

RECORDS MANAGEMENT MANUAL

FOR

OREGON PUBLIC RECORDS



OREGON ADMINISTRATIVE RULES

Chapter 156

STATE ARCHIVIST

Archives Division

Office of the

Secretary of State

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OREGON ADMINISTRATIVE RULES

STATE ARCHIVIST

CHAPTER 166

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**OREGON ADMINISTRATIVE RULES
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DIVISION 1

PROCEDURAL RULES

[ED. NOTE: The administrative rules of the Oregon State Archivist were transferred from the Oregon State Library to the Office of the Secretary of State in accordance with Chapter 439, Oregon Laws 1973.

Rules 166-10-005 through 166-40-1051 were adopted with minor revisions from OAR Chapter 543 on November 21, 1975 as OSA 2.]

Notice of Proposed Rule

166-01-000 Prior to the adoption, amendment, or repeal of any rule, the State Archivist shall give notice of the proposed adoption, amendment, or repeal:

(1) In the Secretary of State's Bulletin referred to in ORS 183.360 at least fifteen (15) days prior to the effective date.

(2) By mailing a copy of the Notice to persons on the State Archivist's mailing list established pursuant to ORS 183.335(6).

(3) By mailing a copy of the Notice to the following persons, organizations, or publications:

- (a) Oregon State Bar Bulletin;
- (b) Association of Oregon Counties Bulletin;
- (c) League of Oregon Cities;
- (d) Oregon Historical Society.

Stat. Auth.: ORS Ch. 183

Hist: OSA 3, f. & ef. 11-21-75

Model Rules of Procedure

166-01-005 Pursuant to the provisions of ORS 183.341, the State Archivist adopts the Attorney General's Model Rules of Procedure Under the Administrative Procedures Act.

Stat. Auth.: ORS Ch. 183

Hist: OSA 4, f. & ef. 4-21-76

[ED. NOTE: The full text of the Attorney General's Model Rules of Procedure is available from the office of the Attorney General or State Archivist.]

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DIVISION 5

POLICY, PURPOSE, AND DEFINITIONS

Policy

166-05-000 Adequate documentation of the policies and activities of the state and its political subdivisions is essential to insure continuation of government and open, efficient conduct of the public's business. Creation of such documentation is the responsibility of every public official and agency. However, after the passage of time, much of the necessary documentation has no further value to the state or its citizens, and some of it is duplicated in other offices of the state and its political subdivisions. Prompt disposal of such valueless documentation is essential to reduce costs, and to improve the accessibility of that documentation which has continuing value for the administration of government, as evidence of legal rights and responsibilities of the state and its citizens, or for research purposes of all kinds.

Note: Unlawful destruction of any public record is a crime punishable under the provisions of ORS 162.305.

Stat. Auth.: ORS Ch. 357 & 192

Hist: OSA 5, f. 12-30-77, ef. 1-1-78

Purpose

166-05-005 The purpose of these rules is to implement the provisions of ORS 43.410, 192.005 to 192.170, and 357.825 to 357.895 by providing procedures for the orderly retention and destruction of public records, including procedures for obtaining lawful authority to destroy, or otherwise dispose of, public records of no further value to the office which created or filed them.

Stat. Auth.: ORS Ch. 357 & 192

Hist: OSA 5, f. 12-30-77, ef. 1-1-78

Definitions for Division 10 through Division 40

166-05-010 As used in these regulations unless otherwise required by context:

(1) "Archivist" means the State Archivist who serves under the Secretary of State and who administers the Archives Division which operates the State Archives and Records Center.

(2) "Public record" means a document, book, paper, photograph, file, sound recording, or other material, such as court files, mortgage and deed records, regardless of physical form or characteristics, made, received, filed, or recorded in pursuance of law or in connection with the transaction of public business, whether or not confidential or restricted in use. "Public record" includes correspondence, public records made by photocopying, and public writings, but does not include:

(a) Records of the Legislative Assembly, its committees, officers, and employees.

(b) Library and museum materials made or acquired and preserved solely for reference or exhibition purposes.

(c) Extra copies of a document, preserved only for convenience of reference.

(d) A stock of publications.

(3) "Legislative record" means a measure or amendment thereto, a document, book, paper, photograph, sound recording, or other material exclusive of personal correspondence, regardless of physical form or characteristics, made by the Legislative Assembly, a committee or employed personnel thereof, in connection with the exercise of legislative or investigatory functions, but does not include the record of an official Act of the Legislative Assembly kept by the Secretary

of State under Section 2, Article VI of the Oregon Constitution.

(4) "Agency" when used alone means either a state agency or a political subdivision.

(5) "Local agency" means any officer, department, board, commission, or institution created by or under the jurisdiction of a political subdivision of this state.

(6) "Political subdivision" means a city, county, district, or any other municipal or public corporation of this state.

(7) "State agency" means any state officer, department, board, commission, institution, or court created by the Constitution or statutes of this state. It does not include the Legislative Assembly or its committees, officers, and employees.

(8) "Records" are individual documents or accounts of acts, transactions, instruments, or data; written or inscribed on paper, film, tape, or other media; by hand, mechanically, or electronically; to preserve evidence, give notice of, or inform others of events, observations, or instructions.

(9) "Record series" consist of records accumulated over a period of time and arranged in an organized file or set of files which can be described, handled, and disposed of as a unit. A record series may consist of records of a single type or format, or of records kept together because they relate to a particular subject or result from one activity. The physical form of records in a series may vary; paper, film, or other media (including computer storage); volumes, folders, reels, etc. being used at different times. The filing arrangement may be chronologic, alphabetic, numeric, coded, or any combination of filing arrangements. A series may, at a particular time, consist of a single folder, or of hundreds of feet of files. Each record series must be specifically defined and include only records with the same retention period.

(10) "Record copy" is the official central, or principal copy of a record which is maintained by an agency for record purposes. It is usually retained longer than other working copies in various offices of the same agency unless the copies are modified or added to by those offices and serve a different evidential purpose.

(11) "Exempt records" are documents which can be destroyed under ORS 192.170 when no longer needed for administrative purposes and without authorization by the State Archivist. Included are the following:

(a) Inquiries and requests from the public and answers thereto not required by law to be preserved or not required as evidence of public or private legal right or liability.

(b) Public records which are duplicated by reason of their having been photocopied.

(c) Letters of transmittal and acknowledgement, advertising, announcements, and correspondence or notes pertaining to reservations of accommodation or scheduling of personal visits or appearances.

(12) "Photocopy" includes a photograph, microphotograph, and any other reproduction on paper or film in any scale.

(13) "Excluded records" means records which are excluded from the definition of public records by ORS 192.005(5)(b), (c), and (d). This includes publications kept for reference, convenience copies, and stocks of publications or blank forms.

(14) "Temporary" records are created for the conduct of public business, but are of little or no value after the lapse of time.

(15) "Permanent" records are those deemed worthy of permanent preservation for legal, administrative, and research purposes.

(16) "List" is a clear description of the records in possession of any agency, office by office, record series by record series.

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(17) "Retention schedule" means either a list published by the State Archivist in the OAR in which certain common records or record series are described or listed by title and a minimum retention period is established for each; or a records retention and destruction schedule approved by the State Archivist for the records of a specific agency.

(18) "Retention period" means the minimum length of time each successive portion of a record series must be retained after the file cut-off date established by completion of the activity recorded, cessation of active use of the records for reference, or an audit of the records. It applies to all records filed in each defined record series.

(19) "Specific authorization" is the legal authority to destroy records which are no longer created, or to destroy

records through a particular date or under a particular condition.

(20) "Continuing authorization" is the legal authority to destroy currently created records at a designated time or upon fulfillment of specific events or conditions.

(21) "Security" means the insurance of preservation of public records or writings and legislative records through copies, including photocopies, filed with the State Archivist.

Stat. Auth.: ORS Ch. 357

Hist: OSA 5, f. 12-30-77, ef. 1-1-78

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CHAPTER 166, DIVISION 10 — STATE ARCHIVIST

DIVISION 10

**STATE ARCHIVES AND
RECORDS CENTER SERVICES**

General

166-10-000 The Archives Division, Office of the Secretary of State, is administered by the State Archivist. It provides storage and facilities for public inspection for public records in the official custody of the State Archivist, storage and retrieval service for inactive records of state agencies, advice and assistance on public records problems to any officer of the state or its political subdivisions, microfilm services to any agency, and storage and retrieval service for security copy microfilm or magnetic tape from any agency.

Stat. Auth.: ORS Ch. 357 & 192

Hist: OSA 5, f. 12-30-77, ef. 1-1-78

Definitions for Division 10 through Division 40

166-10-005 [OSA 2, f. & ef. 11-21-75;
Repealed by OSA 5,
f. 12-30-77, ef. 1-1-78]

Custody of Records

166-10-006 The Archives Division accepts public records for storage under the following conditions:

(1) The State Archives accepts records which are transferred to the official custody of the State Archivist in accordance with ORS 357.825 or 357.835. Such non-current public records are cataloged as records of the agency from which they were received, and are available for public use in the Archives insofar as their use is not restricted by law. No records will be loaned for use outside the Archives except to the agency from which they were received when required for administrative or legal purposes.

(2) The State Records Center accepts semi-current public records from state agencies for storage, but legal custody and control of the records remains with the state agency from which they were received or its legal successor. If there are no statutory restrictions on access to these records, or with the approval of their official custodian, the State Archivist may, upon request, provide certified copies, make the records available to researchers in the Archives search room, or check them out to an agency for short-term use.

(3) Security copy records deposited in the State Archives remain in legal custody of the agency from which they are received. No use of or access to the security copy will be permitted except to make inspections required to insure preservation or to produce a working copy for reference use. If access to the records is not prohibited by statute, the State Archivist may make a duplicate of the security copy for use by researchers. Upon request, the State Archivist will return the security copy to the agency from which it was received, or furnish the agency a duplicate upon payment of the cost thereof.

(4) Except as otherwise provided by ORS 357.835(2), official custody of all records of an agency which is abolished or ceases to operate shall pass to the State Archivist, including records in the State Records Center or Archives Security copy depository.

Stat. Auth.: ORS Ch. 357

Hist: OSA 5, f. 12-30-77, ef. 1-1-78

Access to Records

166-10-010 Records in the Archives and Records Center are available for public inspection under the following conditions:

(1) Patrons shall use records in designated search rooms, observing the rules of the search room, OAR 166-10-015.

(2) The fees and costs as prescribed by the Secretary of State in OAR 165-40-005 through 165-40-025 shall be charged for search, copying, and certification services.

(3) An agency may borrow or recover its own records for administrative and legal purposes in accordance with OAR 166-10-025.

(4) Security records are restricted in use to the reproduction of a working copy. If the original record is lost, destroyed, or mutilated, the Archivist will return the security copy to the office of origin or its successor, or upon request will furnish a duplicate copy upon payment of the cost thereof. The Archivist reserves the right to make copies of unrestricted security records in his custody for the use of patrons. Such copies are available for public inspection under the same conditions as all other records.

(5) Access to records restricted by law will be limited to individuals authorized by statute, by the depositing agency, or by court order.

Stat. Auth.: ORS Ch. 357

Hist: OSA 2, f. & ef. 11-21-75

Basic Rules of the Search Room

166-10-015 Patrons shall observe the following rules for the protection and control of records:

(1) Patrons shall sign a Use and Loan Record form for items furnished for their study.

(2) Patrons shall furnish identification and authorization to the Archivist in order to inspect records restricted under statutes.

(3) Patrons shall not mark original records.

(4) No person shall smoke, drink, or eat while consulting records.

(5) Patrons shall notify the attendant when their work is completed.

(6) With the approval of the Archivist, patrons may use cameras, copying devices, and other apparatus:

(a) Typewriters and dictaphones may be used without permission.

(b) Typewriters are available for use by patrons.

(7) When there is a waiting list of patrons, use of microfilm readers and tape recorders may be limited to one hour, although legal or administrative research involving deadlines may be given a priority over other types of research.

(8) Records in the custody of the Archivist are not subject to copyright, but if confidential or privileged in character they may not be reproduced without proper legal authorization. Since there is no restriction on the publication of governmental records which are non-privileged, no individual can be granted any type of protective priority for proposed publication. Acknowledgment in the publication that the original record is in a record group in the Oregon State Archives will facilitate future verification of the text.

Stat. Auth.: ORS Ch. 357

Hist: OSA 2, f. & ef. 11-21-75; OSA 5, f. 12-30-77, ef. 1-1-78

Certification

166-10-020 The form of certification for copies of public records by the Archivist is as follows:

"I, _____, State Archivist of the State of Oregon, in accordance with the provisions of ORS 43.410, certify that I have carefully compared the annexed copy, or each of the specified number of annexed copies, of each document, or specified part thereof, listed below with the originals, and that the same, or each of the same, is a full, true, and correct _____ copy of a record or writing in the official custody of the State of Oregon.

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From the records of _____
IN TESTIMONY WHEREOF, I have hereunto set my hand
and affixed hereto the Seal of the Office of the State Archivist of
the State of Oregon. Done at the Capitol, Salem, Oregon, this ____
day of _____, A.D., 19 ____."

Stat. Auth.: ORS Ch. 357

Hist: OSA 2, f. & ef. 11-21-75; OSA 5, f. 12-30-77, ef. 1-1-78

Reference Services

166-10-025 Records in the Archives or the Records Center may be loaned or returned to the agency of origin, its successor or other designated agencies, for administrative or legal use under the following conditions:

(1) Requests from agencies for records or information may be made by phone, by mail, or in person.

(2) Deliveries to agencies of records as requested will be made as follows:

(a) Deliveries will be made through the Central Mail Service of the Department of General Services to agencies served by that Department.

(b) Postal service will be used for deliveries to agencies which are not served by Central Mail Service.

(3) An agency may request or authorize the loan or return of records deposited by it or its predecessor in the Archives or the Records Center as follows:

(a) Loans of individual files or boxes may be made and a follow-up system for loaned records will be observed.

(b) If records returned to an agency are to be reactivated, the agency shall notify the Archives or the Records Center, and no follow-up will be maintained.

(c) An agency may authorize the Records Center to loan or transfer a file or files from its records to another agency.

(4) Requests to the Archives or the Records Center for information from files may be answered as follows:

(a) Information easily found within a known file may be furnished over the phone.

(b) If searches require professional competency or judgment, a limited number of files may be loaned to an agency for study.

