

**Oregon Employment Department
Records Retention Schedule 2017-0005**

Effective: March 2018

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OREGON STATE ARCHIVES
Records Retention Schedule

Organizational Placement

Schedule Number: 2017-0005

Agency: Oregon Employment Department
Division: Director's Office
Program: Director

Program Description

The Director's Office provides direction to and monitors the programs of the Employment Department. The Director's Office represents the agency, coordinates communications, and works with employers, employer groups, the Governor, and the Legislative Assembly. It also works with other state agencies, and employment agencies from other states and countries, to tailor agency services to the needs of its customers. The Director provides agency guidance by establishing policy that delivers services to fulfill the needs of the Employment Department's customers. The Director's Office also schedules and staffs meetings, routes correspondence, monitors agency management assignments, and prepares speeches and presentations.

Program Records

001 Customer Complaints

Retain 5 years, destroy

002 Director's Correspondence and Speeches

Retain current and previous Director, destroy

003 Oregon Employment Department Strategic Plan, 1993 - [ongoing], 1 c.f.

a) Retain final plan permanently, transfer to State Archives after 20 years

b) Retain draft plans and supporting documents 2 years after superseded, destroy

State Agency General Records Retention Schedule Records

Records include but are not limited to:

Administrative Records (OAR 166-300-0015)

Financial Records (OAR 166-300-0025)

Personnel Records (OAR 166-300-0040)

Databases

None

OREGON STATE ARCHIVES
Records Retention Schedule

Organizational Placement

Schedule Number: 2017-0005

Agency: Oregon Employment Department
Division: Director's Office
Program: Employment Department Advisory Council

Program Description

The Employment Department Advisory Council advises the Director in developing and revising program policies, and ensuring impartiality and fairness in the implementation of those policies. The Advisory Council is composed of Governor-appointed men and women representing employers and employees in equal numbers, and representatives of the public. The Director serves as an ex officio member of the Advisory Council.

Program Records

None

State Agency General Records Retention Schedule Records

Records include but are not limited to:

Administrative Records (OAR 166-300-0015)

Databases

None

OREGON STATE ARCHIVES
Records Retention Schedule

Organizational Placement

Schedule Number: 2017-0005

Agency: Oregon Employment Department

Division: Director's Office

Program: Internal Auditor

Program Description

The Internal Audit Unit (IA) provides the Employment Department an independent, objective assurance and consulting function designed to add value and improve the operations of the Department. IA assists management by bringing a systematic, disciplined approach to evaluating and improving the effectiveness of the Department's risk management, control, and governance processes.

The scope of internal auditing encompasses, but is not limited to, the examination and evaluation of the adequacy and effectiveness of the organization's governance, risk management, and internal control process as well as the quality of performance in carrying out assigned responsibilities to achieve the organization's stated goals and objectives. IA helps the agency meet this responsibility by providing two types of services: assurance and consulting.

Program Records

None

State Agency General Records Retention Schedule Records

Records include but are not limited to:

Administrative Records (OAR 166-300-0015)

Financial Records (OAR 166-300-0025)

Databases

None

OREGON STATE ARCHIVES
Records Retention Schedule

Organizational Placement

Schedule Number: 2017-0005

Agency: Oregon Employment Department

Division: Director's Office

Program: Rules

The Rules Coordinator is appointed by the Director and on record with the Secretary of State's Office. The Rules Coordinator performs administrative rulemaking for the department, including the filing of Notices, Certificates, and Statements of Need and Fiscal impact with the Secretary of State's office; schedules and conducts public hearings on agency rule actions; and distributes draft and final administrative rules (OARs) within and outside the Employment Department.

Program Records

None

State Agency General Records Retention Schedule Records

Records include but are not limited to:

Administrative Records (OAR 166-300-0015)

Databases

None

OREGON STATE ARCHIVES
Records Retention Schedule

Organizational Placement

Schedule Number: 2017-0005

Agency: Oregon Employment Department

Office: Administrative Hearings (OAH)

Program Description

The Office of Administrative Hearings (OAH) is an independent and impartial forum for citizens and businesses to dispute state agency action against them. Employment Department provides administrative services to the OAH. The OAH is a consolidation of hearing units transferred in 2000 from seven different agencies: Department of Human Services (DHS) Adult and Family Services, Construction Contractors Board (CCB), Oregon Liquor Control Commission (OLCC), Water Resources Department (WRD), Department of Transportation (DOT), Department of Consumer and Business Services (DCBS); and the hearings unit of the Employment Department itself. As a cost-savings measure, the OAH was placed in the Employment Department rather than making it an independent agency; it was originally instituted as a pilot program called the Hearings Officer Panel; its current name, structure and responsibilities were established four years later.

The OAH hears the contested cases of over 60 state agencies, boards and commissions. OAH hearings are conducted by administrative law judges (ALJs). Most OAH decisions are final orders, appealable to the Oregon Circuit Courts or Oregon Court of Appeals. The OAH is the first appeal level for unemployment insurance (UI) claims denied by the Employment Department; its UI decisions are appealable to the Employment Appeals Board (see EAB program), and incorporated into the UI Compensation Claim Case Files (see UI Benefits section). OAH decisions are based upon the record and testimony; most hearings are conducted by telephone. The official record copies of OAH's hearing files, including the signed order (decision), are returned to the respective agency, board or commission upon completion. The OAH's decisions are posted to a public website, which is maintained by the Employment Department's Information Technology Services (see ITS program). The OAH's administrative rules are developed by Oregon's Attorney General.

