

Secretary of State
Records Retention Schedule 2001-0039
Effective Date: March, 2002
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Organizational Placement:

Schedule number: 2001-0039

Agency: Secretary of State

Division: Archives

Unit: Administration

Program Description:

The Administrative unit of the State Archives includes the State Archivist, who provides leadership and direction to the Archives Division's activities and actions under ORS 192 and 357. Division functions include authorizing the retention and disposal of public records; providing advice and assistance to government agencies regarding public records; preserving and providing access to historic public records in the State Archives; filing documents required by statute to be filed with the Secretary of State; compiling and publishing the Oregon Blue Book; and filing and publishing the Oregon Administrative Rules.

The State Archivist maintains a presence in the national archives and records community and serves on various national and local boards formed to address public records issues. The Administrative unit collaborates with other state agencies to educate agency administrators about electronic records issues and laws. The Administrative unit communicates with the Executive Office and the Business Services Division regarding fiscal matters and to compile the Archives' portion of the Secretary of State budget.

Program Records:

001 Grant Proposal Review Records

Retain 1 year after affiliation with granting organization ends, destroy

002 Records Center Security System Reports

Retain 1 year, destroy

003 Records Policy Preparation Records

Retain 2 years, destroy

004 Reports, Studies, and Presentations

Retain 5 years, destroy

005 State Archivist's Correspondence, 1985 – [ongoing] 1 cu. ft.

Policy-related correspondence: Retain permanently, transfer to State Archives at end of administration

Databases

None

**State Agency General Records Retention Schedule Records
Administrative Records (OAR 166-300-0015)**

Correspondence

Mailing Lists

Professional Membership Records

Policy and Procedure Guidelines and Manuals

Organizational Placement:

Schedule number: 2001-0039

Agency: Secretary of State
Division: Archives
Unit: Information Resource Management
Program: Records Management

Program Description:

The Records Management program provides advice and assistance on records and information management issues to state and local government agencies in Oregon, and to Oregon state universities, educational service districts, school districts, and schools. In accordance with ORS 192 and OAR 166, Records Management produces and updates special and general records retention schedules for government agencies. The program is also responsible for identifying government agency records with historical value for potential permanent retention in the State Archives. Records Management also writes administrative overviews for agencies and evaluates state records management programs during the records retention scheduling projects. The program develops traditional and web-based training materials for state and local records officers.

Program Records:

006 Administrative Overviews

Retain until superseded or obsolete, destroy

007 Appraisal Checklists

Retain permanently

008 Garten Agency Destruction Reports

Retain 6 years, destroy

009 Records Management Presentations

Retain until superseded or obsolete, destroy

010 Records Officer Database

Retain until information superseded or obsolete, destroy

011 Records Retention Schedules

Retain 10 years after superseded, destroy

012 Records Retention Scheduling Project Records

(a) Agency budgets, draft schedules, and record samples: Retain until project completed, destroy

(b) Correspondence and all other records: Retain until schedule superseded, destroy

013 Records Series Inventory Worksheets

Retain 10 years after superseded or obsolete, destroy

Databases

Records Officer DB

Schedule Tracking DB

**State Agency General Records Retention Schedule Records
Administrative Records (OAR 166-300-0015)**

Correspondence, Administrative
Scheduling and Calendar Records
Staff Meeting Records
Training Records

Personnel Records (OAR 166-300-0015)

Employee Personnel Records
Recruitment Records

Organizational Placement:

Schedule number: 2001-0039

Agency: Secretary of State
Division: Archives
Unit: Information Resource Management
Program: Security Depository

Program Description:

In accordance with OAR 166, Divisions 10 and 25, the Security Depository provides environmentally-controlled microfilm storage for state and local government agencies. However, custody of the microfilm remains with the depositing agency. The program administers and enforces microfilm standards to clients and vendors, and receives, keeps, and deaccessions microfilm for destruction once records have met their retention periods. Each new accession is inspected for by the Security Depository program for compliance with OAR 166, Division 25 before it is accepted for storage. The program also inspects ten percent of its holdings each year to check for microfilm deterioration and monitors the temperature and humidity within the microfilm vault to ensure that ideal storage conditions exist.