(c) Where a request requires research impracticable to be performed outside of the Archives or the Records Center, the agency shall perform the research in the Archives or the Records Center.

(d) Letters from the public can be forwarded by agencies to the Archives to answer when no problem of professional competency or judgment is concerned.

Stat. Auth.: ORS Ch. 357

Hist: OSA 2, f. & ef. 11-21-75; OSA 5, f. 12-30-77, ef. 1-1-78

Transfer Procedures

166-10-030 Records may be transferred to the State Archives or Records Center under the following conditions:

(1) State agency records which meet the following criteria will be accepted:

(a) Prior approval is required for transfer of records to either the Archives or Records Center, subject to requirements for utilization of staff and space.

(b) Each transfer of records must be accompanied by three copies of a Records Transmittal List (Form 165-Ar-A3). The original will be signed by the staff and returned to the agency as its receipt.

(c) Permanent records of archival value with a reference use of less than once per cubic foot per year, may be transferred by the Archivist from the Records Center to the Archives upon notification of the agency of origin or any successor.

(d) Permanent records with a reference use between six per cubic foot per year and once per cubic foot per year are

acceptable for transfer to the Records Center. Permanent records with a higher rate of use should be retained by the originating agency.

(e) Temporary records must have, at the time of transfer to the Records Center, a reference use of not more than six per cubic foot per year. If used more frequently, the records should be retained in the agency.

(f) Temporary records must have, at the time of transfer to the Records Center, a destruction date at least two years from the time of transfer.

(g) If the bulk of long-term record series can be materially reduced by weeding prior to transfer to the Records Center, the agency which transfers the records is responsible for the reduction. Weeding of records in the Records Center prior to transfer to the Archives is the responsibility of the Archive staff.

(h) Annual shipments of records other than for security purposes are preferred, especially for continuation of record series already in the Archives, or for record series subject to destruction by the Records Center staff at a particular date.

(2) State agencies transferring records to the Archives or the Records Center are responsible for the preparation of shipments as follows:

(a) Unbound standard letter or legal sized records must be packed in "archival" boxes. All records are to be in proper sequence, in original folders or in folders easily identifiable. For ease of reference boxes must not be overpacked.

(b) Bound records may be transferred without boxing.

(c) Before non-standard size records and other records requiring special handling or packaging are transferred, a state agency shall consult with the Archives or Records Center.

(d) All records placed in a single carton which are sent to the Records Center must be of one series, subject to the same retention period.

(e) Each "archival" box shall be labeled in the upper right hand corner on the long side with the name of the transferring agency, a brief description of the contents, and a shipment box number. Other cartons or packages shall be labeled with similar information, and the placement of labels on the carton shall be checked with the staff of the Archives or Records Center.

(f) Records to be interfiled in a series already in the Archives or Records Center, must be sent in properly labeled "archival" boxes. If they are to be interfiled in an alphabetically arranged series, chronological cut-off dates of 5, 10, or similar blocks of years must be established by the agency to limit the eventual size of any single alphabetic file. The transferring agency may be asked to furnish personnel for such interfiling in the Records Center.

(3) Security records acceptable to the State Archivist can be shipped by all agencies to the Archives whenever they are ready for transfer subject to the following conditions:

(a) When there is a space problem an agency regularly depositing security records has priority over agencies making initial or irregular deposits.

(b) Security records on microfilm must be original silver base negative or positive copies reserved for duplication only, and must be of archival quality as established by the American National Standards Institute.

(c) Special arrangements for receipting may be made depending upon the size and nature of the shipment.

(4) Records of political subdivisions of the Territorial period or of prime significance may be accepted for transfer to the Archives subject to space limitations. The application of shipping instructions in section (2) will depend upon circumstances of shipment.

Stat. Auth.: ORS Ch. 357

Hist: OSA 5, f. 12-30-77, ef. 1-1-78

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Microfilming Service

166-10-035 The Archives Division provides microfilming services at cost to any agency, as authorized by ORS 192.072. These services include:

(1) Microfilming of records in accordance with American National Standards Institute (ANSI) and requesting agency specifications. Facilities are available for planetary camera filming of bound volumes and flat records up to 37" x 52", rotary camera filming of unburst computer printout up to 18" wide at reduction ratios of 24x or 32x, and rotary camera filming of documents from 3" x 5" to 12" x 15" at reduction ratios of 24x or 32x.

(2) Production of diazo duplicates of 16mm or 35mm roll microfilm.

(3) Processing of 16mm and 35mm exposed microfilm rolls.

(4) Making residual thiosulfate (hypo) determinations using the Methylene Blue Test procedure.

(5) Measuring film density and resolution.

(6) Providing training and advice for agency microfilming technicians.

Stat. Auth.: ORS Ch. 192

Hist: OSA 5, f. 12-30-77, ef. 1-1-78

Archives Security Copy Depository

166-10-040 The Archives Division provides, without charge therefor, controlled-environment storage for security

copy microfilm for all agencies, in accordance with ORS 192.070, for computer magnetic tapes from state agencies, and for sound-recording magnetic tapes of the Legislature.

(1) Acceptance of security copies for storage is subject to availability of space.

(2) No reference use of security copy microfilm or sound recordings will be permitted, and use of computer magnetic tapes is limited to the agency of origin.

(3) Prior arrangements must be made for each shipment of security copy microfilm.

(4) Continuing procedures may be established for shipments of magnetic tapes including turn-around arrangements for cumulative records.

Stat. Auth.: ORS Ch. 192

Hist: OSA 5, f. 12-30-77, ef. 1-1-78

Sound Recording Duplication Service

166-10-050 The Archives Division provides, at cost, duplicating service for magnetic tape sound recordings on standard one quarter inch tape on reels up to 7 inches in diameter or standard "music" cassettes. Recordings can be transcribed from reel to cassettes or cassettes to reels, and playback speed can be changed by transcription within the limits of standard recorders.

Stat. Auth.: ORS Ch. 192

Hist: OSA 5, f. 12-30-77, ef. 1-1-78

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DIVISION 20

**THE PROTECTION AND STORAGE
OF PUBLIC RECORDS**

Purpose

166-20-005 This Division defines storage and conditions which are acceptable for the use, storage, and protection of public records in Oregon.

Stat. Auth.: ORS Ch. 357

Hist: OSA 2, f. & ef. 11-21-75; OSA 5, f. 12-30-77, ef. 1-1-78

Terms of Custody

166-20-010 The term "public records" as used in statutes and rules pertaining to disposition of public records means records which are the property of the public. Alienation of public records is prohibited by public policy and statute. Custodians of public records are specifically charged by statute with the responsibility of protecting them, and, except as expressly provided by statute, furnishing reasonable opportunities for inspection and examination of them by any person:

(1) Agencies of the state and its political subdivisions are responsible for public records in their custody, wherever deposited, until the records have been transferred to the official custody of the State Archivist or otherwise disposed of as authorized by law.

(2) When a state agency is abolished or ceases to operate, its records shall be transferred to the custody of the State Archivist, except as otherwise provided by ORS 357.835(2).

(3) Records deposited in the State Records Center or State Archives Security Copy Depository remain in the legal custody of the agency which deposited them and the Archives Division acts as an agent of the depositing agency.

Stat. Auth.: ORS Ch. 357

Hist: OSA 2, f. & ef. 11-21-75; OSA 5, f. 12-30-77, ef. 1-1-78

Storage Area Standards

166-20-015 Safe, economical storage of records requires compliance with the following standards:

(1) Records should be stored in fire-resistant structures or areas in which the temperature and humidity are maintained at the levels required to insure optimum longevity of the paper, film, or tape on which they are recorded. Adequate light and access must be provided to permit retrieval of records. Adequate ventilation and protection against insect or mold invasion is required. Steam, water, and sewer pipes, other than fire-control sprinkler systems, pose extreme hazard to records. No records of enduring value should be stored where heat, breaks, drips, or condensation from pipes could damage them; where windows, doors, walls, or roofs are likely to admit moisture; or where they will be exposed to sunlight or extreme temperature variations.

(2) Aisle space in records storage areas must be kept free of obstruction, and no records should be stacked or piled directly on the floor of any storage area. All records should be shelved above initial flood level of any bursting pipe, leaky roof, sprinkler system, or other source of water.

(3) Care and supervision of record storage areas should be the responsibility of one person, who should receive all additions to storage and require that all containers be correctly labeled to show originating office and contents. Records should be arranged so that the files of each originating office are together. They should not be co-mingled with non-record materials such as stocks of supplies, publications, physical court exhibits, damaged furniture, etc.

(4) Facilities for study of the records should be provided within the records storage area, or in a convenient location to

which selected records can be removed. Tables or desks, with adequate lighting, should be provided.

Stat. Auth.: ORS Ch. 192 & 357

Hist: OSA 2, f. & ef. 11-21-75; OSA 5, f. 12-30-77, ef. 1-1-78

Archives and Records Centers

166-20-020 Public records which are not actively used by the office which created or filed them can be most economically controlled and serviced in a centralized facility:

(1) The State Archives and Records Center provide such facilities, control, and retrieval service for records of state agencies, and for a few selected records from political subdivisions.

(2) Institutions of the State System of Higher Education have established archives for their own permanently valuable records, to which they add records of private origin which relate to the history of the institution, its faculty and students, or to academic or research interests of their communities.

(3) Counties and other political subdivisions may and have established their own archives or records centers, and may by charter or ordinance, officially delegate custodial responsibility to the official supervising such facilities. Transfer of custody of records is simplified when the county clerk or similar statutory custodian is designated supervisor of the centralized records facility.

(4) Political subdivisions which have a library or historical society under their jurisdiction may elect to designate such facility a repository for non-current records preserved for their historical or research value, but care must be exercised to avoid alienation of the records and to provide for certification of copies by the official custodian of the records as required by ORS 192.440 and control of access, as limited by ORS 192.500 or other applicable statute.

(5) Initial deposits of records in the archives or repository serving a local agency should include the original copies of records selected for prime historical interest relating to the beginnings of the political subdivision even though destruction of the records has been authorized because they have been microfilmed or because the required retention of the series to which they belong has expired.

(6) In addition to using the Archives and Records Centers effectively, many state and local agencies can achieve considerable savings by establishing records retirement centers within their own facilities for early retirement of records from active office space. Such centers can efficiently service records which are too frequently used for transfer to the archives or records center, provide a collection and assembly point for transfers, and reduce the cost of storing inactive records until expiration of the required retention when the remaining period is too short to make the cost of transfer worthwhile.

Stat. Auth.: ORS Ch. 357

Hist: OSA 2, f. & ef. 11-21-75; OSA 5, f. 12-30-77, ef. 1-1-78

Transfer Procedures

166-20-025 [OSA 2, f. & ef. 11-21-75;
Repealed by OSA 5,
f. 12-30-77, ef. 1-1-78]

Return of Active Records

166-20-030 Where records transferred to the State Archivist become administratively active to the extent that it is impracticable to retain them in the Archives, the records may be returned to the transferring agency.

Stat. Auth.: ORS Ch. 357

Hist: OSA 2, f. & ef. 11-21-75; OSA 5, f. 12-30-77, ef. 1-1-78

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Requisition of Records

166-20-035 When the State Archivist has determined that records no longer required for the discharge of duties by the official custodian are stored where they are no longer available for use or which are dangerous to the safety and protection of the records, or where no safe storage is available, he shall requisition them for transfer to his custody if they are of value for legal, administrative, or research purposes.

Stat. Auth.: ORS Ch. 357

Hist: OSA 2, f. & ef. 11-21-75; OSA 5, f. 12-30-77, ef. 1-1-78

Records of Unofficial Associations

166-20-040 Records of unofficial associations consisting primarily of public employes are not public records:

(1) State or local archives may accept the records of an unofficial association where the records are illustrative materials of value for legal, administrative, or research purposes.

(2) Records of an existing association must be accompanied by the written authorization of the association.

(3) If the Archivist determines that records have insufficient value to warrant permanent preservation, the records will be returned or will be destroyed or otherwise disposed of where authorization is given.

(4) Records of officers of national associations and records of Oregon associations whose members are not primarily public employes may not be transferred to the archives unless they have special value as illustrative materials for legal, administrative, or research purposes.

Stat. Auth.: ORS Ch. 357

Hist: OSA 2, f. & ef. 11-21-75; OSA 5, f. 12-30-77, ef. 1-1-78

Photocopies

166-20-045 Use of photocopies, as authorized by ORS 192.040 through 192.070, to insure protection or reduce the bulk of permanent records requires strict adherence to the following standards:

(1) Paper stock on which the records are recorded must be of permanent record quality, without any trace of acidity, lignin, or raw ground wood fibres, and the recording process used must result in penetration of, or smudge-free adherence to, the paper by a permanent recording media.

(2) Photographic prints must be thoroughly fixed and washed to remove all excess silver salts and residual hypo.

(3) Microfilm stock, exposure, and processing must meet the American National Standards Institute (ANSI) standards for archival quality microfilm. Microfilm aperture cards or jackets and diazo or vesicular microfilm are not acceptable as a permanent record copy, but are acceptable for working copy (reference) use.

(4) A carefully proofed security copy and at least one working copy are required before original records may be destroyed in accordance with ORS 192.170.

(5) Security copy microfilm shall not be used for any purpose other than production of duplicate copies of the film for use as working copies.

Stat. Auth.: ORS Ch. 357

Hist: OSA 2, f. & ef. 11-21-75; OSA 5, f. 12-30-77, ef. 1-1-78

Machine Language Records

166-20-050 Records written in machine language must be prepared and stored under very carefully controlled conditions:

(1) Such records may be temporarily stored in a data processing memory or other computer on or off line device as stated in ORS 43.370 and 43.470.

(2) No special preparation or processing is required for storage of machine language records in controlled environment conditions for the following periods:

(a) Punched cards — 10 years;

(b) Punched tape — 3 years;

(c) Disc pack or magnetic tape — 1 year.

(3) When it is known that machine language records must be retained for periods longer than those specified in section (2) of this rule, they must be transcribed to reels of archival-quality magnetic tape prepared, handled, and stored in accordance with the procedures and standards contained in the Handbook of Recommended Environmental Conditions and Handling Procedures for Magnetic Tape, copies of which are available from the Archives Division.

(4) Records for which permanent retention is required must be printed out in the English language on permanent record quality paper or microfilm. Periodic printout of permanent cumulative records on at least an annual schedule is required.