The OAH is overseen by the Office of Administrative Hearings Oversight Committee.

Program Records

004 Hearings Audio Recordings

- a) Unemployment Insurance (UI) (except UI Tax), Department of Human Services, Oregon Housing Authority, Department of Motor Vehicles and Child Support Program retain 2 years, destroy;
- b) All other agencies, boards, and commissions including Unemployment Insurance Tax and Oregon Water Resources Department (OWRD): Retain 5 years, destroy

005 Office of Administrative Hearings (OAH) Case Files

- a) Retain case files until appeals process is exhausted, return to agency, board or commission
- b) Retain OAH hearing decision or order 5 years, destroy

OREGON STATE ARCHIVES
Records Retention Schedule

State Agency General Records Retention Schedule Records

Records include but are not limited to:

Administrative Records (OAR 166-300-0015)
Financial Records (OAR 166-300-0025)
Payroll Records (OAR 166-300-0035)
Board and Commission Records (OAR 166-350-0010)
Personnel Records (OAR 166-300-0040)
Risk Management Records (OAR 166-300-0045)

Databases

ABC (Agencies, Boards and Commissions)
CCB (Construction Contractors Board)
Etal (Houses hearings data for DHS, DOE, WRD)
DMV (Division of Motor Vehicles)
Inventory
Complaint
INS (Insurance Division)
LCB (Landscape Contractor's Board)
OLCC (Oregon Liquor Control Commission)
TTDB (Time Tracking Database)
OED (Oregon Employment Department)
Final Order Tracking
RDWS (Referral Disposition Weekly Reports)
Ref Disp 7-2-11 (Track number of cases referred to OAH and cases disposed)
OAH Training Database
OAH Case Management (eCourt)
405
Hear98
HistoricalParadoxData
2003 Data

OREGON STATE ARCHIVES
Records Retention Schedule

Organizational Placement

Schedule Number: 2017-0005

Agency: Oregon Employment Department
Program: Employment Appeals Board (EAB)

Program Description

The Employment Appeals Board (EAB) is a quasi-judicial agency of the Employment Department. The EAB is composed of three governor-appointed board members and supported by a staff of six. The EAB works to ensure correct and consistent interpretation and application of Employment Department policy and state and federal laws at all three levels of the Unemployment Insurance (UI) claim determination process. The EAB issues approximately 3,000 decisions per year. Appeals of EAB decisions are made to the Oregon Court of Appeals.

When a timely application for review of a hearing decision is filed, the Office of Administrative Hearings (see OAH program) transmits the printed record of its UI hearing to the EAB, and a digital recording of the hearing to a transcription service. When the complete record is ready for review, the assigned EAB panel reviews the record and votes. The EAB also reviews proposed administrative rules (OARs) and legislation, and advises the Director of the Employment Department as needed.

Program Records

- 006 Employment Appeals Board (EAB) Formation and Organizational Records**
1959 – [ongoing], **1 c.f.**
Retain permanently, transfer to State Archives after 10 years
- 007 Employment Appeals Board (EAB) Meeting Records**
1959 – [ongoing], **2 c.f.**
 - a) Retain meeting minutes permanently, transfer to State Archives after 10 years
 - b) Retain all other records 5 years, destroy
- 008 Employment Appeals Board (EAB) Reports and Studies**
1959 – [ongoing], **2 c.f.**
 - a) Retain final report or study permanently, transfer to State Archives after 10 years
 - b) Retain background material 3 years after completion of final document, destroy

State Agency General Records Retention Schedule Records

Records include but are not limited to:

Administrative Records (OAR 166-300-0015)

Databases

EAB eCourt System

OREGON STATE ARCHIVES
Records Retention Schedule

Organizational Placement

Schedule Number: 2017-0005

Agency: Oregon Employment Department

Division: Administrative Business Services

Program: Accounting Services

Program Description

Accounting Services performs department wide administrative accounting services such as Federal and State Financial Reporting, Banking and Cash Management, Accounts Payable, Accounts Receivable, and account reconciliations. Accounting Services accounts and reports expenditures for federally-funded employment programs.

Financial Services performs agency payroll functions such as processing pay and benefit related personnel transactions; updating and maintaining employee payroll files; and providing technical assistance to staff concerning timesheet preparation, payroll rules and procedures, and deduction information in compliance with appropriate laws, rules, procedures and labor union agreements.

Program Records

None

State Agency General Records Retention Schedule Records

Records include but are not limited to:

Administrative Records (OAR 166-300-0015)

Financial Records (OAR 166-300-0025)

Payroll Records (OAR 166-300-0035)

Personnel Records (OAR 166-300-0040)

Databases

EPOS (Electronic Purchase Order System)

OSPA (Oregon State Payroll Application)

T234 (Property System)

TIME (Oregon Employment Department Time System)

OREGON STATE ARCHIVES
Records Retention Schedule

Organizational Placement

Schedule Number: 2017-0005

Agency: Oregon Employment Department

Division: Administrative Business Services

Program: Budget and Program Analysis

Program Description

The Employment Department's Budget and Program Analysis program prepares the agency budget and prepares and evaluates the agency's performance measures. The program coordinates budget preparation for the agency and coordinates submission of the budget to the Department of Administrative Services and the Legislative Assembly.