Program Records:

014 Microfilm Deaccession Authorizations

Retain 75 years, destroy

015 Security Depository Microfilm Inspection Records

(a) Yearly inspections: Retain permanently

(b) Accession inspections: Retain 10 years after microfilm deaccessioned, destroy

016 Security Depository Microfilm Transmittals

(a) For permanent microfilm: Retain permanently

(b) For microfilm with destruction date: Retain 10 years after microfilm deaccessioned, destroy

017 Security Depository Microfilm Transmittal Requests

Retain 1 year, destroy

018 Security Depository Temperature and Humidity Monitoring Records

Retain 5 years, destroy

019 Security Depository Transaction Log

Retain until superseded obsolete, destroy

Databases

Security Copy Depository

State Agency General Records Retention Schedule Records

Administrative Records (OAR 166-300-0015)

Correspondence

Postal Records

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

Financial Records (OAR 166-300-0025)
Receipts

Organizational Placement:

Schedule number: 2001-0039

Agency: Secretary of State
Division: Archives
Unit: Information Resource Management
Program: State Records Center

Program Description:

The State Records Center houses the inactive records of state agencies per OAR 166, Division 10. Agencies may elect to store records at the State Records Center for a fee and records remain in the custody of the depositing agency. In return, the Records Center offers a secure location for records storage. The Records Center also retrieves records from storage at agency request, and arranges for destruction once records have met their retention periods, or transfers records with permanent retention periods to the State Archives.

Program Records:

020 Authorized Agency Records Requester List

Retain current list, destroy

021 Confidential Destruction Receipts

Retain 4 years, destroy

022 RC LOANS

Retain information 1 year after records disposed of, purge

023 RC UPDATE

Retain information 1 year after records disposed of, purge

024 Records Center Accession Control Log

Retain 75 years, destroy

025 Records Center Assessment Records

Retain 4 years, destroy

026 Records Center Records Locator

Retain until superseded or obsolete, destroy

027 Records Center Records Requests

Retain 5 years, destroy

028 Records Center Records Transmittal Requests

Retain 3 years, destroy

029 Records Center Records Transmittals

(a) For permanent records: Retain 2 years after transferred to the State Archives, destroy

(b) For records with destruction date: Retain 10 years after accession destroyed, destroy

030 Records Disposition Records

Retain 75 years after records disposition, destroy

Databases

RC LOANS

RC UPDATE

State Agency General Records Retention Schedule Records

Administrative Records (OAR 166-300-0015)

Correspondence

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

Equipment Maintenance Records

Organizational Placement:

Schedule number: 2001-0039

Agency: Secretary of State

Division: Archives

Unit: Publications

Program: Administrative Rules

Program Description:

ORS 183 directs state agencies to make Oregon Administrative Rules (OARs) to standardize agency operational policies and procedures. These proposed rules are debated at public hearings, adopted, then filed and published by the Administrative Rules program. This includes filing proposed rules and rule changes, codifying rules, and publishing the *Oregon Administrative Rules Compilation* within the parameters of ORS 183.325-183.370. This program also publishes the *Oregon Bulletin* in accordance with ORS 183.360. The *Bulletin* is a monthly publication that provides updates to the *Oregon Administrative Rules Compilation* and notices of proposed rulemaking.

Both publications are available in both electronic and hardcopy versions. The online version of the Oregon Administrative Rules Compilation is continuously updated and is current to within one month. The hardcopy version of the *Compilation* is printed annually and provides a record of the administrative rules in effect on November 15. The *Bulletin* is compiled and published to the Archives web site and in hardcopy form once monthly.

The Administrative Rules program handles sales and distribution of the hardcopy versions of the *Compilation* and the *Bulletin*. The Business Services Division cashiers all monies received.

Program Records:

031 Administrative Rules Certificate and Order Logs, 1930s – [ongoing] 6 cu. ft.

(a) Hardcopy: Retain permanently, transfer to State Archives after 3 years

(b) Electronic copy: Retain 5 years after rule change published in the Oregon Administrative Rules Compilation, destroy

032 Administrative Rules Compilation, 2000 –[ongoing] 2 cu. ft.

(a) Hardcopy: Retain permanently, transfer to State Archives after 1 year

(b) Electronic copy: Retain until superseded, destroy

033 Administrative Rules Notice and Filing Sign-in Sheets

Retain 1 year, destroy

034 Administrative Rules Notices, 2000 – [ongoing] 2 cu. ft.

Retain permanently, transfer to State Archives after 3 years

035 Administrative Rules Oregon Bulletin, 2000 – [ongoing] 2 cu. ft.

(a) Hardcopy: Retain permanently, transfer to State Archives after 1 year

(b) Electronic copy: Retain until superseded by the Oregon Administrative Rules Compilation, destroy

036 Administrative Rules Permanent and Temporary Rule Filing Records, 1999 – [ongoing] 4 cu. ft.

(a) Original certificate, order, and rule text: Retain permanently, transfer to State Archives after 2 years

(b) Working copy: Retain 1 year, destroy

(c) Computer disk: Retain until rule change published in the Oregon Administrative Rules Compilation, return to submitting agency