Stat. Auth.: ORS Ch. 357

Hist: OSA 2, f. & ef. 11-21-75; OSA 5, f. 12-30-77, ef. 1-1-78

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DIVISION 30

RECORDS MANAGEMENT PROCEDURES

General

166-30-005 These regulations prescribe procedures for obtaining lawful authority to destroy or otherwise dispose of public records and specify procedures for such authorized disposition. They apply to all records filed in any office of the state or its political subdivisions, or in the custody of any public official, except those records which are identified by statute as permanent, or to be preserved, and records which a statute specifically states may, or must, be destroyed after a specified time or event.

Stat. Auth.: ORS Ch. 192 & 357

Hist: OSA 2, f. & ef. 11-21-75; OSA 5, f. 12-30-77, ef. 1-1-78

Ratification of Previous Authorizations

166-30-010 Under the provisions of ORS 192.105(3) as amended by Chapter 146, Oregon Laws 1977, Regular Session, the State Archivist hereby ratifies all outstanding continuous authorizations to destroy records granted by any state agency, the State Archivist, or any board of county commissioners to state agencies, schools, school districts, soil and water conservation districts, or county officials and offices. Insofar as they are not modified or repealed by rules adopted by the State Archivist, at this time, they will remain in effect for the agencies to which they were granted until amended or repealed by later action of the State Archivist.

Stat. Auth.: ORS Ch. 192 & 357

Hist: OSA 2, f. & ef. 11-21-75; OSA 5, f. 12-30-77, ef. 1-1-78

State Agency Procedures

166-30-015 [OSA 2, f. & ef. 11-21-75;
Repealed by OSA 5,
f. 12-30-77, ef. 1-1-78]

Appointment of Records Officer

166-30-016 To establish a records management program to insure orderly retention and destruction of all public records, whether current or non-current, and to insure the preservation of public records of value for administrative, legal and research purposes, each agency should appoint, or designate, a Records Officer to organize and supervise records scheduling, retirement, central storage, and destruction. Additional Records Officers may be appointed for major subdivisions of each agency. The State Archivist will provide training and guidance for Records Officers so appointed and route all contact with the agency through them.

Stat. Auth.: ORS Ch. 357

Hist: OSA 5, f. 12-30-77, ef. 1-1-78

Approval

166-30-020 [OSA 2, f. & ef. 11-21-75;
Repealed by OSA 5,
f. 12-30-77, ef. 1-1-78]

Inventory and Appraisal

166-30-021 To insure accurate identification and evaluation of their records, each agency will:

(1) Prepare an inventory of all record series of each of their organizational units, including the records of any other agency in their possession. Each record series will be identified and defined on a separate Records Inventory (or Appraisal) form provided by the Archives Division. A description of the physical form, data content, purpose, use, and relationship of

the records in each series to other series (if any) will be entered on this form to clearly identify and differentiate the record series from other series, and any known duplication of the data content in other record series will be stated. Samples may be attached to illustrate the nature of the record series.

(2) Make an initial determination of the value of each of their record series, considering only the length of time the records are needed by the agency for its own legal, administrative, or research purposes. Where records are accumulated within an agency in duplicate or multiple series for administrative purposes, the agency shall designate one of the series the Record Copy to be retained the longest.

Stat. Auth.: ORS Ch. 357

Hist: OSA 5, f. 12-30-77, ef. 1-1-78

Prior Audit of Fiscal Records

166-30-025 [OSA 2, f. & ef. 11-21-75;
Repealed by OSA 5,
f. 12-30-77, ef. 1-1-78]

Scheduling Retention and Destruction

166-30-026 Authorization for retention or destruction of public records must be obtained as follows:

(1) No authorization is required to destroy records which are excluded from the definition of public records. (OAR 166-05-010(13).)

(2) No further authorization or approval is required for retention or destruction of any records which are identified by statute as permanent, or to be preserved, and records which a statute specifically states may, or must, be destroyed after a specified time or event.

(3) If any of the record series identified during the inventory are listed in an applicable General Schedule (OAR 166-30-036) the agency may destroy any records from such series which have been retained longer than the minimum period specified in the published rule if they are of no further value to the agency. A copy of the appraisal form for the record series must be filed with the State Archivist before records retired from the series will be accepted by the State Archives and Records Center and should be so filed to insure proper evaluation of other record series.

(4) Record series for which retention periods have not been established by statute or rule must be listed by title with agency proposed retention periods on a Records Retention and Destruction Schedule form provided by the Archives Division. Both copies of this schedule must be signed by the head of the agency or the records custodian designated by statute unless authority has been delegated to a designated Records Officer to make final determination of the duration of the agency's own need for the records. The schedule, in duplicate, with one copy of the appraisal form for each record series listed attached to each copy of the schedule, shall then be forwarded to the Archives Division, 1005 Broadway NE, Salem, Oregon 97310 for approval by the State Archivist.

Stat. Auth.: ORS Ch. 192 & 357

Hist: OSA 5, f. 12-30-77, ef. 1-1-78

Method of Destruction

166-30-030 [OSA 2, f. & ef. 11-21-75;
Repealed by OSA 5,
f. 12-30-77, ef. 1-1-78]

Approval of Schedules

166-30-031 Upon receipt by the Archives Division, a control number will be assigned to each Records Retention and Destruction Schedule. The appraisal form for each records series will be reviewed to insure that the records are properly identified and adequately described, and an evaluation of the

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value of the records will be made from the content of the forms and such further investigations as may be necessary. The State Archivist will determine the duration of the value of the records for any administrative, legal, or research purpose of any agency of the state and its political subdivisions or its citizens, considering the existence of duplicate series in other agencies, and establish appropriate minimum retention periods for each record series. In no case will this period be less than that recommended by the submitting agency unless their approval is obtained by coordination. Any amendments, including longer retention periods, and coordinated shorter periods will be entered directly on the schedule, with the Archivist's initials. Approval of the schedule, as amended, will be indicated by the signature of the State Archivist in the space provided on the form. One copy of the approved schedule, with its associated appraisal forms, will be returned to the agency; the other, and one copy of the appraisal forms, will be retained by the Archives Division.

Stat. Auth.: ORS Ch. 192 & 357
Hist: OSA 5, f. 12-30-77, ef. 1-1-78

Archives or Records Center

166-30-035 [OSA 2, f. & ef. 11-21-75;
Repealed by OSA 5,
f. 12-30-77, ef. 1-1-78]

General Schedules

166-30-036 Records Retention and Destruction Schedules published in subsequent divisions of this Chapter (or in rules promulgated by other state agencies with the concurrence of the state Archivist) prescribe minimum retention periods for many record series which are common to all agencies, or to all agencies or offices performing the specified functions.

(1) These schedules supersede authorizations granted prior to their effective date to individual agencies or institutions for disposition of the same records.

(2) Agencies may (but are not required to) list record series from these schedules with their other record series (for which retention periods have not been established) in Records Retention and Destruction Schedules submitted to the State Archivist for approval. This procedure effectively consolidates all authorizations in a single document and will insure that application of the General Schedules is proper, for the Archives Division will review all record series listed in the Schedule submitted.

Stat. Auth.: ORS Ch. 192 & 357
Hist: OSA 5, f. 12-30-77, ef. 1-1-78

Non-Record Documentation and Correspondence

166-30-040 [OSA 2, f. & ef. 11-21-75;
Repealed by OSA 5,
f. 12-30-77, ef. 1-1-78]

Prior Audit of Fiscal Records Required

166-30-041 No records of fiscal transactions shall be destroyed, even though the required minimum retention period has passed, until after the required audit for the period covered by the records has been completed and the auditor has released the records for destruction. If federal funds are involved, records retention requirements of the United States Government must be observed if they require longer retention than the state. Computer tape and disc records of fiscal transactions must be retained until after audit even though paper or microfilm printouts of the records exist, unless the responsible auditor approves earlier disposal of them, except for specific generations or intermediate processing tape or disc records which are scheduled for earlier disposal in the General Schedule for Computer Records.

Stat. Auth.: ORS Ch. 192 & 357
Hist: OSA 5, f. 12-30-77, ef. 1-1-78

Suspension of Scheduled Records Destruction

166-30-045 Upon receipt of a request from the Attorney General, a District Attorney, or the governing body of an agency, the State Archivist will immediately suspend scheduled destruction of records from any specified record series until further notice. Suspensions may also be ordered, or authorizations be cancelled, for other reasons such as accidental loss of a duplicative record series or governmental reorganizations which change the value of particular record series. Notice of any such suspension or cancellation will be furnished the agency Records Officer and the office concerned.

Stat. Auth.: ORS Ch. 357
Hist: OSA 5, f. 12-30-77, ef. 1-1-78

Records Retirement and Purging

166-30-050 Regular retirement and purging of records from current files is essential to maintain efficiency.

(1) File clerks should promptly remove and dispose of superseded, rescinded, or expired records from record series for which a retention period of "Current" has been authorized.

(2) Records officers should establish and require a purging of files at least annually, at the end of a calendar year or a fiscal year, to remove and dispose of all excluded and exempt records.

(3) Retirement of records from active files should be regularly scheduled to coincide with the end of the calendar, or fiscal year. This file cut-off is necessary to establish the beginning of time-duration retention periods, and to permit logical-sequence transfer of records to Archives or Records Center storage areas. All retention periods start the first day after the end of the calendar period in which the records were filed or in which the specified event occurred.

(4) Some specified event retention periods (such as "after case is closed" — 3 years) require that some records be transferred to another record series for retention upon completion of the event or during scheduled file screening and purging periods. Transfer to the "Correspondence, Policy and Historical" or "Reports and Studies, Historical" series is also recommended for records from any permanent record series which generate only a few folders of records to be retired each year. Description of the records to be transferred, stipulation of the record series to which they will be transferred, and specification of the event or time which will trigger the transfer must be included as part of the record series description on the appraisal form.

(5) *Permanent* retention does not imply that records must be retained in the active file or that the record series will always be created and maintained. Those which have been superseded, rescinded, or which have become inactive should be retired to storage during the regular file purging and retirement. If maintenance of the record series is discontinued, a revised appraisal form will be prepared and submitted to record the cut-off date, and a cross reference to any substituted series.

Stat. Auth.: ORS Ch. 357
Hist: OSA 5, f. 12-30-77, ef. 1-1-78

Disposal of Records

166-30-060 A Records Retention and Destruction Schedule approved by the State Archivist, or an applicable General Schedule published in these rules, is an authorization for an agency to destroy records which are older than the specified period of retention, subject to the prior audit requirements of OAR 166-30-041 and any suspension ordered under the provisions of OAR 166-30-045. Disposal of such records, and

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records eligible for destruction under the provisions of any statute shall be by:

(1) Shredding, pulping, or incineration. Records which are confidential by law, records which contain derogatory information about citizens or their organizations, and negotiable instruments (even when cancelled or satisfied in writing) must be destroyed by shredding, pulping, or incineration. The destruction should be supervised and witnessed by a responsible employe of the agency.

(2) Recycling. Records of a non-sensitive nature may be sold or traded for recycling of the fibre or chemical they contain, provided that the sale or trade agreement includes provisions to insure that the records are promptly converted into a form which precludes use of the information they contain. Confidential records which are not highly sensitive in nature may also be sold or traded for recycling of their fibre or chemical content, if the agreement includes provisions requiring secure transit to and handling by the contractor; prompt processing of the records by the contractor to fully obliterate the data they contain (by shredding, pulping, or incineration), posting of a bond or undertaking by the contractor to indemnify the agency against any claims or actions resulting from his failure to protect the confidentiality of the records, and a provision precluding sale, transfer, or delivery of the records to a third party prior to data obliteration.

(3) Deposit in a Library or Museum. The originals of records which have been microfilmed in compliance with ORS 192.040 to 192.070 and OAR 166-30-070, and other records which have continuing local historical value although destruction is authorized, may be deposited in a Library, Museum, or Historical Society if disclosure of the record is not prohibited by ORS 192.500 and the depository agrees to comply with ORS 162.305, 192.420, and 192.430. Agreements for such deposits must stipulate that the depository cannot sell or otherwise dispose of the records except by lawful and complete destruction or by returning them to the depositing agency.

Stat. Auth.: ORS Ch. 192 & 357

Hist: OSA 5, f. 12-30-77, ef. 1-1-78

Destruction by State Archives or Records Center

166-30-065 Records in the State Archives or Records Center may be destroyed by the Archives staff under the following conditions:

(1) Duplicate copies, publications, and other excluded, exempt, or non-record materials will be removed from files (purged, weeded) during processing of Archives accessions and shall be destroyed.

(2) Records microfilmed by the Archives staff for other agencies in accordance with ORS 192.072 may be destroyed, with the concurrence of the agency to which the records belong, after the job is satisfactorily completed.

(3) Records in the Records Center which are scheduled for destruction will be destroyed only after receipt of confirmation of authorization and approval of the depositing agency or any successor. When records are accepted "for Destruction Only" the Transmittal List must contain this confirmation and approval.

(4) Records in the Archives which are scheduled for destruction will not be destroyed without explicit approval of the State Archivist.

(5) If the State Archivist finds that records in his custody do not warrant further preservation, he will obtain approval of the depositing agency, successor, or the Attorney General.

(6) The Archives and Records Center staff will destroy all records in compliance with OAR 166-30-060, and a record of each destruction (other than weeding) will be furnished to the depositing agency or its successor.

Stat. Auth.: ORS Ch. 192 & 357

Hist: OSA 5, f. 12-30-77, ef. 1-1-78

Microfilming

166-30-070 Microfilming is economically feasible and recommended to insure against the loss or accidental destruction of records by providing an extra, secure, copy, to provide extra distribution of use copies of voluminous records, to reduce retrieval time for heavily used records (if used in conjunction with automatic or computer-index records location systems), as a means for creating a record of documents which are forwarded to another office or are returned to their source, or as a substitute for a computer paper printout. Microfilming solely to reduce the bulk of records for storage is not economically feasible unless the duration of the required retention period is so great that the cost of storage in an Archives or Records Center will exceed the cost of creating and storing the microfilm.

(1) A security copy of every reel or fiche (sheet) of microfilm of record series which have a required minimum retention period of more than 10 years must be made and stored in accordance with the American National Standards for Microfilm for Archival Records. The security copy must be reserved and used solely as a master for making working copy duplicate film when required.

(2) Working copies of microfilm, and microfilm of temporary records to be held less than 10 years, may be made in accordance with agency standards and requirements for the retention of the records, including the option of using any film, processing system, or storage containers the agency may select.

