize and protect the investment of public funds. CFP carries out the Department of Administrative Service's duties regarding the approval of state Certificates of Participation (COPs), which are the primary source of financing for most state facilities and capital equipment. It also manages other financing programs, including State Lottery Bonds, and Tax Anticipation Notes (TANs) (ORS 283.085 - 283.092; ORS 286A; OAR 122 Division 70). CFP additionally administers the Pension Obligation Bond Program to fund a substantial portion of the state's unfunded pension liabilities.

CFP also provides staff support to the Oregon State Bond Committee, which provides oversight of state programs that issue state financial obligations, including COPs. The committee reviews state agency financing activities, and provides advice and written procedures to ensure that agencies comply with state and federal tax laws and nationally recognized financial reporting standards (EO-98-20). CFP maintains the official copy of the State Bond Committee's records.

Following a six-year suspension of its operations, the Capitol Planning Commission (CPC) was reestablished by the Legislative Assembly in 2009. The nine member commission is charged with adopting and implementing a long-range plan for the state capitol area in Salem; studying the building needs of state agencies in the Salem area; standardizing the development of state buildings and grounds; soliciting public review and comments regarding capital construction projects in the cities of Salem and Keizer; and coordinating its work with the Oregon State Capitol Foundation and the City of Salem. DAS provides the CPC with staff support (2009 O.L. Ch. 896; ORS 276.054 et seq.). The CFP program maintains the official copy of CPC's records.

The Capital Projects Advisory Board (CPAB) assists DAS in its review of state agency capital projects. It provides public review of agencies' long-range plans, facility conditions, funding strategies, and options regarding new facilities. CPAB also provides public review of capital construction projects within the State of Oregon costing \$1 million or more, and leases of 10,000 rentable square feet for a term of ten years or more. CPAB provides the Director of DAS with recommendations to enhance statewide property use and management (ORS 276.227; OAR 125-125-0200). CFP provides staff support to CPAB and maintains the official copy of its records.

The Public Lands Advisory Committee (PLAC) advises DAS on all real property acquisitions, exchanges and dispositions valued at \$100,000 or more, and provides public review of public land transactions statewide. PLAC is composed of seven governor-appointed members (ORS 270.120; OAR 125-045-0250). The CFP program supports PLAC and maintains the official copy of its records.

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The CFP program provides staff support to the Oregon Sustainability Board, which encourages activities that best sustain, protect and enhance the environment, economy and community for the present and future benefit of Oregonians (ORS 184.425). CFP maintains the official copy of the board's records, including its Oregon Sustainability Awards program, which is administered by the Oregon Business Development Department (EO 06-02). CFP also maintains the records of the DAS Sustainability program, which infused a culture of sustainability in state government, fulfilling the agency's responsibility to lead and collaborate with agencies to achieve statewide operations that use, develop and protect resources in a manner that reflects the needs of both current and future Oregonians (ORS 184.421- 184.423), before it was suspended in August 2010.

The Interagency Sustainability Coordinators Network (ISCN), composed of representatives of the top 25 key agencies impacting sustainability, provides a collaborative forum for state agency sustainability projects. The CFP program provides support to ISCN and the Interagency Sustainability Coordinators Network, and maintains the official copy of each group's records.

Program Records

- 052 Bond Sale Transcripts**
Retain 3 years after final repayment received, destroy
- 053 Bond Trustee Statement Reports**
Retain 3 years after final repayment received, destroy
- 054 Capitol Planning Commission Formation and Organizational Records; Meeting Agendas, Exhibits, Minutes and Recaps; and Plans, Reports, Standards and Studies 1949 – 2003; 2009 – [ongoing]** **1 c.f.**
Retain permanently, transfer to State Archives after 5 years
- 055 Capital Projects Advisory Board Reports and Recommendations, and Meeting Agendas, Exhibits and Minutes**
Retain 50 years, destroy
- 056 Certificates of Participation (COP) Approval Records**
Retain 3 years after COP maturity, destroy
- 057 Department of Administrative Services Executive Sustainability Committee Records**
Retain 20 years, destroy
- 058 Department of Administrative Services Biennial Sustainability Reports**
Retain 50 years, destroy
- 059 Federal Arbitrage Compliance Reports**
Retain 3 years after final repayment received, destroy
- 060 Interagency Sustainability Coordinators Network Meeting Records**
Retain 6 years, destroy
- 061 Oregon State Bond Committee Meeting Records and Notebooks**
Retain 6 years, destroy
- 062 Oregon Sustainability Board Records, 2001 – [ongoing]** **1 c.f.**
(a) Retain formation and organizational records; meeting agendas, exhibits, presentations; and final reports permanently, transfer to State Archives after 5 years
(b) Retain agency sustainability reports 10 years, destroy [ended 2007]
- 063 Oregon Sustainability Board State of Oregon Sustainability Awards Records**
Retain applications, award criteria, and winners' information 50 years, destroy

**Oregon State Archives
Records Retention Schedule**

Edition: December 2013

Expires: January 2019

**064 Public Lands Advisory Committee Reports and Recommendations, and Meeting
Agendas, Exhibits, Presentations and Minutes**

Retain 50 years, destroy

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records (OAR 166-300-0015)

Contracts and Agreements

Correspondence

Databases

None

Oregon State Archives Records Retention Schedule

Edition: December 2013

Expires: January 2019

Organizational Placement

Schedule Number: 2013-0004

Agency: Department of Administrative Services
Division: Chief Financial Office
Program: Statewide Accounting and Reporting Services

Program Description

In accordance with generally accepted accounting principles (GAAP), the Statewide Accounting and Reporting Services (SARS) establishes statewide accounting, financial reporting, and fiscal management policies and procedures through the Oregon Accounting Manual (OAM). The SARS program works with state agencies to ready their accounting records for statewide audit, year-end closing, and to facilitate preparation of the state's Comprehensive Annual Financial Report (CAFR) in accordance with GAAP (ORS 291.040).

SARS coordinates federally mandated financial reporting and monitoring requirements for the state. It administers security access for users of the Statewide Financial Management Application (SFMA), Oregon Statewide Payroll Application (OSPA), and the Accounting/Payroll Datamarts. SARS' authority derives at the federal level from 2 CFR 225 (Cost Principles for State, Local, and Indian Tribal Governments, formerly OMB Circular A-87); OMB Circular A-133 (Audits of States, Local Governments, and Non-Profit Organizations); the Internal Revenue Code; and other federal regulations. At the state level, SARS' authority derives from ORS 291 and 293.

SARS also maintains the official copy of the public records of two legacy programs of the DAS State Controller's Division, which was discontinued in June 2012: the Statewide Accounts Receivable Management (SWARM) program, and the Statewide Internal Control program. SWARM was created in 1999 in response to a directive from the Legislative Assembly to provide guidance to state agencies on the collection of past due accounts (O.L. 1999, Ch. 1092). A statewide collections contract with private collection agencies was administered by DAS State Procurement Office, Oregon Procurement Information Network. SWARM provided policy analysis, procedures, best practices, education, and training to state agencies and the Legislative Assembly regarding accounts receivable practices. SWARM also facilitated the activities and maintained the records of the Account Receivable Core Committee, which worked with state agencies to provide a common framework, policies, procedures, and management and reporting standards for the collection of receivables. The Statewide Internal Control program's focus was assisting agencies in establishing and maintaining effective systems of internal financial control. The program worked with state agency internal auditors, financial managers and staff to develop best practices for establishing, evaluating, and monitoring internal controls, including those in the Oregon Accounting Manual and the Internal Control Guidebook for state agencies.

Program Records

- 065 Account Receivable Core Committee (ARCC) and Subcommittee Meeting Records [ended 2012]**
Retain 6 years, destroy
- 066 Agency Files**
Retain 4 years, destroy

Oregon State Archives Records Retention Schedule

Edition: December 2013

Expires: January 2019

- 067 Agency Internal Control Consultation, Evaluation and Research Records [ended 2012]**
Retain 6 years, destroy
- 068 Cash Management Improvement Annual Reports**
Retain 5 years, destroy
- 069 Comprehensive Annual Financial Reports (CAFR), 1979-[ongoing]** **2 c.f.**
Retain permanently, transfer to State Archives after 2 years
- 070 Comprehensive Annual Financial Reports (CAFR) Preparation Records**
Retain 10 years, destroy
- 071 Federal Single Audit and Corrective Action Plan Data Collection Forms; Final Reports; Schedule of Expenditures of Federal Awards (SEFA) Work Papers; and Summary of Schedule of Prior Year Audit Findings Work Papers**
Retain 10 years, destroy
- 072 Federal Sub-Recipient Audit Review Certifications**
Retain 10 years, destroy
- 073 Internal Control Guidebook [ended June 2012]**
Retain 6 years after superseded, destroy
- 074 Newsletter (*First Friday Fraud Facts*) [ended June 2012]**
Retain 15 years, destroy
- 075 Oregon Accounting Manual (OAM) / General Exception Records**
Retain 4 years after superseded, destroy
- 076 Oregon Accounting Manual (OAM) / One-Time Exception Records**
Retain 4 years, destroy
- 077 Oregon Accounting Manual (OAM) Policies**
Retain 6 years after superseded, destroy
- 078 State Property Tax Levy Certification Records**
Retain 20 years, destroy
- 079 Statewide Cost Allocation Plan Records**
Retain 2 years after superseded, destroy

State Agency General Records Retention Schedule Records

Includes but is not limited to:

- Administrative Records (OAR 166-300-0015)
- Conference, Seminar, and Training Program Records
- Contracts and Agreements
- Correspondence
- Publication Preparation Records
- Financial Records (OAR 166-300-0025)
- Oregon State Treasury Reports
- Information and Records Management Records (OAR 166-300-0030)
- Computer System Security Records
- Computer System Program Documentation
- Information System Planning and Development Records

Databases

None

Oregon State Archives Records Retention Schedule

Edition: December 2013

Expires: January 2019

Organizational Placement

Schedule Number: 2013-0004

Agency: Department of Administrative Services
Division: Chief Financial Office
Program: Statewide Audit and Budget Reporting

Program Description

The Statewide Audit and Budget Reporting Section (SABRS) supports the division and state agencies in the preparation and execution of agency budgets. Section responsibilities include administering budget systems, providing technical assistance, auditing budget figures, managing position actions, and controlling allotments.

SABRS works with the Oregon Budget Information Tracking System (ORBITS) and the Position Information Control System (PICS). ORBITS is the vehicle by which all agency budgets are combined into a single Governor's budget and ultimately used for the production of a statewide Legislatively Adopted Budget. PICS is part of the Position-Personnel Data Base (PPDB), a statewide system that stores employee/position information (see Enterprise Human Resource Services, HR Operations and Systems program); PICS updates ORBITS automatically with budgeted position-related expenses. The Collective Bargaining Information System (CBIS) is a forecasting system used by the SABRS program to calculate statewide salary and benefit requirements consistent with budget policy and the collective bargaining process.

Program Records

- 080 Collective Bargaining Forecasting Records**
Retain 30 years, destroy
- 081 Emergency Board Certificates**
Retain 30 years, destroy
- 082 State Agency Budget Allotments**
Retain 8 years, destroy
- 083 State Agency Budget Preparation Audits**
Retain 6 years, destroy
- 084 State Agency Position Reallocation Requests**
Retain 6 years, destroy
- 085 Statewide Budget Reports**
Retain 30 years, destroy

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records (OAR 166-300-0015)
Conference, Seminar, and Training Program Records
Correspondence
Policy and Procedure Guidelines and Manuals
Publication Preparation Records

Databases

ORBITS
PICS

Oregon State Archives Records Retention Schedule

Edition: December 2013

Expires: January 2019

Organizational Placement

Schedule Number: 2013-0004

Agency: Department of Administrative Services
Division: Chief Financial Office
Section: Procurement Policy
Program: Qualified Rehabilitation Facility

Program Description

The Chief Financial Office's Procurement Policy section establishes policy for all Department of Administrative Services (DAS) contracting and purchasing; serves as a liaison between DAS divisions and all contract development entities, including the Procurement Services program (Enterprise Goods and Services) and Oregon Department of Justice; and administers the delegation of contracting authority within the agency (ORS 279A.075; OAR 125-246-0170).

The Chief Financial Office's Qualified Rehabilitation Facility (QRF) contracting program facilitates the state's Products of Disabled Individuals law, which encourages and assists disabled individuals to achieve maximum personal independence through useful and productive gainful employment by assuring an expanded and constant market for sheltered workshop and activity center products and services; and obliges state and local governments, school districts and other tax supported political bodies to purchase goods and services from qualified nonprofit QRFs when the product or service meets their requirements (ORS 279.835 - 279.855). The QRF program identifies public sector contracting opportunities; ensures that QRFs meet state and federal occupational health and safety standards; and facilitates contractual relationships between public agencies and QRFs for the provision of products and services (OAR 125 Division 55).

The QRF program produces directories and guides describing how to do business with QRFs; current availability of QRF products and services (procurement list); and geographical location of certified QRFs. The program also supports the work of the volunteer QRF Advisory Council, which provides recommendations to the Department of Administrative Services (DAS) and the Chief Procurement Officer regarding the administration of the program (OAR 125-055-0010(4)).

Program Records

086 Qualified Rehabilitation Facility Records

- (a) Retain program annual reports 20 years after publication, destroy
- (b) Retain advisory council meeting records 6 years, destroy
- (c) Retain facility application records 6 years after receipt, destroy
- (d) Retain facility price determination records 6 years after finalization, destroy
- (e) Retain suitability and termination records 6 years after expiration or termination of listing on procurement list
- (f) Retain facility procurement list 2 years after superseded or obsolete, destroy

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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

Contracts and Agreements

Correspondence

Mailing Lists

Policy and Procedure Guidelines and Manuals

Publication Preparation Records

Financial Records (OAR 166-300-0025)

Internal Audit Report Records

Information and Records Management Records (OAR 166-300-0030)

Forms Development Records

Databases

QRF PROCUREMENT

Oregon State Archives Records Retention Schedule

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Expires: January 2019

Organizational Placement

Schedule Number: 2013-0004

Agency: Department of Administrative Services
Division: Chief Financial Office
Section: Procurement Policy
Program: Statewide Statutes, Rules and Policies

Program Description

The Statewide Statutes, Rules and Policies program processes requests for delegations, special procurements, public improvement exemptions, and special requests requiring the approval of the Chief Procurement Officer. Delegations of procurement authority identify individuals authorized to conduct procurement on behalf of government agencies, and enable agencies to conduct solicitations, screen and select for evaluation and award determination, purchase directly, sign as a party to the contract; and execute contracts once the required approvals have been received (ORS 279A.075; OAR 125-246-0170). Special Procurements allow contracting agencies to deviate from regular contracting procedures to utilize class special and contract-specific special procurements, provided they meet the standards for fairness, cost savings and public interest (ORS 279B.085; OAR 125-247-0285). Public improvement contract exemptions release agencies from seeking the lowest bids, permitting them to use alternative procurement methods (ORS 279C.335; OAR 125-249-0210). Other special requests include approvals of sole source procurements, brand name specifications, e-filing, and federal program purchases.

The Statewide Statutes, Rules and Policies program offers services to the agencies on a consultation basis; develops and interprets public contracting rules and statewide procurement policies; develops statewide templates; and conducts reviews for compliance. The program also reviews agency contract files and practices for compliance with statutes, rules, and policies. (See Procurement Services in Enterprise Goods and Services for procurement service records.)

Program Records

- 087 Awarded Contractor Files**
Retain 6 years, destroy
- 088 Contract Rule Exemption Records**
Retain 6 years after expiration of exemption authority, destroy
- 089 Contracting Authority Delegation Records**
Retain 6 years after delegation expiration, destroy
- 090 State Procurement Office Newsletter (*SPO News*) [ended 2011]**
Retain 5 years, destroy
- 091 Statewide Procurement Policies and Procedures**
Retain 6 years after superseded or obsolete, destroy

**Oregon State Archives
Records Retention Schedule**

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Expires: January 2019

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records (OAR 166-300-0015)

Administrative Rule Preparation Records

Contracts and Agreements

Correspondence

Policy and Procedure Guidelines and Manuals

Policy Development and Planning Records

Databases

ORPIN

Oregon State Archives Records Retention Schedule

Edition: December 2013

Expires: January 2019

Organizational Placement

Schedule Number: 2013-0004

Agency: Department of Administrative Services
Division: Chief Human Resources Office
Program: Administration

Program Description

The Department of Administrative Services Chief Human Resources Office (CHRO) provides direction and services to promote a stable and qualified workforce in state government. CHRO oversees state agencies' human resource functions: classification and compensation; management and consultation; systems (linking human resource management and technology); labor relations; personnel recruitment; and training and development. Statewide implementation is led by CHRO Administration, and executed by the division's five programs: Classification and Compensation; Human Resource Policy; Labor Relations; Executive Recruitments; and Workforce Development. CHRO's primary operating authority is found in ORS 184.305(5); ORS 240; ORS 243; and OAR 105. CHRO was formerly known as the Human Resource Services Division.

CHRO Administration maintains the records of the state Employee Suggestion Awards program, which was defunded by the agency in 2009 due to budget cuts; it also maintains the records of the governor-appointed Employee Suggestions Awards Commission, which was responsible for making final determinations regarding employee suggestion awards (ORS 182.310 - 182.360).