037 Administrative Rules Subscription Records

Retain 2 years from the start of the latest subscription year, destroy

Databases

FIS

Subscription

State Agency General Records Retention Schedule Records

Administrative Records - OAR 166-300-0015

Correspondence

Organizational Placement:

Schedule number: 2001-0039

Agency: Secretary of State
Division: Archives
Unit: Publications
Program: Oregon Blue Book

Program Description:

ORS 177.120 directs the Secretary of State to publish the *Oregon Blue Book*, a reference directory to Oregon government. The Oregon Blue Book program solicits, compiles, edits, and formats *Blue Book* content, and publishes the *Book*. ORS 177.120 permits free distribution of the *Blue Book* to Oregon's government agencies and legislators, as well as some federal agencies and lawmakers. The Publications unit distributes these free copies, and the Business Services Division handles sales distribution and receipt of payment. The *Blue Book* contains listings and functional descriptions of state and local government agencies and educational institutions, as well as photographs, facts about Oregon history, and information on the arts and media in Oregon. The *Book* is published during odd-numbered years.

Program Records:

038 Oregon Blue Book

Retain 1 soft-covered copy, transfer to State Archives after publication printed and accepted

039 Oregon Blue Book Photographs

- (a) Print-quality photos: Retain permanently, transfer to the State Archives after 10 years
- (b) Non-print quality photos: Retain until publication printed and accepted, destroy
- (c) Borrowed photos: Return to submitting agency or individual

040 Oregon Blue Book Preparation Materials

Retain until publication printed and accepted, destroy

Databases

Blue Book Distribution

State Agency General Records Retention Schedule Records

Administrative Records (OAR 166-300-0015)

Correspondence

Mailing Lists

Organizational Placement:

Schedule number: 2001-0039

Agency: Secretary of State

Division: Archives

Unit: Reference

Program Description:

The Reference unit transfers, preserves, and provides access to the permanently valuable records of Oregon government within its holdings. Reference archivists assist patrons with use of materials and respond to remote requests for information from the Archives holdings. The unit negotiates the transfer of historic records from state and local government agencies, accessions these records into the State Archives holdings, and creates finding aids for the use of those records. The unit may also inventory historically valuable records held by local governments to refer interested Archives patrons to the local governments holding these records. The Reference unit creates historical exhibits to display within the Archives building and on the Archives web site using materials within the Archives holdings. Periodically, the unit reappraises the Archives holdings and deaccessions records without historical value. Users of the State Archives include members of the general public, government agencies, private businesses, genealogists, and students of all ages.

Program Records:

041 Accession Register

Retain permanently

042 Archives Records Destruction Authorization Records

Retain permanently

043 Archives Records Transmittals

Retain permanently

044 Exhibit Loan Records

Retain 1 year after loan returned, destroy

045 Exhibit Preparation Records

Retain 10 years, destroy

046 Finding Aids

Retain until superseded or obsolete, destroy

047 Microfilm Records

(a) Camera operator reports: Retain 2 years, destroy

(b) Security copy vendor transmittals: Retain permanently

048 Monthly Statistical Reports

Retain 20 years, destroy

154 Patron Correspondence

Retain 1 year, destroy

APPROVED:

_____	_____
Agency	Date
_____	_____
State Archivist	Date

049 Records Vault Temperature and Humidity Monitoring Records

Retain 5 years, destroy

050 Records Use Forms

Retain 1 year, destroy

Databases

all index

Archives locator

Deaccession Register

delayedbirths

evidence

highway photo

Portlandbirth

portlanddeath

terr calendar

State Agency General Records Retention Schedule Records

Administrative Records (OAR 166-300-0015)

Correspondence

Scheduling and Calendar Records

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

Hydrothermograph Maintenance Records (see Equipment Maintenance Records)

Organizational Placement:

Schedule number: 2001-0039

Agency: Secretary of State
Division: Archives
Unit: Reference
Program: Official Documents

Program Description:

The Official Documents program receives and files various records that are required by statute to be filed with the Secretary of State. These records document government actions, including annexations, city mergers, and special district agreements (ORS 198, 199, and 222), city and county agreements (ORS 190), county home rule charters (ORS 203), extradition warrants and requests (ORS 133), appointment of and oaths taken by government officials, commission activities, executive clemencies and orders, and resolutions. The Official Documents program receives reports of state revenue generated through a variety of sources, such as cigarette taxes, lottery transactions, and US federal mineral leases. The program also maintains a file of signatures of individuals authorized as state agency signers.

Responsibility for filing State Deeds of Land transferred to the Department of State Lands in 1993.

