



Public Records Policy

Adopted by the Board of Directors on
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Mid-Willamette Valley Council of Governments

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PURPOSE

The purpose of this Policy is to provide for the proper management, disclosure, maintenance, and destruction of the Mid-Willamette Valley Council of Governments (COG) records in accordance with the Oregon Revised Statutes and the Oregon Administrative Rules.

DEFINITIONS

COG or Council of Governments. COG or Council of Governments means the Mid-Willamette Valley Council of Governments, an intergovernmental entity, and all employees and Board members associated therewith.

Record. For purposes of retention, record means any recorded information, regardless of physical form or characteristic, prepared, owned, used or retained by the COG in connection with an activity, transaction, or function of the COG that is or was necessary to satisfy the fiscal, legal, administrative, or historical policies, requirements or needs of the COG. ORS 192.005(5).

For purposes of disclosure, record means any writing containing information relating to the conduct of the public's business, including but not limited to court records, mortgages, and deed records, prepared, owned, used or retained by a public body regardless of physical form or characteristics. ORS 192.410(4).

A record may be handwritten, typed, photocopied, printed, microfilmed, or exist in an electronic form such as email or a word processing document, or other types of electronic recordings.

Business Day. A day other than Saturday, Sunday, or a legal holiday and on which at least one paid employee of the public body that received the public records request is scheduled to and does report to work.

ARCHIVES AND RECORD MANAGEMENT PROGRAM

- A. Records Officer.** The Executive Director is hereby designated as the Records Officer for the COG.
1. **Responsibility.** The Executive Director shall be responsible for the maintenance of all COG records. The Executive Director may delegate such duties as he or she desires.
 2. **Liaison.** The Executive Director shall be the designated COG employee to coordinate with the State Archivist in regard to the COG Records Management Policy.
- B. Custodian.** The Administrative Assistant shall be the custodian of all permanent records of the COG.

DUTIES

This Section outlines the relevant duties of all COG employees in regards to compliance with this Policy.

- A. Executive Director.** The Executive Director, or his/her designee, shall be responsible for the following:
1. Acquiring, receiving, appraising and securing records of permanent value from all employees of the COG.
 2. Securing the transfer of records to the State Archives when it has been determined that the COG records are stored under conditions that do not meet the standards established by the State Archivist.
 3. Maintaining inventories, indexes, catalogs, and other finding aids or guides to facilitate access to the COG records.
 4. Coordinating with legal counsel as necessary in analyzing, developing and providing written standards and procedures for the care and maintenance of COG records, including those created and/or maintained in electronic format.
 5. Ensuring the COG records are maintained in a manner that meets guidelines set by the State Archivist for security and environment.
 6. Establishing procedures for the prompt and orderly disposition of COG records for which the State Archivist has granted authority to destroy.
 7. Maintaining a file of certifications of those records that have been destroyed as a permanent record.
 8. Provide training to COG employees on all aspects of records management.
 9. Administering the COG policy on public record disclosure as required by Oregon law
- B. Administrative Assistant.** The Administrative Assistant shall be responsible for the following:
1. Coordinating with the Executive Director in analyzing, developing and providing written standards and procedures for the care and maintenance of COG records, including those created and/or maintained in electronic format.
 2. Working with the Executive Director to provide training to COG employees on all aspects of records management.
 3. In conjunction with legal counsel, as necessary, reviewing and approving all records for destruction.
 4. Reviewing all requests for public records and assessing compliance with this policy.
- C. All Other Employees.** All other employees shall be responsible for maintaining all records in accordance with this Policy and shall seek the assistance and direction of the Executive Director or Administrative Assistant as needed.

CARE OF RECORDS

COG records shall be managed according to the provisions of the Oregon Revised Statutes, the Oregon Administrative Rules, and this Policy.

DESTRUCTION OF RECORDS

COG records covered by this Policy shall be destroyed according to the retention schedule established by the Board of Directors and set forth in Appendix A, which is based on the retention schedule set forth by the State Archivist. In general, records shall not be retained beyond the prescribed retention period, unless required by Federal, State or other funding sources.

PUBLIC ACCESS TO RECORDS

Oregon Public Records Law (ORS 192.410-192.505) gives members of the public the right to inspect and copy public records that are not otherwise exempt from public disclosure. It is the policy of the COG to respond to public records requests as soon as practicable and without unreasonable delay. The purpose of this section is to:

- Establish an orderly and consistent procedure for responding to public records requests;
- Establish the basis for a fee schedule designed to reimburse the COG for the actual costs incurred in responding to public records requests; and
- Inform individuals of the procedures and guidelines that apply to public records requests.

A. PROCEDURES

1. **Public Records Request.** All public records requests must identify the public records requested and be submitted in writing and directed to:

Public Records Request
c/o The Executive Director
Mid-Willamette Valley COG
100 High Street SE, Suite 200
Salem, OR 97301

Note: Requests to create a new record are not a public records request. Public bodies are not obligated under the Oregon Public Records Law to create new public records where none exists in order to respond to requests for information. The Executive Director will determine on a case by case basis whether a request to create a record will be fulfilled, and at what cost to the requestor.

2. **Initial Response to Public Records Requests.** Except when impracticable, as defined by Section 4 of SB481 (2017), after receiving a request for a public record, the COG will acknowledge the requests within five business days by:
 - a. Informing the requester that the COG is not the custodian of the requested record(s);
 - b. Notifying the requester that the COG is uncertain whether the COG is the custodian of the requested record(s);
 - c. Confirming that the COG is the custodian of some or all of the requested record(s), with an estimate of the fees the requestor must pay prior to receiving the records; or
 - d. Noting that the request is unclear, ambiguous or lacks specificity and requesting additional clarification.

3. **Coordination with Member Governments.** As a service provider to member governments (land use planning, executive recruitment, etc.) the COG prepares and uses public records on behalf of member governments. Although the COG is the custodian of such records when they are in the possession of the COG, those records are owned by the member government. If a records request involves records owned by a member government, the COG will notify that member government of the request as soon as practicable and indicate whether the COG intends to release the record or claim an exemption.

4. **Deadline for Response.** Except when impracticable, as defined by Section 4 of SB481 (2017), within 10 business days of receiving a fee deposit (or determining that the fee is waived) the COG will respond to the request in one or more of the following ways:
 - a. Providing instruction on how to access or providing copies of the requested record(s), which the COG does not claim an exemption from disclosure under ORS 192.410 to 192.505;
 - b. Where the COG was uncertain whether it was the custodian of the requested record, providing a statement that COG does not have custody of the requested public record(s);
 - c. Providing a statement that state or federal law prohibits the Mid-Willamette Valley COG from acknowledging whether the record(s) exists and a citation to the relevant state or federal law;
 - d. Providing a statement that the COG is the custodian of some or all of responsive record(s), but that some or all of the requested record(s) are exempt from disclosure, with a citation to the exemption (and, if the COG cites ORS 192.502 (8) or (9), the

statement will identify the state or federal law that the public body relied on in asserting the exemptions) and include in the statement that the requester may seek review of the public body's determination pursuant to ORS 192.450, 192.460, 192.465, 192.470, 192.480 and 192.490; and/or

- e. Providing a written statement that the COG is still processing the request and provide a reasonable estimated date by which the COG expects to complete its response based on information currently available.
5. **Closing of the Matter.** The COG will close the request upon either providing access to or the delivery of the requested records, notification of the claim of exemption, and any appeal period has passed or the appeal is resolved. If a requester fails to pay a fee within 60 days of the date on which the COG informed the requester of the fee, or fails to pay the fee within 60 days of the date on which the COG informed the requester of the denial of the fee waiver, the COG shall close the request without any further obligation to the requestor. If the requester fails to respond within 60 days to a good faith request from the COG for information or clarification, the COG shall close the request without any further obligation to the requestor.

B. FEES

1. The Oregon Public Records Law allows public bodies to recover their actual costs in fulfilling a public records request. If the estimated fee is greater than \$25, the COG will provide the requestor with written notice of the estimated amount of the fee. In such instances, the COG will not fulfill the public records request until the requestor makes a deposit in an amount of the estimated fee.
2. The fee will be reasonably calculated to reimburse the COG for its actual costs in making the records, and may include:
 - a. Charges for the time spent by COG staff to locate the requested public records, to review the records in order to determine whether any requested records are exempt from disclosure, to segregate exempt records, to supervise the requestor's inspection of original documents, to copy records, to certify records as true copies, and to send records by special or overnight methods such as express mail or overnight delivery;
 - b. A per-page charge for photocopies of requested records; and
 - c. A per-item charge for providing CDs, audiotapes, or other electronic copies of requested records.