Program Records

092 Employee Suggestion Awards Records

- (a) Retain Employee Suggestions Awards Commission meeting agendas, exhibits and minutes, and Employee Suggestion Awards program final reports 20 years, destroy
- (b) Retain adopted suggestion records 4 years after submission, destroy
- (c) Retain non-adopted suggestion records 2 years after submission, destroy

093 Human Resource Services Division Annual Reports, 1950-1991 2 c.f.

Retain permanently, transfer to State Archives

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
Policy and Procedure Guidelines and Manuals
Policy Development and Planning Records
Publication Preparation Records
Staff Meeting Records

Databases

PPDB

Oregon State Archives Records Retention Schedule

Edition: December 2013

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Organizational Placement

Schedule Number: 2013-0004

Agency: Department of Administrative Services
Division: Chief Human Resources Office
Program: Classification and Compensation

Program Description

Classification and Compensation is responsible for maintaining the state's compensation plan for classified, unclassified and management service positions; and developing and maintaining the state's classification system (ORS 240.190 et seq.; OAR 105 Division 20). Classification and Compensation compiles the classification specifications for all state employment; conducts classification studies; and issues classification guides for agency use. In cooperation with state agencies, it conducts compensation surveys and position benchmarking.

Classification and Compensation provides staff support to the Central Evaluation Team (CET). Composed of agency employees experienced in statewide job evaluations and occupations, the CET evaluates all job classifications; agency head positions; director and executive secretary board and commission positions; and paid, full-time board and commission member positions using the Hay Method of job evaluation. CET evaluations become the framework for position allocation. The CET evaluates new or significantly changed classification specifications. Classification and Compensation maintains the CET's records.

Classification and Compensation also assists the Public Officials Compensation Commission (POCC), which reviews and makes recommendations to the Legislative Assembly regarding the annual salary to be paid during the next biennium to Oregon's statewide elective office holders, legislators, and appellate judges (ORS 292.907 - 292.930). POCC's membership includes six individuals selected by lot from the elector registration records (OAR 165 Division 100). The HRSD Classification and Compensation program maintains the official copy of POCC's records.

Program Records

094 Agency, Board and Commission Compensation Files

Retain until superseded or obsolete, destroy

095 Central Evaluation Team (CET) Records

(a) Retain position evaluation records 75 years, destroy

(b) Retain meeting records 10 years, destroy

096 Classification Records

(a) Retain classification study records 15 years after completion of study, destroy

(b) Retain classification specification records 10 years after last classification use, destroy

(c) Retain classification guides 2 years after superseded or obsolete, destroy

097 Compensation Records

(a) Retain compensation plans 75 years, destroy

(b) Retain compensation surveys 2 years after superseded or obsolete, destroy

098 Principal/Executive Manager (PE/M) Benchmark Reports

Retain 10 years after superseded or obsolete, destroy

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099 Public Officials Compensation Commission Records

- (a) Retain recommendations and reports, and meeting agendas, exhibits and minutes 75 years, destroy
- (b) Retain meeting audio recordings 2 years after approval of meeting minutes, 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
Publication Preparation Records
Staff Meeting Records
Personnel Records (OAR 166-300-0040)
Comparable Worth Study Records

Databases

PPDB

Oregon State Archives Records Retention Schedule

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Organizational Placement

Schedule Number: 2013-0004

Agency: Department of Administrative Services
Division: Chief Human Resources Office
Program: Executive Recruitments

Program Description

The Executive Recruitments program provides leadership and services to advance workforce development systems in state government. It implements statewide technology applications in the recruiting and learning management fields; develops statewide content, standards and practices for electronically-supported learning and teaching; and provides central training for information technology professionals, end-users of computer software, and project managers.

Executive Recruitments provides recruitment services for state agencies and prospective employees, coordinating with agency personnel offices on the development of recruiting announcements to notify and produce qualified applicant pools to fill agency vacancies. Recruitments are conducted for classified, management, and executive service categories.

The program develops and distributes paper and electronic employment announcements; receives, screens and grades applications; and creates and maintains records for hired applicants. Position vacancy and applicant data is entered into the online Oregon E-Recruit System, which replaced the legacy Applicant Recruitment and Certification (APPL/CERT) system in 2010 (see Enterprise Human Resource Services, HR Operations and Systems program). E-Recruit uses an integrated recruitment, selection and applicant tracking system called NEOGOV Insight.

The official copy of all recruitment and selection records, including those entered in the Oregon E-Recruit System, are maintained by the respective agency appointing authorities, and not Executive Recruitments. Recruitment and selection records include employment announcements; position descriptions; employment applications; interview records; test records; and applicant background check records (ORS 240.306; OAR 105 Division 40; OAR 166-300-0040(19)).

Program Records

100 Employment Applications and Test Records

Transfer to recruiting agency; retain copy 2 years, destroy

101 Recruitment Summary Records

Retain 10 years, destroy

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records (OAR 166-300-0015)

Contracts and Agreements

Correspondence

Information and Records Management Records (OAR 166-300-0030)

Information System Planning and Development Records

Databases

E-RECRUIT

Oregon State Archives Records Retention Schedule

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Organizational Placement

Schedule Number: 2013-0004

Agency: Department of Administrative Services
Division: Chief Human Resources Office
Program: Human Resource Policy

Program Description

The Human Resource Policy program (HRP or HR Policy) is responsible for maintaining a system of human resource administration for state government in compliance with state and federal law. It develops and implements the state's workforce management plan; develops and administers the administrative rules regarding state agency personnel (OAR 105; ORS 240.145); and develops and maintains all statewide policies on human resources (Rule and Policy Manual). HRP provides consulting services and technical assistance to state agency human resource offices; and produces a variety of statistical reports regarding state agency personnel.

HRP also oversees the HR Audits program, which reviews state agency personnel activities to identify statutory, regulatory and policy compliance issues; and provides state agencies with direction on necessary corrective actions. HR Audits performs two types of audits: classification and issue-specific. Classification audits review allocations of classifications; PPDB data; and current position descriptions and corresponding organizational charts. They include interviews with position incumbents and supervisors to determine the appropriate classification, Federal Labor Standards Act (FLSA) exemption designation, and the type of service. Issue-specific audits examine other human resource management practices, such as compensation; recruitment and selection; appointment to state service; and workforce management. HR Audit finding letters and reports are sent to the respective state agencies; and summarized audit findings are published online on the DAS/CHRO website. HR Audits program staff also participate in special studies and reviews at the request of the Governor, Legislative Assembly, or individual state agency.

Program Records

- 102 Agency Investigation Records**
Retain 10 years after completion of investigation, destroy
- 103 Agency Personnel Statistical Reports (from PPDB)**
Retain 10 years, destroy
- 104 Agency Policy-Exception Records**
Retain 10 years after withdrawal or cancellation of policy exception, destroy
- 105 Audit Finding Letters and Reports, Preliminary and Final**
Retain 10 years, destroy
- 106 Audit Program (HR Policy Program) Reports to the Legislative Assembly**
Retain 6 years, destroy
- 107 Audit Records (HR Classification and Issue-Specific)**
Retain 6 years after completion of audit, destroy
- 108 Statewide and Agency-Specific Advice Letters and Issue Guides**
Retain 10 years, destroy
- 109 Statewide Human Resource Policies and Policy Transmittal Records**
Retain 20 years after policy superseded or revoked, destroy
- 110 Statewide Human Resource Policy Development Records**
Retain 10 years after policy superseded or revoked, destroy

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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
Policy and Procedure Guidelines and Manuals
Policy Development and Planning Records
Publication Preparation Records
Staff Meeting Records
Information and Records Management Records (OAR 166-300-0030)
Forms Development Records
Records Management Records

Databases

AGENCY-SPECIFIC
CLASSIFICATION
ISSUE-SPECIFIC
PPDB

Oregon State Archives Records Retention Schedule

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Organizational Placement

Schedule Number: 2013-0004

Agency: Department of Administrative Services
Division: Chief Human Resources Office
Program: Labor Relations

Program Description

Labor Relations represents all executive branch agencies in collective bargaining negotiations with the bargaining units of exempt, unclassified and classified employees, with the exception of certain unclassified employees governed by ORS 240.240. It administers collective bargaining agreements covering state employees represented by various labor organizations (ORS 243.696).

It also conducts collective bargaining negotiations for agreements covering certain non-state worker bargaining units: Home Care Workers, on behalf of the Home Care Commission (pursuant to ORS 410.612); two Child Care Provider bargaining units, on behalf of the State of Oregon (ORS 657A.430); and the Adult Foster and Relative Care Provider unit (ORS 433.733).

Labor Relations works routinely with Oregon Department of Justice attorneys, obtaining legal advice on untested areas of labor law and interpretation of new case standards; and it conveys the direction employers want to proceed in cases before arbitrators, courts, and the Employment Relations Board. In compliance with Oregon's Public Employees Collective Bargaining Act (ORS 243.650 - 243.782), Labor Relations staff appear before the Employment Relations Board for representation elections, unfair labor practice hearings, and mediation processes in which contract interpretations are achieved or tested; records are maintained by the respective parties.

Labor Relations develops relationships between state government and its employees; ensures consistent good faith bargaining and negotiation between parties; prevents the interruption of state services; and resolves employee grievances through negotiated settlements and arbitration. Program staff also provides advice, assistance, training and resources to state agency managers and personnel to help avoid and eliminate the causes of employment grievances.

Program Records

- 111 Arbitration Decisions / Contract Interpretation and Discipline/Discharge Cases**
Retain 75 years after case closed, destroy
- 112 Case Briefs / Contract Interpretation Grievance Arbitration Cases**
Retain 75 years, destroy
- 113 Case Briefs / Discipline and Discharge Grievance Arbitration Cases**
Retain 15 years, destroy
- 114 Collective Bargaining Contract Records**
Retain contracts, proposals, advisory letters, and agency team notes 75 years, destroy
- 115 Collective Bargaining Grievance Case Files**
 - (a) Retain contract interpretation cases 15 years after case closure, destroy
 - (b) Retain discipline and discharge cases for period of time prescribed in applicable collective bargaining agreement, or 3 years after case closure, whichever is longer, destroy

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116 Collective Bargaining Grievance Resolution Records (non-Arbitration)

- (a) Retain precedential case files 75 years, destroy
- (b) Retain non-precedential case files 3 years, destroy

117 Newsletters (*Management Insight*)

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

Conference, Seminar, and Training Program Records

Correspondence

Legislative Tracking Records

Policy and Procedure Guidelines and Manuals

Information and Records Management Records (OAR 166-300-0030)

Forms Development Records

Records Management Records

Databases

GRIEVANCE AND ARBITRATION LOGS

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Expires: January 2019

Organizational Placement

Schedule Number: 2013-0004

Agency: Department of Administrative Services
Division: Chief Human Resources Office
Program: Workforce Development

Program Description

Workforce Development provides technical training and professional development to state government employees statewide. It administers iLearnOregon, a web-based learning management system that provides a platform for course registration, training, transcript tracking, certification and license management, collaboration, and workforce development. The program also uses iLincOregon, a statewide web-based learning environment that delivers classroom content in a virtual setting and allows users to collaborate with instructors and other attendees. Ownership and management of iLincOregon transferred from the Department of Administrative Services to the Oregon University System, OSU Managed Communications Services in 2010.

The program supports and maintains the official records of the Enterprise Learning Management System User Group, which serves as a forum for issue identification and resolution, decision making, policy guidance, and process improvements for the state's enterprise learning management system (iLearnOregon). The council is composed of state agency representatives.

Workforce Development coordinates the Oregon Project Management Certification Program, which develops project management leaders in state and local government by building relationships with successful project managers. Developed in cooperation with state agencies, the program is offered at various locations in Salem and Portland, and offers the Oregon Project Management Associate certification; Workforce Development maintains its official records.

Program Records

118 Enterprise Learning Management System User Group Meeting Records
Retain 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
Conference, Seminar, and Training Program Records
Contracts and Agreements
Correspondence
Mailing Lists
Staff Meeting Records
Information and Records Management Records (OAR 166-300-0030)
Computer System Program Documentation

Databases

ILEARN
ILINC

Oregon State Archives Records Retention Schedule

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Expires: January 2019

Organizational Placement

Schedule Number: 2013-0004

Agency: Department of Administrative Services
Division: Chief Information Office (CIO)
Program: CIO Administration

Program Description

The Chief Information Office (CIO) leads the planning, management and policy development for information resources across state government. Between September 2006 and July 1, 2012, the CIO Division was known as the Enterprise Information Strategy and Policy Division (EISPD). Before September 2006, EISPD was known as the Information Resources Management Division (IRMD). The CIO administrator serves as Oregon's Chief Information Officer (State CIO).

The State CIO and Deputy State CIO are the primary communication links between the CIO Division and external groups, including CIO Councils, national organizations, private sector vendors, and other agencies. The State CIO serves as chair of the CIO Management Council (CIOMC), which prepares concepts for and supports the work of the Chief Information Officer Council (CIOC), a forum for state and local government agency CIOs and information technology (IT) leaders to collaborate in the management of information resources across state government. (See CIO Division's Information Technology Investment and Planning (ITIP) section for CIOC and CIOMC records.)

The CIO Administration program serves as the Office of the State CIO. It provides leadership and strategic direction for enterprise IT governance bodies and initiatives; and leads, directs and supports all of the CIO sections and programs. CIO Administration directs, manages and supports the CIO Division's administrative and financial operations, including strategic and business planning; budget, financial, and contract management; business case development; project coordination and management; information systems oversight; performance measurement and benchmarking; and legislative tracking and fiscal impact statement development.

The E-Government Portal Advisory Board advises the agency on the development of electronic government portals for state agencies; collection of convenience fees by DAS or contracted providers; usability of current electronic government portals; and ways to improve government services through electronic portals (O.L. 2009, Ch. 829 §2; ORS 182.128). (See Enterprise Technology Services Division, Application Delivery program, for related records.)

The CIO Administration program maintains the official copy of EISPD program records, as well as legacy records regarding IRMD programs and services that have not otherwise been continued or superseded by active DAS programs; records include those of the Health Insurance Portability and Accountability Act (HIPAA) Executive Steering Committee, IRMD Project Management Office and Statewide Year 2000 Project Office. The CIO Division's statutory authority is found in ORS Chapters 171, 182, 184, 190, 283, 291, and 293.

Program Records

119 Advisory Council Records [Statewide Year 2000 Project Office, ended 2001]
Retain 25 years after January 1, 2000, destroy

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- 120** **Communications Forum Agendas [Statewide Year 2000 Project Office, ended 2001]**
Destroy
- 121** ***Communi-Y2K* and *QuickRisk* [Statewide Year 2000 Project Office, ended 2001]**
Retain 25 years, destroy
- 122** **Completion Assurance Process Reports, 1998-2000 and Agency Self-Certifications [Statewide Year 2000 Project Office, ended 2001]**
Retain 25 years, destroy
- 123** **Data-Exchange Interface System Reports [Statewide Year 2000 Project Office, ended 2001]**
Destroy
- 124** **E-Government Portal Advisory Board Meeting Agendas, Exhibits, Minutes, Recaps, Resolutions, Reports, and Studies**
Retain 10 years, destroy
- 125** **Enterprise Information Resource Management Strategy (EIRMS)**
Retain 20 years after superseded or obsolete, destroy
- 126** **HIPAA Executive Steering Committee Meeting Minutes and Records [ended 2005]**
Retain 25 years, destroy
- 127** **Monthly Agency Technical Reports [Statewide Year 2000 Project Office, ended 2001]**
Destroy
- 128** **Monthly Legislative Reports [Statewide Year 2000 Project Office, ended 2001]**
Destroy
- 129** **Policy Advisory Group Records [Statewide Year 2000 Project Office, ended 2001]**
Retain 25 years, destroy
- 130** **Policy Development, Guidelines, and Legal and Contract Documents [Statewide Year 2000 Project Office, ended 2001]**
Retain 25 years, destroy
- 131** ***Preparing for the Crossing: Y2K and the State of Oregon* [Statewide Year 2000 Project Office, ended 2001]**
Retain 25 years, destroy
- 132** **Project Management Records – DAS Projects [IRMD Project Management Office, ended 2005]**
Retain for the life of the system developed, destroy
- 133** **Project Management Records – Non-DAS Projects [IRMD Project Management Office, ended 2005]**
Retain 6 years after project ended, destroy
- 134** **Rollover Management Plan, 1999 [Statewide Year 2000 Project Office, ended 2001]**
Retain 25 years, destroy
- 135** **Speakers Bureau Records [Statewide Year 2000 Project Office, ended 2001]**
Destroy
- 136** **Special Interest Group Records [Statewide Year 2000 Project Office, ended 2001]**
Destroy
- 137** **Statewide Assessment, 1997 [Statewide Year 2000 Project Office, ended 2001]**
Retain 25 years, destroy

**Oregon State Archives
Records Retention Schedule**

Edition: December 2013

Expires: January 2019

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

Policy Development and Planning Records

Staff Meeting Records

Visitor Logs

Financial Records (OAR 166-300-0025)

Travel Expense Records

Information and Records Management Records (OAR 166-300-0030)

Telecommunications System Management Records

Databases

None

Oregon State Archives Records Retention Schedule

Edition: December 2013

Expires: January 2019

Organizational Placement

Schedule Number: 2013-0004

Agency: Department of Administrative Services
Division: Chief Information Office
Section: Economic Recovery Executive Team (ERET)
Program: ERET Administration

Program Description

The Economic Recovery Executive Team (ERET) was created by the governor in 2009 to coordinate the use of Oregon's stimulus funds, as provided by the American Recovery and Reinvestment Act (ARRA) (Pub. L. 111-5). ERET provides assurance, oversight and assistance to the Governor's Office, Legislative Assembly, state agencies, and citizens regarding ARRA funds awarded or provided to state agencies. ERET works with state agencies on ARRA implementation, including grant application design and policy development; contract, procurement and vendor issues; communication and outreach; and compliance and auditing. ERET oversees the Oregon Stimulus Transparency and Accountability Tracking System (ORSTATS), which centrally captures information about stimulus expenditures; assesses the impact of stimulus funds; monitors individual projects and programs; and maps impact data.