Performance measures are developed as a part of budget preparation. Their primary use is to document services provided to the state's employees and employers. The program performs customer surveys to gather and analyze data about services provided to workers and employers. Program data is gathered, analyzed, and disseminated to agency management.

Program Records

None

State Agency General Records Retention Schedule Records

Records include but are not limited to:

Administrative Records (OAR 166-300-0015)

Financial Records (OAR 166-300-0025)

Personnel Records (OAR 166-300-0040)

Databases

None

OREGON STATE ARCHIVES
Records Retention Schedule

Organizational Placement

Schedule Number: 2017-0005

Agency: Oregon Employment Department

Division: Administrative Business Services

Program: Contract Management

Program Description

The Contract Management program helps agency staff solicit and select contractors, including personal service contractors. It helps staff prepare, negotiate, and administer contracts and intergovernmental agreements. Agency program staff administers contracts while Contract Management tracks contracts for technical, renewal, modification, and termination aspects. The Contract Management program also coordinates the application, administration, disbursement, sub-granting, reporting, and close-out of agency grants.

Program Records

None

State Agency General Records Retention Schedule Records

Records include but are not limited to:

Administrative Records (OAR 166-300-0015)

Financial Records (OAR 166-300-0025)

Personnel Records (OAR 166-300-0040)

Databases

CONTRACT2

OREGON STATE ARCHIVES
Records Retention Schedule

Organizational Placement

Schedule Number: 2017-0005

Agency: Oregon Employment Department
Division: Administrative Business Services
Program: Safety/Risk, Facilities and Central Office Mail Services

Program Description

The Safety/Risk, Facilities and Central Office Mail Services section is responsible for safety/risk and facilities management for all Employment Department employees and workspaces.

Program Records

None

State Agency General Records Retention Schedule Records

Records include but are not limited to:

Administrative Records (OAR 166-300-0015)
Financial Records (OAR 166-300-0025)
Facilities/Property Records (166-300-0020)
Personnel Records (OAR 166-300-0040)

Databases

None

OREGON STATE ARCHIVES
Records Retention Schedule

Organizational Placement

Schedule Number: 2017-0005

Agency: Oregon Employment Department

Office: Human Resources

Program: Human Resources

Program Description

Human Resources provide all personnel, and training-related services to the agency. It recruits new employees, presents new employee orientations, and processes personnel transactions. It provides advice and assistance to agency management and staff about personnel functions and issues. The program also develops plans for Employment Department staffing and maintains all official employee personnel records.

Human Resources also coordinates federal Family and Medical Leave Act (FMLA) and Oregon Family Leave Act (OFLA) administration on behalf of eligible employees.

Program Records

None

State Agency General Records Retention Schedule Records

Records include but are not limited to:

Administrative Records (OAR 166-300-0015)

Personnel Records (OAR 166-300-0040)

Databases

PICS (Position Information Control System)

PPDB (Position and Personnel Database)

OREGON STATE ARCHIVES
Records Retention Schedule

Organizational Placement

Schedule Number: 2017-0005

Agency: Oregon Employment Department

Office: Human Resources

Program: Learning and Development

Program Description

The Learning and Development program provides learning systems for the agency. It performs organizational developmental services such as team building, management and employee consultations, and related activities to improve the performance and effectiveness of individuals and groups. Learning and Development helps Employment Department management identify issues that require new or revised agency-wide approaches, such as educational programs and realignment of resources. It consults with work groups and managers to identify opportunities and implement strategies for improved organizational effectiveness. It also recommends strategies for organizational improvement to agency management.

Program Records

None

State Agency General Records Retention Schedule Records

Records include but are not limited to:

Administrative Records (OAR 166-300-0015)

Personnel Records (OAR 166-300-0040)

Databases

iLearnOregon

OREGON STATE ARCHIVES
Records Retention Schedule

Organization Placement

Schedule Number: 2017-0005

Agency: Oregon Employment Department
Program: Information Technology Services (ITS)

Program Description

Information Technology Services (ITS) provides Employment Department with appropriate, sustainable, responsive and adaptable information technology services and solutions; it also conducts agency-wide training in new technologies, Information technology services analysis and project management. ITS is responsible for the development and maintenance of the Employment Department's technology infrastructure.

The Employment Department has formed an Information Technology Governance Committee to ensure ITS service align with Employment Department strategies and priorities.

Program Records

None

State Agency General Records Retention Schedule Records

Records include but are not limited to:

Administrative Records (OAR 166-300-0015)

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

Databases

Service Request System

Software Change Management System

NURF (OED access control system)

OREGON STATE ARCHIVES
Records Retention Schedule

Organizational Placement

Schedule Number: 2017-0005

Agency: Oregon Employment Department
Division: Legislative Affairs and Communications
Program: Communications

Program Description

The communications section is responsible for providing and enhancing internal communications and communication between the Employment Department, other agencies, and the general public.

The program is responsible for the agency's marketing efforts, ensuring content and appearance of Employment Department publications and other materials accurately reflect the mission and image of the agency. The communications section responds to most public information requests on behalf of the Employment Department, and is the point for all media contact.