The COG public records fee schedule is as follows:

Photo Copies	Standard (B&W)	\$0.15 per page
	Color	\$0.50 per page
Mailing Lists	CD	\$40
	Printed Labels	\$40 + \$0.15 per label
	Printed List	\$40
Labor Charges*	Administrative Staff	\$55.00 per hour
	Technical Staff	\$95.00 per hour
	Legal and Management Level Staff	\$135.00 per hour
Other	Geospatial Data ¹	\$50 access fee

* All time for public records requests will be recorded in ten-minute increments.

3. If the requestor was required to make a deposit, fees will be debited against that deposit. If the fees are less than the deposit, the COG will provide the records along with a refund of the deposit, less the fee. If the deposit is insufficient to cover the entire costs of completing the public records request, or the requestor was not required to pay a deposit the COG will generate an invoice for the unpaid costs of completing the public records request. The requestor must pay the amount owing before the COG will deliver the requested records or make them available for viewing.

C. FEE WAIVERS

Requests for fee waivers or reduced fees must be made in writing to the COG contact address listed above. The Executive Director of the COG may decide whether to furnish copies without

¹ Under ORS 190.050, geographic databases of intergovernmental groups are exempt from disclosure. However, under this policy, the COG will make its geospatial data available on an as-is without warranty basis on a password protected file transfer web page. The COG will only release geospatial data collected from member organizations with their consent.

charge or at a reduced fee if providing the records for free or at a reduced cost is a direct benefit to member organizations or is in the public interest.

Nothing in this policy prevents the COG from providing programs, services, documents or materials for free or at a reduced cost to member entities as a benefit of membership.

D. COPYRIGHTED MATERIAL

If the COG maintains public records containing copyrighted material, the COG will permit the person making the request to inspect the copyrighted material, and may allow limited copying of such material if allowed under Federal copyright law. The COG may require the requestor to obtain written consent from the copyright holder or an opinion from the person's legal counsel before allowing copying of such materials.

**APPENDIX A:
COG
PUBLIC RECORDS RETENTION SCHEDULE**

Records Relating to Work Done on Behalf of Member Governments – as a service provider to member governments (land use planning, executive recruitment, etc.) the COG prepares and uses public records on behalf of member governments. Although the COG is the custodian of such records when they are in the possession of the COG, those records are owned by the member government and shall be managed in accordance with the terms of the agreement between the COG and member government. If the agreement is silent on how such records are to be managed, such records are not to be destroyed, unless requested by the member government and destruction would be allowed by the member's record retention schedule. Such records will be returned to the member government upon conclusion of the service agreement.

EDA Grant records – Per (2014) CFR Title 15, retention period for federal grant records is 3 years after final report/closeout.

Administrative Records

(1) **Activity and Room Scheduling Records** Records documenting scheduling and reservations related to public participation and use of various agency activities, events, classes and facilities. Includes schedules, logs, lists, requests, and similar records. (Minimum retention: 1 year)

(2) **Activity Reports, General** Daily, weekly, monthly, or similar reports documenting the activities of employees. Useful for compiling annual reports, planning and budgeting, monitoring work progress and other purposes. Usually tracks type of activity, employees and/or volunteers involved, time spent on activity, work completed, and related information in narrative or statistical form. (Minimum retention: 2 years)

(3) **Annual Reports** Reports documenting the program or primary functional activities and accomplishments of the office for the previous year. These are often compiled from monthly, quarterly, or other subsidiary activity reports. Usually includes statistics, narratives, graphs, diagrams, and similar information. (Minimum retention: Permanent)

(4) **Audit Records, Internal** Records document the examination of the agency's fiscal condition, internal control, and compliance policies and procedures. Records may also document performance or other financially related audits by agency or contracted auditors. Records may include audit reports, supporting documentation, comments, and correspondence. (Minimum retention: 10 years)

(5) **Calendars and Scheduling Records** Records documenting and facilitating routine planning, scheduling, and similar actions related to meetings, appointments, trips, visits, and other activities. Includes calendars, appointment books, notes, telephone messages, diaries, and similar records. Depending on content, some telephone messages and similar records may merit inclusion in related program or project files. This applies to records that contain significant information that is not summarized or otherwise included in reports or similar documents. *Calendar and Scheduling information written in personal day planners*

or recorded on handheld electronic organizers (i.e. PalmPilots) may be public records under ORS Chapter 192. Information contained in electronic organizers is subject to the same retention as the paper record unless the information is kept in another format for the duration of the retention period. (Minimum retention: 1 year)

(6) **Citizen Awards** Awards presented by the agency to honor volunteers for civic contributions. May include award nominations, award certificates, presentation or ceremony records and photographs, lists of past recipients, and related records. Some records in this series may have historic value. *For appraisal assistance contact the Oregon State Archives.* (Minimum retention: 6 years)

(7) **Contracts, Leases, and Agreements*** Documents the duly executed and binding contractual agreements between the agency and other parties. May include contracts, exhibits, bid documents, change orders, proposals, and significant related correspondence. Types of contracts include purchase of equipment and supplies, interagency, personal service, capital construction (documenting building construction, alterations, or repair), grant funding, and others. Information in contracts usually includes contract number, certificate of required insurance, dates, terms, parties involved, period covered, and signatures. (Minimum retention: (a) Construction contract records: 10 years after substantial completion, as defined by ORS 12.135(3) (b) Collective bargaining contract records: Permanent (c) Other contracts, leases and agreements: 6 years after expiration) *Caution: Agencies who enter into contracts with the federal government must ensure that their contracts and agreements meet federal requirements specified in the Code of Federal Regulations.*

(8) **Correspondence** Records that: 1. document communications created or received by an agency AND 2. directly relate to an agency program or agency administration AND 3. are not otherwise specified in the records retention schedule (OAR 166-150) or in ORS 192.170. Records may include but are not limited to letters, memoranda, notes and electronic messages that communicate formal approvals, directions for action, and information about contracts, purchases, grants, personnel and particular projects or programs. (**Disposition:** File with the associated program or administrative records. Communications not meeting the above criteria do not need to be filed and may be retained as needed.)

(9) **Fax Reports** Records document facsimile transactions of the agency. Reports may also be used for billing purposes. Information includes date and time fax transmitted or received and recipient/sender's fax number. (Minimum retention: (a) Retain if used for billing: 3 years (b) Retain all other reports: 1 year)

(10) **Intergovernmental Agreements*** Agreements entered in-to by the agency with the state, school districts, service districts, cities, or other governmental units. Often refers to consolidating departments, jointly providing administrative officers, and sharing facilities or equipment. Major agreements usually set funding responsibilities, fee apportionment, duration of agreement, rights to terminate agreement, and transfers of property, personnel, and employment benefits. Also includes intergovernmental agreements for common services, equipment, maintenance, etc. (Minimum retention: (a) Significant and historic agreements: Permanent (b) Other agreements: 6 years after expiration)

(11) **Key and Keycard Records*** Records document the issuance of keys and keycards to staff to enable access to buildings and sites. Records may include but are not limited to key inventories, key issue forms, key replacement records, and key disposal records. Minimum retention: (a) Retain access and entry logs 3 years (b) Retain other records 2 years after key is turned in)

(12) **News/Press Releases** Prepared statements, announcements, news conference transcripts, and similar records issued to the news media. Subjects include the adoption of new programs, termination of old programs, policy shifts, changes in the status of elected officials or senior administrative personnel, and others. Also may include news releases announcing routine events or actions carried out within the scope of existing policies. (Minimum retention: (a) Policy and historic news/press releases: Permanent (b) Routine news/press releases: 2 years)

(13) **Planning Records** Series documents long-range plans and the development of an agency's mission statement and work objectives. Records include strategic plans, mission statements, preliminary drafts, work notes, and related correspondence. (Minimum retention: (a) Mission Statements and plans: 20 years (b) Other records: 5 years)

(14) **Policy and Procedure Guidelines and Manuals*** Written instructions, rules, and guidelines in manual form documenting current and past authorized agency policies and procedures. Used for new employee orientation and for ongoing reference. Also useful in establishing past policies or procedures in liability cases, personnel disputes, and other instances. Includes manuals documenting the procedures of departments with higher risk or exposure to liability such as police, fire, emergency medical services, public works, etc. This series also includes routine documentation and basic clerical instructional procedures covering such subjects as formatting letters, data entry, telephone etiquette, and others. Information often includes policy and procedure numbers, revision dates, subject identification, narrative description, authorization information, and effective date. The minimum retention periods refer only to agency-generated manuals. Manuals from other sources should be retained as needed or as mandated by a specific regulating body (federal or state agency, etc.), usually until superseded or obsolete. SEE ALSO Policy Statements and Directives; and Correspondence, Policy and Historical in this section. SEE ALSO Technical Manuals, Specifications, and Warranties in the Public Works-Operations and Maintenance section for published technical manuals and related materials. (Minimum retention: (a) Routine clerical manuals: 2 years after superseded or obsolete (b) Manuals relating to specific construction and/or engineering projects: 10 years after substantial completion, as defined by ORS 12.135(3) (c) One copy of all other manuals: Permanent)