Stat. Auth.: ORS Ch. 192 & 357

Hist: OSA 5, f. 12-30-77, ef. 1-1-78

Magnetic Tape Data Records

166-30-090 When it is known that a reel of magnetic tape containing machine-language records will be stored in excess of one year, it will be prepared, handled, and stored in accordance with the procedures and standards contained in the Handbook of Recommended Environmental Conditions and Handling Procedures for Magnetic Tape, copies of which are available from the Archives Division.

Stat. Auth.: ORS Ch. 192 & 357

Hist: OSA 5, f. 12-30-77, ef. 1-1-78

General State Schedules For Retention and Destruction of Records

Use and Effect

166-30-100 [OSA 2, f. & ef. 11-21-75;
Repealed by OSA 5,
f. 12-30-77, ef. 1-1-78]

Schedule of State Administrative Documents

166-30-105 [OSA 2, f. & ef. 11-21-75;
Repealed by OSA 5,
f. 12-30-77, ef. 1-1-78]

Schedule of State Fiscal Records

166-30-110 [OSA 2, f. & ef. 11-21-75;
Repealed by OSA 5,
f. 12-30-77, ef. 1-1-78]

Schedule — Appointing Authority, Personnel Records

166-30-120 [OSA 2, f. & ef. 11-21-75;
Repealed by OSA 5,
f. 12-30-77, ef. 1-1-78]

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**Retention Schedule for Clerk
of the Court Records**

Retention Schedule Clerk of the Court Records General

166-30-200 [OSA 2, f. & ef. 11-21-75;
Repealed by OSA 5,
f. 12-30-77, ef. 1-1-78]

Jury and Witness Records

166-30-205 [OSA 2, f. & ef. 11-21-75;
Repealed by OSA 5,
f. 12-30-77, ef. 1-1-78]

District and Justice of Peace Court Financial Records

166-30-210 [OSA 2, f. & ef. 11-21-75;
Repealed by OSA 5,
f. 12-30-77, ef. 1-1-78]

**Retention Schedule for District
Court Judicial Records**

District Court Records

166-30-240 [OSA 2, f. & ef. 11-21-75;
Repealed by OSA 5,
f. 12-30-77, ef. 1-1-78]

**Retention Schedule for Justice
Court Judicial Records**

Justice Court Records

166-30-250 [OSA 2, f. & ef. 11-21-75;
Repealed by OSA 5,
f. 12-30-77, ef. 1-1-78]

**Retention Schedule for Records
of the District Attorney**

Records of the District Attorney

166-30-275 [OSA 2, f. & ef. 11-21-75; Repealed by OSA
5,
f. 12-30-77, ef. 1-1-78]

DIVISION 40

GENERAL SCHEDULES

General

166-40-005 [OSA 2, f. & ef. 11-21-75;
Repealed by OSA 5,
f. 12-30-77, ef. 1-1-78]

General

166-40-006 The records retention and destruction schedules contained in this division prescribe minimum retention periods for many "housekeeping" records common to all agencies, and for certain "program" records common to all agencies or offices performing the specified functions. In each of the schedules, some records series are listed with alternate (variant) titles in parenthesis, and a brief description of the contents of some series is given, to aid in identification.

(1) Permanent records identified in these schedules shall be retained in the office concerned as long as they are actively used by those offices. When inactive they should be transferred to an archives or records center. See OAR 166-20-020.

(2) These schedules authorize destruction of records for which permanent retention is not prescribed upon expiration of the stated period or fulfillment of the stated condition. Records identified in the schedules may be retained longer than the minimum period indicated but may not be destroyed prior to expiration of the required retention period.

(3) A special schedule approved under the provisions of OAR 166-30-026(4) and 166-30-031 for an individual agency after the effective date of a general schedule supersedes the general schedule insofar as it applies to the same record series.

(4) Microfilm may be substituted for any paper or magnetic tape records, if it is made in compliance with OAR 166-30-070. The same retention period applies to microfilm copies.

Stat. Auth.: ORS Ch. 192 & 357

Hist.: OSA 5, f. 12-30-77, ef. 1-1-78

Definitions

166-40-010 In addition to the definitions contained in OAR 166-05-010, the following definitions apply to this division:

(1) "Current" when specified as the minimum retention period means that superseded, rescinded, expired, or no longer useful records may be removed from the files and may be destroyed.

(2) "Housekeeping Records" means records which relate to budget, fiscal, personnel, supply, and similar administrative or facilitative operations normally common to all agencies, as distinguished from program or substantive records that relate to an organization's primary functions.

(3) "Program Records" means records created and maintained by an agency in the conduct of the substantive functions for which it is responsible. The term is used in contrast with housekeeping or facilitative records.

Stat. Auth.: ORS Ch. 357

Hist.: OSA 2, f. & ef. 11-21-75; OSA 5, f. 12-30-77, ef. 1-1-78

Authorizations to Destroy

166-40-015 [OSA 2, f. & ef. 11-21-75;
Repealed by OSA 5,
f. 12-30-77, ef. 1-1-78]

Record Omitted From These Regulations

166-40-020 [OSA 2, f. & ef. 11-21-75;
Repealed by OSA 5,
f. 12-30-77, ef. 1-1-78]

County Retention Schedules

166-40-025 [OSA 2, f. & ef. 11-21-75;
Repealed by OSA 5,
f. 12-30-77, ef. 1-1-78]

Destruction

166-40-030 [OSA 2, f. & ef. 11-21-75;
Repealed by OSA 5,
f. 12-30-77, ef. 1-1-78]

Administrative, Legal and Research Files

166-40-050 [OSA 2, f. & ef. 11-21-75;
Repealed by OSA 5,
f. 12-30-77, ef. 1-1-78]

Non-Record Documentation and Correspondence

166-40-055 Many office files contain written materials which are not records within the meaning of ORS 192.005. Disposal of these materials does not require an authorization in accordance with ORS Chapter 192, but transfer or donation of printed items or objects to a library, historical society, or museum is recommended. Excess copies should be destroyed when no longer needed. Care must be exercised in disposal of some of these materials to avoid inadvertent disclosure of information which is confidential under the provisions of ORS 192.500.

(1) Books, periodicals, and other publications used for library purposes.

(2) Stocks of outdated publications and forms.

(3) Publications and advertising materials of companies and other agencies.

(4) Museum materials such as mockups and models used for exhibition or display purposes, other than court exhibits.

(5) Courtesy and information copies of correspondence, studies, reports, etc. which are no longer current and have not been the basis of any action by the receiving office.

(6) Membership files in professional, occupational, service or community associations, organizations or clubs, are personal records of the member of the staff concerned. If members become officers or committee chairman, their files relating to that service may be records of the organization concerned. Retention is the responsibility of the individual or organization.

(7) Informational documentation, unpublished, such as mailing lists, directories, comparative documentation from other jurisdictions, and propaganda upon which no action was taken.

(8) Convenience copies, which are extra copies of a document that are distributed to and retained by individual employees or offices solely for convenience of reference.

(9) Printing masters, stencils, punched paper tapes, tab cards, computer tapes, stenographic notes, and dictating machine records which are used solely as a means of transferring data from one media to another, and are fully transcribed in the process.

Stat. Auth.: ORS Ch. 357

Hist.: OSA 2, f. & ef. 11-21-75; OSA 5, f. 12-30-77, ef. 1-1-78

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Records Retention and Destruction Schedule	Record Series	Minimum Retention Period
Administrative Documents		
<p>166-40-060 This schedule includes Directives and formal documentation filed in the general administrative office of any agency or required filing office (Secretary of State, County Clerk, City Auditor or Recorder, etc.) and general administrative (housekeeping) records which relate to facilitative operations common to all offices (as distinguished from program or substantive records that relate to primary functions of an office).</p>		
<p>Record Series</p> <p>(1) ADMINISTRATIVE ORDERS of state agencies:</p> <p>(a) Agency file of orders adopting, amending or repealing rules with supporting documents (notices, copy of rule or amendment adopted, minutes and record of hearing, if required) Permanent</p> <p>(b) Copy filed with the Secretary of State. After repeal. 7 years</p> <p>(c) Orders in contested cases 10 years</p> <p>(d) Sound and mechanical recordings of hearings:</p> <p>(A) Fully transcribed 90 days</p> <p>(B) Summarized in findings. 5 years <i>(SEE ALSO: Orders, Ordinances & Resolutions)</i></p> <p>(2) AGREEMENTS OR CONTRACTS:</p> <p>(a) For cooperation with other government agencies. Original copy Permanent</p> <p>(b) For research or technical advisory services provided by private persons, businesses or other agencies. After maturity 7 years</p> <p>(c) For maintenance of equipment. After period of service and maintenance completed satisfactorily 2 years</p> <p>(d) Fiscal office copy. After maturity 7 years</p> <p>(e) All other copies. After maturity 2 years</p> <p>(3) BOND AUTHORIZATION FILE Permanent Includes authorization, supporting financial data, contracts or sale agreements, and specimen or sample copy of bond for each issue of bonds sold as evidence of agency indebtedness.</p> <p>(4) BONDS, FIDELITY, PERFORMANCE, OR POSITION, posted by elected officials,</p>	<p>individual employes, or groups of employes 25 years</p> <p>(5) CHARTER, AND AMENDMENTS THERETO Permanent</p> <p>(6) CONSTRUCTION CONTRACTS (With Specifications and Change Orders):</p> <p>(a) Record copy Permanent</p> <p>(b) Other duplicate copies. After acceptance of construction 2 years</p> <p>(7) CORRESPONDENCE, POLICY AND HISTORICAL Permanent Includes copies of letters sent and received, notes, memoranda, and formal documents which state or form the basis for policy, set precedent, or record important events in the operational and organizational history of the agency and its subordinate offices. This series, organized by subject, must usually be deliberately created. Agency procedures should be established to insure filing of copies or pertinent records in the series, and to provide for transfer of records from subordinate offices and other record series to the agency Policy and Historical file during regularly scheduled file purging and retirement. This record series can be used very efficiently to consolidate small annual accumulations from other permanent record series for retirement to archives storage.</p> <p>(8) CORRESPONDENCE, FISCAL 7 years Contains copies of letters sent and received pertaining to accounts payable or receivable, or to private or public fiscal obligations. After payment or when determined unrecoverable.</p> <p>(9) CORRESPONDENCE, ROUTINE 1 year Includes copies of letters sent and received, notes, acknowledgments, transmittals, and memoranda which pertain only to completed routine matters handled in accordance with existing policy and procedures. May be weeded from case files or from correspondence files which also contain policy and historical or fiscal material.</p>	

**OREGON ADMINISTRATIVE RULES
CHAPTER 166, DIVISION 40 — STATE ARCHIVIST**

<i>(OAR 166-40-060)</i>	Minimum Retention Period	<i>(OAR 166-40-060)</i>	Minimum Retention Period
Record Series		Record Series	
(10) CRISIS OR SPECIAL EVENT RECORDS	Permanent	subjects discussed, statements of intent, a record of action taken, and any evidence on which the action was based:	
Includes diaries, logs, reports, photographs and notes which document what happened, when, and where, the results of any preliminary planning, and the extent of damages from storms, riots, fires, droughts, floods, and other events affecting citizens and facilities within the jurisdiction of the agency.		(a) Record copy (kept by Clerk, Recorder, or Secretary)	Permanent
(11) DEEDS TO LANDS OWNED	Permanent	(b) Members copies, after completion of service	2 years
Includes supporting appraisals, abstracts of title, and documentation on history of acquisition of any lands owned by the agency.		(c) Agendas only (if included in minutes)	1 year
(12) DEEDS TO LAND SOLD.		(18) OATHS OF OFFICE	
With supporting documentation. After recording and receipt of final payment	2 years	(Elective, Appointive, and Statutory Officials):	
(13) DIRECTIVES ISSUED	Permanent	(a) State Offices. Record copy	Permanent
Includes procedure manuals and work rules for employees.		(b) Initial officials of political subdivisions	Permanent
(14) EMPLOYE DESK NOTES	1 year	(c) Successors to initial officials. After termination	7 years
Includes calendars, logs, and diaries recording information used in reports, EXCEPT those recording a crisis or special event.		(d) Employees. After termination	1 year
(15) INSURANCE POLICIES, EXPIRED		(19) ORDERS, ORDINANCES, AND RESOLUTIONS:	
(a) Fire, theft, or extended coverage. No claims outstanding	2 years	Of governing bodies of cities, counties, and special districts.	
(b) Liability, motor vehicle accident, and group insurance for employees. No claims outstanding	10 years	Record copy:	
(16) LEASES:		(a) Directive or Legislative in nature	Permanent
For office space, machinery, equipment, use of lands, and other real estate. After termination	7 years	(b) Routine orders approving fiscal transactions, except fiscal office copy	2 years
(17) MINUTES OF BOARDS, COMMISSIONS, AND COUNCILS:		(20) PHOTOGRAPHIC FILES	Permanent
Includes minutes of all meetings of the governing body of any agency and of any boards, commissions, or similar organizations created by statute, order, or ordinance. The record should contain a list of those present, a record of		Consisting of pictures selected to document activities, illustrate publications, and visually record events. Includes negatives and full identification (dates, names, places, and occasions) of each picture.	
		(21) PLANS AND PLATS:	
		For buildings, facilities, and areas administered by the agency. Includes best available copies of surveying, architectural, engineering and landscaping drawings of present facilities (including plans prior to major modifications) and abandoned underground facilities. The record copy of plans of new construction or remodeling should be "as-built" on permanent record quality paper or mylar, or be on archival quality 105mm film.	
		(a) Record Copy	Permanent
		(b) Preliminary and duplicate use copies. After acceptance of construction	7 years

**OREGON ADMINISTRATIVE RULES
CHAPTER 166, DIVISION 40 — STATE ARCHIVIST**

(OAR 166-40-060)

Record Series	Minimum Retention Period
(22) PUBLICATIONS AND DIRECTORIES ISSUED. Record Copy	Permanent
<p>This copy may be either the final manuscript or a printed copy. Note: State agencies are required to furnish copies of their publications to the State Library for distribution and exchange with other libraries (ORS 182.070). Political subdivisions should provide copies of their publications to their local libraries. This is particularly recommended for limited-edition special studies, proposals, and surveys to make them more readily accessible to the public. These distribution copies are not the record copy which must be retained by the agency or in its archives.</p>	
(23) REPORTS AND STUDIES, HISTORICAL	Permanent
<p>Includes narrative and statistical reports, studies, surveys, plans, and proposals which have long-term administrative or research value, including periodic reports and memoirs from agency offices or employees, and special reports or studies received from consultants. This series includes year-end reports compiled to document the agency's programs, services, problems, and cumulative transactions.</p>	
(24) REPORTS, ROUTINE	1 year
<p>Includes reports, not scheduled as separate record series as program records, made by individual employees reporting work progress, status, or minor incidents.</p>	
(25) SOUND AND MECHANICAL RECORDINGS:	
<p>Of hearings and meetings of governing bodies.</p>	
(a) Fully transcribed	90 days
(b) Summarized in formal findings and orders	5 years
(c) Summarized in minutes	1 year
(26) WORKSHOP, SEMINAR, CONFERENCE AND CELEBRATION RECORDS:	
<p>This series consists of files resulting from agency-sponsored training and public relations meetings, or celebration of special occasions such as pioneer days or centennials.</p>	
(a) Substantive promotional and information documentation, attendance summaries, and final reports	Permanent

Record Series	Minimum Retention Period
(b) Organizational detail and correspondence	2 years
(c) Programs, agenda, and rosters	1 year
<p>Stat. Auth.: ORS Ch. 192 & 357 Hist: OSA 5, f. 12-30-77, ef. 1-1-78</p>	

Fiscal

166-40-070 This schedule is applicable to housekeeping records of all offices. It includes some program records in specified offices because they serve as the Record Copy of a series and provide the basis for the shorter retention periods established for the Housekeeping copies in other offices. It is not all inclusive. Care must be exercised to insure proper identification of record series to which it is applied. The location of the Record Copy must be clearly established before any office assumes that their copy is a duplicate or subordinate. No records of fiscal transactions may be destroyed prior to completion of required statutory audits (including federal) of the period covered, and computer magnetic tape records (other than scheduled intermediate versions) of fiscal transactions must be retained until after audit, regardless of paper or microfilm duplication or retention period established.