The Employment Department's communications section produces and distributes announcements and reports to various audiences on subjects such as unemployment insurance rates, economic trends, labor market outlook, and program specific information.

The Employment Department communications section also creates, produces and distributes multi-media programs, such as audio, video and computer animated productions for training and informational purposes.

Program Records

None

State Agency General Records Retention Schedule Records

Records include but are not limited to:

Administrative Records (OAR 166-300-0015)
Personnel Records (OAR 166-300-0040)

Databases

None

OREGON STATE ARCHIVES
Records Retention Schedule

Organizational Placement

Schedule Number: 2017-0005

Agency: Oregon Employment Department
Division: Legislative Affairs and Communications
Program: Legislative Affairs

Program Description

The Legislative Affairs program represents the Employment Department before the Legislative Assembly, the Governor, and federal, state and local agencies. In cooperation with the Employment Department Communications program, the Legislative Affairs program helps to ensure that the agency “speaks with one voice.”

Prior to each Oregon legislative session, the Legislative Affairs program coordinates the development of Employment Department positions on potential legislation. During the legislative session, program staff monitors bills relating to employment and unemployment issues, and work with legislators and others to communicate the Employment Department’s positions. After each session, it coordinates the development of the agency's implementation of legislation affecting the Employment Department. Between sessions, the program works to resolve inquiries from legislators and tracks potential legislation. The program also monitors U.S. Congressional legislation potentially impacting agency programs.

Program Records

None

State Agency General Records Retention Schedule Records

Records include but are not limited to:

Administrative Records (OAR 166-300-0015)

Databases

None

OREGON STATE ARCHIVES
Records Retention Schedule

Organizational Placement

Schedule Number: 2017-0005

Agency: Oregon Employment Department

Program: Modernization Initiative

Program Description

The Oregon Employment Department Modernization Initiative is a comprehensive agency-wide program to transform our business and core technology systems.

This Modernization Initiative will transform our business and core technology systems, providing value through reduced agency risk and allowing the agency to continue to achieve its mission to Support Business and Promote Employment. It will focus on integration and improvement of services both within the agency and with partner agencies and organizations.

The Modernization Initiative's goals are to modernize the agency's business processes, infrastructure, and applications. The business drivers for modernization include the: demand for improved customer services that are integrated across the agency and with other state agencies; adaptability to changes in business needs; need for business process automation; and improved data security. Modernization will include service delivery updates, business process re-engineering, and technical infrastructure solutions.

Program Records

None

State Agency General Records Retention Schedule Records

Records include but are not limited to:

Administrative Records (OAR 166-300-0015)

Databases

None

OREGON STATE ARCHIVES
Records Retention Schedule

Organizational Placement

Schedule Number: 2017-0005

Agency: Oregon Employment Department
Division: Unemployment Insurance (UI)
Section: Benefits
Program: Administration

Program Description

The Employment Department's Unemployment Insurance (UI) Benefits section provides eligible out of work Oregonians with UI benefits. Benefits Administration oversees the Employment Department programs that determine eligibility for UI benefits, images documents relating to UI Compensation Claim Case Files, collects UI overpayments, and performs related functions. Denied UI benefit claims are appealable to the Office of Administrative Hearings (see OAH program); OAH UI benefit decisions are appealable to the Employment Appeals Board (see EAB program). The Benefits Administration program maintains the official record copy of the hearing and decision records of the Employment Appeals Board (see EAB program). UI Benefits Administration staff also field comments and complaints regarding Employment Department services and issue timely responses.

Program Records

009 Claimant Complaint Records

Retain 4 years after resolution, destroy

010 Employment Appeals Board (EAB) Hearing Records

a) Retain hearing decisions 20 years, destroy

b) Retain other records 5 years after date of hearing decision, destroy

011 Unemployment Insurance (UI) Compensation Claim Case Files

Retain 5 years after benefit year or extension period, destroy

State Agency General Records Retention Schedule Records

Records include but are not limited to:

Administrative Records (OAR 166-300-0015)

Financial Records (OAR 166-300-0025)

Personnel Records (OAR 166-300-0040)

Databases

OBIS (Oregon Benefits Insurance System)

Imaging

OREGON STATE ARCHIVES
Records Retention Schedule

Organizational Placement

Schedule Number: 2017-0005

Agency: Oregon Employment Department
Division: Unemployment Insurance (UI)
Section: Benefits
Program: Adjustment

Program Description

Adjustment Program reviews and determines monetary and non-monetary eligibility for benefits for unemployment insurance claims. Adjustment Programs is a compliance program which re-determines final decisions according to new information through continuous jurisdiction and issues new appealable decisions where required. The Adjustment Program reviews employer accounts for benefit charges.

Program Records

None

State Agency General Records Retention Schedule Records

Records include but are not limited to:

Administrative Records (OAR 166-300-0015)
Personnel Records (OAR 166-300-0040)

Databases

DUA (Disaster UI Assistance, federal Department of Labor)
OBIS (Oregon Benefits Insurance System)

OREGON STATE ARCHIVES
Records Retention Schedule

Organizational Placement

Schedule Number: 2017-0005

Agency: Oregon Employment Department
Division: Unemployment Insurance (UI)
Section: Benefits
Program: Benefit Payment Control

Program Description

The Benefit Payment Control (BPC) program focuses on prevention, earlier detection, and the recovery of improperly paid unemployment insurance benefits. BPC also collects delinquent employer taxes. These efforts are accomplished through the use of various fraud deterrent methods, audits, investigations, overpayment set-ups, and collections. These coordinated efforts maintain the integrity of the UI program, protecting the UI Trust Fund for employers and claimants alike.