(15) **Public Notice Records*** Records documenting compliance with laws requiring public notice of government activities. Subjects include assessments, elections, land use changes, public meetings and hearings, sale of property, and others. Records include public or legal notices, certificates, affidavits of publication, and similar documents. SEE ALSO Competitive Bid Records in the Financial section for public notices related to bid openings and awards. (Minimum retention: 3 years)

(16) **Reports and Studies** Records document special reports or studies conducted on non-fiscal aspects of an agency's programs, services, or projects, compiled by agency personnel,

or by consultants under contract *that are not noted elsewhere in this schedule*. Includes final report distributed either internally or to other entities and the work papers used to compile the report or study. (Minimum retention: 5 years)

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

(18) **Seminar and Conference Records, Agency-Sponsored** Records documenting the design and implementation of agency sponsored seminars, conferences, workshops, conventions, and similar gatherings. Often includes class descriptions, instructional materials, course outlines, enrollment and attendance records, reports, speeches, planning documentation, and related records. For records documenting registration billings and related fiscal actions, see the Financial Records section. (Minimum retention: (a) Significant program records: 5 years (b) Class enrollment and attendance records: 2 years (c) Other records: 1 year)

(19) **Seminar and Conference Records, Non-Agency Sponsored** Records documenting activities of seminars, conferences, workshops, conventions, and similar gatherings not sponsored by the agency but attended by agency officials or personnel. May include staff reports, instructional materials, recommendations, related correspondence and memoranda, and similar records. (Minimum retention: 2 years)

(20) **Special Event and Celebration Records** Records documenting agency-sponsored celebrations of special and historic occasions such as centennials, pioneer days, and similar events. Provides a record of planning and promotional efforts, public attendance and response, major speeches and dedications, and other significant aspects of the celebration. These significant records may include studies, publications, photographs, attendance summaries, final reports, and other significant documents. This series also includes routine documentation related to implementing the promotion and organization of the event. These often include lists, rosters, correspondence, memoranda, volunteer information, and related records. Records may also include scrapbooks, but does not include news clippings. News clippings are not public records and may be discarded. (Minimum retention: (a) Records documenting significant aspects of the event: Permanent (b) Other records: 2 years after event)

(21) **Surveys, Polls, and Questionnaires** Records documenting the measurement of public opinion by or for the agency related to various issues, actions, and concerns. May include surveys, polls, questionnaires, summaries, abstracts and significant related records. Examples of summaries include studies which incorporate the significant results of public opinion surveys, abstracts of questionnaires designed to determine the skills and interests of citizens volunteering for agency service, and other records which distill survey data into summary form. (Minimum retention: (a) Summary reports and abstracts: 3 years (b) Other records: Until summary report is completed or 3 years, whichever is sooner)

(22) **Telecommunications Logs** Records document the tracking and status of telephone, voice mail, and facsimile (FAX) communications called or received. Information may include time and date of call, name of caller, phone number called or received, nature of call, and actions taken and results of the call. (Minimum retention: 1 year)

(23) **Work Schedules and Assignments** Records documenting the scheduling and assigning of shifts, tasks, projects, or other work to agency employees. Useful for budget and personnel planning and review, assessing employee work performance, and other purposes. May include calendars, schedules, lists, charts, rosters, and related records. (Minimum retention: 5 years)

(24) **Index/Finding Aid Records** Records created to facilitate the location and retrieval of information, files and physical objects. (Minimum retention: Until superseded or obsolete).

(25) **Mailing Lists** Lists compiled to facilitate billing, community outreach, and other functions in the COG. Information usually includes name of individual or group, address, name and title of contact person, phone number, comments, and similar data. (Minimum retention: Until superseded or obsolete).

(26) **Meeting Records, Board, Commission, and Committee*** Records document the proceedings of the COG board, commissions, task forces, committees, advisory councils, and other similar groups, as described in Oregon's Public Meetings Law (ORS 192.610 to 192.710). Records may include minutes, agendas, exhibits, resolutions, staff reports, indexes, petitions, audio or visual recordings, correspondence, and related documentation. (Minimum retention: (a) Minutes* (except executive session minutes), agendas, resolutions, indexes, and exhibits (not retained permanently elsewhere in COG records) permanently (b) Executive session minutes, retain 10 years (c) Audio or visual recordings 1 year after minutes prepared and approved (d) Other records and exhibits not pertinent to minutes, retain 5 years).

(27) **Meeting Records, Governing Body*** Records document the proceedings of any regularly scheduled, special, executive session, or emergency meeting of any governing body, as described in Oregon's Public Meetings Law (ORS 192.610 to 192.710) that is under COG jurisdiction. These typically consist of boards, commissions, advisory councils, task forces, and similar groups. Records may include minutes, agendas, exhibits, resolutions, staff reports, indexes, petitions, tape recordings, and related documentation and correspondence. For further description of several specific examples of meeting records, refer to the subject index. SEE ALSO Meeting Records, Staff and Meeting Records, Board, Commission, and Committee; in this section. (Minimum retention: (a) Minutes* (except executive session minutes), agendas, resolutions, indexes, and exhibits (not retained permanently elsewhere in COG records) permanently (b) Executive session minutes 10 years (c) Audio or visual recordings, retain 1 year after minutes prepared and approved (d) Other records and exhibits not pertinent to minutes, retain 5 years).

(28) **Organizational Records** Records document the arrangement and administrative structure of the COG government. May include charts, statements, studies, and similar records. Includes studies to determine the merit and feasibility of reorganization plans as well as other major studies related to the COGs administrative hierarchy. (Minimum retention: Permanent).

(29) **Publications** Records document the published records produced by or for the COG or any of its departments or programs and made available to the public. Includes newsletters, pamphlets, brochures, leaflets, reports, studies, proposals, and similar published records.

Does not include publications received from federal, state, private or other sources — these publications and extra copies of COG-produced publications should be retained as needed. (Minimum retention: (a) Brochures, pamphlets, and leaflets, retain until superseded or obsolete (b) One copy of all others, retain permanently).

(30) **Scrapbooks** Books document a chronological, historical event or similar record of the COG. May contain photographs, newspaper or magazine clippings, commentaries, and other items pertaining to the activities, actions, and reactions of the COG officials, personnel, and citizens. Scrapbooks vary greatly in their content and value. Some may have historic value. For appraisal assistance, contact the Oregon State Archives. (Minimum retention: Retain as needed).

(31) **Technical Manuals, Specifications, and Warranties*** Owners manuals and warranties for COG-owned vehicles and equipment. Manuals often include specifications, operating instructions, and safety information. Warranties include terms of coverage for repair or replacement of equipment. (Minimum retention: (a) Manuals, retain until disposition of vehicle or equipment (b) Warranties, retain until expiration).

(32) **Vehicle Maintenance and Repair Records** Records document the maintenance and repair history of all COG-owned vehicles. Records may include reports, summaries, and similar records usually compiled from daily work records on a monthly or quarterly basis. Information often includes a description of work completed, parts and supplies used, date of service, date purchased, price, vehicle number, make and model, and other data. SEE ALSO Contracts and Agreements in Recorder-General section for contract records related to private companies maintaining and repairing COG-owned vehicles. SEE ALSO Daily Work Records in the Public Works-Operations and Maintenance section and Work Orders in this section. (Minimum retention: 2 years after disposition of vehicle).

(33) **Business Plan Records** Records document the needs assessment, planning, implementation, and review of an agency's functions, programs, and goals. Records may include but are not limited to management plans, directives, organizational charts, correspondence, and related records. (Retention: (a) Retain final document: 6 years, destroy; (b) Retain other business plan records: 1 year after final document produced, destroy).

(34) **Conference, Seminar, and Training Program Records** Records document the design and presentation of training programs and events offered or sponsored by the agency. These events may include but are not limited to conferences, conventions, seminars, training classes, workshops, and similar gatherings. Records may include but are not limited to class descriptions, instructor certifications, planning documentation, instructional materials, course outlines, class enrollment and attendance records, and related records. SEE ALSO Employee Training Records in the Personnel Records section for individual employee training records. (Retention: (a) Retain class enrollment and attendance records: 2 years, destroy; (b) Retain all other records: 5 years, destroy).

(35) **Litigation Records** Records document agency activities in litigation. Records may include but are not limited to court documents, research materials, reports, press releases, and correspondence. (Retention: (a) Retain precedent-setting litigation records not

scheduled by special schedule: 20 years after case closed, destroy; (b) Retain all other litigation records: 5 years after case closed, destroy).

(36) **Parking Records** Records document parking provided for the public or agency staff. Records may include but are not limited to parking permits and applications, special permits, and permit receipts. (Retention: Retain 4 years, destroy).