PART I — Accounting Records

Record Series	Minimum Retention Period
(1) AUDIT AND FINANCIAL REPORTS, STATUTORY:	
<p>Reports of audits or Financial Statements prepared by, or in accordance with rules of, the State Auditor, and filed in compliance with statutes:</p>	
(a) State agency and county copy prior to 1935	Permanent
(b) State auditor copy 1935 to date	Permanent
(c) City and Special District copies prior to 1961	Permanent
(d) State agency copy after 1935	10 years
(e) County copy after 1935 and City and Special District copies after 1961	3 years
(f) County copy of Taxing District Reports	3 years
(g) Duplicate copies filed by action officers	3 years
(2) AUDIT REPORTS, INTERNAL:	
<p>Management, operations, and fiscal audits prepared by an agency's own staff for monitoring, control, and improvement purposes; with supporting work papers:</p>	
(a) If discrepancies reported	6 years
(b) No discrepancies, or action completed	3 years
(3) AUTHORIZATION OF SIGNATURES:	
<p>Certification that name employees are authorized to sign checks, contracts, purchase orders, travel documents, disbursement vouchers or other fiscal documents. Superseded</p>	
	7 years

**OREGON ADMINISTRATIVE RULES
CHAPTER 166, DIVISION 40 — STATE ARCHIVIST**

(OAR 166-40-070 Part I)

Record Series	Minimum Retention Period
(4) AUTHORIZATION TO DISBURSE OR TRANSFER FUNDS:	
(a) Fiscal Office copy	7 years
(b) Administration copy	2 years
(5) AUTHORIZATION TO CANCEL OUTSTANDING WARRANTS:	
(a) Fiscal Office copy	6 years
(b) Administration copy	2 years
(6) BALANCE (RECONCILIATION) RECORDS	Permanent
Consolidated record of status of all funds (Financial Statement), the year-end report only, if cumulative on a monthly or quarterly basis.	
(7) BALANCE (BUDGET) REPORTS	3 years
Daily, monthly, or quarterly reports on status of funds, bank accounts, investments, reconciliations, and forecasts of receipts and disbursements.	
(8) BANK DEPOSITORY APPLICATIONS:	
Applications received from banks to serve as a depository for public funds, with statements of conditions.	
After rejection or cancellation	2 years
(9) BANK DEPOSIT BOOKS (RECORD):	
Record of deposits and withdrawals in savings or term accounts. After closing of account, book, or record	
	2 years
(10) BANK DEPOSIT SLIPS	2 years
(11) BANK STATEMENTS	2 years
Periodic statements of transactions in checking accounts.	
(12) BANK STATEMENTS OF INTEREST PAID ON DEPOSITS	7 years
(13) BONDS AND COUPONS, Paid or Redeemed	2 years
(14) BOND RECEIPTS FOR BONDS OR COUPONS:	
Transmittal receipts to and from purchasers or bonded agency.	
After redemption	5 years

(OAR 166-40-070 Part I)

Record Series	Minimum Retention Period
(15) BOND RECEIPTS FOR PAYMENT:	
Copy of receipt taken for payments on interest coupons or principle on bonds cancelled	
	7 years
(16) BUDGETS ADOPTED:	
(a) Record copy	Permanent
(b) Agency or office duplicates	2 years
(17) BUDGET WORK FILES	Current
Retain all documentation through next budget preparation and bring forward to new work file statistical and research data still required. Retire to Policy and Historical File any documentation of research value after it is of no further value in preparation of budgets.	
(18) CHECK REGISTERS (WARRANT REGISTER)	12 years
Includes stub books if separate Register is not created.	
(19) CHECK STUB BOOKS (WARRANT STUBS)	2 years
Not required as a Register.	
(20) CHECK (WARRANT) LISTS:	
(a) Of those outstanding or unredeemed	Current
(b) Prepared for other purposes	2 years
(21) CHECK (WARRANTS) OR COUNTY ORDERS ISSUED AS WARRANTS:	
(a) Paid or redeemed	7 years
(b) Returned as unclaimed or unredeemed	12 years
(c) Duplicates of those issued	2 years
(22) CLAIM FILES:	
Bills, Invoices, statements, and vouchers which serve as exhibits in support of all disbursements. May include copies of Purchase Orders, payment authorization, report of receipt of goods or services, and checks or warrants.	
(a) Paid. Agency Record Copy	7-1/2 years
NOTE: Flag and transfer to Policy and Historical File claims for land acquisition, major building construction, and individual employe salaries if not recorded in a separate payroll or earnings record.	

**OREGON ADMINISTRATIVE RULES
CHAPTER 166, DIVISION 40 — STATE ARCHIVIST**

(OAR 166-40-070 Part I)

Record Series	Minimum Retention Period
(b) Paid. Duplicate in State Executive Department	3 years
(c) Paid. Duplicates in other offices	2 years
(d) Rejected or unpaid. Agency Record Copy	12 years
(e) Rejected or unpaid. Duplicates in other offices	7-1/2 years
 (23) JOURNAL, FISCAL ACCOUNT: Contains chronological entries for all receipts and disbursements. May be titled Cash or Day Book.	
(a) With detailed entries which include payee or payor and purpose	Permanent
(b) Citing only Receipt or Voucher number	7 years
(24) JOURNAL OF RECEIPTS	7 years
A county record, for payments to school and other taxing districts.	
(25) LEDGER, APPROPRIATION AND MISCELLANEOUS ACCOUNTS	Permanent
(26) LEDGER, BUDGET	7 years
Includes encumbrances and duplicates General Ledger.	
(27) LEDGER, GENERAL	Permanent
(May also be titled Budget or Disbursement Ledger.)	
(28) LEDGER, ACCOUNTS RECEIVABLE, OR PAYABLE	5 years
After payment or cancellation of obligation	
(29) LEDGER, COUNTY TREASURER, ACCOUNTS PAYABLE:	7 years
To school and other taxing districts	
(30) LEDGER, TRUST FUNDS:	7 years
After payments completed and balance reduced to zero	
(31) LEDGER (OR REGISTER), BONDS:	7 years
Upon redemption of all bonds and coupons	
(32) LEDGER, ROAD COSTS (COUNTY):	Permanent
(a) Prior to 1920	Permanent
(b) Since 1920	12 years

(OAR 166-40-070 Part I)

Record Series	Minimum Retention Period
(33) PARKING CITATIONS (TICKETS):	
(a) Satisfied	1 year
(b) Unsatisfied. After dismissal by the Court	1 year
(c) Stubs, of tickets issued	2 years
(34) POSTAGE METER AND REGISTERED MAIL RECORDS	2 years
(35) RECEIPT TAPES (CASH REGISTER) for control of balances	2 years
(36) RECEIPTS ISSUED (copies or stubs) for monies received:	
(a) State Treasurer's Office Receipts	25 years
(b) Agency Business Office, Fiscal Office or Treasurer (Other than State) copies	7 years
(c) Payment receiving office (if the receipts are not Program Records for the office)	2 years
(37) RECEIPTS FOR MONIES PAID TO TAXING DISTRICTS	2 years
(38) RECEIPTS FOR REDEEMED WARRANTS, checks or county orders returned by Treasurer	2 years
(39) RECEIPTS FOR SECURITIES DEPOSITED BY BANKS:	
With supporting correspondence after return of securities	
7 years	
(40) RECEIPTS FOR TURN-OVER OF FUNDS AND TAXES:	
To Treasurer or Fiscal Office, with supporting reports.	
(a) State agencies	7 years
(b) City, County, or District agencies:	
(A) Treasurer or Fiscal Office copies	7 years
(B) Departmental copies	2 years
(41) RECEIPTS (LISTS) FOR WARRANTS (CHECKS):	
Forwarded to agency for distribution to payees	
2 years	
(42) REPORTS, ACCOUNTS RECEIVABLE STATUS	Current
(43) REPORTS, COSTS OR STATUS of Public Works and Equipment Rentals	2 years

**OREGON ADMINISTRATIVE RULES
CHAPTER 166, DIVISION 40 — STATE ARCHIVIST**

(OAR 166-40-070 Part I)

Record Series	Minimum Retention Period
(44) REPORTS, COURT FINES OR FEES COLLECTED	7 years
(45) REPORTS, MILEAGE OR USE OF PUBLICALLY-OWNED VEHICLES	2 years
(46) REPORTS, TRUST FUND BALANCES	Current
(47) TOLL TICKETS FOR BRIDGE AND FERRY TOLLS	2 years
This series include Toll slips and daily tapes.	
(48) VOUCHERS, JOURNAL	7 years
Documents which instruct, authorize, or direct bookkeepers or accountants to transfer funds between accounts.	

PART II — Payroll Records

Record Series	Minimum Retention Period
(49) PAY CHANGE NOTICES	2 years
This series includes assignments, claims, and notices and reports received by the payroll preparation or certifying office of advances, emergency payments, termination payments, advances from Revolving Funds, deductions for leave, and other salary adjustments.	
(50) PAYCHECK ADDRESS OR DEPOSIT AUTHORIZATION: Instructions or authorizations from an employe to mail check to a specified address or deposit it in a specified bank account. After revoked, superseded, or employe terminated	2 years
(51) PAY INITIATION DOCUMENTS	3 years
Includes personnel action or notice of appointment of a new employe, annual pay card and changes, academic time certificate, credit hours taught memos, and similar authorizations for the Fiscal Office to set up a payroll account for a new, returning, or casual temporary employe.	

(OAR 166-40-070 Part II)

Record Series	Minimum Retention Period
(52) PAY RECORD, INDIVIDUAL EMPLOYEES	Permanent
A cumulative earnings record for each employe which includes name of employe, social security number, positions held, dates (or hours) for which paid, gross salary, and retirement contributions withheld and paid. May be in the form of an Individual Employee Earnings Record, a Payroll Ledger, a Payroll Journal, a Register, a cumulative year-end report, or (if a separate cumulative pay record is not maintained for each employe) Monthly or cumulative Year-End Payrolls for all employes which contain the required data for each employe. This record series must be identified before applying this schedule to the following Payroll Journal, Ledger, Records, Register, or Report series..... *	
(53) PAYROLL JOURNAL	5 years*
(54) PAYROLL LEDGER	5 years*
(55) PAYROLL RECORD	5 years*
(56) PAYROLL REGISTER	5 years*
(57) PAYROLL REPORTS: Budget, computation, periodic, and deduction listings for state, federal, and employe-authorized deductions, including withholding taxes, retirement, social security, insurance, charitable, etc. Also includes reports of liens, salary advances, and undelivered Forms W-2. (a) If data can be reconstructed from a Journal, Ledger, Record, Register, or Year-end Report	2 years*
(b) If data cannot be so reconstructed	5 years*
*NOTE: The retention period for the Payroll Journal, Ledger, Record, Register, or Report series is PERMANENT for any period for which the Pay Record, Individual Employee series does not exist. One or more of these series may be required to supply the necessary data.	
(58) PAYROLL WITHHOLDING AUTHORIZATIONS: After lapse or superseded	5 years

**OREGON ADMINISTRATIVE RULES
CHAPTER 166, DIVISION 40 — STATE ARCHIVIST**

(OAR 166-40-070 Part II)

Record Series	Minimum Retention Period
(59) PAYROLL WITHHOLDING OR ASSESSMENT BILLINGS: Received from insurance and other types of agencies, with receipts for payment	2 years
(60) PAYROLL WORKSHEETS AND SOURCE DOCUMENTS: Prepared for computer input from other documents within the office which are covered by this schedule. (a) Editing and correction copies	Upon correction
(b) Budget preparation copies	Through next budget preparation
(c) Computer service bureau copies	Upon completion of the run
(61) TIME RECORDS FOR EMPLOYEES	2 years
This series includes Time Cards, Daily Attendance Reports, Time Sheets (Gang and Job), Absence or Leave Reports (Sick and Vacation), Overtime Authorization or Certification, Physician's Certificate for Sick Leave, Attendance Exception Reports, and similar records reporting compensable time worked. It does NOT include contractors employe or work time reports submitted in support of claims. Extended retention may be required if the work time reported is chargeable to a Federal Grant or Funded Project.	
(62) UNEMPLOYMENT COMPENSATION CLAIM REPORTS	2 years
Reports, with associated correspondence, received from the Employment Division of a claim submitted by a former employe.	
(63) U.S. SAVINGS BOND STUBS and other records of issuance and transmittal	2 years
(64) VACATION RECORDS, Staff Schedules, and Leave Requests	2 years
(65) WORKER'S COMPENSATION REPORTS: (a) Employer's report of injury or disease, statements of payments made, and other documents resulting from claims. After employe returns to work, resigns, or retires	4 years

(OAR 166-40-070)

Record Series	Minimum Retention Period
(b) Class rate and experience rating notices and correspondence	4 years

PART III — Supply Records

Record Series	Minimum Retention Period
(66) BID TABULATION RECORDS, all bids received	15 years
(67) BIDS ACCEPTED: Includes copy of call for bids on purchases or contracts, with specifications. (a) Fiscal or purchasing copy	15 years
(b) Duplicate in other files	2 years
(68) BIDS REJECTED	2 years
(69) INVOICES, BILLS, AND STATEMENTS	6 years
Copy of billings issued to other agencies, employes, or others for authorized services or supplies furnished.	
(70) ISSUE TICKETS OR RECEIPTS	2 years
For gasoline, oil, rock, gravel, or other consumable supplies issued for authorized use.	
(71) PURCHASE ORDERS (if copy filed in Claim Files): (a) Fiscal Office copy	2 years
(b) Ordering office copies, after receipt	3 months
(72) REQUISITIONS FOR SUPPLIES AND SERVICES: (a) Fiscal Office, purchasing, or Supply copy	1 year
(b) Ordering office copies, after receipt	3 months
Stat. Auth.: ORS Ch. 192 & 357 Hist: OSA 5, f. 12-30-77, cf. 1-1-78	

Personnel Records

166-40-080 This schedule is applicable to housekeeping records relating to employes and personnel administration in state and local agencies. It is not applicable to personnel program records maintained in the State Executive Department Personnel Division, Employment Relations Board, or Public Employes Retirement Board, or in local agencies responsible for providing centralized personnel services by administering a Civil Service (Merit) system.