Pursuant to ARRA Section 1512, and subsequent Office of Management and Budget guidelines, ERET files federal quarterly reports detailing the state's use of funds. It is anticipated that most reporting will be completed by July 2013; and a smaller set of reports will be required thereafter.

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
Publication Preparation Records
Staff Meeting Records
Financial Records (OAR 166-300-0025)
Grant Records (e.g. ARRA quarterly reporting)
Invoice Records (e.g. ARRA SWCAP invoicing)

Databases

ORSTATS

Oregon State Archives Records Retention Schedule

Edition: December 2013

Expires: January 2019

Organizational Placement

Schedule Number: 2013-0004

Agency: Department of Administrative Services
Division: Chief Information Office
Section: Enterprise Security Office (ESO)
Program: ESO Administration

Program Description

The Enterprise Security Office (ESO) manages statewide efforts to protect the state's information. The ESO carries out the Department of Administrative Service's responsibility for and authority over state agency information systems and the information stored on those systems (ORS 182.122; OAR 125 Division 800). The ESO program focuses on developing statewide policies, standards, guidelines and tools to help agencies protect, secure, and make available public information. The ESO works with agencies to assess information business risks and vulnerabilities. The program identifies and analyzes trends and risks at the agency and state level, and develops statewide projects and tactics to reduce risk. Pursuant to the agency's authority and responsibility for a statewide incident response program, the ESO establishes enterprise procedures, standards and guidelines for statewide and agency-level information security incident response. The ESO maintains a forensics program capable of assisting agencies.

The ESO Administration program also maintains the official copy of the records of the statewide Enterprise Business Continuity Planning (BCP) program, which concluded on June 30, 2009; and the Identity and Access Management (I&AM) project, which also ended on June 30, 2009.

Program Records

- 138 Communications Forum Records**
Retain 6 years, destroy
- 139 Enterprise Business Continuity Planning Program Records [decommissioned 2009]**
Retain 6 years, destroy
- 140 Enterprise Information Security Strategy**
Retain 20 years after superseded or obsolete, destroy
- 141 Enterprise Security Office Project Management Records**
(a) Retain system projects for the life of the system developed, destroy
(b) Retain non-system projects 6 years after project end date, destroy
- 142 ESO Advisory Group Records**
(including Enterprise Information Security Advisory Board)
Retain 10 years, destroy
- 143 Executive Branch Agency Information Security Plans, Business and Technical Assessments, and Incident Response Records**
Retain 5 years, destroy
- 144 Identity and Access Management Project Records [decommissioned 2009]**
Retain 6 years, destroy
- 145 Statewide Information Security Plans, Guidelines, Standards, Policies, Procedures**
Retain 10 years after superseded or obsolete, destroy

**Oregon State Archives
Records Retention Schedule**

Edition: December 2013

Expires: January 2019

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
Policy and Procedure Guidelines and Manuals
Policy Development and Planning Records
Professional Membership Records
Staff Meeting Records
Financial Records (OAR 166-300-0025)
Vendor Reports Records
Information and Records Management Records (OAR 166-300-0030)
Information System Planning and Development Records

Databases

None

Oregon State Archives Records Retention Schedule

Edition: December 2013

Expires: January 2019

Organizational Placement

Schedule Number: 2013-0004

Agency: Department of Administrative Services
Division: Chief Information Office
Section: Geospatial Enterprise Office (GEO)
Program: GEO Administration

Program Description

The Geospatial Enterprise Office (GEO) develops, maintains, and hosts Oregon's Geospatial Data Clearinghouse (OGDC), which provides a store of Geographic Information System (GIS) and other data collected by Oregon public agencies. The OGDC also stores all data for the U.S. Census Bureau relating to the State of Oregon. Data is accessible online through the state Wide Area Network (WAN) and the GEO web site. The GEO section also publicizes GIS initiatives to local, state and regional public agencies, and assists state agencies in coordinating GIS activities.

Program Records

- 146 Comprehensive Baseline Mapping Database "Framework"**
Retain 4 years after superseded or obsolete, destroy
- 147 Geographic Information System Project Records**
Retain 6 years after project ends, destroy
- 148 Oregon Geospatial Data Clearinghouse Records**
Retain 4 years after superseded or obsolete, destroy

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records (OAR 166-300-0015)
Correspondence
Financial Records (OAR 166-300-0025)
Invoice Records (e.g. GIS project client invoice payments)

Databases

OREGON GEOSPATIAL DATA CLEARINGHOUSE

Oregon State Archives Records Retention Schedule

Edition: December 2013

Expires: January 2019

Organizational Placement

Schedule Number: 2013-0004

Agency: Department of Administrative Services
Division: Chief Information Office
Section: Geospatial Enterprise Office
Program: Oregon Geographic Information Council

Program Description

The Oregon Geographic Information Council (OGIC) provides policy direction to the Geospatial Enterprise Office (GEO) regarding the direction of state geographic mapping and the collection of Geographic Information System (GIS) data. It provides a mechanism to prioritize initiatives and guidelines, and coordinates limited GIS resources for government agencies. OGIC is composed of representatives from natural resources, human services, public safety state agencies, and some federal and local government representatives (EO-00-02). OGIC has three standing committees: Policy Advisory Committee, Technical Advisory Committee, and the Framework Implementation Team. The Framework Implementation Team is composed of 13 subcommittees.

Program Records

149 Oregon Geographic Information Council (OGIC) and OGIC Committee Records
Retain 25 years, destroy

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records (OAR 166-300-0015)
Correspondence

Databases

None

Oregon State Archives Records Retention Schedule

Edition: December 2013

Expires: January 2019

Organizational Placement

Schedule Number: 2013-0004

Agency: Department of Administrative Services
Division: Chief Information Office
Section: Information Technology Investment and Planning (ITIP)
Program: ITIP Administration

Program Description

The Information Technology Investment and Planning (ITIP) section leads statewide IT related planning, budgeting, and policy development. The ITIP section is responsible for the state's IT portfolio and asset management programs, and monitoring and overseeing the state's major IT projects. The ITIP section provides state leaders with information needed for IT-related decision-making; develops and implements state IT management strategies, rules, policies, standards, and processes; provides leadership and professional support for complex, government-wide IT initiatives; and provides professional support to the State CIO and IT-related governance bodies.

The ITIP section develops statewide plans, policies and standards for the acquisition and use of telecommunications and information resources including technology hardware and software. The section is also responsible for internal and some external communications for the division. The section's statutory authority is found in ORS Chapters 171, 182, 184, 190, 283, 291, 293.

ITIP maintains the official copy of the records of the Chief Information Officer Council (CIO Council), and CIO Management Council (CIOMC). It also maintains the records of the Information Technology Executive Council (ITEC), which provided state government policy making for enterprise information resource management strategies and implementation from 1999 to 2005.

Program Records

- 150 Chief Information Officer Council (CIO Council) Records**
 - (a) Retain meeting agendas, exhibits and minutes 15 years, destroy
 - (b) Retain ad hoc reports and studies 10 years, destroy
- 151 CIO Management Council (CIOMC) Records**
 - (a) Retain meeting agendas, exhibits and minutes 15 years, destroy
 - (b) Retain ad hoc reports and studies 10 years, destroy
- 152 Customer Service Satisfaction Records**
 - Retain current and previous, destroy
- 153 Enterprise Annual IT Reports**
 - Retain 10 years, destroy
- 154 Enterprise Architecture Records**
 - Retain 10 years after superseded or obsolete, destroy
- 155 Enterprise Asset Inventory and Management Records**
 - Retain 10 years after superseded or obsolete, destroy
- 156 Enterprise Awards Program Records**
 - Retain 6 years, destroy
- 157 Enterprise Governance Records**
 - Retain 10 years after superseded or obsolete, destroy

Oregon State Archives Records Retention Schedule

Edition: December 2013

Expires: January 2019

- 158 Enterprise Information Resource Request (IRR) Records**
Retain 6 years after estimated project completion date, destroy
Note: The estimated project completion date is noted at the time of the IRR approval, and updated as needed upon agreement between ITIP Administration and the client agency.
- 159 Enterprise Pilot Project Initiative Records**
Retain 6 years after pilot project ends, destroy
- 160 Enterprise Workgroup, Conference, Work Session and Training Records**
Retain 6 years, destroy
- 161 External Survey and Questionnaire Records**
Retain current and previous, destroy
- 162 Information Technology Executive Council (ITEC) Meeting Minutes and Records
1999 – 2005** **1 c.f.**
Retain permanently, transfer to State Archives
- 163 Legislative Liaison, Analysis and Testimony Records**
Retain 6 years, destroy
- 164 Major Information Technology Project Oversight and Reporting Records**
Retain 6 years after project oversight ends, destroy
- 165 State Agencies' IT Cost Management and Optimization Reports**
Retain 6 years, destroy
- 166 Statewide Information Plans, Guidelines, Standards, Policies, and Procedures**
Retain 10 years after superseded or obsolete, destroy

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records (OAR 166-300-0015)
Administrative Rule Preparation Records
Business Plan Records
Contracts and Agreements
Correspondence
Policy and Procedure Guidelines and Manuals
Financial Records (OAR 166-300-0025)
Audit Reports Records
Budget Preparation Records
Competitive Bid Records
Grant Records
Information and Records Management Records (OAR 166-300-0030)
Computer System Maintenance Records
Computer System Program Documentation
Information System Planning and Development Records
Software Management Records
Risk Management Records (OAR 166-300-0045)
Emergency Response Plans and Procedures
Safety Program Records

Databases

IRR TRACKING FORM
CHIEF INFORMATION OFFICE (CIO) INVENTORY TRACKING SYSTEM

Oregon State Archives Records Retention Schedule

Edition: December 2013

Expires: January 2019

Organizational Placement

Schedule Number: 2013-0004

Agency: Department of Administrative Services
Division: DAS Business Services
Program: Budget Services

Program Description

DAS Business Services (DBS) provides core services that support the DAS divisions, and the Customer Utility Boards. DBS is composed of the Budget Services and Business Support Services programs. The Budget Services program coordinates preparation of the agency budget, and assists the DAS divisions in preparing and executing their budgets. The program conducts budget development, financial planning and financial analysis; and provides financial reporting and consulting to the divisions. Budget Services coordinates rate development; calculates rates, fees and assessments; and compiles the biennial state agency price list of goods and services, which describes the services and related costs to be included in the state government service charges line item, and the user fees and charges for services that may be purchased by state agencies. The Budget Services program is also responsible for coordinating DAS' between-session Emergency Board requests. Budget Services is the primary user of the Revenue and Expenditures Forecasting and Budget Planning System (REFBPS), DAS' budget tracking tool.

DAS serves as an intermediary for the pass through of Lottery Funds, General Funds, Federal Funds, and Other Funds to a number of recipients. Budget Services works closely with the DAS Chief Financial Office and other state agencies to appropriately reflect the pass through of these funds in the DAS budget. Pass through administration includes the allocation of Lottery Funds to state and other government agencies; distribution of General Funds to Oregon Health Sciences University (OHSU), Oregon Historical Society, and other entities; distribution of Federal Funds to counties; and distribution of liquor and cigarette taxes to cities and counties.

Program Records

167 Price List of Goods and Services

Retain 4 years after superseded or obsolete, destroy

168 Rate Development Records

Retain 4 years after publication of Price List of Goods and Services, destroy

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records (OAR 166-300-0015)

Business Plan Records

Correspondence

Policy and Procedure Guidelines and Manuals

Financial Records (OAR 166-300-0025)

Budget Preparation Records

Emergency Board Request Records

Expenditure and Revenue Reports

Databases

REFBPS

Oregon State Archives Records Retention Schedule

Edition: December 2013

Expires: January 2019

Organizational Placement

Schedule Number: 2013-0004

Agency: Department of Administrative Services
Division: DAS Business Services
Program: Business Support Services

Program Description

Business Support Services coordinates internal policy development, and maintains various department-wide programs, including administrative rule management and development, internal policies and procedures, records management, business continuity planning, performance measurement, and business case development/information resource request coordination.

Customer Utility Boards (CUBs) provide DAS customers with a voice in the cost, type, quality, and quantity of utility services, serving as forums to recognize and respond to customer needs. CUBs approve rate-setting methodologies and resulting rates, approve general service level agreements, review business plans and annual financial statements, and resolve service complaints. There are four CUBs: Enterprise Technology Services Board, Enterprise Asset Management Board, Enterprise Goods and Services Board, and Enterprise Human Resource Services Board. CUBs are composed of voting members representing different areas of Oregon government, including representatives from the largest, medium-size, and smallest state agency customers of the enterprise; and one customer representative from a local government (as needed). CUBs meet quarterly, and additionally as needed to make decisions during the budget cycle and when the rates are actively being changed. CUBs are chaired by the Chief Operating Officer (Director of DAS), with day-to-day CUB operations overseen by the DAS Deputy Director. The Business Support Services program maintains the official copy of all CUB records.

The Charitable Fund Drive Committee, composed of state employees appointed by the Director of DAS, oversees the professional administration of the annual Oregon Employees Charitable Fund Drive (CFD), a combined charitable giving campaign (ORS 292.045; OAR 121-030-0020). The committee establishes policies and procedures for managing the CFD; reviews and approves the list of federations and funds qualified to participate in the campaign; communicates CFD information to state agencies; selects the campaign management organization; and ensures that the CFD is free from coercion, unfair or misleading conduct. The Business Services program provides staff support to the committee and maintains the official copy of its records.

Program Records

- 169 Charitable Fund Drive Committee Meeting Agendas, Exhibits and Minutes**
Retain 10 years, destroy
- 170 Customer Utility Board (CUB) Records**
 - (a) Retain meeting agendas, exhibits and minutes 10 years, destroy
 - (b) Retain formation and organizational records 2 years after life of each board, destroy
 - (c) Retain meeting audio recordings 1 year after approval of meeting minutes, destroy
- 171 DAS IT Management Council Meeting Records [Ended March 2011]**
Retain 10 years, destroy
- 172 Statewide Policies and Guidelines**
Retain final document 6 years after superseded, destroy

Oregon State Archives Records Retention Schedule

Edition: December 2013

Expires: January 2019

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records (OAR 166-300-0015)
Administrative Rule Preparation Records
Correspondence
Policy and Procedure Guidelines and Manuals
Publication Preparation Records
Financial Records (OAR 166-300-0025)
Budget Preparation Records
Internal Audit Reports (including Performance Audits)
Information and Records Management Records (OAR 166-300-0030)
Computer System Security Records
Information System Planning and Development Records
Risk Management Records (OAR 166-300-0045)
Emergency Response Plans and Procedures

Databases

None

Oregon State Archives Records Retention Schedule

Edition: December 2013

Expires: January 2019

Organizational Placement

Schedule Number: 2013-0004

Agency: Department of Administrative Services
Division: Enterprise Asset Management
Program: Administration, Planning and Construction Management

Program Description

Administration, Planning and Construction Management provides centralized administration, payroll, fiscal, purchasing, contracting (including construction and building/site improvements), and maintenance contract services for the Enterprise Asset Management division. It develops and implements strategies, goals, objectives, policies, procedures, processes, and performance measures. It oversees program and operational support, interoffice communications, and execution of internal procedures. It coordinates the administration of the division; ensures compliance with state statutes, administrative rules, and statewide and division policies; reviews and evaluates operations and work flow; and recommends and implements policy changes.

Administration, Planning and Construction Management manages capital construction and capital improvement projects in state-owned and state-leased buildings. The program manages contracts for building construction and major renovation projects for those agencies without authority to manage their own construction projects, and by request for those agencies that do have authority for their own construction. It directs construction and renovation project management, and assists agencies in obtaining these services through outside consultants.

The Administration, Planning and Construction Management program shares responsibility for invoicing tenants and clients for utilities, maintenance, and custodial services with the Shared Financial Services program (Enterprise Goods and Services Division); the official copy of all program financial documents is maintained by the Shared Financial Services program. The Administration, Planning and Construction Management program also receives and dispatches maintenance requests from tenants in Department of Administrative Services (DAS)-owned buildings; schedules events on the Capitol Mall; records employee training; and verifies and routes timesheets to Shared Payroll Services (Enterprise Goods and Services Division).

Program Records

173 Building and Site Improvement Project Record Documents (Archival)

1911 – [ongoing]

50 c.f.

Retain permanently, transfer to State Archives after building/site demolished or sold

Note 1: Record series documents the plans, designs, specifications, size, configuration, location, materials and methods used in the planned and completed improvement project.

Note 2: Record series includes but is not limited to measured drawings, record drawings, and related documentation describing planned and completed improvements.

