

Oregon State Lottery
Records Retention Schedule 2015-0002
Effective Date: June 2016
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OREGON STATE ARCHIVES

Records Retention Schedule

Edition: June 2016

Organizational Placement

Agency: Oregon State Lottery
Division: Director's Office
Program: Administration

Schedule number: 2015-0002

Program Description

The Director's Office is responsible for the overall administration of the Oregon Lottery to meet statutory mandates and ensure the mission of the Lottery. The director is appointed by, and reports to the governor. The director is the agency liaison for legislative matters. The Director's Office is responsible for organizing and maintaining the annual business plan, tracking agency contacts with the Department of Justice, coordinating statutorily-held Commission meetings and Lottery Commission records. The director serves in the formal capacity of secretary to the Lottery Commission. Additionally, the director is an executive member of certain lottery industry organizations, participating in critical decision-making.

Program Records

001 Business Plan Records

- (a) Retain final document 6 years, destroy
- (b) Retain all other records 1 year after final document published, destroy

002 Lottery Organization Participation Records

Retain 1 year, destroy

003 Lottery Funded Projects, 1985 - ongoing

Retain permanently, transfer to State Archives after 20 years

004 Lottery Industry Surveys

Retain 2 years, destroy

State Agency General Records Retention Schedule Records

Records may include but not limited to:

Administrative Records - OAR 166-300-0015

Information Management Records - OAR 166-300-0030

Databases

None

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Edition: June 2016

Organizational Placement

Agency: Oregon State Lottery
Division: Director's Office
Program: Oregon State Lottery Commission

Schedule number: 2015-0002

Program Description

The Oregon State Lottery Commission consists of five members appointed by the governor and confirmed by the Oregon Senate to oversee the major operations and activities of the state Lottery. The main responsibilities of the Lottery Commission are to approve financial plans, oversee operations, and to ensure honesty, integrity, security and fairness within the Lottery.

Program Records

005 Lottery Commission Appeal and Review Records

- (a) Retain case files 50 years, destroy
- (b) Retain working files until case is closed, destroy
- (c) Retain audio recordings 5 years or until abstracted, destroy

006 Lottery Commission Formation and Organizational Records, 1985 - ongoing

Retain permanently, transfer to State Archives after 10 years

007 Lottery Commission Meeting Minutes, 1985 - ongoing

- (a) Retain minutes, exhibits and agendas permanently, transfer to State Archives after 10 years
- (b) Retain audio recordings 1 year after abstracted, destroy
- (c) Retain all other records 5 years, destroy

State Agency General Records Retention Schedule Records

None

Databases

None

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Edition: June 2016

Organizational Placement

Agency: Oregon State Lottery
Division: Director's Office
Program: Internal Audit

Schedule number: 2015-0002

Program Description

Internal Audit is responsible for providing independent, objective assurance and consulting services designed to add value and improve operations at the Lottery. Internal Audit helps the organization accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control and governance processes.

Program Records

None

State Agency General Records Retention Schedule Records

Records may include but not limited to:

Administrative Records - OAR 166-300-0015

Financial Records - OAR 166-300-0025

Databases

None

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Records Retention Schedule

Edition: June 2016

Organizational Placement

Agency: Oregon State Lottery
Division: Director's Office
Program: Marketing Communications

Schedule number: 2015-0002

Program Description

Marketing Communications is responsible for the development and distribution of materials regarding games, how Lottery profits benefit the state and outreach efforts to minimize the impact of problem gambling. These are designed to create and maintain public awareness of Lottery programs including new game promotions, current game promotions, Lottery beneficiaries and problem gambling resource awareness.