**OREGON ADMINISTRATIVE RULES
CHAPTER 166, DIVISION 40 — STATE ARCHIVIST**

<i>(OAR 166-40-080)</i>	Minimum Retention Period	<i>(OAR 166-40-080)</i>	Minimum Retention Period
Record Series		Record Series	
(1) INDIVIDUAL EMPLOYEE (PERSONNEL) FOLDERS:		(5) COLLECTIVE BARGAINING FILES:	
Case files containing records related to an individual employe. This series includes the following records for each employe, whether filed in the case files or separately: initial employment application, record of appointment (letter, order, notice, etc.), record of training completed, employe contracts, oaths of office or allegiance, approved applications for sabbatical or educational leave, surety bond records, record of health or disability limitations on job assignments, record of on-the-job injuries or job-related disease, summary record of service (or copies of all transaction documents recording change of name, promotion, demotion, reclassification, transfer, termination, reinstatement, or retirement), and copies of the last two Position Descriptions of duties performed by the employe. This file may also be used to file employ-related records which are scheduled for temporary retention. It is kept current by removing such temporary records upon expiration of the retention periods specified for them.		(a) Contracts Permanent	
(a) Temporary Employes (not more than 90 days) and Student Workers, if not injured on the job. After termination	2 years	(b) Minutes, sound recordings, and reports of collective bargaining negotiations or meetings, with associated correspondence and exhibits. After termination of negotiations or contracts, whichever is later	1 year
(b) All other Employes	Permanent	(6) GRIEVANCE CASE FILES:	
(2) APPLICANT EXAMINATION (TEST) RECORDS	30 days	(a) Resulting in major modifications of employer's policy	Permanent
(3) APPLICATIONS AND SELECTION FILES:		(b) Resulting in single corrective action or no action	3 years
Including interview records, evaluations, letters of recommendation, References from previous employers, and background check reports.		(7) LETTERS OF RECOMMENDATION	3 years
(a) For Applicants Hired (may be filed in Individual Employe's folder):		(8) LETTERS OR REPRIMAND	3 years
(A) Application	Permanent	(9) LETTERS OF RESIGNATION	3 years*
(B) Other Selection records	3 years	*or upon return to agency employment.	
(b) For Applicants Not Hired	90 days	(10) MERIT RATINGS (Performance Appraisals)	3 years
(4) CERTIFICATION OF ELIGIBLES	3 years	(11) NOTICE OF DISCIPLINARY ACTION	3 years
Lists, arranged in qualifying score order, of applicants eligible for appointment to a position, with supporting request.		(12) NOTICE OF LAYOFF	3 years
		(13) PERSONNEL INVENTORIES (Reports):	
		(a) Monthly report of current established positions, except July report	Current
		(b) July report	Permanent
		(14) PERSONNEL TRANSACTION DOCUMENTS (Personnel Actions):	
		(a) Recording change of name, promotion, demotion, reclassification, transfer, termination, reinstatement, or retirement. (May be filed in Individual Employe's Folders)	Permanent
		(b) Reporting salary changes only	3 years
		(15) POSITION DESCRIPTIONS:	
		Specifying duties to be performed by an employe.	
		(a) Two most recent for each employe at time of termination. (May be filed in Individual Employe Folder)	Permanent
		(b) Other copies for positions established	Current
		(c) For positions or reclassification not approved, with supporting documents	1 year

**OREGON ADMINISTRATIVE RULES
CHAPTER 166, DIVISION 40 — STATE ARCHIVIST**

<i>(OAR 166-40-080)</i> Record Series	Minimum Retention Period	<i>(OAR 166-40-200 Part I)</i> Record Series	Minimum Retention Period
(16) RESEARCH FILES: Comparative salary surveys, collective bargaining, fringe benefits, manning standards, minimum qualifications, recruitment, training, etc. (a) Unpublished data 6 years (b) Data published in detail, with correspondence. After publication 3 years		(3) JUROR'S REQUEST TO BE EXCUSED with copy of replies from judge 3 years	
(17) STATISTICAL REPORTS Current		(4) JURY LISTS, PRELIMINARY 3 years Includes court orders, minutes of drawings, and similar documents relating to selection of jury panels.	
(18) TRAINING RECORDS: (a) Contracts or agreements for employe training courses or programs, with specifications and correspondence or worksheets 6 years (b) Course outlines and materials Current (c) Enrollment and attendance records 2 years (d) Applications or requests from employes for training, educational leave, schedule adjustments, or time off for training or education 3 years		(5) JURY REGISTER (Jury Payroll or Jury Book) 6 years A record which contains names of Regular panel, grand jurors, and reserve jurors; with dates of attendance, discharge or excuse; mileage, and fees earned.	
Stat. Auth.: ORS Ch. 192 & 357 Hist: OSA 5, f. 12-30-77, ef. 1-1-78		(6) JURY SIGN-IN SHEETS (ROLL CALL), DAILY 3 years	
County Business Records 166-40-100 [OSA 2, f. & ef. 11-21-75; Repealed by OSA 5, f. 12-30-77, ef. 1-1-78]		(7) JURY AND WITNESS CLAIMS (Cost Bills) 3 years Includes affidavits or certificates of distance traveled and time served.	
Court Records 166-40-200 This schedule is applicable to program records of the Circuit and District Courts, and to program records of the Justice of the Peace, and to County and Federal District Court records in matters over which jurisdiction has been transferred by statute to other courts since formation of the State, in the custody of the Court, Court Administrator, County Clerk, or other officer designated by charter or law. Retention periods are established by statute for some of the record series listed (which are included in this schedule only for convenience of reference in efficiently managing the records). In any conflict between this schedule and statute-mandated retention or destruction, the statute shall govern.		(8) RECORD OF TRIALS (Record of Jurors and Witnesses, Record of Witnesses and Jurors, Departmental Jury Book) Permanent Record of participants in trials. Lists case number, dates, names of plaintiff, defendant, attorneys, jurors accepted and excused, names of witnesses, type of case, and verdict.	
		(9) WITNESS BOOK (Witness Fee Book, Register of Witnesses, or Witness Claims Register) 6 years Recording, under the title of each suit: names, attendance, and mileage of witnesses, with fees earned.	

PART I — Jury and Witness Records

PART II — Court Financial Records

Record Series	Minimum Retention Period	Record Series	Minimum Retention Period
(1) GRAND JURY REPORTS. Record copy Permanent Includes only reports on condition and management of Public Institutions and courts.		(10) AUTHORIZATION NOTICES AND WARRANT REQUEST FORMS: Court copy of vouchers submitted to the Fiscal Office authorizing disbursement of funds or requesting reimbursement of expenditures 2 years	
(2) JURORS CERTIFICATES 3 years Form completed by juror to determine exemption or to provide data on travel for mileage estimate.			

**OREGON ADMINISTRATIVE RULES
CHAPTER 166, DIVISION 40 — STATE ARCHIVIST**

(OAR 166-40-200 Part II)

(OAR 166-40-200 Part III)

Record Series	Minimum Retention Period
(11) BAIL AND APPEAL BOND RECORDS: Includes undertaking, copy of receipt given, verification of relationship and net worth, copy of check taken, copy of order exonerating or forfeiting bail or security, and copy of receipt taken for return of bail or securities. <i>(See also: Receipts for Fines, etc.)</i> (a) Criminal cases (b) Civil and Domestic cases. After notice to appellant of final action on appeal	5 years 30 days
(12) CASH BOOK (JOURNAL).....	7 years
(13) DAILY RECORD OF COURT INCOME AND CUSTODIAL REPORTS	7 years
(14) MONTHLY REPORTS OF FINES AND FEES	2 years
(15) RECEIPTS FOR FINES, Fees, Bail, Executions, and Judgments. Copy of receipts issued: (a) Duplicated in Clerk's, Finance, or Treasurer's Office (b) Record copy (c) Copies in Bail and Appeal Bond Records.....	2 years 7 years (See that series)
(16) RECORD OF FINES AND FEES COLLECTED AND DEPOSITED	7 years
(17) REGISTER OF FEES RECEIVED (Numerical District Court Register): IF this record does NOT serve as the Register of actions required by ORS 7.020	10 years

PART III — Judicial Records

Record Series	Minimum Retention Period
(18) CALENDAR (Bar Docket, Trial Docket, Trial Schedule): Schedules prepared to notify trial and hearings participants of dates and times set for appearances	90 days

Record Series	Minimum Retention Period
(19) CITATIONS for Violations: For fish, game, marine, traffic, littering and other violations for which citation is authorized. IF each citation and action thereon is entered in the Docket required by ORS 46.740, 51.120 or 55.140 (if not so entered, and action is entered on the citation in lieu of docketing, see DOCKET). (a) Bail paid and no trial (b) Judgment entered. After sentence complete	5 years 5 years
(20) DOCKET, District and Justice's Court..... A book, or equivalent record required by ORS 46.740, 51.120, and 55.140.	Permanent
(21) EXECUTION DOCKET (ORS 7.050)	10 years
(22) FILES OF THE COURT (Case Files, Trial Court File): Case files containing all papers or process filed in any action, suit or proceeding. Includes separately filed and maintained case files (probate, adoption, filiation, juvenile, etc.) required by statute to be kept separate. (a) Circuit Court Files (b) Probate Case Files, Circuit, County, District, and Justice's Courts (c) District Court Files and Exhibits other than Probate: (A) Criminal Cases, Judgment entered, after expiration of sentence (B) Criminal Cases, Dismissed or no judgment of conviction entered, after date of last action (C) Civil Cases, Dismissed or no Trial held (D) Civil Cases, Judgment satisfied or not renewed..... (E) Civil Cases, Judgment renewed, after date of renewal (d) Justice of the Peace Case Files: (A) Prior to 1880 in counties west of the Cascades..... (B) Prior to 1910 in counties east of the Cascades (C) Criminal, and Civil cases where no judgment is outstanding, later than 1880 west of the Cascades and 1910 east of the Cascades.....	Permanent Permanent 5 years 5 years 5 years 10 years 10 years Permanent Permanent 6 years

**OREGON ADMINISTRATIVE RULES
CHAPTER 166, DIVISION 40 — STATE ARCHIVIST**

<i>(OAR 166-40-280 Part I)</i>	Minimum Retention Period	<i>(OAR 166-40-280 Part I)</i>	Minimum Retention Period
Record Series		Record Series	
(9) CONTINUOUS MAG TAPES	7 months	(19) MUG SHOTS	Current
A continuously active magnetic tape which logs all incoming calls, police and emergency dispatches and all radio activity. May be connected with a 911 system.		(20) NARCOTICS INFORMATION SHEET	
		Officers report containing information on narcotics activity including types of drugs involved. Could become part of an investigative case file (series 1).	
(10) DAILY ACTIVITY LOG	1 year	(21) PARKING CITATIONS	1 year
Completed by each peace officer for each shift. Information includes time spent, location, type of activity, disposition, vehicle mileage.		(22) TRAFFIC TICKETS AND OTHER CITATIONS	
		Standard Uniform Traffic Citations law enforcement agency copy. Also includes agency copy of citations issued for fish, game, marine, littering, and other violations.	
(11) DAILY OFFICER NOTES	1 year	(23) PAWN BROKERS REPORT	Current
Notes maintained by each officer on events of his shift which do not warrant formal reports.		File maintained on all items pawned and used to trace stolen merchandise.	
(12) DAILY RADIO LOG	1 year	(24) PERMISSION TO SEARCH STATEMENT	5 years
Daily log of radio traffic received or transmitted over the various communications systems in the law enforcement office. This log satisfies FCC log requirements.		Form requesting permission to search a specific premise or area (including vehicle).	
(13) DRIVER EXAMINATION REQUEST	5 years	(25) PERMIT APPLICATIONS	1 year after expiration
State of Oregon Department of Motor Vehicle Division form for use by law enforcement officers to request a driver's license examination be conducted for an individual whose driving skills are questionable.		Permits for special activities including fireworks, parades, displays permits, etc.	
(14) FIELD INTERROGATION REPORTS	90 days after close of case	(26) STOLEN VEHICLE DESCRIPTION FILE	Current
Used primarily for motor vehicle accidents and completed at the site of the accident.		(27) SUMMARY OF STOLEN PROPERTY	
		Includes data on theft and description of the property.	
(15) FINGERPRINT CARDS	5 years	(28) THEFT GUARD FILE	25 years
Copies sent to state police and FBI.		File is used to register numbers stamped or etched into items such as TV's, cameras, guns, etc. Used to trace stolen merchandise.	
(16) EXPLOSIVE PERMITS	90 days	(29) TRAFFIC ACCIDENT REPORTS:	
Completed for State Fire Marshal. Permanent copy with State Fire Marshal.		Used to report motor vehicle accidents. Complete information on all cars and drivers involved in the accident, location, damage, causes, etc.	
(17) GUN REGISTRATION FILE	Permanent	(a) Routine not involving fatality	
Includes Dealer's fire arms record which is submitted to the local law enforcement office on handguns only.		5 years	
(18) JUVENILE OFFENSE OR RUNAWAY REPORT	2 years	(b) Where fatality is involved	
		Permanent	

**OREGON ADMINISTRATIVE RULES
CHAPTER 166, DIVISION 40 — STATE ARCHIVIST**

(OAR 166-40-280 Part I)

Record Series	Minimum Retention Period
(30) VACATION HOME CHECK RECORD	90 days after return of homeowner
(31) WAIVER OF RIGHTS	5 years
Includes waiver of rights in interrogation, etc., lists rights and includes signature of suspect or witness.	
(32) WANTED PERSONS WARRANT FILE AND LOG	Current

PART II — Administrative Records

Record Series	Minimum Retention Period
(33) ANNUAL LAW ENFORCEMENT ACTIVITY REPORTS	Permanent
Primary historical record showing crime and arrest statistics for the year. May be a compilation of monthly reports. Submitted to the governing body.	
(34) APPLICATION AND GRANT INFORMATION:	
(a) Background information, budget monthly reports, claims and other work papers	5 years after completion of project
(b) Final Report — Grant Application	Permanent
(35) BULLETINS AND MONTHLY REPORTS FROM FEDERAL AND STATE LAW ENFORCEMENT AGENCIES	Current
(36) CHARGES TO CITIES FOR POLICE SERVICE	2 years
Itemized account submitted to fiscal office for services rendered by the sheriffs' offices to cities within their jurisdiction for contracted police services.	
(37) COMPUTER INQUIRY LOG	1 year
Log maintained each time the computer is used to retrieve criminal or other information. Includes date of any printout, date returned, and date printout is shredded. Also includes record of visual usage.	