Oregon State Archives Records Retention Schedule

Edition: December 2013

Expires: January 2019

- 174 Building and Site Improvement Project Record Documents (Construction/Closeout)**
Retain for life of the facility, destroy
Note 1: Record series documents improvement/renovation project development process; changes to the plans, designs or specifications; project activities, discussions, disputes, and resolutions; project inspection/testing; close out; and regulatory compliance.
Note 2: Record series includes but is not limited to construction procurement and solicitation records, bid documentation, plan/design exceptions, final working drawings, change requests, change orders, field reports, job files, project manager notes, progress reports, material cost records, photographs, meeting minutes, action lists, as-built drawings, testing and inspection records, product certifications, final change order, certificate of substantial completion, Authority Having Jurisdiction (AHJ) certificate of occupancy, statutory/regulatory compliance records, and related project documentation.
Note 3: No public record created in or prior to 1920 shall be destroyed without the express written permission of the State Archivist (OAR 166-030-0027).
- 175 Building and Site Maintenance, Testing and Inspection Records**
Retain current and previous test or inspection documentation, destroy
- 176 Building Remodel Space Planning Records**
Retain for the life of the building/site, destroy
- 177 Capital Project Oversight Committee Meeting Records**
Retain 10 years, destroy
- 178 New Construction Records – Project Financial Documents**
Transfer to DAS Enterprises Goods and Services, Shared Financial Services program
- 179 New Construction Records – Project Record Documents (Archival)**
1911 – [ongoing] 50 c.f.
Retain permanently, transfer to State Archives after building/site demolished or sold
Note 1: Record series documents the plans, designs, specifications, size, configuration, location, materials and methods used in both the planned and actually completed facility.
Note 2: Record series includes, but is not limited to, measured drawings, record drawings, and related documentation describing both the planned and completed facility.
- 180 New Construction Records – Project Record Documents (Construction/Close-Out)**
Retain for life of the facility, destroy
Note 1: Record series documents the construction project development process; changes to the plans, designs or specifications made during construction; day-to-day project discussions, disputes, and resolutions; testing; close out; and regulatory compliance.
Note 2: Record series includes but is not limited to construction procurement and solicitation records, bid documentation, plan/design exceptions, final working drawings, change requests, change orders, field reports, job files, project manager notes, progress reports, material cost records, photographs, meeting minutes, action lists, as-built drawings, testing and inspection records, product certifications, final change order, certificate of substantial completion, Authority Having Jurisdiction certificate of occupancy, statutory/regulatory compliance records, and all related documentation.
Note 3: No public record created in or prior to 1920 shall be destroyed without the express written permission of the State Archivist (OAR 166-030-0027).
- 181 New Construction Space Planning Records**
Retain for the life of the building/site, destroy

Oregon State Archives Records Retention Schedule

Edition: December 2013

Expires: January 2019

182 Proposed Building Construction and Building Renovation Records

Retain 12 years after last activity, destroy

Note 1: Transfer approved Building Construction proposal records to New Construction Records – Project Record Documents (Construction/Close-Out) record series (#241).

Note 2: Transfer approved Building Renovation proposal records to Building and Site Improvement Project Record Documents (Construction / Closeout) record series (#235).

183 Systems Furniture Space Planning Review Files

Retain 1 year, destroy

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records (OAR 166-300-0015)

Contracts and Agreements

Correspondence

Policy and Procedure Guidelines and Manuals

Policy Development and Planning Records

Staff Meeting Records

Financial Records (OAR 166-300-0025)

Competitive Bid Records

Purchasing Records

Personnel Records (OAR 166-300-0040)

Employee Training Records

Work Schedules and Assignment Records

Databases

JCA

OSPA

PPDB

R*STARS

REFBPS

SFMA

TRIRIGA

Oregon State Archives Records Retention Schedule

Edition: December 2013

Expires: January 2019

Organizational Placement

Schedule Number: 2013-0004

Agency: Department of Administrative Services
Division: Enterprise Asset Management
Program: Fleet and Parking Administration

Program Description

The Fleet and Parking Administration program provides safe and economical transportation for the business needs of the state. It also manages parking space assignments and parking lot and meter enforcement for state employees; state agency assigned vehicles; and visitors to the Capitol Mall Parking Area, Eugene State Office Building, and Portland State Office Building. It regulates and oversees nearly all state-owned vehicles, and assists other state agencies with vehicle acquisition, storage, fueling, maintenance, disposal and other requirements. From its centralized Salem Motor Pool, the program provides full vehicle services, including repair, maintenance, rental and fueling. The DAS Risk Management program (Enterprise Goods and Services) establishes standards of vehicle use and access to ensure the safe, economical and responsible use of all state motor vehicles (ORS 283.305 - 283.395; OAR 125 Division 155). The Fleet and Parking Administration program operates pursuant to ORS 283.305 - 283.395; ORS 276.004; ORS 276.591 et seq.; OAR 125 Division 90; and OAR 125 Division 155.

The program compiles biennial fleet review reports, and an annual greenhouse gas vehicle emissions report, regarding all state-owned vehicles. Pursuant to the federal Energy Policy Act of 1992 (EPAct) (Pub. L. 102-486), the program reports to the U.S. Environmental Protection Agency (EPA) on its use of alternative fuel vehicles (42 U.S.C. 13201 et seq.; 10 CFR 490).

The Fleet Management Advisory Council (FMAC) is an advisory body of State of Oregon fleet managers that assists state and local government agencies in providing fleet services. The FMAC discusses current issues in fleet management, and supports and encourages best fleet practices.

Program Records

- 184 Biennial Fleet Review Reports**
Retain 20 years, destroy
- 185 Bus Pass Records [ended 2009]**
Destroy
- 186 Day Tripper Files**
Retain 4 years, destroy
- 187 EPAct Records (EIA-886 Annual Survey Records)**
Retain 3 years after submission, destroy
- 188 Fleet Management Advisory Council Meeting Records**
Retain 6 years, destroy
- 189 Individual Parker Lot Space Assignment Records**
Retain 2 years after expiration of lease agreement, destroy
- 190 Leased Lot Rebate Records**
Retain 6 years, destroy
- 191 Meter Cash Key Records**
Retain for life of the program, destroy

Oregon State Archives Records Retention Schedule

Edition: December 2013

Expires: January 2019

- 192 Motor Vehicle Fuel Records**
Retain 4 years, destroy
- 193 Motor Vehicle Titles**
Retain until vehicle disposition or transfer
- 194 Park and Pay Lot Usage Records**
Retain 6 years, destroy
- 195 Parking Citations**
Retain 4 years after final resolution, destroy
- 196 Parking Deduction Records**
Retain until superseded or obsolete, destroy
- 197 Parking Enforcement Records**
Retain 2 years, destroy
- 198 Payment Card Industry (PCI) Compliance Records**
Transfer to Office of the State Treasurer
- 199 Permanent Vehicle Assignment Requests**
Retain 4 years, destroy
- 200 Smart Commuter Participant Records**
Retain 1 year after expiration, destroy
- 201 State of Oregon Greenhouse Gas Vehicle Emissions Records**
Retain 20 years after completion of final report, destroy

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records (OAR 166-300-0015)
Contracts and Agreements
Correspondence
Policy and Procedure Guidelines and Manuals
Facilities/Property Records (OAR 166-300-0020)
Asset Inventory Reports
Equipment Maintenance Records
Equipment/Property Disposition Records
Facility Work Orders
Financial Records (OAR 166-300-0025)
Cash Receipt Records
Credit and Debit Receipts
Invoices

Databases

AUTO TRAX
CASH KEY
CBS.MDB
FLEET FOCUS FA
FLEET FORCE
PARKING
SFMS
R*STARS
PPDB

Oregon State Archives Records Retention Schedule

Edition: December 2013

Expires: January 2019

Organizational Placement

Schedule Number: 2013-0004

Agency: Department of Administrative Services
Division: Enterprise Asset Management
Program: Maintenance

Program Description

The Maintenance program provides building maintenance and repair services, including electrical, HVAC and building security services to state-owned and operated buildings in Salem, Portland, Eugene, Pendleton, Central Point, and Burns. The Administration, Planning and Construction Management program develops and maintains contracts for these services. Maintenance requests from tenants are received and dispatched to program staff through Administration, Planning and Construction Management and are also downloaded to handheld devices from the Tririga database, which documents completed and scheduled work.

Maintenance issues metal keys, electronic keycards (Photo/ID keycards and Proxcards providing electronic access to specific buildings) and photo identification cards (identify employees, no electronic access to buildings) for DAS-owned and DAS-leased buildings. The program also installs electronic duress and intrusion alarms and video camera equipment in state-owned and state-leased buildings (Note: private vendors maintain alarm records and agencies maintain their own video camera tapes and recordings). Keycard coordinators assigned in each agency manage the issuance of keys, keycards, and ID-only cards for areas under their authorized jurisdiction.

Program Records

202 Electronic Keycard, Metal Key, and Photo Identification Card Records

- (a) Retain coordinator authorization forms for the life of the program, destroy
- (b) Retain issuance records 1 year after access termination or key/card returned, destroy
- (c) Retain keycard usage records 1 year, destroy

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records (OAR 166-300-0015)
Correspondence
Policy and Procedure Guidelines and Manuals
Work Orders
Facilities/Property Records (OAR 166-300-0020)
Equipment Maintenance Records
Facility Work Orders
Pesticide Application Records
Risk Management Records (OAR 166-300-0045)
Safety Program Records

Databases

LENEL ONGUARD
LINX
MEDECO LOCKUP
TRIRIGA

Oregon State Archives Records Retention Schedule

Edition: December 2013

Expires: January 2019

Organizational Placement

Schedule Number: 2013-0004

Agency: Department of Administrative Services
Division: Enterprise Asset Management
Program: Operations

Program Description

The Operations program provides custodial and landscape services in the Salem Capitol Mall area, the Portland State Office Building and the Eugene State Office Building. Services include daily cleaning, carpet care, collection of garbage and recyclables. The program also maintains the grounds, walkways, and fountains for state buildings. Custodial and landscaping maintenance records are contained in the Tririga database. The Administration, Planning and Construction Management program develops and maintains contracts for these services.

Program Records

203 Landscaping Building and Site Files

Retain for the life of the building or site, destroy

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records (OAR 166-300-0015)
Correspondence
Policy and Procedure Guidelines and Manuals
Work Orders
Facilities/Property Records (OAR 166-300-0020)
Equipment Maintenance Records
Facility Work Orders
Pesticide Application Records
Risk Management Records (OAR 166-300-0045)
Safety Program Records

Databases

TRIRIGA

Oregon State Archives Records Retention Schedule

Edition: December 2013

Expires: January 2019

Organizational Placement

Schedule Number: 2013-0004

Agency: Department of Administrative Services
Division: Enterprise Asset Management
Program: Real Estate Services

Program Description

The Real Estate Services program oversees the statewide sale, acquisition, exchange, lease, and management of real property (land and buildings). It acts as an agent on behalf of those agencies without statutory authority to self-represent in real property transactions. For those agencies with authority to perform real property transactions, Real Estate Services acts as a clearinghouse to offer the property for sale or acquisition to other state agencies and political subdivisions before notifying the general public. The program's statutory authority is found in ORS 270, 273.436, 276 and 279C; the program's operating rules are found in OAR 125 Divisions 45, 110 and 125.

The Department of State Lands (DSL) maintains all deeds and conveyances of real property belonging to the State of Oregon (ORS 273.099). The Department of Administrative Services (DAS), like all land owning state agencies, deposits its land ownership records with DSL. Pursuant to ORS 270.180, 273.099, 273.790, and a Memorandum of Understanding with all land-owning agencies, DSL maintains an inventory of all state-owned real property in the State Land Inventory System (SLIS). The DAS Real Estate Services program updates SLIS with acquisition and disposition notices; maintains a database of surplus and acquisition notices; and publishes periodic reports of properties available to the public. It also coordinates and maintains the official records of the development, review and update to the Area Plans and Master Plans that govern state properties in the City of Salem (ORS 276.054; OAR 125-125-0350 et seq.).

The program provides centralized leasing and property management services to meet state agency office space requirements. It places state agencies in DAS-owned buildings where available. If space is unavailable in DAS-owned buildings, it negotiates leases with private real estate entities on behalf of state agencies. Real Estate Services also collects monthly rent from agencies in DAS-owned buildings, and yearly leasing fees from agencies in privately-leased space. The program exercises supervisory authority over all leases or rental agreements for office quarters for all state agencies (ORS 270.110, 270.155, 276.428 and OAR 125 Division 120).

The Real Estate Services program also develops division rules and policies regarding state-owned properties; collaborates with state agencies on property projects and programs; exercises supervisory authority over lease transactions for all agencies; and coordinates state sustainability efforts, managing the agency and statewide resource conservation and recycling programs. It oversees the land and facilities holdings of all state agencies, and advises the Director of DAS on statewide property planning. The program maintains reports regarding all state owned/leased real property. Real Estate Services also maintains the Statewide Facilities Inventory, Land Clearinghouse, Leasing, and Uniform Rent databases (ORS 276.227(4); OAR 125-045-0265).

The Land Managers Forum (LMF) is composed of property and facilities managers from each land owning state agency. It represents agencies' interests in surplus land disposal planning, responds to the Public Lands Advisory Committee's recommendations, and steers the

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development of SLIS, which is hosted by DSL. The Real Estate Services program provides staff support to the LMF, and maintains the official copy of its records.

The Central Facilities Planning Committee is a group of state agency facility managers that meets regularly to represent agencies' interest in developing the statewide facility inventory, space needs planning, maintenance planning, and capital projects review process planning. The Real Estate Services program maintains the official copy of the committee's records.

The Legislative Assembly created the Oregon School Facilities Task Force to conduct a study of the status of the state's public school facilities, and make recommendations regarding funding mechanisms to meet the identified capital needs (O.L. 2009, Ch. 755). Real Estate Services supported the task force, which sunsetted in 2012, and maintains the official copy of its records.

Program Records

- 204 Agency Utility Bill Reports [ended 2004]**
Retain 10 years, destroy
- 205 Appraisal Records [not otherwise filed with Real Property Transaction Records]**
Retain 2 years, destroy
- 206 Central Facilities Planning Committee Meeting Records, Reports, and Recommendations**
Retain 6 years, destroy
- 207 Department of Administrative Services Building Electricity Scorecards (Quarterly)**
Retain 25 years, destroy
- 208 Department of Administrative Services Sustainability Plans**
Retain 20 years, destroy
- 209 Employee-Provided Housing Annual Reports (Agency Owned Property)**
Retain 6 years, destroy
- 210 Energy Conservation Policy Committee Meeting Agendas, Exhibits and Minutes**
Retain 20 years, destroy
- 211 Facility Feasibility Studies and Reports**
Retain 20 years, destroy
- 212 Green Team Meeting Records, Reports and Recommendations**
Retain 6 years, destroy
- 213 Greenhouse Gas Emissions Interagency Annual Reports [ended 2010]**
Retain 25 years, destroy
- 214 Land Managers Forum Meeting Records**
Retain 6 years, destroy
- 215 Lease Reports (DAS and Non-DAS Owned)**
Retain 20 years, destroy
- 216 Oregon School Facilities Task Force Meeting Agendas, Exhibits, Minutes, Recaps, and Reports to Legislative Assembly, 2009 – 2011** **1 c.f.**
Retain permanently, transfer to State Archives
- 217 Property Lease Advertising and Solicitation Records**
Retain 6 years after expiration or cancellation of lease agreement, destroy
- 218 Real Property Deed, Conveyance, Ownership and Easement Records**
Retain until recorded, transfer to Department of State Lands (pursuant to ORS 273.099)

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- 219 Real Property Advertising and Solicitation Records**
Retain 6 years after property transaction completed or canceled, destroy
- 220 Real Property Transaction Records**
Retain 10 years after transfer of state ownership, destroy
- 221 Recycled Materials Reports [ended 2003]**
Destroy
- 222 State Agency 10% Energy Reduction Reports [ended 2004]**
Transfer to Oregon Department of Energy
- 223 State Building Sustainability Project Records**
Retain 10 years after completion or cancellation of project
- 224 Statewide Facilities Biennial Inventory Reports**
Retain 20 years, destroy
- 225 Statewide Land Reports (from LandMan database) [ended 2005]**
Retain 10 years, destroy
- 226 Sustainability Newsletters (including *Energy Update*; *Waste Watcher*)**
Retain 5 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
Contracts and Agreements
Correspondence
Policy and Procedure Guidelines and Manuals
Policy Development and Planning Records
Facilities/Property Records (OAR 166-300-0020)
Building Records
Financial Records (OAR 166-300-0025)
Budget Preparation Records
Competitive Bid Records
Grant Records
Information and Records Management Records (OAR 166-300-0030)
Records Management Records

Databases

LAND CLEARING HOUSE – ACQUISITION
LAND CLEARING HOUSE – DISPOSITION
LEASING
STATEWIDE FACILITIES INVENTORY
STATEWIDE LAND INVENTORY SYSTEM (DSL)
UNIFORM RENT

Oregon State Archives Records Retention Schedule

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Organizational Placement

Schedule Number: 2013-0004

Agency: Department of Administrative Services
Division: Enterprise Asset Management
Program: Surplus Property

Program Description

The Surplus Property is Oregon's State Agency for Surplus Property (SASP), designated under state law as the agency responsible for the acquisition, warehousing and distribution of federal surplus personal property. It provides disposition services to federal agencies, and acquisition services to state agencies, local governments, and qualified non-profit organizations. Pursuant to requirements of the federal General Services Administration, donee titles to property are conditional until all of the requirements of the donation, including the period of restriction, have been met (40 USC 549; 41 CFR 102-37; ORS 279A.250-.290; OAR 125 Divisions 35 and 50).

The Surplus Property program also provides a central distribution point for surplus, seized and recovered public property for state agencies and local governments. The program uses a variety of marketing methods, including online auctions, online catalogs, and store sales. It promotes and facilitates sustainable reuse of surplus items to state and local governments, qualified non-profit organizations and the public. The program also manages an electronic waste disposal program for use by state agencies, counties and cities through a collaborative effort with the DAS Enterprise Goods and Services division, and Garten Services, Inc., which provides data sanitization, recycling and resale of usable electronic waste through a state price agreement.