Program Records

- 012 Collections/Treasury Offset Program Intercepts**
Retain 99 years, destroy
- 013 Misrepresentation Disqualification, Fraud and Conviction Case Files**
Retain 10 years after satisfaction of restitution, destroy
- 014 Overpayment Waiver Case Files**
Retain 4 years, destroy

State Agency General Records Retention Schedule Records

Records include but are not limited to:

Administrative Records (OAR 166-300-0015)
Financial Records (OAR 166-300-0025)
Personnel Records (OAR 166-300-0040)

Databases

OBIS (Oregon Benefits Insurance System)
OFAS (Oregon Fraud Audit System)
BI Tool (Business Intelligence Tool)
DMV – (OED Employees who have DMV Agency Access Database)
OJIN – (Oregon Judicial Information Network)
IMAGING
EPOS (Electronic Purchase Order System)
SRS (Service Request System)
TIME (Payroll)
NURF (Network User Request From)

OREGON STATE ARCHIVES
Records Retention Schedule

Organizational Placement

Schedule Number: 2017-0005

Agency: Oregon Employment Department
Division: Unemployment Insurance (UI)
Section: Benefits
Program: Record and Redetermination

Program Description

The Record and Redetermination program re-evaluates UI claims and benefits to add or delete wages, including wages for military claims, federal employee claims, and wages transferred in or out of Oregon for Combined Wage Claims. The program issues adjustment checks for claims that have been re-determined for a higher benefit amount. The program also processes and investigates requests to replace lost, stolen or forged benefit checks and reissues checks as appropriate. The program” images” claim documents into the Oregon Benefits Insurance System (OBIS), and creates and maintains indexes to those documents. The program also images the postal mail for the two UI centers, in Beaverton and Bend, and transmits the documents electronically. Most Record and Redetermination program activities are documented in the UI Compensation Claim Case Files. (See also UI Benefits Administration program).

Program Records

None

State Agency General Records Retention Schedule Records

Records include but are not limited to:

Administrative Records (OAR 166-300-0015)
Financial Records (OAR 166-300-0025)
Information and Records Management Records (OAR 166-300-0030)
Personnel Records (OAR 166-300-0040)

Databases

OBIS (Oregon Benefits Insurance System)
IMAGING
OAWS

OREGON STATE ARCHIVES
Records Retention Schedule

Organizational Placement

Schedule Number: 2017-0005

Agency: Oregon Employment Department
Division: Unemployment Insurance (UI)
Section: Benefits
Program: Special Programs Center

Program Description

The Special Program Center (SPC) reviews Unemployment Insurance (UI) claims to identify eligibility for state and federally funded unemployment training and assistance programs. SPC additionally administers the Self Employment Assistance (SEA), Disaster Unemployment Assistance (DUA), and Work Share programs.

Program Records

015 Unemployment Programs and Services Records
Retain 4 years after benefit year or extension period, destroy

State Agency General Records Retention Schedule Records

Records include but are not limited to:

Administrative Records (OAR 166-300-0015)
Personnel Records (OAR 166-300-0040)

Databases

DUA (Disaster UI Assistance, federal Department of Labor)
OBIS (Oregon Benefits Insurance System)

OREGON STATE ARCHIVES
Records Retention Schedule

Organizational Placement

Schedule Number: 2017-0005

Agency: Oregon Employment Department

Division: Unemployment Insurance (UI)

Section: Operations and Program Services

Program Description

The Operations and Program Services section performs UI program analysis and fiscal impact analysis of proposed legislation to evaluate possible effects on agency programs and operations. The program's legislative analysis is provided to the Employment Department's Legislative/Rules program, the Budget and Performance Program Analysis program, and other agency personnel for budget preparation and legislative testimony. The Operations and Program Services also reviews samples of Employment Department UI claims and benefits, to verify accuracy through each stage of the agency's processing, and produces Benefits Accuracy Measurement (BAM) records.

The Operations and Program Services section also conducts Tax Performance System (TPS) reviews and reporting in conjunction with the United States Department of Labor. TPS is designed to measure the quality of state UI tax operations, assist states in improving tax systems, and facilitate federal oversight and technical assistance. The Operations and Program Services section also develops and delivers training programs to section staff and Oregon employers; provides technical assistance to Employment Department staff; conducts quality control and special projects and studies; designs UI tax system improvements; designs UI tax forms; and prepares and maintains UI Tax section procedural manuals.