(OAR 166-40-280 Part II)

Record Series	Minimum Retention Period
(38) GASOLINE USAGE RECORDS	3 years
Records gasoline usage by vehicle.	
(39) GENERAL ORDERS	Current
Written orders from the chief police administrator regarding general policy of the particular law enforcement office.	
(40) LAW ENFORCEMENT COMPUTER PRINTOUT	5 years
Summarizes all activities of the law enforcement office on a monthly basis and is used to detect trends and periods and areas of high criminal activity.	
(41) LAW ENFORCEMENT COMPUTER INPUT DOCUMENTS	6 months
(42) LIABILITY RELEASES	7 years
Records release of an individual releasing the law enforcement agency from all liability in the event of injury arising from riding in one of the agency's vehicles.	
(43) PERSONNEL ORDERS AND DIRECTIVES, SPECIAL ORDERS	1 year
Written directives, specific in nature, that either assign personnel to a certain assignment or direct personnel in a certain action.	
(44) MONTHLY LAW ENFORCEMENT REPORTS:	
Monthly compilation of statistics on crime activity.	
(a) If summarized annually or included in the annual report	2 years
(b) If cumulative, year end report	Permanent
(c) If not cumulative, all reports	Permanent
(45) PROPERTY RECEIPTS	Current
Receipts identifying property needed for evidence and found property. Property room control receipts.	
(46) RULES AND PROCEDURES MANUAL	Current
Operational guideline for outlining and guiding the activity and procedures to be followed by all personnel in the law enforcement agency.	

**OREGON ADMINISTRATIVE RULES
CHAPTER 166, DIVISION 40 — STATE ARCHIVIST**

(OAR 166-40-280 Part II)

Record Series	Minimum Retention Period
(47) SCRAPBOOKS Contains newspaper clippings of events concerning law enforcement activities. Includes photographs, articles, statements of police officers and narrative of events.	Permanent
(48) TELETYPE MESSAGE FILE	Current
(49) TELETYPE LOG	1 year
(50) VEHICLE MAINTENANCE RECORDS	Current
Records include all repairs, gasoline consumption, and parts purchased on a particular law enforcement vehicle.	

(OAR 166-40-280 Part IV)

Record Series	Minimum Retention Period
information including complaint, investigative materials, and disposition.	
(a) Unfounded or malicious charge	3 years
(b) Allegation not sustained	5 years
(c) Allegation sustained	Permanent
(55) INTERNAL AFFAIRS CASE FILE INDEX.....	Destroy with case file
(56) RANGE QUALIFICATION RECORD	Permanent
(57) REJECTED EMPLOYMENT APPLICATIONS.....	3 years
(58) TRAINING FILE	Permanent
Includes all records pertaining to training and special course work. May be incorporated with the personnel file after officer has left the service of the office.	

NOTE: Other Administrative Records are covered by OAR 166-40-060.

NOTE: Other personnel records will be covered by OAR 166-40-080.

PART III — Civil Process

Record Series	Minimum Retention Period
(51) CIVIL PROCESS RECORD OF SERVICE	7 years
Record which records service of various types of court and other legal papers.	
(52) COURT WARRANTS.....	Until served or returned to the Court

NOTE: Fiscal records pertaining to civil process fees and bookkeeping records will be covered by OAR 166-40-070.

PART V — Confinement Records

Record Series	Minimum Retention Period
This schedule is applicable only to County or municipal confinement facilities. It is not intended for use by any state confinement facility. All retention periods are dated from the completion of the inmates' sentence.	
(59) BOOKING RECORD	Permanent
This record may be in book, log, or paper form. It is the record of confinement and of time served and must indicate in addition to personal data date of confinement and date of release. This record also may serve as the index to confinement case files.	
(60) COURT COMMITMENT ORDER	5 years
(61) COURT RELEASE ORDER	5 years
(62) DAILY JAILER ACTIVITY LOG	1 year
Narrative report of the activities of the jailer on duty.	

PART IV — Personnel Administration

(53) OFFICER WEAPON REGISTRATION CARD.....	Current
Record of primary and secondary weapons carried by law enforcement officers.	
(54) INTERNAL AFFAIRS CASE FILES:	
Investigative file of complaints against individual law enforcement officers. May be created by complaints from individuals or internal administration. Includes all relevant	

**OREGON ADMINISTRATIVE RULES
CHAPTER 166, DIVISION 40 — STATE ARCHIVIST**

(OAR 166-40-280 Part V)

Record Series	Minimum Retention Period
(63) DISPOSITION OF EARNINGS..... Records the disposition of earnings under the Work Release Program.	5 years
(64) INMATE ACCOUNTABILITY LOG This record may be combined with the jail roster. This is a daily activity log compiled on all transient and temporary inmates awaiting action giving present status of pending prisoners, prisoners on hold status, prisoners recogged or released on security.	1 year
(65) INMATE CASE FILE File may include but not limited to prisoner identification, receipts, work release information and agreement form, fingerprint form, complaints, incident reports, date of entry, date of release, release receipt indicating return of all property, verification of canteen balance, requests for temporary leave, court orders, behavior information, visitor information, and other relevant information pertaining to the arrest and/or incarceration of the individual.	5 years
(66) INMATE CASE FILE INDEX May be part of the booking record.	Permanent
(67) INMATE DAILY CANTEEN FUND ACCOUNT Accounting of funds received and spent in the canteen.	1 year
(68) INMATE MEDICAL RECORDS AND LOG May include all prescriptions authorized and signed for by inmate, log book to include visits to Doctor or Hospital, medical complaints of inmates, and other medical information. Serves as outpatient medical record while under confinement. In the event of hospital confinement, records will be maintained by the hospital concerned.	7 years
(69) INMATE RELEASE RECEIPT Indicates return of all property and verification of canteen balance by the inmate.	5 years

(OAR 166-40-280 Part V)

Record Series	Minimum Retention Period
(70) INMATE REQUISITION FORM Form used to requisition items from the canteen.	90 days
(71) INMATE VISITOR INFORMATION LOG Indicates on a daily basis location and activity of all inmates. Used also as a daily work sheet for inmate accountability and releases.	2 years
(72) JAIL ROSTER A monthly summary of Jail population broken down by category of person, category of offense, agencies served, meals served, court appearances, bail, and other miscellaneous information.	2 years
(73) MONTHLY JAIL SUMMARY Created by visitors as a request to see an inmate.	5 years
(74) VISITOR REQUEST SLIPS May be filed in inmate case file. Indicates place of employment.	5 years
(75) WORK RELEASE FORM Stat. Auth.: ORS Ch. 192 & 357 Hist: OSA 1-1980, f. & ef. 9-2-80	5 years

Records of the Recorder
166-40-300 This schedule is applicable to records in the custody of the County Clerk or other official performing the function of recorder of conveyances.

Record Series	Minimum Retention Period
(1) CHATTEL MORTGAGE RECORD and indexes, includes liens upon chattels. After all mortgages or liens recorded in volume have matured.....	7 years
EXCEPTION: First volume and one sample volume for years 1900, 1920, 1940, and 1960 with matching indexes	Permanent
(2) CHATTEL MORTGAGES FILED, after maturity.....	7 years
(3) COMMUNITY PROPERTY RECORD	Permanent

**OREGON ADMINISTRATIVE RULES
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(OAR 166-40-500)

Record Series	Minimum Retention Period
(19) TIMBER APPLICATION — DESIGNATED FOREST LAND 1 year after termination of special assessment Application for special assessment of designated forest land in Western Oregon in accordance with ORS 321.358 and 321.372.	1 year
(20) TIMBER APPRAISAL SUMMARY. WESTERN OREGON TIMBERLAND 2 years Issued by the Department of Revenue under ORS 325.352(4). Posted to assessment roll.	2 years
(21) TIMBER HARVEST PERMITS 1 year Department of Forestry permit for harvest of timber under ORS 527.670. Duplicates to Assessor and Department of Revenue.	1 year
(22) UNZONED FARM LAND APPLICATION 1 year after land change in designation Owner application for tax deferral under ORS 308.370 on farm land. Filed in first year in which the assessment is desired.	1 year
(23) UNZONED FARM LANDS POTENTIAL ADDITIONAL TAX FORM 1 year after change in land designation Completed as a work sheet for potential additional taxes on specially assessed unzoned farm lands under ORS 308.380 to 308.395.	1 year

NOTE: Other administrative records are covered by OAR 166-40-060 and other fiscal records by OAR 166-40-070.

Stat. Auth.: ORS Ch. 192 & 357
Hist: OSA 2-1980, f. & ef. 9-2-80

Tax Collection Records

166-40-600 This schedule is applicable to the records of the county sheriff or other officer charged with tax collection responsibilities of the county.

Record Series	Minimum Retention Period
(1) ASSESSMENT AND TAX ROLL , or tax roll as received from Assessor, whether a card system as a ledger of accounts receivable for taxed properties or a bound roll	1 year

(OAR 166-40-600)

Record Series	Minimum Retention Period
recording taxes collectible, current and delinquent with Assessor's certificate and Clerk's warrant. This includes print-outs from computer storage. Tax deferred roll for home-steads: Yield tax roll for timber, reforestation assessment and tax roll for additional tax on timber: (a) For all years through 1905 Permanent (b) Years 1906 and later (except years ending in 0 and 5) 50 years (c) Years ending in 0 and 5 after 1905 Permanent	Permanent 50 years Permanent
(2) INDEXES TO BOUND TAX ROLLS (Item 1) Permanent	Permanent
(3) ANNUAL TAX STATEMENT compiled from the tax rolls, certified by the County Clerk Permanent	Permanent
(4) TAX ROLL CONTROL LEDGER , or summary of taxes collected for each taxing district 25 years	25 years
(5) TAX RECEIPTS for personal, real and utility taxes paid 7 years. (ORS 311.361(4))	7 years
(6) DAILY POSTING SHEETS to tax ledger 2 years	2 years
(7) TAX CASH COLLECTION REGISTERS , with tax recapitulations of receipts showing distribution of taxes paid to taxing agencies. (ORS 311.365, Repealed 1965) 7 years	7 years
(8) REQUESTS FOR TAX STATEMENTS from mortgagees and notices of completion of payment and release of mortgage 2 years after completion of payment	2 years
(9) DOCUMENTS TO SUPPORT TAX SEPARATIONS and vouchers, correcting assessment and tax rolls: (a) After tax on personal property affected has been cancelled or collected 1 year (b) After real property for years affected has been foreclosed and deeded to the County 1 year	1 year 1 year
(10) TAX COLLECTOR'S COPY OF WARRANTS FOR COLLECTION of delinquent taxes on personal property When paid or cancelled	When paid or cancelled

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(OAR 166-40-600)

Record Series	Minimum Retention Period
(11) TAX WARRANT LISTS	7 years
(12) REAL PROPERTY FORECLOSURE ON LIEN LISTS and supporting documents. After redemption or foreclosure, when property is deeded to the County. (Record copies of documents are in Circuit Court Judgment files)	1 year
(13) SHERIFF'S CERTIFICATE OF REDEMPTION (Record copy is in Circuit Court Judgment files)	5 years
(14) INSTRUCTIONS FROM STATE OR FEDERAL OFFICIALS. Superseded	2 years
Stat. Auth.: ORS Ch. 357 Hist: OSA 2, f. & cf. 11-21-75; OSA 5, f. 12-30-77, ef. 1-1-78	

Education Records

166-40-700 This schedule is applicable to the program records of public schools, school districts, education service districts, and community colleges. Programs involving federal funds may be subject to additional requirements. Retention periods are applied from the end of the school year (September through August) in which the record is created, unless otherwise stated.

Record Series	Minimum Retention Period
(1) ACCIDENT REPORTS: Reports filed as a result of accidents that involved incidents on school property, in school owned or operated vehicles, or involving staff or students during school related activities. (a) Those involving visitors	7 years
(b) Those involving students or employees: (A) Serious	Permanent
(B) Minor	7 years
(2) APPORTIONMENT RECORDS	Permanent
Records documenting the funds apportioned to the district by the Department of Education and of funds apportioned by the district to the individual schools. May be either a school district record or an education service district records.	
(3) ATTENDANCE RECORDS	2 years
District or school record showing absences, times tardy, and periods of attendance for each student. Information duplicated in the "Oregon School Register".	
(4) ATTENDANCE REGISTER	1 year
Teachers' record of student attendance throughout the school	

(OAR 166-40-700)

Record Series	Minimum Retention Period
year. Information duplicated in the "Oregon School Register".	
(5) BASIC SCHOOL FUND RECORDS	Permanent
Record of monies received by the district apportioned by the Department of Education from the Basic School Fund.	
(6) BOUNDARY BOARD DISTRICT DESCRIPTION	Permanent
Description of the geographical area administered by the district. May include maps.	
(7) CENSUS RECORD	Permanent
Annual census conducted by the district board to determine the number of pupils between the ages of 4 and 20, number of students enrolled, and the number of students in attendance. Early census included additional information.	
(8) CHECK IN & CHECK OUT LISTS	Current
Lists of students and/or employes that leave school, class, or designated area and return.	
(9) COPYRIGHTS & PATENTS	Permanent
Record of copyrights and patents issued jointly to employes and the institution as a result of work performed during the normal course of employment.	
(10) COUNSELING RECORDS — COMMUNITY COLLEGES: (Similar records generated on the primary and secondary educational level are part of the Student Records File). (a) Counselor's Notes (Memory Aids)	Current
Notes created and kept by the counselor for quick reference to conversations with and personal achievements of the individual student. These notes are only shared with a substitute or another colleague on a referral basis. These are usually the only records kept by a counselor on a student in programs stressing individual development.	
(b) Student File	2 years
Records kept on a student involved in a clinical program. Basically behavioral in nature, these could include psychological tests, personality evaluations, individual intelligence tests, interest tests, and records of conversation and incidents.	