Program Records

- 227 Federal Surplus Property Records (Non-Perpetually Restricted)**
Retain one year after expiration of the designated restriction period, destroy
- 228 Non-Compliant Federal Surplus Property Records**
Retain one year after case closed, destroy
- 229 Online Auction Bidding Records**
 - (a) Retain bidding summary records 6 years, destroy
 - (b) Retain detail records and photographs 90 days, destroy
- 230 Perpetually Restricted Federal Surplus Property Records**
Retain according to directive of General Services Administration, destroy
- 231 Security Property Cards**
Retain 30 days, destroy
- 232 Trip Permits**
Retain 2 years, destroy
- 233 Vehicle Titles**
Retain copy 2 years after transferred to vehicle purchaser, destroy

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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
Contracts and Agreements
Correspondence
Policy and Procedure Guidelines and Manuals
Facilities/Property Records (OAR 166-300-0020)
Asset Inventory Reports
Equipment/Property Disposition Records
Financial Records (OAR 166-300-0025)
Competitive Bid Records
Invoices Records

Databases

FEDERAL SURPLUS
SAM
SFMA
STATE SURPLUS

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Organizational Placement

Schedule Number: 2013-0004

Agency: Department of Administrative Services
Division: Enterprise Goods and Services
Section: Financial Business Systems
Program: Administration

Program Description

Enterprise Goods and Services (EGS) is composed of Financial Business Systems, Procurement Services, Publishing and Distribution, Risk Management, and Shared Financial Services.

The Financial Business Systems section (FBS) ensures the accuracy and accountability of the financial systems of Oregon state government. FBS administers the statewide accounting and payroll systems; and manages the Accounting and Payroll Datamarts: databases that contain financial data extracted at regular intervals from the Relational Statewide Accounting and Reporting System (R*STARS) and Oregon Statewide Payroll Application (OSPA), and enable state agencies to create ad hoc financial reports. FBS also prepares vendor warrants and payroll checks for state employees; administers statewide central disbursements; and provides professional fiscal guidance, training and consultation to state agencies. FBS statutory authority is found in ORS 184, 291, 293 and 461.

The FBS Administration program provides office management and clerical support to FBS operations and statewide fiscal activities. It oversees FBS employee personnel actions and performance appraisals; provides leadership, produces internal policies, procedures and controls; compiles FBS performance measures and budget; coordinates customer and employee surveys; arranges training and travel for state agency fiscal staff; and provides FBS communications, overseeing and maintaining web content and producing FBS publications. FBS Administration also maintains the official copy of legacy program records of the State Controller's Division (SCD), which was discontinued in June 2012; see the DAS Chief Financial Office, Statewide Accounting and Reporting Services program for additional SCD legacy program records.

Program Records

- 234 Customer and Employee Survey Records**
Retain 6 years, destroy
- 235 Performance Measure Records (Comprehensive)**
Retain 4 years, destroy
- 236 State Controller's Division Listserv (SCD-Mail) Records [ended 2012]**
Retain 3 years, destroy
- 237 Statewide Business Advisory Council Records [ended 2003]**
Destroy

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State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records (OAR 166-300-0015)
Attorney General Opinions
Budget Preparation Records
Business Plan Records
Calendar and Scheduling Records
Conference, Seminar, and Training Program Records
Contracts and Agreements
Correspondence
Key Assignment Records
Parking Records
Policy and Procedure Guidelines and Manuals
Policy Development and Planning Records
Professional Membership Records
Signature Authorizations
Staff Meeting Records
Work Orders
Financial Records (OAR 166-300-0025)
Budget Preparation Records
Purchasing Records
Travel Expense Records

Databases

ACCOUNTING DATAMART
ASSOCIATE TRACKING
FURLOUGH
OSPA
PAYROLL DATAMART
PEBB.BENEFITS
PPDB
SERVICE MAINTENANCE LOG

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Organizational Placement

Schedule Number: 2013-0004

Agency: Department of Administrative Services
Division: Enterprise Goods and Services
Section: Financial Business Systems
Program: Centralized PERS Services

Program Description

The DAS Centralized PERS Services Team is managed by FBS Administration. The team represents the State of Oregon as a PERS employer by integrating and interfacing PPDB (personnel) and OSPA (payroll) system data to the PERS jClarety Retirement system, correcting any reporting errors caused by bad data, and coordinating the flow of required information related to PERS administration as a liaison between PERS and state agencies.

The DAS Centralized PERS Services Team reconciles payroll and personnel data reported to the PERS retirement system for 40,000 current employees, and ensures consistent administration of retirement accounts for state employees. The team provides technical assistance and data to the PERS retirement systems necessary for calculation of employee retirement benefits, ensuring state employees' retirement account and service time information are accurate and state employee data issues are resolved.

Program Records

- 415 Membership Validation Records**
Retain 60 years, destroy
- 416 Disability Benefits Records**
Retain 10 years after approval or denial, destroy
- 417 Employer Demographic Records**
Retain 75 years, destroy
- 418 Employer Reconciliations and Invoicing Records**
Retain 60 years, destroy

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State Agency General Record 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

Contracts and Agreements

Correspondence

Mailing Lists

Policy and Procedure Guidelines and Manuals

Publication Preparation Records

Staff Meeting Records

Financial Records (OAR 166-300-0025)

Accounting System Input Documents and Listings, and Agency Control Reports

Unclaimed Property Records

Information and Records Management Records (OAR 166-300-0030)

Information System Planning and Development Records

Records Management Records

Payroll Records (OAR 166-300-0035)

Federal and State Tax Records

Databases

PERS RECONCILIATION DATABASE

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Edition: December 2013

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Organizational Placement

Schedule Number: 2013-0004

Agency: Department of Administrative Services
Division: Enterprise Goods and Services
Section: Financial Business Systems
Program: Oregon Statewide Payroll Services

Program Description

Oregon Statewide Payroll Services (OSPS) operates and maintains the Oregon Statewide Payroll Application (OSPA) for use by the executive, legislative and judicial branch agencies in preparing timely and accurate workforce payroll payments. It acts as the common paymaster for agencies, ensuring that all taxes are calculated, collected and submitted timely and accurately, and posted to each employee's year-to-date record. OSPS files quarterly and annual payroll tax returns to federal and state taxing authorities; and maintains a knowledge base of federal and state payroll regulations, and collective bargaining requirements, to ensure system compliance and enable functioning as an information and advisory resource for agency payroll staff. OSPS statutory authority is found in ORS 292.

OSPS provides the resources to assist agency payroll staff in the use of the OSPA, offering training and user forums for payroll technicians, and producing manuals, special bulletins, daily system support and payroll guidance, and other resources and information for state agencies.

Program Records

- 238 Automated Clearing House (ACH) Direct Deposit Register (XREFRA)**
Retain 6 years, destroy
- 239 Automated Clearing House (ACH) Returns (Rejects) Records**
 - (a) Retain master records 6 years, destroy
 - (b) Retain agency notification records 30 days, destroy
- 240 AccelaPay Card Input Forms**
Retain 4 years, destroy
- 241 AccelaPay Program Meeting Records (including Vendor Meeting Records)**
Retain 6 years, destroy
- 242 Alpha Listing of Employee Checks (XREFRL)**
Retain 4 years, destroy
- 243 Cashier Deposit Logs**
Retain 6 months, destroy
- 244 Centrally Paid Deduction Reports (XREFRK series)**
Retain 1 year, destroy
- 245 Check Detail Reports (E466 series)**
Retain 4 years, destroy
- 246 Check Listing Detail (XREF84)**
Retain until superseded or obsolete, destroy
- 247 Deduction Register Combined / Detail Reports (XREF76C)**
Retain 10 years, destroy
- 248 Deduction Register Combined / Summary Reports (XREF15C)**
Retain until superseded, destroy

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- 249 Deduction Register Payroll Run / Detail Reports (XREF76)**
Retain 1 day after production of both final Deduction Register Combined / Detail Report (XREF76C) AND Deduction Register Combined / Summary Report (XREF15C), destroy
- 250 Deduction Register Payroll Run / Summary Reports (XREF15)**
Retain 1 day after production of both final Deduction Register Combined / Detail Report (XREF76C) AND Deduction Register Combined / Summary Report (XREF15C), destroy
- 251 Early Redeemed Check Exceptions Reports (E460-25A-1)**
Retain 1 day after production of annual W-2 file, destroy
- 252 Employee Time Exception Reports (B055RG)**
Retain until superseded or obsolete, destroy
- 253 Employee Update Screen Activity Reports (B360)**
Retain 6 years, destroy
- 254 Employees Eligible for Retirement Reports (E357-020)**
Retain 3 months, destroy
- 255 Employees with Negative Amounts Reports (XREF68N)**
Retain 4 years, destroy
- 256 Employment Relations Board (ERB) Assessment Reports (XREF54)**
Retain 4 years, destroy
- 257 File Maintenance Documentation (Changes to Original Payroll Checks)**
Retain 4 years, destroy
- 258 Garnishment Code Usage Query Records (OSPSJ358 series)**
Retain 1 year, destroy
- 259 Gross Pay Adjustment Reports (B075)**
Retain 4 years, destroy
- 260 Gross Pay Over 2x Adjusted Base Reports (E260-100)**
Retain current fiscal year, destroy
- 261 Leave Accrual / Adjustment and Transfer Reports (E460)**
Retain 30 days, destroy
- 262 Leave Accrual / Detail Transaction Register – Alpha Sort (B470D)**
Retain 75 years, destroy
- 263 Leave Accrual / Detail Transaction Register – Distribution Code Sort (B470C)**
Retain 30 days, destroy
- 264 Leave Accrual / Exception Reports (E455)**
Retain until superseded or obsolete, destroy
- 265 Manual Check Detail Reports (Current Checks Issued)**
Retain 1 year, destroy
- 266 Mass Transit Summary Reports (XREF36)**
Retain 4 years, destroy
- 267 Net Pay Negative Agency Reports**
Retain 4 years, destroy
- 268 Oregon Statewide Payroll Services Newsletters (*OSPS Training News*)**
Retain 5 years, destroy
- 269 OSPA Processing Calendar**
Retain 4 years, destroy
- 270 OSPA Production Benefit Packages / Quarterly Reports (EZBENCHK-01)**
Retain 3 months, destroy

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- 271 Pay Type to Account Number Conversion Reports (JTBL series)**
Retain 3 months, destroy
- 272 Payroll Calculate Controls Reports (B370 and Comparison)**
Retain 1 year, destroy
- 273 Payroll Check Reversal Records (including XREF87)**
Retain 6 years, destroy
- 274 Payroll Exception Reports (E120 series, E122 series, and E260-090B)**
Retain until superseded or obsolete, destroy
- 275 Payroll Register Summary Reports / Alpha (XREF43S)**
Retain until superseded or obsolete, destroy
- 276 Payroll Register Detail Reports / Alpha Combined (XREF44)**
Retain 75 years, destroy
- 277 Payroll Register / Payroll Run (XREF43)**
Retain 1 day after production of final Payroll Register Detail Report / Alpha Combined (XREF44), destroy
- 278 Payroll Register Summary / Combined (XREF44S)**
Retain 2 years, destroy
- 279 Payroll Register Summary / Payroll Run (XREF43S)**
Retain 6 years, destroy
- 280 Payroll Vendors Check Summary Reports (XREF23)**
Retain 4 years, destroy
- 281 Payroll Vendor File Controls Reports (XREF69)**
Retain 3 months, destroy
- 282 Payroll Vendor Negative Balance Reports (XREF89)**
Retain 4 years, destroy
- 283 Payroll Year-to-Date Register (XREF68)**
Retain 75 years, destroy
- 284 Redeemed Payroll Checks**
Per legal agreement issuing bank will retain 7 years, destroy
- 285 Retirement Remittance Advice Reports (XREF32 series)**
Retain 6 years, destroy
- 286 Savings Bond Contribution Register (BONDE010)**
[ended 2010, per U.S. Treasury Department]
Retain 75 years, destroy
- 287 Separated Employee with Net Pay Positive Reports (E357-30)**
Retain 4 years, destroy
- 288 Statewide Payroll Advisory Council Records [ended 2010]**
Retain 6 years, destroy
- 289 Terminated-Employees-Having-Leave-Balances Records (including E492)**
Retain current and prior fiscal year, destroy
- 290 Vendor ACH Deduction Reports (E500 and E501 series)**
Retain 1 year, destroy
- 291 W-2 Reissue Request Records (Form OSPA.99.04)**
Retain 3 months, destroy

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- 292 Workers' Benefit Board (WBF) Assessment and State Accident Insurance Fund (SAIF) Premium Summary Reports (XREF21)**
Retain 4 years, destroy
- 293 Work Schedule Code Usage Query Reports (WorkSched series)**
Retain 3 months, destroy
- 294 Year-to-Date and Current Correction Reports (XREF85)**
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
Conference, Seminar, and Training Program Records
Contracts and Agreements
Correspondence
Mailing Lists
Policy and Procedure Guidelines and Manuals
Publication Preparation Records
Staff Meeting Records
Financial Records (OAR 166-300-0025)
Accounting System Input Documents and Listings, and Agency Control Reports
Unclaimed Property Records
Information and Records Management Records (OAR 166-300-0030)
Information System Planning and Development Records
Records Management Records
Payroll Records (OAR 166-300-0035)
Federal and State Tax Records

Databases

OSPA

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Organizational Placement

Schedule Number: 2013-0004

Agency: Department of Administrative Services
Division: Enterprise Goods and Services
Section: Financial Business Systems
Program: Statewide Financial Management Services

Program Description

Statewide Financial Management Services (SFMS) implements and operates the statewide financial management application that meets central administration and state agency needs while maintaining expenditure control over legislatively approved cash accounts, limitations, and appropriations. SFMS provides leadership, project management, control, policies, training, implementation, reimplementation, and operational support for the statewide accounting systems.

SFMS operates the Statewide Financial Management Application (SFMA), which is composed of two modules: the Relational Statewide Accounting and Reporting System (R*STARS) and the Advanced Purchasing and Inventory Control System (ADPICS). The SFMA, which was known as the State Financial Management System (SFMS) prior to 1995, tracks the following financial functions: general ledger; accounts payable and receivable; grant, project, and budgetary accounting; disbursements; cash control and management; systems security, purchasing, capital asset reporting, and internal and external financial reporting capabilities. SFMS program staff perform complex reconciliations of the state General Fund (Treasury Account 0401), Lottery Fund (Treasury Account 0539), and Joint Payroll (Treasury Account 10503). SFMS is also responsible for the state's purchase card program – Small Purchase Order Transaction System (SPOTS). The statutory authority for SFMS is found in ORS Chapters 291 and 293.

Program Records

- 295 Accounting Datamart System Correction and Enhancement Records**
Retain 1 year after life of the system, destroy
- 296 Control Accounting System (CAS) Statement of Transactions/Agency Control Ledger [ended 1997]**
Retain 75 years, destroy
- 297 Datamart Newsletter (*Datamart Connection*) [2007-2011]**
Retain 5 years, destroy
- 298 Executive Accounting System (EAS) General Ledger Transactions [ended 1997]**
Retain 75 years, destroy
- 299 Payroll Datamart System Correction and Enhancement Records**
Retain 1 year after life of the system, destroy
- 300 SPOTS Corporate and Travel Card Rebate Program Records**
Retain 6 years, destroy
- 301 SPOTS Credit Card Project Records**
Retain 6 years, destroy

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- 302 Statewide Financial Management Application (SFMA) Agency Conversion Records**
Retain documentation and system logic records 1 year after the life of the system, destroy
- 303 Statewide Financial Management Application (SFMA) Cost Benefit Analysis Records**
Retain 1 year after the life of the system, destroy
- 304 Statewide Financial Management Application (SFMA) KPMG Confirmation of Requirements Documentation**
Retain 1 year after the life of the system, destroy
- 305 Statewide Financial Management Application (SFMA) Profile Documentation**
Retain 1 year after the life of the system, destroy
- 306 Statewide Financial Management Application (SFMA) Steering Committee Meeting Agendas, Exhibits and Minutes [1989-1998]**
Retain 1 year after the life of the system, destroy
- 307 Statewide Financial Management Application (SFMA) System Control Reports**
Retain 6 years, destroy
- 308 Statewide Financial Management Application (SFMA) System Correction and Enhancement Records**
Retain 1 year after the life of the system, destroy

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records (OAR 166-300-0015)
Business Plan Records
Conference, Seminar, and Training Program Records
Contracts and Agreements
Correspondence
Policy and Procedure Guidelines and Manuals
Policy Development and Planning Records
Financial Records (OAR 166-300-0025)
1099-MISC Records
Account Reconciliation Records
Bank Statements Records (including State Treasury statements)
Competitive Bid Records (including software)
Trial Balance Reports
Warrant Cancellation Request Records
Warrant Records
Information and Records Management Records (OAR 166-300-0030)
Computer System Security Records
Computer System Program Documentation
Information System Planning and Development Records
Software Management Records

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Databases

ACCOUNTING DATAMART

ADPICS

OSPA

PAYROLL DATAMART

R*STARS

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Organizational Placement

Schedule Number: 2013-0004

Agency: Department of Administrative Services
Division: Enterprise Goods and Services
Section: Procurement Services
Program: Agency Specific

Program Description

Procurement Services is the central purchasing authority for state government. The section provides statewide buying and strategic procurement services; administers purchasing and contracting rules; and provides procurement training (ORS 279A, 279B, 279C; OAR 125). (See Statewide Statutes, Rules and Policies program in the Chief Financial Office for the records regarding the development and interpretation of public contracting rules and statewide procurement policies; and processing requests for delegations, special procurements, public improvement exemptions, and special requests requiring Chief Procurement Officer approval.)

The Agency Specific program oversees the preparation, negotiation and implementation of all agency-specific procurements. It administers small, informal, and formal solicitations and contract services; and initiates, solicits, selects and executes agency-specific price agreements and contracts for goods, personal and professional services, public improvements, public works, and international, interstate, intergovernmental and interagency agreements (ORS 279A.050).