(37) **Policy Development and Planning Records** Records document the development, planning, implementation, assessment, and review of an agency's strategic or long-term goals through policies, programs, and activities. Records may include but are not limited to strategic and management plans, mission and goal statements, final policy statements and directives, organization charts, preliminary drafts, work notes, and correspondence. (Retention: (a) Retain final document: 20 years, destroy; (b) Retain all other policy development and planning records: 1 year after final document produced, destroy).

(38) **Postal Records** Records document transactions with the U.S. Postal Service and private carriers. Records may include but are not limited to postage meter records, receipts for express deliveries, registered and certified mail, insured mail, special delivery receipts and forms, loss reports, and correspondence. (Retention: Retain 4 years, destroy).

(39) **Press Releases** Records document agency information officially released to the media for dissemination to the public. Records may include but are not limited to press or news releases, prepared statements, public service announcements, and related documentation. (Retention: Retain 10 years, destroy).

(40) **Professional Membership Records** Records document agency-paid individual or institutional memberships and activities in professional organizations. (Retention: Retain 6 years, destroy).

(41) **Public Records Disclosure Request Records** Records document requests for disclosure of public records and provide a record of agency responses. Records may include but are not limited to requests for disclosure, request logs, approvals, denials, copies of petitions to the Attorney General for review of denials of disclosure, Attorney General Orders to grant or deny disclosure, and correspondence. (Retention: (a) Retain approved request records: 5 years, destroy; (b) Retain denied request records: 5 years after last action, destroy).

(42) **Signature Authorizations** Records documenting the authorization of employees designated to sign fiscal and contractual documents. Information may include authorization date, employee name, signature sample, position, conditions, remarks, dollar amount employee authorized to approve, and signature and name of person(s) approving authorization. (Retention: Retain 6 years after authorization superseded or expired, destroy).

Property / Building

(1) **Building Activity Records** Reports or statistical compilations tracking building activity on a monthly and annual basis. Used to plan budgets and staffing, as well as to monitor

growth and chart building trends. Usually tracks number of permits issued, type of activity, value of projects, fees collected, and related information. May consist of reports compiled for the U.S. Bureau of the Census. (Minimum retention: (a) Retain reports summarizing activities on an annual basis: Permanently (b) Retain other reports: 2 years)

(2) **Deeds to Agency-Owned Land** Recorded evidence of agency ownership of public lands and rights-of-way. Exhibits may include maps and legal descriptions, title transfers, and significant related correspondence. Information typically includes a description of property, signatures of previous owner and agency representative, and date of transfer. Depending on local filing practices, this series also may be included as part of the County Clerk's Public Recordings. (Minimum retention: 3 years after property is no longer owned by the agency)

(3) **Real Property Transaction Records** Records documenting acquisitions, dispositions, and reallocations of real property and rights-of-way by the agency for urban renewal projects, parks, sewers, streets, water lines, traffic signals, and other reasons. Records may include offer letters, options, agreements of short duration, staff reports, appraisal reports and reviews, inspection reports, letters of transmittal, summaries, and related records. SEE ALSO Deeds to Agency-Owned Land in the Clerk - Recording section. (Minimum retention: 10 years after substantial completion)

Equipment and Personal Property

(1) **Damaged/Stolen Property Records** Used to prepare reports relating to damaged or stolen property. Records may include yearly risk report, restoration fund inventory report, policy manual, property transfer report, self-insurance manual, real property report, money and negotiable securities report and a general risk survey. (Minimum retention: 4 years)

(2) **Equipment Maintenance Records** Records may include purchase orders, lease agreements, warranties, vendor statements, service contracts, charge call bills, fax activity reports, property disposition requests, invoices for equipment repair, purchase request forms, and memoranda. SEE ALSO Vehicle Maintenance Records in this section. (Minimum retention: 1 year after equipment disposed of)

(3) **Technical Manuals Specifications, and Warranties** Owners manuals and warranties for agency-owned vehicles and equipment. Manuals often include specifications, operating instructions, and safety information. Warranties include terms of coverage for repair or replacement of equipment. (Minimum retention: (a) Manuals: Until disposition of vehicle or equipment (b) Warranties: Until expiration)

(4) **Vehicle Maintenance and Repair Records** Records document the maintenance and repair history of all agency-owned vehicles. Records may include reports, summaries, and similar records usually compiled from daily work records on a monthly or quarterly basis. Information often includes a description of work completed, parts and supplies used, date of service, date purchased, price, vehicle number, make and model, and other data. SEE ALSO Contracts and Agreements in the Administrative Records section for contract records related to private companies maintaining and repairing agency-owned vehicles.

SEE ALSO Daily Work Records in the Public Works-Operations and Maintenance section and Work Orders in this section. (Minimum retention: 2 years after disposition of vehicle)

(5) **Vehicle Title and Registration Records** Records documenting owner-ship and registration of all agency vehicles with the Oregon Division of Motor Vehicles. (Minimum retention: (a) Retain titles until vehicle is sold or disposed of (b) Retain registration records until superseded or disposition of vehicle)

(6) **Vehicle Usage and Expense Records** Records documenting usage and expenses associated with agency-owned vehicles. Used for maintenance, budgeting, and planning. Information may include vehicle number, make, and model, beginning and ending mileage, driver's name and signature, fuel used, repairs needed, and other data. (Minimum retention: 3 years)

(7) **Equipment/Property Disposition Records** Records document the location, use, and transfer of agency-owned property and equipment. Records may include but are not limited to expendable property inventory listings, property disposition requests and notices, equipment transfer memoranda or forms, and correspondence. (Retention: Retain 4 years, destroy).

(8) **Master Material Safety Data Records** Records document all hazardous chemicals currently used and held by an agency. Records may include but are not limited to hazardous materials safety sheets, safety instructions, and emergency instructions. (Retention: retain until superseded or chemical no longer in use, destroy).

Financial Records

(1) **Audit Reports**, External Records documenting annual audits of the financial position of the agency conducted by external auditors in accordance with statutory requirements described in ORS 297.405 through 297.555. Subjects include accounting principles and methods, the accuracy and legality of transactions, accounts, etc., and compliance with requirements, orders, and regulations of other public bodies pertaining to the financial condition or operation of the agency. Information includes accountant's summary, combined financial statements, schedules, balance sheet details, comments, recommendations, and related data. SEE ALSO Internal Audit Records in the Administrative section. (Minimum retention: Permanent)

(2) **Bond Records** (Employee)* Records documenting the posting of fidelity, performance, or position bonds to guarantee the honest and faithful performance of elected officials, individual employees, or groups of employees. Details of bonds vary, however information usually includes name and position(s) of individual or group, amount of coverage, effective and expired dates, and related data. (Minimum retention: 6 years after expiration)

(3) **Budget (Adopted) Records** Documenting the final annual financial plan approved by a governing body for all agency expenditures. Information may include budget message, financial summaries, revenues and expenditures, operating programs, debt service, position and wage analysis, overhead allocations, organization charts, previous actual and budgeted

amounts, and related data. Duplicate copies should be retained as needed. (Minimum retention: permanent)

(4) **Budget Preparation Records** Records documenting the preparation of department budget requests presented to the specified governing body. May include staff reports, budget instructions, worksheets, surveys, allotment reports, spending plans, contingency plans, budget proposals, financial forecasting reports, and similar records. (Minimum retention: 2 years)

(5) **Check Conversion Records** Records document checks received from customers that are electronically deposited after being imaged and converted to an Automated Clearing House (ACH) transaction or Image Replacement Document (IRD) (Minimum Retention: (a) Retain original paper instrument 120 days, destroy (b) Retain ACH transaction or IRD 6 years, destroy)

(6) **Competitive Bid Records** Records documenting the publicizing, evaluation, and awarding of quoted bids to vendors and other individuals or organizations. Records may include RFP's and RFI's and provides recorded evidence of accepted and rejected bids. May include bid exemption documents, bid and quote lists, notices of bid opening and award, comparison summaries, spreadsheets, tabulation worksheets, bid advertising records, tally sheets, bid specifications, correspondence, and related records. SEE ALSO Purchasing Records in this section. (Minimum retention: (a) Retain accepted bids 10 years after substantial completion (as defined by ORS 12.135(3)) (b) Retain other accepted bids: 6 years after bid awarded or canceled (c) Retain rejected bids and bid exemptions: 2 years)

(7) **Credit and Debit Receipts** Agency's copy of credit or debit card receipts documenting payment received by an agency. Records include customer's name and account information. (Minimum Retention: Retain 36 months after transaction, destroy)

(8) **Financial Impact Analysis Records** Records documenting the financial analysis of various agency practices. Useful for planning future budget proposals. Records include reports, studies, worksheets, and similar records. Subjects may include the impact of specific ballot measures, proposals to increase permit fees, sick leave use analysis, and the agency's relationship with various utilities. (Minimum retention: 3 years)