**OREGON ADMINISTRATIVE RULES
CHAPTER 166, DIVISION 40 — STATE ARCHIVIST**

(OAR 166-40-700)	Minimum Retention Period	(OAR 166-40-700)	Minimum Retention Period
<p>Record Series</p> <p>(11) COURSE APPROVAL FILE — COMMUNITY COLLEGES 3 years</p> <p style="padding-left: 20px;">Approvals issued by the Department of Education for courses taught at the institution. Contains supporting documentation, impact statements, and approval card showing course title, course number, description, approval date, and signature of approval.</p> <p>(12) DATA SOURCE FILE 10 years</p> <p style="padding-left: 20px;">File of statistical data pertaining to students and programs. May include summaries, reports, lists, surveys, and other information compiled and stored on paper, microfilm, or computer magnetic tape or disc.</p> <p>(13) DISTRICT CLERK'S RECORD BOOK (ANNUAL REPORT) Permanent</p> <p style="padding-left: 20px;">Record of statistical information on students, teachers, and schools within the district. Includes census, enrollment, fiscal, and administrative data. May be filed separately or included in the "Superintendent's Record of Annual Reports".</p> <p>(14) DRIVER'S TRAINING FILE 10 years</p> <p style="padding-left: 20px;">Record of each student that has participated in a driver's training program. Gives student name, date of participation, date of completion, whether passed or failed, and brief details of program.</p> <p>(15) EIGHTH GRADE EXAM RECORD Permanent</p> <p style="padding-left: 20px;">Record of students who have taken the Eighth Grade Examination showing student's name, date of exam, result of exam, and grade earned per subject.</p> <p>(16) ELECTION RECORDS:</p> <p style="padding-left: 20px;">(a) Ballots (ORS 249.380 & 250.570) 90 days</p> <p style="padding-left: 20px;">(b) Notices (ORS 247.580) 2 years</p> <p style="padding-left: 20px;">(c) Petitions (ORS 247.580) 2 years</p> <p style="padding-left: 20px;">(d) Record or statement of returns Permanent</p> <p style="padding-left: 20px;">(e) Tally Sheets (ORS 249.090 & 249.380) 2 years</p>		<p>Record Series</p> <p>(17) EQUIPMENT RECORDS Current*</p> <p style="padding-left: 20px;">Records of individual pieces of equipment showing vehicle inspections, certifications, maintenance, and other similar information relating to equipment usage and upkeep.</p> <p style="padding-left: 40px;">*Retain until disposition of equipment.</p> <p>(18) EVALUATION OF PROGRESS — COMMUNITY COLLEGES 1 year</p> <p style="padding-left: 20px;">Record of student's progress toward a degree or certificate showing subjects taken and subjects needed before degree or certificate is confirmed.</p> <p>(19) EXAMINATION AND CLASS SCHEDULES Current</p> <p style="padding-left: 20px;">Lists of scheduled times and places for examinations and classes.</p> <p>(20) FOOD SERVICE RECORDS:</p> <p style="padding-left: 20px;">The following include records generated through participation in the federally funded School Lunch Program, Milk Program, and Breakfast Program.</p> <p style="padding-left: 40px;">(a) Application for Free Lunch 3 years</p> <p style="padding-left: 40px;">Annual application by student's parents or guardians for child's participation in the school lunch program at a reduced cost or free of charge.</p> <p style="padding-left: 40px;">(b) Operational Records 3 years</p> <p style="padding-left: 40px;">Records of the administrative and financial operations of the food service programs accumulated on a daily, weekly, or monthly basis. Includes records or types of food services, menus planned, meals served, receipts, expenditures, cash due, and donated foods. Financial information duplicated in the district's general accounting system.</p> <p style="padding-left: 40px;">(c) Record of Meal Tickets Issued 1 year</p> <p style="padding-left: 40px;">Accumulated record of all meal tickets issued during the year, to whom issued, and the terms of issuance.</p>	

**OREGON ADMINISTRATIVE RULES
CHAPTER 166, DIVISION 40 — STATE ARCHIVIST**

<i>(OAR 166-40-700)</i>	Minimum Retention Period	<i>(OAR 166-40-700)</i>	Minimum Retention Period
Record Series		Record Series	
(21) GED RECORDS:		(b) Reports on the administrative and fiscal operations of federal or state funded programs compiled on a monthly, quarterly, or semi-annually basis and sent to the granting body or its administrating body as specified in the grant contract or agreement.....	3 years*
(a) Test results	Permanent	(c) All other supporting data	3 years*
(b) Supporting documentation including answer sheets, score sheets, and copy of tests.		*May be subject to additional Federal or State requirements.	
After completion of all sections or lapse of established completion period	5 years	(28) HIGH SCHOOL GRADUATE LISTS	Permanent
(22) GIFTS AND DONATIONS	Permanent	Lists of students graduated.	
Record of gifts and donations to the school or community college.		(29) INVENTORIES	Current*
(23) GRADE BOOK	1 year	Of property, equipment, supplies, and other items owned or administered by the school or district.	
Teacher's record of student progress. May include student's name, subject matter, indication of progress (grade, nature of assignment, completion of assignment, or remarks), and attendance.		*Keep until reconciled with subsequent inventory.	
(24) GRADE CARD.....	1 year	(30) OREGON SCHOOL REGISTER AND RECORD BOOK	Permanent
Input document compiled by the teacher and showing student's name, course title or subject, final grade, and teacher's name. Used in generation of report cards and/or grade lists.		Register of daily attendance and membership data compiled on a classroom basis. May also include tardiness entries. Completed register is submitted to the district clerk or superintendent at the end of each school year. Previously known as "County School Superintendent's Register and Record Book".	
(25) GRADE LIST.....	Current*	(31) PARENT CONFERENCE RECORDS	1 year
List showing courses or subjects taken by each student and final grade.		Record of periodic parent-teacher conferences showing child's progress and parent's reactions and comments. A copy may be filed in the Student File.	
*Keep until grades are transferred to the "Permanent Student Record Card" or "Student Transcript".		(32) PLACEMENT FILES — COMMUNITY COLLEGES.....	5 years
(26) GRADUATION COMPETENCY LISTS:		A voluntary file created by the student and maintained by the Placement Office. Includes information a student deems useful to potential employers, such as letters of recommendation, evaluations, resumes, and personal information.	
Lists of high school students who have met some or all of the minimum competencies necessary for graduation.			
(a) Annual Lists:			
(A) If information is duplicated on the "Permanent Student Record Card"	1 year		
(B) If information is not duplicated on the "Permanent Student Record Card"	90 years		
(b) Periodic Lists.....	Current*		
*Keep until new list is generated.			
(27) GRANT FILES:			
Files on monetary grants received from state and federal sources.			
(a) Original applications, contracts, agreements, annual and final performance reports	Permanent		

**OREGON ADMINISTRATIVE RULES
CHAPTER 166, DIVISION 40 — STATE ARCHIVIST**

<i>(OAR 166-40-1005)</i>	Minimum Retention Period	<i>(OAR 166-40-1015)</i>	Minimum Retention Period
Record Series		Record Series	
(27) SANITATION SERVICE AND LICENSE RECORD, filed forms or forms for closed establishments	7 years	reports of outside physicians, including EEG charts. (f) Releases and communications from hospitals and clinics. (g) Termination data sheet, of which copy is sent to the Oregon State Mental Health Division.	
Vital Statistics Records		EXCEPTIONS: (A) Cases of serious disturbance with possible further complications or of value for staff training purposes, retained longer than 7 years	On recommendation of staff members
(28) BIRTH CERTIFICATES, abstracts or copies: (a) Through 1915, including record books chronologically listing births	Permanent	(B) PERMANENT TREATMENT RECORDS, with matching indexes and clinic journals, selected for research purposes in accordance with agreements with the Oregon Mental Health Division and the Clinics concerned, as records of a "Record" clinic to be used for state research	On planned basis or Permanent
(b) After 1915	2 years	(2) PENDING FAMILY SERVICE OR TREATMENT FILES, OR DOCUMENTS, which did not result in case records being opened. Would include hospital discharge summaries, reports from other clinics and doctors, police incident reports, and any therapy waiting list or pre-admission control record of new cases	2 years
(29) DEATH CERTIFICATES, including fetal or stillbirths, abstracts or copies	Permanent	(3) INTAKE TAPES OF INTERVIEWS USED FOR DIAGNOSTIC STUDY, and movies taken for similar purposes. Unless retained for further diagnostic or staff training purposes, or substituted for detailed written diagnostic record in the family service or treatment record (Item 8)	At discretion of responsible staff member
(30) INDEXES TO BIRTH RECORDS, cards or books: (a) Through 1915	Permanent	(4) ADMISSION JOURNAL or REGISTER OF APPLICATIONS, inactive. Provides name, sex, age, address, and case number, and other data needed to control intake and treatment or to handle transfer of cases to hospital, other clinics, etc.	7 years
(b) After 1915	Destroy	EXCEPTION: Admission records retained under exception item (1)(B) above	Permanent
(31) BIRTH AND DEATH CERTIFICATES LISTS prepared for public inspection	1 year		
(32) BURIAL PERMIT STUBS	1 year		
(33) BURIAL TRANSIT PERMITS	1 year		
(34) REPORTS OF DEATH	1 year		
Stat. Auth.: ORS Ch. 357 Hist: OSA 2, f. & ef. 11-21-75; OSA 5, f. 12-30-77, ef. 1-1-78			
Mental Health Clinic Records 166-40-1015 This schedule is applicable to records in community or county mental health clinics and private clinics which serve as a county clinic under a contract with a county, if the contract so provides.			
Record Series	Minimum Retention Period		
(1) FAMILY SERVICE, OR TREATMENT RECORD. Since last service	7 years		
May include: (a) Admission data form of which duplicate copy is sent to the Oregon State Mental Health Division. (b) Psychiatrist's diagnostic record. (c) Psychologist's testing and treatment record. (d) Social worker's treatment record. (e) Medical examinations or			

**OREGON ADMINISTRATIVE RULES
CHAPTER 166, DIVISION 40 — STATE ARCHIVIST**

<i>(OAR 166-40-1015)</i>		Minimum Retention Period	<i>(OAR 166-40-1025)</i>		Minimum Retention Period
Record Series			Record Series		
(5) MENTAL HEARING LISTING and index maintained for the use of the committing court		Permanent	accumulated from daily or monthly reports		Permanent
(6) APPOINTMENT SCHEDULES, including group therapy, and weekly schedule for case workers, psychiatrists or other employes		1 year	(4) EMERGENCY ROOM, OUTPATIENT OR DUPLICATE ADMISSIONS REGISTER as described in (1).....		7 years
(7) INDEXES of various types to family service records.....	Destroy with matching treatment record		(5) INJURY REPORTS of accident within hospitals.....		7 years
(a) Index to individuals treated.			(6) INSURANCE COMPANY NOTICES of acceptance of patients' claims:		
(b) Index to families (duplicated in County Health Office).			(a) After payment		2 years
(c) Index to medication.			(b) If rejected		7 years
EXCEPTION: Cards for treatment records transferred to Oregon State Mental Health Division under exception (1)(B) above.			(7) INTERNAL REVENUE SERVICE PERMIT TO USE ALCOHOL free of tax (Form 1447), supporting Applications (Form 2600), and Powers of Attorney and/or under signature authorization (Form 1534)		Permanent
(8) TABULATION OF COMMUNITY MENTAL HEALTH CLINIC ACTIVITIES or services:			(8) LABORATORY COPY OF RECORDS (original should be filed in case files)		1 year
(a) Daily records, when compiled into monthly report		1 month	(9) LICENSES FOR HOSPITALS AND PERMITS, after renewal		2 years
(b) Monthly records		20 years	(10) MEDICAL CASE FILES on discharged patients. As described by Oregon State Health Division Rules, OAR 333-23-190(1) through (6)		25 years
Stat. Auth.: ORS Ch. 357			(11) MEDICAL CLINIC RECORDS on discharged patients. As described by Oregon State Health Division Rules, OAR 333-23-190(15).....		7 years
Hist: OSA 2, f. & ef. 11-21-75; OSA 5, f. 12-30-77, ef. 1-1-78			(12) MOTOR ACCIDENT QUESTIONNAIRES and supporting papers for insurance purposes:		
Hospital Records			(a) If determined unrecoverable		5 years
166-40-1025 This schedule is applicable to records in the offices of city, county, or district hospitals.			(b) If determined recoverable.....		7 years
			(c) If judgment obtained but not satisfied		10 years
			(13) NARCOTIC SHEETS or records of distribution of prescription drugs		3 years
			(14) NURSING RECORDS from floors or wards, such as bed books, and records of daily events and responsibilities, used basically to guide work:		

Record Series	Medical Records	Minimum Retention Period
(1) ADMISSION AND OTHER REGISTERS AND INDEXES as specified by the Oregon State Health Division Rules OAR 333-23-190(7). Admissions register may vary in format, as application forms, summary cards or bound volumes. If duplicated between formats, priority of selection of record copy follows above order		Permanent
(2) BIRTH AND DEATH CERTIFICATES, copy of documents forwarded to the State Health Division.....		7 years
(3) CENSUS OR STATISTICAL REPORTS:		
(a) Daily, when cumulated in monthly report or ledger		2 months
(b) Monthly, if cumulated in annual report or ledger		1 year
(c) Annual reports or ledger		