Program Records

008 Agency Informational Publications

- (a) Retain historical publications permanently, transfer to State Archives after 4 years
- (b) Retain informational brochures until superseded or obsolete, destroy

009 Certificate Authorizations

Retain 2 years, destroy

010 Distribution Support Records

Retain 6 years, destroy

011 Game Advertising and Promotional Records

Retain 10 years, destroy

012 Merchandising Support Records

Retain 6 years, destroy

013 Promotion Incentives Records

Retain 6 years, destroy

014 Sales Analysis Reports

Retain 6 years, destroy

015 Promotions Files

Retain 2 years, destroy

State Agency General Records Retention Schedule Records

Records may include but not limited to:

Administrative Records - OAR 166-300-0015

Databases

None

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Edition: June 2016

Organizational Placement

Agency: Oregon State Lottery
Division: Director's Office
Program: Public Affairs

Schedule number: 2015-0002

Program Description

Public Affairs is responsible for maintaining media and public relations by acting as liaison between the Lottery and players, retailers, legislators and the general public. Public Affairs provides information on winning players and any crises situations that may arise. The section handles public records requests, and can be contacted through the Lottery's website, which allows users to email questions, comments and complaints.

Program Records

016 Sports Action Lawsuit Records

Retain permanently, transfer to State Archives after administrative need ends

State Agency General Records Retention Schedule Records

Records may include but not limited to:

Administrative Records - OAR 166-300-0015

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

Databases

None

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Edition: June 2016

Organizational Placement

Agency: Oregon State Lottery
Division: Director's Office
Program: Research and Analytics

Schedule number: 2015-0002

Program Description

Research and Analytics is responsible for examining past and present trends in sales of Lottery products as well as helping to supply materials to forecast possible future trends in sales. The section is also tasked with influencing marketing strategies based on findings from primary or secondary marketing research or through the analysis of internal and/or external data. Results may be analyzed along with player profiles/demographics and retailer profiles/demographics, potential retailers, surveys, and local/national trends in sales and marketing statistics related to the Lottery and/or gaming.

Program Records

017 Research and Analytics Project Records

- (a) Retain final reports/data files and tabulations 20 years, destroy
- (b) Retain draft project development records 1 year after completion of project, destroy

018 Employee Surveys

Retain 2 years, destroy

State Agency General Records Retention Schedule Records

Records may include but not limited to:

Administrative Records - OAR 166-300-0015

Databases

None

OREGON STATE ARCHIVES
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Organizational Placement

Schedule number: 2015-0002

Agency: Oregon State Lottery
Division: Director's Office
Program: Retail Contracts Administration

Program Description

Retail Contracts Administration is responsible for retailer adherence to contractual agreements and Oregon Administrative Rules and Oregon Revised Statutes. Decisions concerning selection of retail outlets and investigation of possible contractual and legal violations of the contract are controlled by Retail Contracts.

Program Records

019 Application Statistics Report
Retain 2 years, destroy

State Agency General Records Retention Schedule Records

Records may include but not limited to:

Administrative Records - OAR 166-300-0015

Databases

None

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Edition: June 2016

Organizational Placement

Agency: Oregon State Lottery

Division: Director's Office

Program: Rules and Policies

Schedule number: 2015-0002

Program Description

Rules and Policies is responsible for the review, revision and consolidation of administrative rules governing Lottery games, business practices and relationships with players and retailers. Rules and Policies is responsible for the review, revision and consolidation of internal operating policies. Rules and Policies program reviews and tracks legislative matters affecting the Lottery.

Program Records

None

State Agency General Records Retention Schedule Records

Records may include but not limited to:

Administrative Records - OAR 166-300-0015

Databases

None

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Organizational Placement

Agency: Oregon State Lottery
Division: Sales and Retail Services
Program: Administration

Schedule number: 2015-0002

Program Description

The Chief Sales and Retail Services Officer is responsible for the administration of business operations. Sales and Retail Services includes approximately eight internal office sections and six geographic areas throughout the state. The Chief Officer is responsible for the overall development and provision of ongoing sales and service programs for the Lottery's contract retailers.

Program Records

- 020 Marketing and Sales Plans**
Retain 3 years, destroy
- 021 Media Scheduling and Authorization Records**
Retain 6 years, destroy

State Agency General Records Retention Schedule Records

Records may include but not limited to:

- Administrative Records - OAR 166-300-0015**
- Financial Records - OAR 166-300-0025**

Databases

None

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Organizational Placement

Schedule number: 2015-0002

Agency: Oregon State Lottery
Division: Sales and Retail Services
Program: Product Development

Program Description

Product Development is responsible for creating, developing or procuring games for Lottery distribution. The program designs or selects, tests, and researches potential games to determine their effective sales potential with the general public. Product Development develops and refines Lottery products such as Video Lottery, instant and draw games.