Program Records

016 Benefits Accuracy Measurement (BAM) records

Retain 3 years after completion of review, destroy

017 Tax Audit Processing System (TAPS) records

Retain 3 years after completion of review, destroy

018 Tax Performance System (TPS) Annual Reports

a) Retain final reports 10 years, destroy

b) Retain all other records 6 years, destroy

019 Unemployment Insurance Program Analysis Reports, 1947 – [ongoing], 20 cubic ft.

a) Retain final documentary reports permanently, transfer to State Archives after 20 years

b) Retain all other records 1 year, destroy

OREGON STATE ARCHIVES
Records Retention Schedule

State Agency General Records Retention Schedule Records

Records include but are not limited to:

Administrative Records (OAR 166-300-0015)

Personnel Records (OAR 166-300-0040)

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

Databases

IVR (Interactive Voice Response)

OBIS (Oregon Benefits Insurance System)

IMAGING

SUN SYSTEM (U.S. DOL State Unemployment Insurance Data Base (UIDB) System)

ICON (Interstate Connection Network)

OREGON STATE ARCHIVES
Records Retention Schedule

Organizational Placement

Schedule Number: 2017-0005

Agency: Oregon Employment Department
Division: Unemployment Insurance (UI)
Section: Tax
Program: Administration

Program Description

The Unemployment Insurance (UI) Tax section registers employers, determines tax rates, assesses and collects taxes, maintains account resolution, captures report data, scans and indexes program records, participates in the hearings process, and audits employers to ensure compliance with Oregon UI tax laws.

Oregon's UI taxes are collected from employers to provide workers with UI benefits should they become unemployed through no fault of their own. The UI Tax Administration program creates tax records and tracks employer compliance via the Oregon Automated Tax System (OATS).

Program Records

020 Oregon Quarterly (OQ), Oregon Annual (OA), Schedule B, and Form 132 Reports

Retain 6 years, destroy

021 Unemployment Insurance Tax Records

- a) Retain "core set" 6 years after account closed, destroy
- b) Retain Dstraint Warrant 6 years after Warrant Release issued, destroy
- c) Retain all other records 6 years, destroy

State Agency General Records Retention Schedule Records

Records include but are not limited to:

Administrative Records (OAR 166-300-0015)
Personnel Records (OAR 166-300-0040)

Databases

OASIS (OTTER and SETRON Information System)
WOTTER (Web OTTER – Web Oregon Tax Employer Reporting)
OATS (Oregon Automated Tax System)
OAWS (Oregon Automated Wage System)
OBIS (Oregon Benefits Insurance System)
TAPS (Tax Audit Program System)
TAX IDMS (Tax Identity Management System)
IEA (Identity Enterprise Administration)(iCapture)
SUN SYSTEM (U.S. DOL State Unemployment Insurance Data Base (UIDB) System)

OREGON STATE ARCHIVES
Records Retention Schedule

Organizational Placement

Schedule Number: 2017-0005

Agency: Oregon Employment Department
Division: Unemployment Insurance (UI)
Section: Tax
Program: Account Resolutions

Program Description

The Unemployment Insurance (UI) Tax Account Resolutions program adjusts employer-submitted changes to reports, and transfers funds to other accounts, reporting quarters, funding sources and agencies. The UI Tax Account Resolutions program resolves accounting issues with employers, issues refunds, and processes penalty abatement requests.

Program Records

022 Abatement Request Records

Retain 6 years, destroy

State Agency General Records Retention Schedule Records

Records include but are not limited to:

Administrative Records (OAR 166-300-0015)

Financial Records (OAR 166-300-0025)

Personnel Records (OAR 166-300-0040)

Databases

OASIS (OTTER and SETRON Information System)

WOTTER (Web OTTER – Web Oregon Tax Employer Reporting)

OATS (Oregon Automated Tax System)

OAWS (Oregon Automated Wage System)

TAPS (Tax Audit Program System)

TAX IDMS (Tax Identity Management System)

OREGON STATE ARCHIVES
Records Retention Schedule

Organizational Placement

Schedule Number: 2017-0005

Agency: Oregon Employment Department
Division: Unemployment Insurance (UI)
Section: Tax
Program: Determinations

Program Description

The Unemployment Insurance (UI) Tax Determinations program registers employers, establishes UI coverage financial responsibilities, and determines tax liability and status. The UI Tax Determinations program processes Combined Employer’s Registration reports filed by all Oregon employers (see UI Tax Records, UI Tax Administration program), investigates missing and unusual data, assists employers with proper reporting, and responds to wage requests filed by UI claimants. The UI Tax Determinations program also compiles benefit charges and payroll data for use in Oregon’s annual adjustment of the employer UI tax.

Program Records

None

State Agency General Records Retention Schedule Records

Records include but are not limited to:

Administrative Records (OAR 166-300-0015)
Personnel Records (OAR 166-300-0040)

Databases

OASIS (OTTER and SETRON Information System)
WOTTER (Web OTTER – Web Oregon Tax Employer Reporting)
OATS (Oregon Automated Tax System)
OAWS (Oregon Automated Wage System)
OBIS (Oregon Benefits Insurance System)
TAPS (Tax Audit Program System)
TAX IDMS (Tax Identity Management System)

OREGON STATE ARCHIVES
Records Retention Schedule

Organizational Placement

Schedule Number: 2017-0005

Agency: Oregon Employment Department
Division: Unemployment Insurance (UI)
Section: Tax
Program: Field Operations

Program Description

The Unemployment Insurance (UI) Tax Field Operations program audits Oregon employers to determine compliance with the UI tax laws.