Program Records:

- 051 Annexations, 2000 – [ongoing]**
Retain permanently, transfer to State Archives
- 052 Appointments and Oaths of Office, 2000 – [ongoing]**
 - (a) Appointments and oaths of office for board, commission, and task force members:
Retain 12 years, destroy
 - (b) All other appointments and oaths of office: Retain permanently, transfer to State Archives
- 053 City Filings, 2000 – [ongoing]**
 - (a) Mergers and name changes: Retain permanently, transfer to State Archives
 - (b) All other filings: Retain 15 years, destroy
- 054 Commodity Commission Filings, 2000 – [ongoing]**
 - (a) Formations: Retain permanently, transfer to State Archives
 - (b) All other filings: Retain 15 years, destroy
- 055 County Home Rule Charters, 2000 – [ongoing]**
Retain permanently, transfer to State Archives
- 056 Extradition Records**
Retain 50 years, destroy
- 057 Governor’s Executive Clemency Records, 2000 – [ongoing]**
Retain permanently, transfer to State Archives
- 058 Governor’s Executive Orders, 2000 – [ongoing]**
Retain permanently, transfer to State Archives

059 Governor's Proclamations, 2000 – [ongoing]

Retain permanently, transfer to State Archives

060 Intergovernmental Agreements, 2000 – [ongoing]

Retain permanently, transfer to State Archives

061 Official Documents Index Cards

Retain until data entry completed and verified, destroy

062 Resolutions, 2000 – [ongoing]

Retain permanently, transfer to State Archives

063 Special District Filings, 2000 – [ongoing]

(a) Annexations, dissolutions, formations, mergers, withdrawals, and other records: Retain permanently, transfer to State Archives

(b) Registered agents and registered offices: Retain 15 years, destroy

064 State Agency Authorized Signers, 2000 – [ongoing]

(a) Registrars of vital statistics: Retain permanently, transfer to State Archives

(b) All other records: Retain 25 years, destroy

065 State Revenue Distribution Reports

Retain 10 years, destroy

Databases

officialdocuments

State Agency General Records Retention Schedule Records

Administrative Records - OAR 166-300-0015

Correspondence

Organizational Placement:

Schedule number: 2001-0039

Agency: Secretary of State

Division: Archives

Unit: Reference

Program: Reception

Program Description:

Reception routes the Archives' telephone traffic and handles general Archives inquiries. Reception also schedules the Archives' conference rooms, registers Archives patrons, and monitors and logs building visitors.

Program Records:

066 Registration Number and Locker Key Log

Retain 1 year, destroy

067 Patron Registration Records

Retain 2 years from date of last activity, destroy

068 Visitor Logs

Retain 1 year, destroy

Databases

Registration

State Agency General Records Retention Schedule Records

Administrative Records (OAR 166-300-0015)

Correspondence

Scheduling Records

Organizational Placement:

Schedule number: 2001-0039

Agency: Secretary of State

Division: Audits

Unit: Administration

Program Description:

The Administrative arm of the Audits Division includes the Division Director, who is responsible for direction and oversight of the Division's activities. The Director also sits on various state boards, such as the Joint Legislative Audit Committee. The Administration unit is also responsible for conducting two interim evaluations of each State Auditor in trial service in addition to the required yearly personnel evaluations.

Program Records:

069 Employee Time Allotment Records (VPM)

Retain 4 years, destroy

070 Trial Service Auditor Interim Evaluations

Retain 3 years, destroy

Databases

VPM (Visual Practice Management System)

State Agency General Records Retention Schedule Records

Administrative Records (OAR 166-300-0015)

Correspondence

Policy and Procedure Guidelines and Manuals

Training Records

Organizational Placement:

Schedule number: 2001-0039

Agency: Secretary of State

Division: Audits

Program: Government Waste Hotline

Program Description:

Under ORS 177.170(1), the Secretary of State is charged with maintaining a toll-free hotline for the public and state employees to report waste, inefficiency, or abuse by state agencies, state employees, or persons under contract with state agencies. The Audits Division is responsible for this confidential, 24-hour hotline. The Division also receives waste reports via electronic and US mail. Received reports are logged and may be forwarded to other state agencies for resolution or, if possible, investigated by the Audits Division during a state agency audit (see State Agency Audit Reports in the State Agency Audits program).