Program Records

- 309 Agency-Specific Personal Services Contract Annual Report Records**
Retain 6 years, destroy
- 310 Agency-Specific Personal Services Contract Records
(including Review and Approval)**
Retain 3 years, destroy (per ORS 279A.140(2)(h))
- 311 Agency-Specific Program-Initiated Solicitation Records
(Non-Public Improvement and Public Works)**
Retain 6 years, destroy
- 312 Agency-Specific Program-Initiated Solicitation Records
(Public Improvement and Public Works)**
Retain 10 years, destroy
- 313 Architectural and Engineering Contract Review and Approval Records**
Retain 6 years, destroy

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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
Contracts and Agreements
Correspondence
Professional Membership Records
Public Records Disclosure Request Records
Signature Authorizations
Staff Meeting Records
Visitor Logs
Work Orders
Financial Records (OAR 166-300-0025)
Checks Records
Competitive Bid Records
Credit Card Records
Purchasing Records
Travel Expense Records
Payroll Records (OAR 166-300-0035)
Family Medical Leave Records
Leave Applications

Databases

ORPIN

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Organizational Placement

Schedule Number: 2013-0004

Agency: Department of Administrative Services
Division: Enterprise Goods and Services
Section: Procurement Services
Program: Operations

Program Description

The Operations program administers the internet-based Oregon Procurement Information Network (ORPIN), state training certification, procurement guidance, and statistical reporting.

ORPIN is the official publication forum for procurement notices and advertisements of the State of Oregon, local governments and political subdivisions (ORS 279A.140; OAR 125-246-0500). It is used to publicize and access government bidding opportunities; current and historic contract information; and details of suppliers interested in doing business with the state. Opportunity documents, and current and historical award information, may be viewed or downloaded to the user's system; this information is maintained with the solicitation files (see Agency Specific and Strategic Sourcing programs). The Operations program provides technical support to users of the ORPIN system.

Operations creates, maintains, reviews and updates procurement forms, templates, guidelines, procedures and policies to help agencies accurately conduct procurement business. The program also conducts organizational, administrative and procedural studies and strategic analyses, usually in the form of applied research, special projects, and program evaluations.

Operations also administers the DAS Procurement Services (DPS) training program, which provides state and local governments with information and job aids that promote best practices and improved procurement processes. The training supports an Oregon-specific credentialing program, which includes two certifications and three certificates that are part of a tiered delegation policy. DPS partners with higher education (Chemeketa Community College and Portland State University), and trade organizations (National Institute of Governmental Purchasing and Oregon Public Purchasing Association), in compiling and presenting training.

Program Records

314 Statewide Procurement Certification and Credentialing Records
Retain 6 years after expiration of credentials, destroy

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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
Contracts and Agreements
Conference, Seminar, and Training Program Records
Correspondence
Policy and Procedure Guidelines and Manuals [e.g. Procedural studies, analysis]
Professional Membership Records
Public Records Disclosure Request Records
Signature Authorizations
Financial Records (OAR 166-300-0025)
Checks Records
Competitive Bid Records
Credit Card Records
Purchasing Records
Travel Expense Records
Invoice Records
Information and Records Management Records (OAR 166-300-0030)
User Support Records
Information Service Subscription Records
Forms Development Records
Payroll Records (OAR 166-300-0035)
Family Medical Leave Records
Leave Applications

Databases

ILEARN
OREGON CREDENTIALING DATABASE
ORPIN

Oregon State Archives Records Retention Schedule

Edition: December 2013

Expires: January 2019

Organizational Placement

Schedule Number: 2013-0004

Agency: Department of Administrative Services
Division: Enterprise Goods and Services
Section: Procurement Services
Program: Strategic Sourcing

Program Description

Strategic Sourcing oversees the preparation, negotiation and implementation of all statewide price agreements, leveraging the purchasing power of state and local government agencies. The program administers the formal solicitation processes and contract administration duties described in ORS 279ABC and OAR 125; duties include initiating, soliciting, executing, and managing statewide price agreements for goods and services on behalf of agency customers.

The Strategic Sourcing program also administers the Oregon Cooperative Procurement Program (ORCPP), which provides fee-based services to local government agencies and other qualified organizations. Program participants are entitled to purchase goods and services through state wide price agreements; advertise solicitations on (ORPIN) (see Operations program); and obtain procurement training and certification (see Operations program). ORCPP also provides participants with access to the State of Washington's cooperative purchasing contracts, and other western state joint solicitation efforts through the Western States Contracting Alliance (WSCA).

The program also collects Vendor Contract Administration Fees (VCAF); and fees for ORPIN registration, solicitation and contract document reproduction, and training and certification.

Program Records

- 315 Newsletter (*Cooperative Connection*) [ended May 2011]**
Retain 5 years, destroy
- 316 Strategic Sourcing Personal Services Contract Annual Report Records**
Retain 6 years, destroy
- 317 Strategic Sourcing Personal Services Contract Records
(including Review and Approval)**
Retain 3 years, destroy (per ORS 279A.140(2)(h))
- 318 Strategic Sourcing Program-Initiated Solicitation Records
(Non-Public Improvement and Public Works)**
Retain 6 years, destroy
- 319 Strategic Sourcing Program-Initiated Solicitation Records
(Public Improvement and Public Works)**
Retain 10 years, destroy

Oregon State Archives Records Retention Schedule

Edition: December 2013

Expires: January 2019

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records (OAR 166-300-0015)
Conference, Seminar, and Training Program Records
Contracts and Agreements
Correspondence
Public Records Disclosure Request Records
Publication Preparation Records
Signature Authorizations
Staff Meeting Records
Work Orders
Financial Records (OAR 166-300-0025)
Competitive Bid Records
Travel Expense Records
Vendor Reports
Payroll Records (OAR 166-300-0035)
Leave Applications

Databases

ORPIN

Oregon State Archives Records Retention Schedule

Edition: December 2013

Expires: January 2019

Organizational Placement

Schedule Number: 2013-0004

Agency: Department of Administrative Services
Division: Enterprise Goods and Services
Section: Publishing and Distribution
Program: Mail Processing and Distribution

Program Description

Mail Processing and Distribution provides mail and postal mail shuttle and delivery services to state agencies located in cities along the I-5 corridor. Incoming mail is sorted and directed to agencies; outgoing mail is placed on the state shuttle, or sent via the U.S. Postal Service or a common carrier. The program inserts customer print jobs into envelopes for mailing; provides addressing of envelopes and brochures; machine meters mail; and processes mail by zip code.

Mail Processing and Distribution also provides an online interagency package tracking system, PacTrac, which enables tracking and secure shipments through the program's state shuttle service. PacTrac package deliveries are handled and priced according to their respective security level (1 to 4), as defined in the statewide Information Asset Classification policy (107-004-050).

Mail Processing and Distribution operates pursuant to ORS 283.140 and OAR 125 Division 40. Prior to July 1, 2012 Enterprise Goods and Services was known as the State Services Division.

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
Postal Records
Facilities/Property Records (OAR 166-300-0020)
Vehicle Records
Risk Management Records (OAR 166-300-0045)
Vehicle Accident Records

Databases

MMS
PACTRAC

Oregon State Archives Records Retention Schedule

Edition: December 2013

Expires: January 2019

Organizational Placement

Schedule Number: 2013-0004

Agency: Department of Administrative Services
Division: Enterprise Goods and Services
Section: Publishing and Distribution
Program: Printing and Publishing

Program Description

Printing and Publishing provides printing services to state agencies through in-plant production. It provides the following services: graphic design; conversion of files to print ready formats; mainframe secure printing; digital printing; bindery and hand work of print jobs; scanning; shipping, receiving and inventory control; and competitive bid administration for print requests that cannot be processed within Publishing and Distribution. The program also provides digital printing services at three satellite locations in Salem. Its operating authority is stated in ORS 282.

Program Records

- 320 Job Materials**
Retain until project completion, return to customer
- 321 Job Ticket Files and Work Orders**
Retain 5 years after project completion, destroy
- 322 Mainframe / Secure Print Destruction and Negotiable Logs**
Retain until superseded or obsolete, destroy
- 323 Mainframe / Secure Print Job Materials**
Retain until project completion, return to customer
- 324 Offset Press Transition (to Oregon Corrections Enterprises) Records**
Retain 6 years, destroy
- 325 Production Statistic Reports**
Retain 6 years after completion, destroy
- 326 Rate and Methodology 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
Contracts and Agreements
Publication Preparation Records
Information and Records Management Records (OAR 166-300-0030)
Information System Planning and Development Records

Databases

CHECK LOG
LOGIC
ONLINE CUSTOMER
ONLINE ORDER SYSTEM

Oregon State Archives Records Retention Schedule

Edition: December 2013

Expires: January 2019

Organizational Placement

Schedule Number: 2013-0004

Agency: Department of Administrative Services
Division: Enterprise Goods and Services
Section: Publishing and Distribution
Program: Services

Program Description

The Publishing and Distribution (P&D) Services program provides business services (purchasing, personnel, and management support); customer service (print order processing, customer support and training, and liaising between customers and P&D production); internal policies and procedures; internal audit responsibilities; building and information security; and disaster recovery processes.

Program Records

327 Print Negatives
Retain 2 years, destroy

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records (OAR 166-300-0015)
Conference, Seminar, and Training Program Records
Correspondence
Policy and Procedure Guidelines and Manuals
Visitor Logs
Facilities/Property Records (OAR 166-300-0020)
Building Records
Equipment/Property Disposition Records
Master Material Safety Data Records
Financial Records (OAR 166-300-0025)
Accounts Payable Records
Accounts Receivable Records
Competitive Bid Records
Information and Records Management Records (OAR 166-300-0030)
Computer System Maintenance Records
Computer System Security Records
Personnel Records (OAR 166-300-0040)
Work Schedules and Assignment Records
Risk Management Records (OAR 166-300-0045)
Emergency Response Plans and Procedures
Incident Reports
Safety Compliance and Inspection Records

Databases

CHECK LOG
LOGIC
ONLINE CUSTOMER
ONLINE ORDER SYSTEM

Oregon State Archives Records Retention Schedule

Edition: December 2013

Expires: January 2019

Organizational Placement

Schedule Number: 2013-0004

Agency: Department of Administrative Services
Division: Enterprise Goods and Services
Section: Risk Management
Program: Claims Management

Program Description

The Claims Management program mitigates the state's exposure to risk by conducting timely, accurate and complete claims processing; estimates the financial value of claims; gathers data on claims for record keeping, loss forecasting and performance improvement purposes; and establishes reporting relationships and administrative controls over claim management services.

Claims Management provides claims resolution for damage to state property, loss or injury to the public arising out of state activities, and claims consulting services for state agencies statewide (ORS 278.120). The unit investigates, evaluates, defends and settles claims and suits filed against the State of Oregon, its officers, employees and agents under the Oregon Tort Claims Act (ORS 30.260-30.300). The Insurance Fund, established by ORS 278.425, is used to provide both commercial and self-insurance coverage for the State of Oregon (OAR 125 Division 150).

Claims Management uses its risk management information system, CS STARS, to manage ongoing liability and property claims. CS STARS is also used to extract and maintain summary claims data for long-term trend analysis; summary information includes payout amount, type of loss, cause of loss, incident location, involved agency, vehicle information, and defense costs.

Program Records

328 Alternative Dispute Resolution Program Records [ended 2006]

Retain 6 years, destroy

329 Liability Claim Records

(a) Retain minor files until 6 years after minor claimant's 18th birthday, destroy

(b) Retain non-minor files until 6 years after case closure, destroy

330 Medicare Secondary Payer Coordination of Benefits (COB) Records

Retain 10 years after closure, destroy

331 Property Claim Files

Retain 4 years after case closure, destroy

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records (OAR 166-300-0015)

Conference, Seminar, and Training Program Records

Correspondence

Policy and Procedure Guidelines and Manuals

Information and Records Management Records (OAR 166-300-0030)

Records Management Records

Databases

CS STARS

Oregon State Archives Records Retention Schedule

Edition: December 2013

Expires: January 2019

Organizational Placement

Schedule Number: 2013-0004

Agency: Department of Administrative Services
Division: Enterprise Goods and Services
Section: Risk Management
Program: Risk Administration

Program Description

Risk Administration minimizes risk to state government and manages the costs of claims against the state. Pursuant to statutory authority, it administers and maintains the actuarial integrity of the Insurance Fund, which provides insurance and self-insurance for Oregon (ORS 278.425; OAR 125 Division 150). Risk Administration allocates insurance costs to state agencies based upon their insurance requirements and prorated forecasts from past losses. It also purchases specific excess and specialty coverage; and purchases commercial insurance against specific liabilities incurred by certain agencies; these premiums are directly re-billed to agencies. Risk Administration provides overall direction to the Risk Management section, setting the strategic risk management vision, coordinating administrative and program support services, evaluating the quality and effectiveness of services, establishing reporting relationships and administrative controls, and working with other agencies and entities to manage operational and strategic risk. Risk Administration also supports the work of the Risk Management Advisory Council, which provides outreach to all state agencies, and a forum for stakeholders to exchange information, generate ideas, and make recommendations to DAS Risk Management. The Risk Administration program maintains the official copy of the Risk Management Advisory Council's records.

Program Records

- 332 Actuarial and Outside Consultant Study Records and Reports**
Retain 10 years, destroy
- 333 Agency Risk Charge Supporting Documentation**
Retain 6 years, destroy
- 334 Insurance Fund Financial Reports**
Retain 10 years, destroy
- 335 Newsletter (*RisKeyNotes*)**
Retain 6 years, destroy
- 336 Risk Management Advisory Council Records**
 - (a) Retain meeting records, issue papers, and reports 20 years, destroy
 - (b) Retain formation and organizational records 2 years after life of the council, destroy
- 337 Self-Insurance Policy Handbooks**
Retain 50 years after superseded or expired, destroy

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records (OAR 166-300-0015)
Contracts and Agreements
Correspondence
Policy and Procedure Guidelines and Manuals

Databases

CS STARS

Oregon State Archives Records Retention Schedule

Edition: December 2013

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Organizational Placement

Schedule Number: 2013-0004

Agency: Department of Administrative Services
Division: Enterprise Goods and Services
Section: Risk Management
Program: Risk Control

Program Description

Risk Control works with state agency executives, managers, safety advisors and risk coordinators to help establish effective safety and risk management systems within their respective agencies. Systems are designed to enable agencies to identify, analyze and mitigate their risk exposure.

Staff analysts focus on exposures covered by the self-insurance fund, minimizing the payment of public funds for losses (ORS 278; OAR 125 Division 150). Staff Analysts address risks associated with employee injury, tort liability and property assets, assisting agencies to maximize the use of funds for operations and services. Risk Control compiles and makes available topic specific guides called RiskKeys; and topical tools and information called Risk Toolkits. It also establishes standards of state vehicle use, in support of the Fleet and Parking Administration program (Enterprise Asset Management) (ORS 283.305 - 283.395; OAR 125 Division 155).

The Risk Control program administers the Inmate Injury Fund, which covers inmates for bodily injury sustained during work performed as part of their incarceration plan (ORS 655; OAR 125 Division 160). The State Accident Insurance Fund Corporation (SAIF) has administered claims against this fund since 1991, pursuant to an agreement with the DAS Risk Management Division. The Risk Control program monitors, maintains, designs and administers safety management; administering the insurance contract with SAIF, the state's insurer; financing state workers' compensation insurance; consulting with agency executives and managers to implement safety management systems; and integrating safety systems with other government operating systems.

Program Records

- 338 Agency Safety and Risk Consultation and Project Records**
Retain 10 years after completion or close of project, destroy
- 339 Citizen State Vehicle Complaint Records**
Retain 3 years after case closure, destroy
- 340 Commercial Liability Insurance Policies**
(a) Retain liability policies 75 years after expired and all known claims closed, destroy
(b) Retain property policies 3 years after expired and all known claims closed, destroy
- 341 Inmate Injury Claim Files, 1980 – 1991**
Retain 75 years, destroy
- 342 Local Government Entity Liability Participation Certificates [ended 1990]**
Retain 50 years, destroy
- 343 Oregon and Out of State Workers' Compensation Policy and Bond Records**
Retain 50 years after expired and all known claims closed, destroy
- 344 Reports on State Agency Risk Control Performance**
Retain 10 years, destroy
- 345 RiskKey Guidelines and Toolkits**
Retain 2 years after superseded or obsolete, 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

Conference, Seminar, and Training Program Records

Contracts and Agreements

Correspondence

Policy and Procedure Guidelines and Manuals

Publication Preparation Records

Information and Records Management Records (OAR 166-300-0030)

Records Management Records

Databases

CS STARS

Oregon State Archives Records Retention Schedule

Edition: December 2013

Expires: January 2019

Organizational Placement

Schedule Number: 2013-0004

Agency: Department of Administrative Services
Division: Enterprise Goods and Services
Section: Shared Financial Services
Program: Administration

Program Description

Shared Financial Services (SFS) provides contracted financial and accounting services to selected small state agencies, boards and commissions, and the Governor's Office. SFS contracts are administered and maintained by the Procurement Services section, and contain varying combinations of services to meet specific client needs. SFS services include budget preparation and execution services; and daily processing for accounts payable, accounts receivable, receipts, and disbursements. SFS prepares quarterly allotment plans, financial plans, and reports for clients; it also projects future cash and expenditure needs, and alerts clients to potential problem areas. Other services include establishing and linking accounting structures to support financial information needs, and ensuring that accounting and budget structures provide decision-makers with needed information. SFS's authority is found in ORS 283.110, ORS 293.590, and ORS 291.