Program Records

023 Employer Audit Records
Retain 3 years, destroy

State Agency General Records Retention Schedule Records

Records include but are not limited to:

Administrative Records (OAR 166-300-0015)
Financial Records (OAR 166-300-0025)
Personnel Records (OAR 166-300-0040)

Databases

OATS (Oregon Automated Tax System)
OAWS (Oregon Automated Wage System)
OBIS (Oregon Benefits Insurance System)
OASIS (OTTER and SETRON Information System)
WOTTER (Web OTTER – Web Oregon Tax Employer Reporting)
TAPS (Tax Audit Program System) TAX IDMS (Tax Identity Management System)
IEA (Identity Enterprise Administration)(iCapture)

OREGON STATE ARCHIVES
Records Retention Schedule

Organizational Placement

Schedule Number: 2017-0005

Agency: Oregon Employment Department
Division: Unemployment Insurance (UI)
Section: Tax
Program: Hearings

Program Description

The Unemployment Insurance (UI) Tax section Hearings Unit provides legal analysis to the UI Tax section in disputes in order to reach a resolution. Resolutions include but are not limited to participating in the hearing process, negotiating settlement agreements and developing initial responses to employer's inquiries to ensure compliance with Oregon UI tax laws.

Program Records

024 Unemployment Insurance Tax Hearing Records

- a) Retain Hearing Final Orders 6 years after account closed, destroy
- b) Retain other records 6 years after date of hearing decision, destroy

State Agency General Records Retention Schedule Records

Records include but are not limited to:

Administrative Records (OAR 166-300-0015)
Financial Records (OAR 166-300-0025)
Personnel Records (OAR 166-300-0040)

Databases

OASIS (OTTER and SETRON Information System)
WOTTER (Web OTTER – Web Oregon Tax Employer Reporting)
OPRS (Oregon Payroll Reporting System)
OATS (Oregon Automated Tax System)
OAWS (Oregon Automated Wage System)
OBIS (Oregon Benefits Insurance System)
TAPS (Tax Audit Program System)
TAX IDMS (Tax Identity Management System)

OREGON STATE ARCHIVES
Records Retention Schedule

Organizational Placement

Schedule Number: 2017-0005

Agency: Oregon Employment Department
Division: Unemployment Insurance (UI)
Section: Tax
Program: Support Services

Program Description

The Unemployment Insurance (UI) Support Services program digitally scans and indexes UI Tax Records for use by the entire UI Tax section, and converts old “core set” microfilm records to digital images. Support Services enters wage and tax data filed by Oregon employers into the Oregon Automated Tax System (OATS), the Oregon Automated Wage System (OAWS); and enters the online portion of the UI compensation claim case files into the Oregon Benefits Insurance System (OBIS).

Oregon employers submit their Oregon Quarterly and Annual Tax Reports to the Support Services program in paper format, or electronically with the Oregon Tax Employer Reporting (OTTER) software, the Secure Employer Tax Reporting On-line (SETRON) system, and the Interactive Voice Response (IVR) telephone system; all electronic data is processed into the agency’s OASIS (OTTER and SETRON Information System) database. All collected data becomes part of the UI Tax Records (see UI Tax Administration); paper formatted records are scanned and indexed by the UI Tax Support Services program for easy retrieval.

The reports are utilized by the taxing entities of a variety of Oregon public agencies, including Employment Department, Oregon Department of Revenue, the Department of Consumer and Business Services, Tri-County Metropolitan Transportation District, and Lane Transit District.

Program Records

None

State Agency General Records Retention Schedule Records

Records include but are not limited to:

Administrative Records (OAR 166-300-0015)
Information and Records Management Records (OAR 166-300-0030)
Personnel Records (OAR 166-300-0040)

Databases

OASIS (OTTER and SETRON Information System)
WOTTER (Web OTTER – Web Oregon Tax Employer Reporting)
OATS (Oregon Automated Tax System)
OAWS (Oregon Automated Wage System)
OBIS (Oregon Benefits Insurance System)
TAPS (Tax Audit Program System)
TAX IDMS (Tax Identity Management System)

OREGON STATE ARCHIVES
Records Retention Schedule

Organizational Placement

Schedule Number: 2017-0005

Agency: Oregon Employment Department
Division: Workforce and Economic Research

Program Description

The Workforce and Economic Research Division develops and distributes quality workforce and economic information and is considered Oregon's designated agency for employment statistics. The Division is responsible for collecting, analyzing, and disseminating a wide variety of workforce information related to Oregon and its geographic regions. Such information includes unemployment rates, labor force trends, industry employment estimates and projections, occupational employment estimates and projections, wage and income information, education and training information and trends, job related skills analyses, workforce performance measurement, and a variety of customized analyses. Key customers include private sector businesses; state and local workforce boards and workforce partners; federal, state and local government agencies; elected officials and other policy makers; job seekers and students; educators and education planners; and the news media.