Program Records

022 Payout Percentage Monitoring Records

Retain 6 years, destroy

023 Lottery Game Development Records

Retain 6 years, destroy

024 Video Lottery and On-Line Game Development Records

(a) Retain Final Reports permanently, transfer to State Archives 2 years after game ends

(b) Retain Working Papers 2 years after game ends, destroy

(c) Retain Other Records 2 years after game ends, destroy

025 Monitor, Ticket, and Terminal Message Records

Retain 1 year, destroy

State Agency General Records Retention Schedule Records

Records may include but not limited to:

Administrative Records - OAR 166-300-0015

Databases

None

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Schedule number: 2015-0002

Agency: Oregon State Lottery
Division: Sales and Retail Services
Section: Retail Services

Program Description

Retail Services is responsible for the coordination and technical support of Video Lottery game terminal software and hardware, as well as the development of training, procedures and reference materials for such associated software and hardware.

Retail Services assists in the planning/coordination of meetings/training sessions for Lottery field staff. Retail Services is also responsible for researching, testing and training on various field programs, applications, hardware and equipment, and improved communication technology. Retail Services collects and analyzes performance data and prepares a number of evaluation reports on projects and inventory, by retailer, field staff, service area and types of equipment.

Retail Services is also the primary contact and communicator for the field and retailers, and is the liaison for field staff and the I.T. Department.

Program Records

026 Field Communication Devices Performance Status Reports

Retain 1 year, destroy

027 Video Lottery Terminal Reports

Retain 1 year, destroy

State Agency General Records Retention Schedule Records

Records may include but not limited to:

Administrative Records - OAR 166-300-0015

Databases

None

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Organizational Placement

Agency: Oregon State Lottery
Division: Sales and Retail Services
Section: Retail Services
Program: Customer Service

Schedule number: 2015-0002

Program Description

Customer Services is responsible for maintaining relationships with retailers of Lottery games through communication, service and technical duties. Hotline operation, troubleshooting and complaint management are all duties performed by Customer Services, as well as the monitoring of Lottery game systems and security access to these terminals.

Program Records

- 028 Exception Logs**
Retain 4 years, destroy
- 029 Field Promotion Certificate/Coupon Records**
Retain 2 years, destroy
- 030 Logic Access Reports**
Retain 1 year, destroy
- 031 Passed Calls Statewide Reports**
Retain 1 year, destroy
- 032 Employee Hotline Records**
Retain 2 years, destroy
- 033 Pick 4 Monitor and Fax Verifications**
Retain 2 months, destroy
- 034 Problem Ticket Mail Logs**
Retain 1 year, destroy
- 035 Problem Ticket Reports**
 - (a) Denial of retailer credit: Retain 6 months, destroy
 - (b) Approval of retailer credit: retain 3 months, destroy
- 036 Missing or Extra Tickets Records**
Retain 2 years, destroy
- 037 Security Overrides**
Retain 2 years, destroy
- 038 Top 10 Online and Top 10 Video Problem Records**
Retain 1 year, destroy
- 039 Weekly Percentage of Passed Calls**
Retain 1 year, destroy

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State Agency General Records Retention Schedule Records

Records may include but not limited to:

Administrative Records - OAR 166-300-0015

Databases

HDSS

Video Lottery Procedures

Online Game Procedures

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Organizational Placement

Agency: Oregon State Lottery
Division: Sales and Retail Services
Section: Retail Services
Program: Video Support

Schedule number: 2015-0002

Program Description

Video Support is responsible for ensuring that all Video Lottery game terminals are maintained in good working order. The program is also responsible for refurbishing used machines for return to their original gaming purposes. Video Support activities are conducted at the State Lottery facility and at machine locations.