Program Records

None

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records (OAR 166-300-0015)
Conference, Seminar, and Training Program Records
Correspondence
Policy and Procedure Guidelines and Manuals
Signature Authorizations
Financial Records (OAR 166-300-0025)
Account Reconciliation Records
Account Transfer Records
Accounting Structure Organizational Hierarchy Records
Agency Control Reports
Annual Financial Reports
Budget Allotment Reports
Cash Receipt Records
Receipt Register Records
Travel Expense Records
Trial Balance Reports
Voucher Register Records
Warrant Register Records
Personnel Records (OAR 166-300-0040)
Position Inventory Control System (PICS) Reports

Databases

None

Oregon State Archives Records Retention Schedule

Edition: December 2013

Expires: January 2019

Organizational Placement

Schedule Number: 2013-0004

Agency: Department of Administrative Services
Division: Enterprise Goods and Services
Section: Shared Financial Services
Program: Accounting and Budgeting

Program Description

The Shared Financial Services section provides internal accounting support for all of the Department of Administrative Services (DAS).

Accounting and Budgeting program services include setting up accounting structures; providing financial information and support to agency program managers; preparing statewide financial reports; preparing cost allocation financial statements; A-133 sub-recipient monitoring; accounting for fixed assets; Certificate of Participation (COPs) accounting; and reconciling State Treasury statements. For additional COP records, see the Accounts Payable program in this section; and the Capital Planning and Finance program (in the Chief Financial Office).

Program Records

346 Federal Sub-Recipient Compliance Monitoring Records

Retain 3 years after state audit, destroy

347 Certificate of Participation (COP) Acquisition and Debt Service Expenditures

Retain 6 years, destroy

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records (OAR 166-300-0015)
Correspondence
Policy and Procedure Guidelines and Manuals
Facilities/Property Records (OAR 166-300-0020)
Asset Inventory Reports
Building Records
Equipment/Property Disposition Records
Financial Records (OAR 166-300-0025)
Account Reconciliation Records
Account Transfer Records
Annual Financial Reports
Bank Statements Records
General Ledger Transaction Reports
Trial Balance Reports

Databases

FAS (FIXED ASSET ACCOUNTING SYSTEM)

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Edition: December 2013

Expires: January 2019

Organizational Placement

Schedule Number: 2013-0004

Agency: Department of Administrative Services
Division: Enterprise Goods and Services
Section: Shared Financial Services
Program: Accounts Payable

Program Description

Accounts Payable provides support to the section, and performs disbursements for DAS. Duties include processing travel claims, vendor invoices, Small Purchase Order Transaction System (SPOTS) payments, and Certificates of Participation (COPs); invoicing DAS and state and non-state agencies for Enterprise Technology Services work; and providing accounting for federal and state disbursements (including federal pass through funds) to cities, counties, transit districts, and agencies. For additional COP records, see Accounting and Budgeting program (this section); and Capital Planning and Finance program (Chief Financial Office). For other SPOTS records, see the Statewide Financial Management Services program (Enterprise Goods and Services).

Program Records

348 Certificate of Participation (COP) Financing Request and Payment Records

Retain 3 years after COP maturity, destroy

349 Disbursements to Local Governments (Cities, Counties, Transit Districts) Records

Retain 6 years, destroy.

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records (OAR 166-300-0015)

Correspondence

Signature Authorizations

Financial Records (OAR 166-300-0025)

Encumbrance Register Records

Voucher Records

Warrants Records

Databases

911 DISTRIBUTION TOTALS

AMUSEMENT TAX DISTRIBUTION TOTALS

CIGARETTE TAX DISTRIBUTION TOTALS

FLOOD CONTROL LEASES

FOREST RESERVES

LAND SALES 5%

LIQUOR TAX DISTRIBUTION TOTALS

LOTTERY

MASS TRANSIT

MENTAL HEALTH DISTRIBUTION TOTALS

MINERAL LEASES

OIL SETTLEMENT FUNDS

REVENUE SHARING DISTRIBUTION TOTALS

TAYLOR GRAZING ACT

**Oregon State Archives
Records Retention Schedule**

Edition: December 2013

Expires: January 2019

Organizational Placement

Schedule Number: 2013-0004

Agency: Department of Administrative Services
Division: Enterprise Goods and Services
Section: Shared Financial Services
Program: Accounts Receivable

Program Description

The Accounts Receivable program provides DAS with internal cashiering and accounts receivable services. Additional duties include invoicing DAS and other state and non-state agencies; setting up accounts receivable; and recording receipts and monies.

Program Records

None

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records (OAR 166-300-0015)
Correspondence
Policy and Procedure Guidelines and Manuals
Financial Records (OAR 166-300-0025)
Accounts Receivable Reports
Cash Receipt Records
Check Registers Records
Deposit Slips Records
Invoices Records
Petty Cash Fund Records
Receipts Records

Databases

DAS INVOICING MODEL

Oregon State Archives Records Retention Schedule

Edition: December 2013

Expires: January 2019

Organizational Placement

Schedule Number: 2013-0004

Agency: Department of Administrative Services
Division: Enterprise Human Resource Services (EHRS)
Program: EHRS Administration

Program Description

Enterprise Human Resource Services (EHRS) Administration manages human resource activities within the Department of Administrative Services (DAS), providing personnel services for agency employees, and supporting the role of managers. Duties include employment and background verification; personnel action processing; recruitment, classification and compensation; Fair Labor Standards Act, Family Medical Leave Act, Oregon Family Leave Act assistance; interpretation of personnel policies and contracts; employee discipline; affirmative action monitoring and control; performance appraisal management; maintenance of personnel files; provision of safety and training programs; and delivery of DAS service awards.

EHRS supports the DAS Diversity Council, which answers questions, and oversees issues and complaints of discrimination, harassment, and Americans with Disabilities Act accommodation. Composed of a cross-section of DAS employees, the council promotes workforce diversity, and reinforces behaviors that reflect a strong organizational value in establishing and maintaining a climate of diversity within DAS. EHRS maintains the official copy of the council's records.

Program Records

350 DAS Diversity Council Records

- (a) Retain meeting records 10 years, destroy
- (b) Retain articles and reports 5 years after distribution, destroy
- (c) Retain formation and organizational records 2 years after life of the council, destroy

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records (OAR 166-300-0015)
Contracts and Agreements
Correspondence
Personnel Records (OAR 166-300-0040)
Affirmative Action Records
Comparable Worth Study Records
Criminal Background Check Records
Employee Medical Records
Employee Personnel Records
Employee Training Records
Employment Eligibility Verification Forms (I-9)
Equal Employment Opportunity Commission Compliance Records
Position Description and Reclassification Records
Recruitment and Selection Records
Volunteer Program Records
Risk Management Records (OAR 166-300-0045)
Safety Program Records

**Oregon State Archives
Records Retention Schedule**

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Databases

BUSINESS ONLINE (SAIF)

E-RECRUIT

FURLOUGH

GOVSPACE

ILEARN

LORC

LEDS

OSPA

PPDB

Oregon State Archives Records Retention Schedule

Edition: December 2013

Expires: January 2019

Organizational Placement

Schedule Number: 2013-0004

Agency: Department of Administrative Services
Division: Enterprise Human Resource (HR) Services
Program: HR Operations and Systems

Program Description

The HR Operations and Systems program oversees state government's personnel-related computer systems (Position and Personnel Data Base: PPDB), databases and tables, including iLearn Oregon and E-Recruit. It is responsible for the development, revision, operation, and security of the statewide-computerized human resource (personnel-related) systems, which provide mission-critical support of statewide human resources administration, used by all executive, judicial and legislative branch agencies, including the State Lottery (and excluding employee and position data for the Oregon University System). The PPDB system is used for agency human resource and payroll processing. HR Operations and Systems also provides regular and special reports for state executive and legislative analysis and decision-making.

PPDB is a mainframe application that contains personal and employment information for all state employees hired since its implementation (1991), and summarized historical employee information for prior employment periods (ORS 240.145(1)). Individual Employee Personnel File contents include employee personnel actions, such as appointments, terminations, job changes, reclassifications, representation changes, pay changes, leaves, and suspensions. Each state employee is assigned a unique Employee Identification Number (OR#) in PPDB when appointed and this number is identified on each action that is processed in PPDB and carried with the employee record through their state employment. The HR Operations and Systems program is engaged in enhancing the PPDB system to include more data fields, expand existing fields, and add new screens to capture more data. It is also responsible for maintaining pre-PPDB employee personnel files, generated through the legacy Application and Certification system (APPL/CERT), which was used to process employment applications, produce certificates of eligible job candidates, and provide reports to state agencies through March 2010.

HR Operations and Systems operates and maintains iLearnOregon, which is a learning management system for all state agency employees and public partners, launched in November 2008. iLearnOregon uses vendor software called Meridian Global, created by Meridian Knowledge Solutions. iLearn is composed of in-person training registration, online training management, end user transcript management, certification management, performance evaluations, and individual development plans. HR Operations and Systems is responsible for self-hosting the software, managing the hardware, maintaining system content, ensuring product operation, and implementing all iLearn system upgrades included in the maintenance agreement.

HR Operations and Systems also administers the Oregon E-Recruitment System, an automated statewide recruitment system implemented statewide in 2010. Contents include all state applicant profiles (contact information, work history, references); applicant attachments (DD214/215, resumes, cover letters, transcripts); job postings; requisitions; eligible lists; user profiles (name, work phone number, title, e-mail address); agency user profiles (name, work phone number, title, e-mail address); state priority lists; scoring plans; supplemental questions; agency-wide questions; configuration settings; and panel templates. HR Operations and Systems provides user

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and system administration and support, including statewide security user access management. The program represents the State of Oregon to the Software as a Service (SaaS) provider, NeoGov, to ensure that system issues are resolved promptly with little or no impact to customers. HR Operations and Systems also maintains the records of the Human Resource Information System (HRIS) Project (2007-2010), which planned the replacement and upgrade of the state's human resource applications: PPDB; Position Information Control System (PICS); and Applicant Recruitment and Certification system (APPL/CERT).

Program Records

- 351 Affirmative Action Application Analysis Reports [ended with 2009 report]**
Retain 3 years, destroy
- 352 Affirmative Action Certification of Eligibles Reports [ended with 2009 report]**
Retain 3 years, destroy
- 353 Automated Merit Increase Reports (Given and Not Given)**
Retain 3 years, destroy
- 354 Employees by County and City Reports**
Retain 10 years, destroy
- 355 Equal Employee Opportunity Commission (EEO4) Reports**
Retain 3 years, destroy
- 356 Human Resource Information System (HRIS) Project Records [2007-2009]**
Retain 20 years, destroy
- 357 Individual Employee Personnel Files**
Retain 75 years after employee separation, destroy
- 358 Positions and Employees by Representation Code June Reports**
Retain 10 years, destroy
- 359 Position and Employee Representation Codes**
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)
Conference, Seminar, and Training Program Records
Correspondence
Information and Records Management Records (OAR 166-300-0030)
Computer System Program Documentation

Databases

E-RECRUIT
I-LEARN
GOVSPACE
OPERS
OSPA
PICS
PPDB

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Organizational Placement

Schedule Number: 2013-0004

Agency: Department of Administrative Services
Division: Enterprise Technology Services
Program: Application Delivery

Program Description

Enterprise Technology Services (ETS) is the primary supplier of managed computing technology for Oregon state government. ETS provides mainframe, storage, and server-based applications; maintains secure and reliable network and voice services; replaces legacy enterprise applications as needed; and meets the varying needs and sizes of its government customers, pursuant to best practice standards, and state and federal regulatory requirements. Its statutory authority is found in ORS 184.305. Until July 2012 ETS was known as the State Data Center (SDC), which was created in 2006 by state agency directors and chief information officers to provide computing, network and communication infrastructure technology for most state agencies and some counties, cities, schools, and tribes; SDC operations were later expanded to include additional enterprise technology services: statewide finance, payroll, electronic-government, and desktop support for the Department of Administrative Services (DAS) and many small state agencies.

The Application Delivery program provides DAS with application systems analysis, design and programming; support in automating and enhancing business applications, upgrading legacy applications, and extending the use of information technologies; and consultation and guidance on the best practices relating to business application technology. The Application Delivery program has previously been called Information Systems and Services (2009 – July 2012); Enterprise Application Services Systems; and originally Systems Development and Consulting.

The Application Delivery program possesses knowledge in mainframe, mid-range, and micro computers, data administration, and web technologies; and extensive knowledge on the following DAS enterprise applications: SFMS (see Enterprise Goods and Services), PPDB (Enterprise Human Resource Services), OSPS (Enterprise Goods and Services), PICS (Enterprise Human Resource Services), LINUS (Chief Operating Office), eBRP (Chief Information Office), and iLearnOregon (Chief Human Resources Office). The program provides DAS with data warehouse development and support; database administration and support; and mainframe, web and desktop development language application expertise and support.

The program also supports centralized and improved government services in an electronic environment (E-Government program) (ORS 184.305, 291.038, 291.032, 291.034). DAS has been responsible for implementing and improving state government's internet presence, services, and citizen interaction since 2001 (EO-01-25). E-Government services comprise four lines of business: enterprise content management and Oregon.gov; E-Commerce Payment Processing; online applications, authenticating portal development, and hosting; and GovSpace Enterprise Collaboration. The Application Delivery program supports and maintains the records of several advisory bodies: the E-Government Agency Executive Advisory Board, which provided high level policy and process advice to the E-Government program (previously in the DAS Enterprise Information Strategy and Policy Division, which became the Chief Information Office in July 2012) through January 2012; the multi-agency Transition Implementation Advisory Team (TIAT), which provides oversight and advice on major E-Government contract procurement,

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and the E-Government Transition Project; and the Transitional Advisory Team (TAT) – TIAT’s predecessor – which provided advice to the program on business objectives, success measures, and transition requirements through February 2010; its deliverables were included in the Request for Proposals for the E-Government Procurement to replace the current enterprise contract. TAT’s members were selected by DAS and E-Government Agency Executive Advisory Board.

Note 1: See the Chief Operating Office, Public Affairs program for E-Governance Board records; and see Chief Information Office (CIO), CIO Administration program for records of the E-Government Portal Advisory Board.

Note 2: There are no databases directly in use by the E-Government program. Through the E-Government program contract, commerce transactions, database driven webpages, and Oregon GovSpace databases are hosted by a contractor. The GovSpace Terms of Use, which each participant agrees to prior to using the site, states in part: “Oregon GovSpace does not serve as a repository for data retention, and will not be responsible for maintaining data generated or shared on or through Oregon GovSpace. Oregon GovSpace participants and their respective agencies are responsible for compliance with general records retention requirements and schedules concerning their Oregon GovSpace communications and data. See OAR 166-300-0015 (8).” The E-Government program does not access or manage agencies’ varied and unique content within the Oregon GovSpace databases. Oregon GovSpace-participating agencies are responsible for maintaining their respective records and information; agencies are informed of this necessity during initial training sessions, and users are subsequently reminded when using the application.

Program Records

- 360 Application Development Documentation Standards**
Retain 10 years after superseded, destroy
- 361 E-Government Agency Executive Advisory Board Records [ended January 2012]**
Retain 10 years after February 1, 2012, destroy
- 362 E-Government Transition Project Records**
[Includes Transition Implementation Advisory Team (TIAT) Records]
Retain 6 years after project end date, destroy
- 363 Request Tracker (RT) Records (Application Delivery)**
Retain 7 years after resolution, destroy
- 364 Resource Access Control Facility (RACF) Support Records**
Retain 1 year after resolution, destroy
- 365 Resource Access Control Facility (RACF) Violation Reports (DAS Systems)**
Retain 10 years, destroy
- 366 Software Development Lifecycle Methodology**
Retain 10 years after superseded, destroy
- 367 Transitional Advisory Team (TAT) Records [ended February 2010]**
Retain 6 years after March 1, 2010, destroy

**Oregon State Archives
Records Retention Schedule**

Edition: December 2013

Expires: January 2019

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records (OAR 166-300-0015)
Business Plan Records
Conference, Seminar, and Training Program Records
Contracts and Agreements
Correspondence
Policy and Procedure Guidelines and Manuals
Policy Development and Planning Records
Information and Records Management Records (OAR 166-300-0030)
Computer System Maintenance Records
Computer System Program Documentation
Information System Planning and Development Records

Databases

GLPI
PROCUREMENT TRACKER (PT)
REQUEST TRACKER (RT)
S3

Oregon State Archives Records Retention Schedule

Edition: December 2013

Expires: January 2019

Organizational Placement

Schedule Number: 2013-0004

Agency: Department of Administrative Services
Division: Enterprise Technology Services
Program: Engineering

Program Description

The Engineering program designs and builds the services delivered and supported by Enterprise Technology Services (ETS). The program's Security unit provides computer network services including registration of domain names, Internet access, Wide Area Network (WAN) services, network security and access to the Department of Administrative Services' computing systems. The New Services unit works with the ETS Service Solutions program to pilot new services and technologies. The Hardware Engineering unit researches, develops, designs, and tests equipment.

Program Records

- 368 Circuit and Line Records**
Retain 7 years after disconnect, destroy
- 369 Firewall Logs**
Retain 3 years, destroy
- 370 Request Tracker (RT) Records (Engineering)**
Retain 7 years after resolution, destroy

State Agency General Records Retention Schedule Records

Includes but is not limited to:

- Administrative Records (OAR 166-300-0015)
- Business Plan Records
- Conference, Seminar, and Training Program Records
- Contracts and Agreements
- Correspondence
- Policy and Procedure Guidelines and Manuals
- Policy Development and Planning Records
- Facilities/Property Records (OAR 166-300-0020)
- Equipment Maintenance Records
- Information and Records Management Records (OAR 166-300-0030)
- Computer System Maintenance Records
- Computer System Program Documentation
- Information System Planning and Development Records
- Telecommunications System Management Records

Databases

REQUEST TRACKER (RT)

Oregon State Archives Records Retention Schedule

Edition: December 2013

Expires: January 2019

Organizational Placement

Schedule Number: 2013-0004

Agency: Department of Administrative Services
Division: Enterprise Technology Services
Program: Plans and Controls

Program Description

The Plans and Controls program supplies supporting services to meet customer needs. The program's staff facilitates budgeting, strategic planning, financial management, human resources management, and project management. Plans and Controls is composed of the Financial/Budget Support, Business Support, Administrative Support, and Strategy and Project Management units.