Program Records

- 025 Bureau of Labor and Industries (BOLI) Prevailing Wage Survey Reports, 1997 – [ongoing] 1 c.f.**
a) Retain annual summary reports permanently, transfer to State Archives after 10 years
b) Retain all other records 3 years, destroy
- 026 Current Employment Statistics (CES) Records, 1947 – [ongoing], 7 c.f.**
a) Retain summary reports permanently, transfer to State Archives after 20 years
b) Retain all other records 4 years, destroy
- 027 Job Vacancy Survey (JVS)**
a) Retain summary reports 10 years, destroy
b) Retain all other records 3 years, destroy
- 028 Local Area Unemployment Statistics (LAUS) Records, 1985 – [ongoing], 5 c.f.**
a) Retain summary reports permanently, transfer to State Archives after 10 years
b) Retain all other records 4 years, destroy
- 029 Occupational Employment Statistics (OES) Records, 1974 – [ongoing], 4 c.f.**
a) Retain summary reports permanently, transfer to State Archives after 10 years
b) Retain all other records 4 years, destroy
- 030 Occupational Program Planning System (OPPS) Records, 1970 – [ongoing], 4 c.f.**
a) Retain summary reports permanently, transfer to State Archives after 10 years
b) Retain all other records 4 years, destroy
- 031 Performance Reporting Information System Records (PRISM)**
Retain 15 years or 2 years after obsolete, destroy
- 032 Quarterly Covered Employment and Wages (QCEW), 2003 - [ongoing], 2 c.f.
[Series formerly known as Covered Employment and Wages, 1946 - 2002]**
a) Retain summary reports (hardcopy publication) permanently, transfer to State Archives after 10 years
b) Retain macro edit and refile forms 3 years, destroy
c) Retain all other records 2 years, destroy

OREGON STATE ARCHIVES
Records Retention Schedule

033 Workforce and Economic Research Recurring Publications and Reports

Retain 5 years, destroy

034 Workforce and Economic Research Special Publications and Reports

a) Retain final report 10 years, destroy

b) Retain all other records until completion of final report, destroy

State Agency General Records Retention Schedule Records

Records include but are not limited to:

Administrative Records (OAR 166-300-0015)

Financial Records (166-300-0026)

Databases

ALMIS (America's Labor Market Information System)

BUREAU OF LABOR AND INDUSTRIES (BOLI) WAGE SURVEY

CES (Current Employment Statistics)

EMPLOYMENT ESTIMATES AND PROJECTIONS BY INDUSTRY AND OCCUPATION

LAUS (Local Area Unemployment Statistics)

OES (Occupational Employment Statistics)

OLMIS (Oregon Labor Market Information System)

OREGON EMPLOYER SURVEYS

PRISM (Performance Reporting Information System)

QCEW (Quarterly Covered Employment and Wages) (aka ES-202)

OREGON STATE ARCHIVES
Records Retention Schedule

Organizational Placement

Schedule Number: 2017-0005

Agency: Oregon Employment Department
Division: Workforce Operations
Program: Field Offices & Central Office

Program Description

Workforce Operations provides a range of workforce services to Oregon job seekers (including claimants receiving unemployment insurance benefits) and employers within Oregon's one stop workforce deliver system. We coordinate this delivery of services with workforce partners. Direct services to job seekers and employers are chiefly delivered at WorkSource Oregon Centers.

Support, policy and program guidance on Division program services, legal requirements and coordination efforts is principally provided by Division.

Program Records

035 North American Federal Trade Agreement Transitional Adjustment Assistance (NTAA) Case Files

Retain 7 years, destroy

036 Trade Adjustment Assistance (TAA) Case Files

Retain 7 years, destroy

037 Wagner-Peyser, Workforce Investment Act, Workforce Investment Opportunity Act (WIOA) and Supplemental Employment Department Administration Fund (SEDAF) Funded Workforce Activities

Retain for 3 years from the end of the program year in which the record was created or most recently changed/amended/edited, destroy

038 Work Opportunity Tax Credit (WOTC) Case Files

(a) Retain eligible applications and all related documents for 4 years from the date of certification or date of issuance if no certification, destroy

(b) Retain ineligible applications and all related documentation for one year, destroy

039 Workforce Operations Complaint Files

Retain individual complaint file for 3 years, destroy

040 Workforce Operations Complaint System Logs

Retain 3 years after end of calendar quarter the log covers, destroy

State Agency General Records Retention Schedule Records

Records include but are not limited to:

Administrative Records

Financial Records

Information and Records Management Records

Payroll and Personnel Records

Risk Management Records

Databases

iMS (iMatchSkills)

OREGON STATE ARCHIVES
Records Retention Schedule

TAA/ATAA (Trade Adjustment Assistance/Alternative Trade Adjustment Assistance)
TRA (Trade Readjustment Allowances)
WOMIS Customer Registration (WorkSource Oregon Management Information System)
WOTC (Work Opportunity Tax Credit)

OREGON STATE ARCHIVES
Records Retention Schedule

Organizational Placement

Schedule Number: 2017-0005

Agency: Oregon Employment Department

Division: Workforce Operations

Program: Universal Access (Equal Opportunity and Limited English Proficiency)

Program Description

Workforce Operations also provides all customers, regardless of ability or language, access and use of services of the Employment Department and WorkSource Oregon. The Division assures all external customers have easy access to WorkSource services whether face to face, on line or over the phone. The Universal Access Coordinator manages the Limited English Proficiency program and maintains the state's WIOA Nondiscrimination Plan for customers with potential barriers to access.

Program Records

041 Office Monitoring (ADA, LEP Compliance) Visits

(a) Retain Affirmative Action plans and policies 3 years after superseded or obsolete, destroy

(b) Retain all other Affirmative Action records 3 years, destroy

042 Translation Requests

Retain documents submitted for translation until translation is complete, destroy

State Agency General Records Retention Schedule Records

Records include but are not limited to:

Administrative Records

Personnel Records

Databases

OED Interpreter

Service Requests

LEP Tools