(9) **Gift and Contribution Records** Records documenting gifts and contributions given to the agency by sources outside of government. Records may include memorial donation records related to money to be used by the agency in the name of an individual. Often contains donor and acknowledgement letters, acquisition lists itemizing purchases with contributed money (books, art, equipment, etc.) checks, receipts, and related records. (Minimum retention: (a) For retention of conditional gift, contribution and donation records: see Contracts and Agreements in the Administrative Records section (b) Retain other records: 3 years)

(10) **Grant Records** Records document the application, evaluation, awarding, administration, monitoring, and status of grants in which the agency is the recipient, grantor, allocator, or administrator. Grants may come from federal or state governments or foundations or other funding sources. Records may include but are not limited to

applications including project proposals, summaries, objectives, activities, budgets, exhibits, and award notification; grant evaluation records and recommendations concerning grant applications; grant administration records including progress reports, budgets, project objectives, proposals, and summaries; records documenting allocation of funds; contracts; records monitoring project plans and measuring achievement; equipment inventories; financial reports, accounting records, audit reports, expenditure reports, and related correspondence and documentation. (Minimum retention: (a) Retain final reports from significant grants to the COG: Permanent (b) Retain records documenting the purchase and/or disposal of real property: 10 years after substantial completion (as defined by ORS 12.135(3)), or 3 years after final disposition, or as specified in agreement, whichever is longer (c) Retain other grant records: 3 years after annual or final expenditure report submitted and approved or, as specified in agreement, whichever is longer (d) Retain unsuccessful grant applications: 1 year after rejection or withdrawal)

(11) **Inventory Records*** Inventory records documenting the capitalized assets and expendable property of the agency. Examples of capitalized assets may include but are not limited to buildings, real estate, infrastructure assets, vehicles, equipment, and furniture. Examples of expendable assets include office supplies and other small, office purchases. Information often contains asset number, description, purchase order number, location of asset, date received, purchase price, replacement cost, depreciation, and related data. This record series applies to routine control inventories. SEE ALSO Grant Records for inventories of property purchased with grant funds. For inventories documenting other special uses, see Historic Structure Inventory Records in the Planning and Development section; Bridge Inspection Records in the Public Works-Engineering section; and Property and Evidence Control and Disposition Records in the Law Enforcement section. (Minimum retention: (a) Retain records of capitalized assets: 3 years after disposal or replacement of asset (b) Retain records of expendable property: 3 years or until superseded, whichever is longer)

(12) **Signature Authorization Records** Records documenting the authorization of designated employees to sign fiscal and contractual documents. Useful as an aid for management control over expenditures. Information usually includes authorization date, name, sample signature, position, remarks, conditions, and related data. (Minimum retention: 6 years after authorization superseded or expired)

(13) **Balance Status and Projection Reports** Reports created for internal use documenting the status of funds, bank accounts, investments, and other accountings of COG funds. Includes budget allotment and fund reconciliation reports. Also includes projection records related to future receipts and disbursements. Reports are generated on a daily, weekly, monthly, quarterly or similar basis. Information includes date, account balances, type and summary of activity, and related data. (Minimum retention: 3 years after annual audit report issued).

(14) **Employee Travel Records** Records document requests, authorizations, reimbursements, and other actions related to employee travel. Includes expense reports and receipts, vouchers, requests, authorizations, and related documents. Minimum retention applies to private vehicle usage as well. Information often includes estimated costs, prepayments, final costs, destination, method of transportation, travel dates, approval

signatures, and related data. (Minimum retention: 3 years after annual audit has been completed).

(15) **General Ledgers* Records** document the summary of accounts reflecting the financial position of the COG. Information often includes debit, credit, and balance amounts per account, budget, fund, and department numbers, and totals for notes receivable, interest income, amounts due from other funds, federal grants received, bank loans received, cash in escrow, deferred loans received, cash, encumbrances, revenue, accounts receivable, accounts payable, and other data. SEE ALSO Subsidiary Ledgers this section (Minimum retention: (a) year-end ledgers*, retain 10 years; (b) All other general ledger, retain 5 years).

(16) **Investment Records Records** document and tracking various investments made by the COG. Often contains bank statements documenting investment information, journal entries, confirmations of purchase of U.S. Treasury Bills, confirmations of deposit in local investment pool, and deposit slips, correspondence, and memoranda related to specific investments. (Minimum retention: 3 years after investment ends).

(17) **Subsidiary Ledgers, Journals, and Registers Records** document details of transactions such as those related to receipts and expenditures on a daily, monthly, quarterly or similar basis. Includes journals, ledgers, registers, day books, and other account books that provide backup documentation to the general ledger. May include details of revenues, expenditures, encumbrances, cash receipts, warrants, and others. Information often includes date, payee, purpose, fund credited or debited, check number, and similar or related data. Refer to Grant Records in this section for records documenting transactions of grant funds. SEE ALSO Financial — General Records General Ledgers and Financial-Assessment and Bonds section for related records. (Minimum retention: (a) Year-end payroll register, retain 75 years; (b) Trust fund ledgers, retain 3 years after trust fund closed; (c) Other subsidiary ledgers, journals, and registers, retain 3 years).

(18) **Accounts Payable Reports** Records document current outstanding liabilities and provide a record of payments of bills by the agency. They may also serve as a subsidiary ledger. Records include those produced by the Statewide Financial Management Application (SFMA), the Department of Administrative Services Data Mart, and any other subsystems used by the agency. (Retention: (a) Retain SFMA requestable reports: 6 years, destroy; (b) Retain all other accounts payable records: 6 years, destroy).

(19) **Accounts Receivable Reports** Records document billings and collections and provide a record of money owed to the agency. Serves as a subsidiary ledger of original entry/input and records amounts received from debtors for goods and/or services. Aging reports are used to monitor accounts that are outstanding and overdue. Records include those produced by the Statewide Financial Management Application (SFMA), the Department of Administrative Services Data Mart, and any other subsystems used by the agency. (Retention: (a) Retain monthly accounts receivable reports and SFMA requestable reports: 6 years, destroy; (b) Retain all other accounts receivable records: 6 years after collected or deemed uncollectible, destroy).

(20) **Annual Financial Reports** Records document the agency's annual financial condition and results of operation as of June 30 using trial balance data. These reports are used as a reference by the Secretary of State, Audits Division and included in the Comprehensive Annual Financial Report (CAFR) produced by the Department of Administrative Services. Records may include transmittal cover sheet, organization and function, combined balance sheet, combined statement of revenues, expenditures, changes in fund balance, notes to the financial statement, and exhibits. Exhibits may include a working trial balance by fund type, adjustments to accounting data, cash flow analysis, and other documents supporting statement amounts and notes. The Department of Administrative Services maintains the statewide record copy of the CAFR. (Retention: Retain 10 years, destroy).

(21) **Bank Statements Records** Records document the current status and transaction activity of agency funds held at a bank or at the State Treasury. Records may include bank/Treasury statements and support reconciliation records, validated deposit slips and/or paid check/warrant copies. (Retention: Retain 6 years, destroy).

(22) **Cash Receipt Records** Records document tabulated and keyed-in transactions for cash received by the agency. Records may include cash register tapes or equivalent, copies of receipts, and batch sheets. SEE ALSO Receipts and Receipt Registers in this section. (Retention: Retain 6 years, destroy).

(23) **Check Cancellation Request Records** Records document the request to cancel checks issued and to request the issuance of duplicates. Records may include request memoranda and check photocopies. (Retention: Retain 6 years, destroy).

(24) **Check Registers Records** document an original entry listing which logs checks issued by the agency. Information includes date, check number, payee, and amount. (Retention: Retain 6 years, destroy).

(25) **Checks Records** document redeemed checks written on agency accounts. Records may include redeemed, void and canceled checks, and supporting documentation. (Retention: Retain 6 years, destroy).

(26) **Credit Card Records** Records document the application and approval to use state-issued credit cards and purchases made with these cards. Records may include but are not limited to credit card applications, approvals, credit card transaction logs, credit card security and checkout records, monthly credit card statements, and purchasing documentation. (Retention: (a) Retain application and approvals: 3 years after card cancelled, revoked, or denied, destroy; (b) Retain all other credit card records: 6 years, destroy).

(27) **Deposit Slips Records** document monies deposited in banks at privately operated institutions and the State Treasury. Records are used to reconcile and balance an agency's State Treasury or bank accounts. Information may include date and amount deposited. (Retention: Retain 6 years, destroy).

(28) **Invoice Registers Records** document a listing of who was billed by the agency for services rendered and provide a detailed breakdown of individual invoice billings.

Information includes invoice number, amount, date, item or service billed for, and billed party name. (Retention: Retain 6 years, destroy).

(29) **Invoices Records** document goods and services billed by the agency. Information may include invoice number, date, transaction description, identification of parties involved, prices, and terms of sale. (Retention: Retain 6 years, destroy).