The Plans and Controls program supports and maintains the official copy of the records of the State Data Center Directors Advisory Board, which serves as a forum where state agency directors explore a range of issues and alternatives associated with running a shared service data center; State Data Center Finance Committee (of the Directors Advisory Board); and State Data Center Chief Information Officer (CIO) Advisory Board, which is composed of agency CIOs.

Program Records

371 Information Resource Request (IRR) and Business Case Records

Retain 6 years after closure, destroy

372 Project Management Records

Retain 6 years after project closure, destroy

373 Request Tracker (RT) Records (Support)

Retain 7 years after resolution, destroy

374 State Data Center CIO Advisory Board Records

(a) Retain meeting agendas, exhibits and minutes 10 years, destroy

(b) Retain formation and organization records 2 years after the life of the board, destroy

(c) Retain meeting audio recordings 1 year after approval of meeting minutes, destroy

375 State Data Center Directors Advisory Board Records

(a) Retain meeting records 10 years, destroy

(b) Retain formation and organization records 2 years after life of the board, destroy

376 State Data Center Finance Committee Meeting Records

(a) Retain meeting agendas, exhibits and minutes 10 years, destroy

(b) Retain meeting audio recordings 1 year after approval of meeting minutes, destroy

Oregon State Archives Records Retention Schedule

Edition: December 2013

Expires: January 2019

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records (OAR 166-300-0015)
Business Plan Records
Conference, Seminar, and Training Program Records
Contracts and Agreements
Correspondence
Policy and Procedure Guidelines and Manuals
Policy Development and Planning Records
Facilities/Property Records (OAR 166-300-0020)
Equipment Maintenance Records
Financial Records (OAR 166-300-0025)
Internal Audit Reports
Purchasing Records
Information and Records Management Records (OAR 166-300-0030)
Computer System Maintenance Records
Computer System Program Documentation
Information Service Subscription Records
Information System Planning and Development Records
Personnel Records (OAR 166-300-0040)
Recruitment and Selection Records

Databases

REQUEST TRACKER (RT)
TIVOLI USAGE AND ACCOUNTING MANAGER (TUAM)

Oregon State Archives Records Retention Schedule

Edition: December 2013

Expires: January 2019

Organizational Placement

Schedule Number: 2013-0004

Agency: Department of Administrative Services
Division: Enterprise Technology Services
Program: Service Delivery

Program Description

The Service Delivery program owns and operates the shared environment, including computing hardware, operating systems, and enterprise and contracted applications. Services are determined by customer demand, funding, and computing environment needs. Service Delivery staff has expertise in operating the equipment and systems they support to produce services requested and offered in the service catalog. The Service Delivery units are Mainframe, Windows, Linux, UNIX, iSeries, Storage, Process, Design and Standards, and Voice Services Delivery.

The Mainframe unit is responsible for the installation and maintenance of mainframe hardware, the mainframe operating system, and mainframe system software, such as compilers, application development tools, job schedulers, database subsystems, and application transaction processing regions. The Windows, Linux, UNIX, and iSeries units provide server configuration, setup, and deployment of operating systems. Storage provides backup and storage capability for customer data. The Voice Services Delivery unit provides on-network voice services to state and qualified public service entities (i.e. Portland, Salem, Eugene, Albany, Corvallis, Grants Pass, Roseburg, Medford, and Bend). Beyond the on-network dial tone, incoming and outgoing calling, and statewide consulting services, Voice Services Delivery also manages contracts for conferencing, long distance, calling cards, customer premise equipment, and labor on a statewide basis.

Program Records

- 377 Billing Data (Pre-Accounts Receivable)**
Retain 12 complete months, destroy
- 378 CA-1 Audit Trail Data**
Retain 6 complete months, destroy
- 379 LOGREC Data**
Retain 6 complete months, destroy
- 380 Mainframe Configuration Data**
Retain current and previous four generations, destroy
- 381 Request Tracker (RT) Records (Service Delivery)**
Retain 7 years after resolution, destroy
- 382 System Management Facility (SMF) Customer Information Control System (CICS) Data**
Retain 12 complete months, destroy
- 383 System Management Facility (SMF) DB2 Monitor Data**
Retain 12 complete months, destroy
- 384 System Management Facility (SMF) Data**
Retain 60 complete months, destroy
- 385 System Management Facility (SMF) Resource Access Control Facility (RACF) Audit Data**
Retain 12 complete months, destroy

Oregon State Archives Records Retention Schedule

Edition: December 2013

Expires: January 2019

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records (OAR 166-300-0015)

Business Plan Records

Conference, Seminar, and Training Program Records

Contracts and Agreements

Correspondence

Policy and Procedure Guidelines and Manuals

Policy Development and Planning Records

Facilities/Property Records (OAR 166-300-0020)

Equipment Maintenance Records

Information and Records Management Records (OAR 166-300-0030)

Computer System Maintenance Records (includes DAS & client agency data & records backups)

Computer System Program Documentation

Information System Planning and Development Records

Telecommunications System Management Records

Personnel Records (OAR 166-300-0040)

Work Schedules and Assignment Records

Databases

REQUEST TRACKER (RT)

Oregon State Archives Records Retention Schedule

Edition: December 2013

Expires: January 2019

Organizational Placement

Schedule Number: 2013-0004

Agency: Department of Administrative Services
Division: Enterprise Technology Services
Program: Service Solutions

Program Description

The Service Solutions program aligns customers' business needs and Enterprise Technology Service's (ETS) product and services, including services for new customer transition and internal services to ETS. Service Solutions' relationship with the customer and knowledge of business needs links ETS with the customer's business strategy. Service Solutions' staff facilitates the relationship between customer and all of ETS. Service Solutions' units are Account Management, Solutions Architecture, Service Portfolio and Catalog, and Business Solutions.

Program Records

- 386 ETS Service Catalog (formerly SDC Service Catalog)**
Retain 3 years after superseded, destroy
- 387 Request Tracker (RT) Records (Service Solutions)**
Retain 7 years after resolution, destroy

State Agency General Records Retention Schedule Records

Includes but is not limited to:

Administrative Records (OAR 166-300-0015)
Business Plan Records
Conference, Seminar, and Training Program Records
Contracts and Agreements
Correspondence
Policy and Procedure Guidelines and Manuals
Policy Development and Planning Records
Financial Records (OAR 166-300-0025)
Account Reconciliation Records
Information and Records Management Records (OAR 166-300-0030)
Computer System Maintenance Records
Computer System Program Documentation
Information System Planning and Development Records

Databases

REQUEST TRACKER (RT)

Oregon State Archives Records Retention Schedule

Edition: December 2013

Expires: January 2019

Organizational Placement

Schedule Number: 2013-0004

Agency: Department of Administrative Services
Division: Enterprise Technology Services
Program: Technology Availability Management

Program Description

The Technology Availability Management (TAM) program monitors, maintains, and supports the shared environment, including computing hardware, operating systems, and enterprise and contracted applications. TAM staff ensures that systems are highly available and are experts in maintaining the equipment, systems and services offered. TAM's units are the Service Desk, Computing Availability Management, Telecommunications Availability Management, Business Analytics, and Production Services.

The Service Desk unit provides support to the Department of Administrative Services (DAS), Governor's Office, and client agencies in the following areas: network and desktop services; application support; video conferencing; audio conferencing; Digital Subscriber Line (DSL) support; enterprise e-mail support and administration; client and server integrated communications services support; and remote/mobile computing services and support.

The Computing Availability Management unit provides network security support, computing storage support, and server support. The Telecommunications Availability Management unit provides computer network services, including registration of domain names, Internet access, Wide Area Network (WAN) services, network monitoring services, and access to DAS computing systems. The Business Analytics unit provides network circuit and hardware ordering services, asset management services, and oversees the annual IT investment audit.

The Production Services unit performs many functions, including mainframe and mid-range batch processing, monitoring, and scheduling for customer agencies; monitoring the availability of the state's infrastructure (network, server, mainframe, etc.) as well as the raised floor HVAC cooling and electrical systems; tape media management and off-site coordination for all Enterprise Technology Services sections and customer agencies; monitoring the physical security of the State Data Center including video surveillance and raised floor access management; after-hours Service Desk and Incident Management support; and disaster Recovery support.

Program Records

- 388 Change Authentication Records**
Retain 1 year after life of the system or service, destroy
- 389 Disaster Plan**
Retain until superseded or obsolete, destroy
- 390 Domain Name Registration and Service Records**
Retain 1 year after life of the registration, destroy
- 391 Domain Name System (DNS) Configurations and Logs**
Retain 1 year, destroy
- 392 Offsite Media Exchange Logs**
Retain 5 years, destroy
- 393 Request Tracker (RT) Records (Technology Availability)**
Retain 7 years after resolution, destroy

**Oregon State Archives
Records Retention Schedule**

Edition: December 2013

Expires: January 2019

- 394 Telecommunications Service Orders (TSO – Network and Voice)**
Retain 6 years, destroy

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
Policy and Procedure Guidelines and Manuals
Policy Development and Planning Records
Security Records
Facilities/Property Records (OAR 166-300-0020)
Asset Inventory Reports
Equipment Maintenance Records
Information and Records Management Records (OAR 166-300-0030)
Computer System Maintenance Records
Computer System Program Documentation
Information System Planning and Development Records
Financial Records (OAR 166-300-0025)
Purchasing Records

Databases

ARCHIVE MANAGER
GLPI
REQUEST TRACKER (RT)

Oregon State Archives Records Retention Schedule

Edition: December 2013

Expires: January 2019

This program transferred to Oregon Health Authority in 2011

Organizational Placement

Schedule Number: 2013-0004

Agency: Department of Administrative Services (DAS)

Program: Oregon Educators Benefit Board (OEBB)

Program Description

The Oregon Educators Benefit Board (OEBB) designs, contracts and manages the provision of health, dental, vision and other benefits for most of Oregon's school district employees (ORS 243.860 et seq.; OAR 111). The board's ten members are appointed by the Governor and confirmed by the Senate. OEBB was created in response to increasing insurance premium charges to individual school districts (O.L. 2007, Ch. 7). The board and staff work with school districts to pool resources in designing and obtaining member benefits and services from carriers.

Educational entities, benefit administrators, and OEBB staff use an online eligibility and enrollment system, MyOEBB, to administer benefit records and coordinate member data between OEBB and the respective insurance carriers. Members use the MyOEBB system to make enrollment selections and changes online during the annual open enrollment period and when qualified status changes occur.

The OEBB benefit team conducts reviews of member appeals relating to eligibility or enrollment, or unsatisfactory insurance carrier decisions regarding service or benefit coverage under the current contract. Requests for Reconsideration are heard by the OEBB management team. The Administrative Review Committee (ARC), composed of three members of the board appointed by the chair, reviews third level appeals, Requests for Administrative Reviews. The committee's appeals decisions require unanimity. If unanimous agreement cannot be reached by the ARC, the appeal is referred to the full board, which decides the matter by a majority vote.

The 75th Legislative Assembly directed OEBB's transfer from DAS to the new Oregon Health Authority (OHA) by June 30, 2011 (O.L. 2009, Ch. 595, §19). OEBB's transfer from DAS to OHA was made official in the next regular legislative session (O.L. 2011, Ch. 720, §72).

Program Records

395 Administrative Review Committee Formation and Organizational Records, and Meeting Agendas, Exhibits, Packets and Minutes

Retain 50 years, destroy

396 Entity and Carrier Reports

Retain 10 years, destroy

397 Member Appeal Records

Retain 10 years after final resolution, destroy

398 Member Survey Records

Retain 5 years, destroy

399 Open Enrollment Informational Publications

Retain 10 years, destroy

400 Open Enrollment Planning Records

Retain 5 years after completion of final publication, destroy

Oregon State Archives Records Retention Schedule

Edition: December 2013

Expires: January 2019

- 401 Oregon Educators Benefit Board Records, 2007 – [ongoing] 2 c.f.**
- (a) Retain formation and organizational records, and meeting agendas, exhibits, packets, and synopses permanently, transfer to State Archives after 10 years
 - (b) Retain workgroup records 25 years, destroy
 - (c) Retain newsletter (*The Benefits Bulletin*) 5 years, destroy
 - (d) Retain meeting recordings (Audio and Video) 2 years after approval of written meeting minutes, 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 Lists
Policy and Procedure Guidelines and Manuals
Financial Records (OAR 166-300-0025)
Accounts Receivable Reports

Databases

MyOEBS

Oregon State Archives Records Retention Schedule

Edition: December 2013

Expires: January 2019

This program transferred to Oregon Health Authority in 2011

Organizational Placement

Schedule Number: 2013-0004

Agency: Department of Administrative Services (DAS)

Program: Public Employees Benefit Board (PEBB)

Program Description

The Public Employees' Benefit Board (PEBB) is responsible for the design, purchase and administration of benefit plans for all state employees and their dependents. These plans are made available through an Internal Revenue Service Code Section 125(c) cafeteria plan. The benefit plans include contracts for medical, dental, life, accident, disability and long-term care insurance. PEBB contracts for benefit plans on behalf of approximately 44,000 state employees and 66,000 dependents. PEBB also contracts for benefit plans for COBRA-eligible former state employees; pre-Medicare eligible retirees; 21 semi-independent agencies, boards and commissions; and other legislatively approved non-state employee groups. COBRA is an acronym for the Consolidated Omnibus Budget Reconciliation Act of 1985 (Pub. L. 99-272).

PEBB's mission is to provide a high quality plan of health and other benefits for state employees at a cost affordable to both the employer and employees (ORS 243; OAR 101). Created in 1997, PEBB replaced the State Employees' Benefit Board and the Bargaining Unit Benefits Board (O.L. 1997, Ch. 222). In 2009, the Legislative Assembly ordered PEBB's transfer from DAS to the new Oregon Health Authority (OHA) by June 30, 2011 (O.L. 2009, Ch. 595, § 19). Transfer from DAS to OHA was made official in the next regular session (O.L. 2011, Ch. 720, §70).

PEBB maintains member plan enrollment information in an electronic benefit system, "pebb.benefits." Member eligibility and enrollment decisions (including enrollment errors and missed enrollment deadlines) are appealable to PEBB's Analysts, Plan Design Manager, Administrator, Operations Subcommittee, and board, respectively (OAR 101-002-0015). Member eligibility and enrollment decisions are appealable under the Oregon Administrative Procedures Act (ORS 183). PEBB does not collect, access or maintain any personal health information. PEBB pays member claims in aggregate, not by individual member. Adverse benefit plan decisions must be appealed directly to the benefit plans (OAR 101-002-0020).

PEBB is also responsible for providing education, training and ongoing communication to state employees, dependents and agencies regarding benefits, services offered, and federal and state health benefit policy. Towards this end, it maintains a wellness library, publishes a monthly newsletter; publishes links to articles and resources about health and healthcare choices (PEBB Digest); and contracts with professional counselors (Cascade Centers, Inc.) to offer confidential help for employee work or family issues through the Employee Assistance Program (EAP).

Program Records

**402 Bargaining Unit Benefits Board Meeting Agendas, Exhibits, Minutes and Reports
1979 – 1999**

2 c.f.

Retain permanently, transfer to State Archives

Oregon State Archives Records Retention Schedule

Edition: December 2013

Expires: January 2019

- 403 Health Engagement Model (HEM) Joint Labor-Management Committee Meeting Agendas, Exhibits, Minutes, Recommendations and Reports**
Retain 10 years, destroy
- 404 Member Appeal Records**
Retain 10 years after final resolution, destroy
- 405 Member Survey Records**
Retain 5 years, destroy
- 406 Open Enrollment Informational Publications (Plan Yearbooks and Brochures)**
Retain 10 years, destroy
- 407 Open Enrollment Planning Records**
Retain 5 years after completion of final publication, destroy
- 408 Operations Subcommittee Meeting Agendas, Exhibits, Packets and Minutes**
Retain 50 years, destroy
- 409 Operations Subcommittee Meeting Recordings (Audio and Video)**
Retain 2 years after approval of written meeting minutes, destroy
- 410 Operations Subcommittee Reports and Studies**
Retain 50 years, destroy
- 411 “PEBB Digest” Records**
Retain 5 years after publication, destroy
- 412 Public Employees’ Benefit Board (PEBB) Records, 1997 – [ongoing] 6 c.f.**
 - (a) Retain formation and organization records; meeting agendas, exhibits, packets and minutes; and reports and studies permanently, transfer to State Archives after 5 years
 - (b) Retain Newsletters (*The Connection; PEBB Connection*) 5 years, destroy
 - (c) Retain meeting recordings (audio and video) 2 years after approval of written meeting minutes, destroy
- 413 State Employees’ Benefit Board Meeting Agendas, Exhibits, Minutes and Reports 1971 – 1999 2 c.f.**
Retain permanently, transfer to State Archives
- 414 Wellness Center Patient Medical Records [ended 2005]**
Retain 11 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
- Contracts and Agreements
- Correspondence
- Public Records Disclosure Request Records
- Publication Preparation Records
- Financial Records (OAR 166-300-0025)
- Competitive Bid Records

Databases

- PUBLIC RECORDS REQUEST (DAS)
- PEBB PUBLIC RECORDS REQUEST
- PEBB.BENEFITS
- MERCER HEALTH ONLINE