Program Records

- 040 Reacceptance Records**
Retain 1 month, destroy
- 041 Terminal Authorization Logs**
Retain 1 month, destroy
- 042 VLT Events**
Retain 1 year, destroy

State Agency General Records Retention Schedule Records

Records may include but not limited to:

Administrative Records - OAR 166-300-0015

Databases

None

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Organizational Placement

Agency: Oregon State Lottery

Division: Lottery Security

Schedule number: 2015-0002

Program Description

Lottery Security is responsible for performing all investigative tasks required by the Lottery. These include background checks of employees (present and potential), retailers, and vendors. Security is also responsible for observing and monitoring Lottery drawings, assisting other law enforcement agencies in investigations concerning Lottery activities, and performing criminal investigations of anyone accused of criminal activity involving the Lottery, or its products, employees of the Lottery, or Lottery equipment and materials.

Program Records

043 Biennial Security Audit Records

Retain 10 years, destroy

044 Game Security Records

(a) Retain checklists, media faxes, drawing schedules, draw game documentation 2 years from date of drawing, destroy

(b) Retain drawing procedures until superseded, destroy

(c) Retain drawing video tapes and ticket stock serial number information 2 years, destroy

(d) Retain instant ticket documentation 2 years after game ends, destroy

045 Promotional Draw Entries

Retain 2 years, destroy

046 Retailer Contract and Investigation Records

Retain 15 years after termination of contract or denial of application, destroy

047 Service Complaint Records

Retain 2 years, destroy

048 Vendor Investigation Files

Retain 15 years after investigation closed, destroy

State Agency General Records Retention Schedule Records

Records may include but not limited to:

Administrative Records - OAR 166-300-0015

Personnel Records - OAR 166-300-0040

Databases

None

OREGON STATE ARCHIVES
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Edition: June 2016

Organizational Placement

Schedule number: 2015-0002

Agency: Oregon State Lottery

Division: Support Services

Program: Administration

Program Description

Support Services Administration is responsible for the day-to-day internal operations of the Deputy Director's Office of the Oregon State Lottery.

Program Records

None

State Agency General Records Retention Schedule Records

Records may include but not limited to:

Administrative Records - OAR 166-300-0015

Databases

None

OREGON STATE ARCHIVES

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Edition: June 2016

Organizational Placement

Agency: Oregon State Lottery
Division: Support Services
Program: Finance and Accounting

Schedule number: 2015-0002

Program Description

The Finance and Accounting section is responsible for all financial income and disbursements made by the Lottery. Duties administered by Finance and Accounting are payroll, accounts receivable/payable, capital (fixed assets), and financial statements concerning Lottery operations.

Program Records

- 049 Annuity Payment Records**
Retain 6 years after the annuity is paid in full, destroy
- 050 Department Activity Acknowledgement Report**
Retain current and previous biennium, destroy
- 051 Instant Game Activity Verification Records**
Retain 2 years, destroy
- 052 Internal Control System (ICS)/IGT Online Reports**
Retain 2 years, destroy
- 053 Multi-State Lottery (MUSL) Draw Reports**
Retain 4 years, destroy
- 054 Weekly Video Financial Activity Reports**
Retain 2 years, destroy

State Agency General Records Retention Schedule Records

Records may include but not limited to:

- Administrative Records - OAR 166-300-0015**
- Facilities/Property Records - OAR 166-300-0020**
- Financial Records - OAR 166-300-0025**
- Payroll Records - OAR 166-300-0035**

Databases

None

OREGON STATE ARCHIVES

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Edition: June 2016

Organizational Placement

Agency: Oregon State Lottery
Division: Support Services
Section: Finance and Accounting
Program: Player Services

Schedule number: 2015-0002

Program Description

Player Services is responsible for the verification of player claims and acts as the liaison between players and the Lottery. Player Services is responsible for the payment of prize winnings and annuity payments, managing player complaints and player claims investigations, and overseeing the operation of the Lottery Store. The Lottery Store acts as the initial liaison between the State Lottery and the general public. Prize winners are able to claim winnings, submit claims or disputes, and purchase Lottery games or merchandise.