(30) **Petty Cash Fund Records** Records document petty cash activity for the agency. Records include requests and authorizations to establish petty cash funds, ledgers, statements, requests for disbursements, copies of receipts and invoices. (Retention: Retain 6 years, destroy).

(31) **Purchasing Records** Records document the purchase of goods and services by the agency. Records may include purchase orders and requests, purchase authorizations, requisitions, contract release orders, price agreements, material/cost specifications, copy center/printing orders, and correspondence. SEE ALSO Competitive Bid Records and Vendor Reports in this section. (Retention: Retain 6 years, destroy).

(32) **Travel Expense Records** Records document reimbursement claims made by employees for travel and related expenses. Records may include travel expense detail sheets, supporting documentation, and correspondence. (Retention: Retain 6 years, destroy).

Housing and Community Development Records

(1) **Community Development Project Records** Records related to the assessment, funding determination, planning, design, and construction of various homeowner improvement projects, including facilities, structures, and systems. Records include work plan, and specifications, bid and contract information, project management/monitoring records, feasibility studies, plans, amendments, inspector reports, change orders, status reports, and related records. May be useful for litigation, reference, or budget planning. (Minimum retention: 10 years after substantial completion, or 3 years after final disposition, or as specified in agreement, whichever is longer)

(2) **Housing Rehabilitation Loan Records** Housing Rehabilitation Programs provide low-income homeowners with loans for needed and critical home repairs. To qualify for the program, a household's total annual gross income must be below HUD's Section 8 income limits. Series documents client application, verification of income, credit report information, deeds of trust, project specifications and work plan, copy of agency agreement with homeowner, financial information by loan type; DPL, CHIP, or Rental Rehabilitation, Cancelled Housing Rehabilitation and related records/correspondence. (Minimum retention: (a) Deferred Payment Loans (DPL): 5 years after homeowner leaves home, sells home, transfers the title, refinances the mortgage, or a change of use (b) Home Improvement Program Loans (CHIP): 5 years after loan pay-off or foreclosure (c) Rental Rehab Loans: 5 years after loan pay-off or foreclosure (d) Cancelled Housing Rehabilitation Loans: 10 years after loan cancellation)

Information and Records Management Records

(1) **Records Management Records** Records document the authorized retention, scheduling, inventory, and disposition of public records. Records may include but are not limited to records retention schedules, inventory worksheets, schedule authorizations, procedure guidelines, transmittals, destruction authorizations, reports, and correspondence. (Minimum retention: (a) Destruction records: Permanent (b) Record retention schedules: 5 years after superseded (c) Other records: 5 years)

(2) **Software Management Records** Records document the use of software in information systems to insure that institution software packages are compatible, that license and copyright provisions are complied with, and that upgrades are obtained in a timely manner. Records may include but are not limited to software purchase records, software inventories, software licenses, site licenses, and correspondence. (Minimum retention: 2 years after software disposed of or upgraded)

(3) **Telecommunications System Management Records** Records document the creation, modification, or disposition of telecommunications systems. Records may include but are not limited to equipment records, Federal Communications Commission records, repair order forms, system planning records, telecommunications maintenance contracts, telecommunications service orders, and correspondence. (Minimum retention: (a) Repair and service orders: 4 years (b) Other records: 1 year after system superseded or obsolete)

(4) **Computer System Wiring Records** Records document the wiring of the COGs computer network system. Includes blueprints or drawings of building computer system wiring, cables, computer equipment connections, and related documentation. (Minimum retention: Current plus previous).

(5) **Filing System Records** Records document the establishment, maintenance, alteration, or abolition of COG filing systems. Records may include but are not limited to include master file lists, organizational charts, program descriptions, and correspondence. SEE ALSO Recorder — General Records section. (Minimum retention: 5 years after superseded or abolished).

(6) **Forms Development Records** Records document the development of new or revised forms used by a COG. Records may include but are not limited to sample forms, drafts, revisions, form logs/listings, proposals, authorizations and illustrations. SEE ALSO Recorder – General Records Section. (Minimum retention: Until superseded or obsolete).

(7) **User Support Records** Records document troubleshooting and problem-solving assistance provided by the COGs information systems personnel to users of the systems (computer, telecommunications, etc.) Records may include assistance requests, resolution records, and related documentation. Information may include name of requester, date, time, location, and description of problem and resolution. (Minimum retention: 1 year).

(8) **Computer System Maintenance Records** Records document the maintenance of an agency's computer systems and are used to insure compliance with any warranties or service contracts; schedule regular maintenance and diagnose system or component

problems; document system backups; and migrate information from the former system to a new system. Records may include but are not limited to computer equipment inventories, hardware performance reports, component maintenance records (invoices, warranties, maintenance logs, correspondence, maintenance reports, and related records), system backup reports and procedures, backup tape inventories, migration plans, and related documentation. (Retention: (a) Retain records related to system or component repair or service: 1 year after life of system or component, destroy; (b) Retain records related to regular or essential records backups: 1 year after superseded or obsolete, destroy; (c) Retain migration plans: until superseded or obsolete, destroy).

(9) Computer System Program Documentation Records document the addition, modification, or removal of software from an agency computer system. Records usually fall into six categories: (1) records documenting operating systems; (2) records documenting the in-house creation and modification of application programs; (3) records documenting the structure and form of datasets; (4) records documenting the use of commercial software packages; (5) records documenting the structure of the system; and (6) records documenting system-to-system communication. Records may include but are not limited to system overviews, operations logs, job listings, operator instruction manuals, system development logs, system specifications and changes (including narrative and flow chart descriptions), conversion notes, dataset logs, dataset inventories, dataset record layouts, hard copies of tables, data dictionaries, data directories, programming logs, program specifications and changes, record layouts, user views, control program table documentation, program listings, and commercial software manuals. SEE ALSO Information System Planning and Development Records, Software Management Records, and Computer System Maintenance Records in this section. (Retention: Retain 1 year after life of system, destroy).

(10) Computer System Security Records Records document the security of an agency's computer systems. Records may include but are not limited to employee access requests, passwords, access authorizations, system access logs, and related documentation. (Retention: (a) Retain system access logs: 3 years, destroy; (b) Retain all other computer system security records: 3 years after superseded or authorization expired, destroy).

(11) Information Service Subscription Records Records document agency subscriptions to information services. Records may include but are not limited to subscriptions, invoices, and correspondence. (Retention: Retain 4 years, destroy).

(12) Information System Planning and Development Records Records document the planning and development of agency information systems. Although these records typically document computerized information systems, they may also document manual filing systems and microfilm systems. The records are used to insure that planned systems will help an agency fulfill its missions, are cost-effective, conform to adopted information standards, and integrate with existing agency information systems. Records may vary according to the level of documentation required for each system, but may include Department of Administrative Services, Information Resources Management Division (DAS IRMD) information technology plans, DAS IRMD feasibility studies and cost-benefit analyses, agency studies and surveys, system specifications and revisions, component proposals, technical literature, vendor literature and proposals, and

correspondence. (Retention: (a) Retain implemented systems: 1 year after life of system, destroy; (b) Retain unimplemented systems: 5 years, destroy).

Payroll Records

(1) **Deduction Authorization Records** Records documenting employee application and authorization for voluntary payroll deductions, direct bank deposits, and related actions. Payroll deductions are directly deposited or remitted to the authorized financial institution, insurance company, or other agency or vendor. Records may include insurance applications, enrollment cards, deduction authorizations, approval notices, deduction terminations, and related records. (Minimum retention: 3 years after superseded, terminated, or employee separates)

(2) **Leave Applications** Applications or requests submitted by employees for sick, vacation, compensatory, personal business, family and medical leave, long term leave, and other leave time. Information usually includes employee name, department, date, leave dates requested, type of leave requested, and related data. SEE ALSO Employee Time Records in this section. (Minimum retention: 3 years)

(3) **Leave Balance Reports** Reports documenting individual employee accrual and use of sick, vacation, compensatory, personal business, family and medical leave, and other leave time. Information usually includes employee name and number, social security number, leave beginning balance, leave time accrued, leave time used, ending balance, and related data. SEE ALSO Employee Benefits Records in the Personnel section. (Minimum retention: (a) Year-end leave balance reports: 75 years after date of hire (b) Other reports: 4 years)

(4) **Payroll Administrative Reports** Reports, statistical studies, and other records designed and used for budget preparation, projections, workload and personnel management, research, and general reference. Often consists of recapitulation reports organizing wages, deductions, and other data into categories such as quarter-to-date, year-to-date, fiscal year-to-date, department, division, section, employee/employer contributions, and others. (Minimum retention: 3 years)

(5) **Payroll Registers** Registers or records serving the same function of documenting the earnings, deductions, and withholdings of agency employees. Information usually includes employee name and number, social security number, hours worked, rate, overtime, vacation value, leave taken or accrued, various allowances, gross pay, federal and state withholding, voluntary deductions, net pay, and related data. (Minimum retention: (a) Retain year-end, or month-end if no year-end payroll registers: 75 years (b) Retain other payroll registers; 3 years)

(6) **Leave Applications** Applications or requests submitted by COG employees for sick, vacation, compensatory, personal business, family and medical leave, long term leave, and other leave time. Information usually includes employee name, department, date, leave dates requested, type of leave requested, and related data. SEE ALSO Employee Time Records in this section. (Minimum retention: 3 years).

(7) **Unemployment Reports** Records document employee earnings on a quarterly basis. Used to document costs and charges in the event of an unemployment compensation claim. Information includes employee name, social security number, quarterly earnings, days worked, totals, and other data. (Minimum retention: 3 years).

(8) **Wage and Tax Statements** Annual statements document individual employee earnings and withholdings for state and federal income taxes and social security tax. Also known as federal tax form W-2. Information includes COG name and tax identification number, employee name and social security number, wages paid, amounts withheld, and related data. SEE ALSO Federal and State Tax Forms in this section for related records. (Minimum retention: 5 years).

(9) **Deduction Registers** Records document voluntary and/or required deductions from the gross pay of agency employees. Deductions may include federal income and social security taxes, state income tax, workers' compensation, union dues, insurance, deferred compensation, credit union, parking permit, pre-written checks, garnishments, levies, charitable contributions, and others. (Retention: (a) Retain registers documenting state and federal taxes: 5 years, destroy; (b) Retain all other deduction registers: 4 years, destroy).

(10) **Employee Payroll Records** Records document individual employee pay history. Records may include but are not limited to source documents authorizing payroll deductions and withholding such as Public Employee Retirement System (PERS) enrollment forms, insurance applications, beneficiary designations, leave authorizations, pay related personnel action documents, garnishment records, child support claim records, electronic deposit authorizations, work out of class and overtime authorizations, deduction reports, and correspondence. SEE ALSO Employee Personnel Records and Employee Benefit Records in the Personnel Records section. (Retention: (a) Retain PERS enrollment records: 75 years, destroy; (b) Retain garnishment records: 4 years after resolution, destroy; (c) Retain deduction authorization records: 3 years after superseded, eligibility expired or employee separation, destroy; (d) Retain all other employee payroll records: 3 years after employee separation, destroy).

(11) **Employee Time Records** Records document hours worked and leave hours accrued and taken by agency employees. Information may include employee name and other personally identifiable information, work schedule, days and time worked, leave time, and approval signatures. (Retention: Retain 4 years, destroy).

(12) **Federal and State Tax Records** Records document the collection, distribution, deposit, and transmittal of federal and state income taxes and social security tax. Records include the federal Miscellaneous Income Statement (1099), Request for Taxpayer Identification Number and Certificate (W-9), Employers Quarterly Federal Tax Return (941, 941E), Tax Deposit Coupon (8109), Withholding Allowance Certificates (W-4), Wage And Tax Statements (W-2), and related federal and state tax forms. (Retention: (a) Retain Withholding Allowance Certificates (W-4): 5 years after superseded or employee separation, destroy; (b) Retain all other federal and state tax records: 5 years, destroy).

(13) **Family Medical Leave Records** Records document leave taken by agency employees under the federal Family and Medical Leave Act. Records may include but are not limited

to leave requests, payroll wage and hour related data, and records related to medical certifications or medical histories of employees or employees' family members. *Medical records (medical certifications and medical histories) are not personnel records and must be kept in a separate location from employee personnel records, as required by the Family and Medical Leave Act.* (Retention: Retain 3 years, destroy).

(14) **Unemployment Compensation Claim Records** Records document claims submitted by former agency employees for unemployment compensation. Records may include but are not limited to claims, notices, reports, claim determination appeal records, and related documentation and correspondence. (Retention: Retain 4 years, destroy).

Personnel Records

(1) **Affirmative Action Records** Records documenting agency compliance with the statutes and regulatory requirements of the U.S. Equal Employment Opportunity Commission. May include plans, updates, policy statements, reports, and supporting information. (Minimum retention: (a) Plans, updates, and policy statements: Permanent (b) Other records: 3 years)

(2) **Criminal Background Check Records** Records document the pre-employment or periodic criminal records checks performed on prospective or current staff, faculty, and volunteers. Records may include but are not limited to a log recording when background checks are done and whom they are done on, and a fingerprint based criminal history verification form documenting the result of a criminal history background check coordinated by the Oregon Law Enforcement Data System (LEDS). The form includes name and other personally identifiable information, indication of existence or absence of criminal record, and related documentation. (Minimum retention: (a) Retain background check log: until superseded or obsolete (b) Retain all other records: 90 days)

(3) **Disciplinary Action Records** Records documenting termination, suspension, progressive disciplinary measures, and other actions against employees. May include statements, investigative records, interview and hearing records, findings, and related records. May be filed with Employee Personnel Records. (Minimum retention: (a) Retain investigations resulting in termination: 10 years after employee separation (b) Retain investigations resulting in disciplinary action or exoneration: 3 years after resolution)

(4) **Employee Recognition Records** Recognition of employees for special service to the agency. May include service awards, recognition certificates, commendations, award nominations, lists of past recipients, and presentation or ceremony records and photographs. Some records in this series may have historic value. For appraisal assistance contact the Oregon State Archives. SEE ALSO Employee Suggestion Award Records in this section. (Minimum retention: 6 years)

(5) **Employment Eligibility Verification Forms (I-9)** Records document the filing of U.S. Immigration and Naturalization Service Form I-9 form that verifies that an applicant or employee is eligible to work in the United States. Information includes employee information and verification data such as citizenship or alien status and signature, and employer review and verification data such as documents that establish identity and

eligibility, and employer's signature certifying that documents have been checked. (Minimum retention: 3 years after date of hire or 1 year after employee separation, whichever is longer (8 CFR 274a.2))

(6) **Grievance and Complaint Records** Grievances or complaints filed by current employees, terminated employees, applicants, or private citizens regarding employment practices. Often relates to interpretations and alleged violations of employment contracts. Records often include complaints, investigation records, interview and hearing reports, arbitrator's findings and decisions, tape recordings, and related records. (Minimum retention: 3 years)

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

(8) **Recruitment and Selection Records** Records document the recruitment and selection of agency employees. Records may also document the recruitment and selection of contracted service providers such as attorneys, auditors, insurance agents, labor consultants, and others. Records may include but are not limited to job announcements and descriptions, applicant lists, applications and resumes, position advertisement records, civil service and other examination records, classification specifications, affirmative action records, interview questions, interview and application scoring notes, applicant background investigation information, letters of reference, civil service records, position authorization forms, certification of eligibles, recruitment summary records (job announcement, position description, documentation relating to the announcement and test, and test items and rating levels), and related correspondence and documentation. SEE ALSO Employee Personnel Records and Employment Eligibility Verification Forms (I-9) in this section. (Minimum retention: (a) Retain announcement records, position description, and records documenting creation of test and rating scale 10 years (b) Retain unsolicited applications and resumes 3 months if not returned to solicitor (c) Retain unsuccessful applications and other records 3 years after position filled or recruitment cancelled)

(9) **Training Program Records** Records related to the design and implementation of training programs provided to employees by the agency. May include class descriptions, instructor certifications, planning documentation, instructional materials, course outlines, class enrollment and attendance records, and related significant records. (Minimum retention: (a) Significant program records: 5 years (b) Class enrollment and attendance records: 2 years (c) Other records: 1 year)

(10) **Benefits Continuation Records** Records document notifications to employees or dependents informing them of their rights to continue insurance coverage after termination or during disability or family leave. Continuation may be under COBRA or another provision. Notice is also sent to a third party administrator who administers the extended coverage. The records typically consist of notices sent and correspondence. Records may be filed with the Employee Benefits Records or Employee Personnel Records. SEE ALSO Employee Payroll Records in the Payroll section. (Minimum retention: 3 years after employee separation or eligibility expired).

(11) **Comparable Worth Study Records** Records document the analysis, study, and resolution of pay equity, alleged job discrimination, and related issues involving the COG and its employees. May include job content questionnaire summaries, position allocation reports, personnel reclassification studies, job category listings, study outlines, graphs, tables, and related records. (Minimum retention: (a) Final study or report, retain permanently; (b) All other records, retain 5 years).

(12) **Employee Benefits Records** Records document an individual COG employee's benefit information such as selection of insurance plans, retirement, pension, and disability plans, deferred compensation plans, and other benefit program information. Records may include but are not limited to plan selection and application forms, enrollment records, contribution and deduction summaries, personal data records, authorizations, beneficiary information, year-end leave balance reports, notices of disability payments made, and related documentation. Records may be filed with the Employee Personnel Record. SEE ALSO the Payroll section. (Minimum retention: (a) Year-end leave balance reports and official copy of retirement enrollment records, retain 75 years after date of hire; (b) All Other records, retain 3 years after employee separation or eligibility expired).