Program Records

- 055 Division of Child Support (DCS) and DHS/OHA Overpayments Garnishment Records**
Retain 6 years, destroy
- 056 Mail-In Claim Records for Non-Winning Tickets**
Retain 2 years, destroy
- 057 Service Complaint Records**
Retain 2 years, destroy
- 058 Winner Claim Record**
Retain 6 years, destroy

State Agency General Records Retention Schedule Records

Records may include but not limited to:

- Administrative Records - OAR 166-300-0015**
- Financial Records - OAR 166-300-0025**

Databases

None

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Organizational Placement

Schedule number: 2015-0002

Agency: Oregon State Lottery

Division: Support Services

Program: Human Resources and Staff Training & Development

Program Description

Human Resources is responsible for the Lottery's overall administration of personnel functions, including: compensation and benefits, employee relations, Human Resource Information Systems, Safety Committee and Program, staff development and training, and staffing.

Program Records

None

State Agency General Records Retention Schedule Records

Records may include but not limited to:

Administrative Records - OAR 166-300-0015

Facilities/Property Records – OAR 166-300-0020

Payroll Records - OAR 166-300-0035

Personnel Records - OAR 166-300-0040

Risk Management Records - OAR 166-300-0045

Databases

None

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Organizational Placement

Agency: Oregon State Lottery
Division: Support Services
Section: Information Technology

Schedule number: 2015-0002

Program Description

The Lottery's Information Technology (IT) department is responsible for the on-going operation of the Lottery's critical gaming and business support networks, systems and applications in addition to planning and implementing enhancements that provide reliable, secure and effective technology architecture to support Lottery operations. IT manages 24/7 Data Center Operations to support the Lottery's gaming and business operations. The primary data center is located at the Lottery's Salem Administrative Offices. The backup data center is located in Bend, Oregon.

Program Records

None

State Agency General Records Retention Schedule Records

Records may include but not limited to:

Administrative Records - OAR 166-300-0015

Facilities/Property Records - OAR 166-300-0020

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

Databases

None

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Edition: June 2016

Organizational Placement

Agency: Oregon State Lottery
Division: Support Services
Section: Materials Management
Program: Distribution

Schedule number: 2015-0002

Program Description

Distribution is responsible for facilitating the in- and out-flow of products and materials for the Lottery. The program is in control of shipping lottery tickets and supplies to retailers throughout the state, creating and filling orders from retailers, maintaining an accurate inventory of all warehouse materials and the inventory of all field representative vehicles, overseeing ticket returns from retailers, and maintaining the archival storage of lottery records.

Program Records

None

State Agency General Records Retention Schedule Records

Records may include but not limited to:

Administrative Records - OAR 166-300-0015
Facilities/Property Records – OAR 166-300-0020
Personnel Records – OAR 166-300-0040

Databases

None

OREGON STATE ARCHIVES

Records Retention Schedule

Edition: June 2016

Organizational Placement

Agency: Oregon State Lottery
Division: Support Services
Section: Materials Management
Program: Facilities

Schedule number: 2015-0002

Program Description

Facilities provides internal and external customers with cost-effective, timely, efficient and quality work products while adhering to safety and building standards to ensure a reliable, comfortable and safe environment. Facilities is also responsible for the Lottery's Fleet Management program, including vehicle records and assignments.

Program Records

- 059 Facilities Fiscal Year Budget Planning Questionnaire**
Retain 3 years, destroy
- 060 Energy Usage/Reduction Records**
Retain 3 years, destroy
- 061 Master Material Safety Data Records**
Retain 30 years after last use, destroy

State Agency General Records Retention Schedule Records

Records may include but not limited to:

- Administrative Records - OAR 166-300-0015**
- Facilities/Property Records – OAR 166-300-0020**
- Information and Records Management Records - OAR 166-300-0030**
- Personnel Records – OAR 166-300-0040**
- Risk Management Records – OAR 166-300-0045**

Databases

None

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Edition: June 2016

Organizational Placement

Schedule number: 2015-0002

Agency: Oregon State Lottery

Division: Support Services

Section: Materials Management

Program: Procurement and Contracts

Program Description

Procurement and Contracts is responsible for making all purchases for the Lottery, establishing solicitations and administering the bidding process, maintaining contract and agreement records, and ensuring that purchasing requests are handled in a timely and legal manner.

Program Records

None

State Agency General Records Retention Schedule Records

Records may include but not limited to:

Administrative Records - OAR 166-300-0015

Financial Records - OAR 166-300-0025

Databases

None