(13) **Employee Personnel Records** Records document an individual employee's work history. Records may include but are not limited to applications; notices of appointment; employment applications; training and certification records; records of health limitations; salary schedules; tuition reimbursement records; personnel actions; performance appraisal evaluations; letters of commendation and recommendation; letters of reprimand; notices of disciplinary action; notices of layoff; letters of resignation; home address and telephone disclosures; emergency notification forms; oaths of office; grievance and complaint records; and related correspondence and documentation. Records may be exempt from public disclosure per ORS 192. 502 (2). SEE ALSO Disciplinary Action Records, Employee Benefits Records, Employee Medical Records, Grievance and Complaint Records, Recruitment and Selection Records, and Volunteer Worker Records in this section. (Minimum retention: (a) Letters of reprimand and notices of disciplinary action, retain 3 years; (b) All other records, retain 6 years after separation).

(14) **Equal Employment Opportunity Complaint Records** Case files maintained in relation to discrimination complaints made against the COG. Records may include complaints, reports, exhibits, withdrawal notices, copies of decisions, hearings and meetings records, and related documentation and correspondence. (Minimum retention: 3 years after final decision issued).

(15) **Equal Employment Opportunity Commission Compliance Records** Records document agency compliance with U.S. Equal Employment Opportunity (EEO) Commission regulations. Records may include but are not limited to EE0-4 reports, anti-discrimination committee meeting records and reports, workplace analyses, discrimination complaint policies and procedures, and related documentation and correspondence. SEE ALSO Equal Employment Opportunity Complaint Records in this section. (Minimum retention: 3 years).

(16) **Position Description and Reclassification Records** Records document studies and evaluations of individual positions or classes to determine if reclassification is appropriate.

Records may include but are not limited to old and new position descriptions, organizational charts, classification specifications, desk audits, salary surveys, classification review reports, and correspondence. (Minimum retention: 3 years after superseded or obsolete).

Risk Management Records

(1) **Contractor Liability Insurance Verification Records** Letters or certificates of coverage provided by insurance companies declaring that specific contractors are covered by appropriate liability insurance. Information usually includes insurance company name and address, issue date, expiration date, amount of coverage, type of coverage, special provisions, signature of insurance company representative, and related data. (Minimum retention: (a) If related to improvement project: 10 years after substantial completion, (as defined by ORS 12.135(3)) (b) Other records: 6 years after expiration)

(2) **Contractor Performance Bond Records** Records documenting the posting of performance guarantees or surety bonds by contractors performing work for the agency. May include letters, certificates, copies of bonds, and similar records. Information usually includes name of individual or company covered, amount of coverage, effective and expires dates, name of bonding agent, authorized signatures, and related data. (Minimum retention: (a) If related to improvement project: 10 years after substantial completion, (as defined by ORS 12.135(3)) (b) Other bond records: 6 years after expiration)

(3) **Insurance Policy Records** Records documenting the terms and conditions of insurance policies between the agency and insurers. Types of insurance include liability, property, group employee health and life, motor vehicle, workers' compensation, flood, and others. Records usually include policies, endorsements, rate change notices, agent of record, and related documents. (Minimum retention: (a) Group employee health and life, property, and liability insurance: 75 years after expiration if no claims pending (b) Other insurance: 6 years after expiration if no claims pending)

(4) **Liability Claims Records** Records documenting various types of liability claims filed against the agency. These include personal injury, property damage, motor vehicle accident, false arrest, and others. Records often include reports, photographs, summaries, reviews, notices, audio and videotapes, transcriptions of recorded statements, memoranda, correspondence, and related documents. (Minimum retention: (a) If action taken: 10 years after case closed, dismissed, or date of last action (b) If no action taken: 3 years)

(5) **Liability Waivers Records** Documenting the release of the agency from liability related to various activities that include citizen involvement. Examples include but are not limited to riding in police or emergency medical services vehicles, participating in agency sponsored runs or other activities such as recreational classes including canoeing, kayaking, tennis, basketball, and others. Information usually includes release terms, date, signatures, and related information. (Minimum retention: 3 years)

(6) **Occupational Injury and Illness Records** Series is used to provide the Oregon Occupational Safety and Health Administration (OR-OSHA) with workers' compensation claim information about agency employees. Records may include logs and summaries,

serious injury reports, injury cost reports, and annual occupational injuries and illnesses surveys. (Minimum retention: 6 years)

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

(8) **Vehicle Accident Records** Records documenting accidents involving agency vehicles. May include dispatch reports with information such as name and address of parties involved, date and time, complaint, description of damage, and other data. Records may also contain motor vehicle accident reports which include the driver's name, address, phone number, date of birth, and driver's license number, as well as passenger and witness names, description of events, make and model of vehicle(s), vehicle identification number, and related data. Photographs and correspondence also may be part of these records. (Minimum retention: (a) If litigated: SEE Civil Case Files in Legal Counsel section (b) If not litigated: 3 years)

(9) **Workers' Compensation Claim Records** Records documenting the processing of individual employee claims of job related injuries or illnesses, but not those describing actual medical conditions. Includes records satisfying the procedural requirements of the State Workers' Compensation Division and the State Workers' Compensation Board, as well as those of (depending on agency arrangements) the State Accident Insurance Fund (SAIF), private insurance providers, or self-insurance. Records may include claim disposition notices, claim reporting and status forms; injury reports; determination orders; insurance premium data; hearing requests; safety citations; inspection reports; medical status updates and reports; investigation reports; reimbursement and payment records; and related correspondence and documentation. SEE ALSO Employee Medical Records in the Personnel section for records describing the job related injury or illness and the related subsequent medical condition of the employee. These often include workers' compensation accident reports, medical reports, vocational rehabilitation evaluations, disability determinations and related records. (Minimum retention: (a) Records describing injuries and illnesses: SEE Employee Medical Records in the Personnel Records section (b) Other records: 6 years after claim closed or final action)

(10) **Workers' Compensation Program Records** Series used to provide a record of an agency's occupational injury/accident claims, safety compliance inspections, insurance coverage, and related reimbursement issues. Records may include claim disposition notices, claim reporting/status forms, injury reports, WCD Determination Orders, insurance premium data, hearing requests, safety citations, inspection reports, medical status updates, investigation records, and correspondence. (Minimum retention: 6 years)

(11) **Property Damage Records** Reports, photographs, and other records document damage to COG property such as signs, trees, picnic tables, buildings, fountains, and fences. Information often includes type and location of property damaged, description of damage, date and time of damage (if known), name and address of individual who caused damage (if known), value of damage, billing costs, and related data. SEE ALSO Incident

Case Files in the Police section for related vandalism records and Flood Plain Permit Records in the Planning and Development section. (Minimum retention: (a) If litigated, see Civil Case Files in the Attorney section for retention; (b) If not litigated, retain 3 years after date of last action).

(12) **Risk Survey and Inspection Records** Records document surveys, inspections, and other actions designed to identify potential hazards and liabilities to the COG related to buildings, grounds, or services. Useful for preventing liability claims and for illustrating a pattern of responsible action regarding hazards. Records may include survey summaries and reports, safety audit and inspection reports, memoranda, and correspondence. Subjects may include the design, and use of parks, playgrounds, buildings, etc., video display terminals, hazardous materials, and others. (Minimum retention: (a) Records documenting the formation or change of policy, retain permanently; (b) All other records, retain 5 years).

(13) **Emergency Response Plans and Procedures** Records document the development, testing, implementation, and updating of agency plans and procedures for operations during and following emergency or disaster. Records may include but are not limited to disaster preparedness and business resumption plans, procedures to follow in response to specific situations, and correspondence. (Retention: Retain until superseded or obsolete, destroy).

(14) **Incident Reports** Records document employee or non-employee accident and injury incidents that occur in the workplace. Incidents may or may not result in a claim. Records may include but are not limited to incident reports, occupational injury report and investigation records, employee identification and physical assessment forms, and related documentation and correspondence. SEE ALSO Hazard Exposure Records in this section. (Retention: (a) If incident results in a claim: transfer to appropriate claim file; (b) If no claim results: retain 10 years, destroy; (c) If incident involves employee hazard exposure: retain 30 years after employee separation (29 CFR 1910.1020), destroy).

(15) **Safety Program Records** Records document the agency's program to promote a safe work environment for its employees. Records may include but are not limited to safety policies, plans and procedures, workplace safety committee records, reports on inspections conducted by the safety officer, evacuation rosters and reports, and related documentation and correspondence. (Retention: (a) Retain safety policies, plans, and procedures: 5 years after superseded, destroy; (b) Retain inspection reports, evaluations, and recommendations: 10 years, destroy; (c) Retain all other safety program records: 5 years, destroy; (d) Retain workplace safety committee minutes, agendas, reports: 3 years).