Program Records:

071 CALL LOG Records

Retain 5 years after report resolved or forwarded to another agency for resolution, purge

Databases

Call Log

State Agency General Records Retention Schedule Records

Administrative Records (OAR 166-300-0015)

Correspondence

Organizational Placement:

Schedule number: 2001-0039

Agency: Secretary of State

Division: Audits

Program: Municipal Audits

Program Description:

The Audits Division is responsible for administering the Municipal Audit Law (ORS 297), which holds municipalities accountable for spending their public funds appropriately. The Municipal Audits program, the Oregon Society of Certified Public Accountants, and the State Board of Accountancy prescribe the standards for municipal audits and the municipal audit report, which is submitted to the Audits Division. The Municipal Audits program reviews a sample of these audits to check the form and content of the report against Generally Accepted Accounting Principles (GAAP) and the Municipal Audit Law. All fees associated with report submission are received and processed by the Business Services Division.

Program Records:

072 MUNICIPAL Database

Retain 4 biennia, purge

073 Municipal Audit Reports

Retain 30 years, destroy

Databases

Municipal

State Agency General Records Retention Schedule Records

Administrative Records (OAR 166-300-0015)

Correspondence

Organizational Placement:

Schedule number: 2001-0039

Agency: Secretary of State

Division: Audits

Program: State Agency Audits

Program Description:

The Oregon Constitution identifies the Secretary of State as the State Auditor. The Audits Division is responsible for auditing and ORS 297 defines the authority and responsibilities of the Division. The State Agency Audits program conducts financial, performance, and information systems audits for state agencies.

Program Records:

074 State Agency Audit Reports

Retain 50 years, destroy

075 State Agency Audit Workpapers

Retain 5 years or 2 audits, whichever is longer, destroy

076 Sunsetting State Agency Records

Retain until released to the State Archives

Databases

Archive

Reports Released

State Agency General Records Retention Schedule Records

Administrative Records (OAR 166-300-0015)

Correspondence

Organizational Placement:

Schedule number: 2001-0039

Agency: Secretary of State
Division: Business Services
Unit: Accounting
Program: Cash Receipts and Disbursements

Program Description:

The Cash Receipts and Disbursements program provides fiscal support services for all Divisions within the Secretary of State agency. Responsibilities include managing, auditing, and processing transactions for accounts receivable; processing and recording daily revenue; and processing all asset, liability, expenditure and revenue transactions on the Statewide Financial Management Application (SFMA). The program also uses the auditor time accounting system (VPM) owned by the Audits Division to bill other state agencies for audits performed by the Audits Division.

Program Records

077 Credit Suspense List

Retain until superseded, destroy

078 Uncollected Fees Records

Retain until fees returned by collection agency or until debt written off according to ORS 293.240, destroy

Databases

None

State Agency General Records Retention Schedule Records

Administrative Records (OAR 166-300-0015)

Correspondence

Signature Authorizations

Financial Records (OAR 166-300-0025)

Account Reconciliation Records

Accounts Receivable Reports

Cash Receipts

Correspondence, Fiscal

Debit/Credit Advices

Deposit Slips

Encumbrance Registers

Expenditure Projection Reports

Oregon State Treasury Reports

Receipt Registers

Receipts

Revenue Registers

Travel Expense Records

Voucher Reports

Voucher Registers

Vouchers

Warrant Cancellation Request Records

Organizational Placement:

Schedule number: 2001-0039

Agency: Secretary of State
Division: Business Services
Unit: Accounting
Program: Financial Reporting

Program Description:

The Financial Reporting program prepares the Secretary of State agency's portion of the statewide Comprehensive Annual Financial Report (CAFR). The program is also responsible for reporting to the federal government on the federal funds allocated to and spent by the Secretary of State agency. Financial Reporting also prepares for the Secretary of State agency's external audit.

Program Records:

None

Databases

None

State Agency General Records Retention Schedule Records

Administrative Records (OAR 166-300-0015)

Correspondence

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

Fixed Asset Inventory Reports

Financial Records (OAR 166-300-0025)

Accounts Receivable Reports

Audit Reports

Annual Financial Reports

General Ledger Transaction Reports

Expenditure Reports

Oregon State Treasury Reports

Revenue Reports

Trial Balance Reports

Organizational Placement:

Schedule number: 2001-0039

Agency: Secretary of State
Division: Business Services
Unit: Accounting
Program: Payroll

Program Description:

The Payroll program handles all payroll-related accounting functions for the Secretary of State agency. The program receives employee timesheets and enters this information into the Oregon State Payroll Application (OSPA). The program reconciles OSPA accounts to the Statewide Financial Management Application (SFMA), coordinates employee benefits, tax withholdings, and deductions, and ensures compliance with applicable rules, regulations, and policies.

Program Records:

None

Databases

None

State Agency General Records Retention Schedule Records

Administrative Records (OAR 166-300-0015)

Correspondence

Payroll Records (OAR 166-300-0035)

Deduction Registers

Employee Payroll Records

Employee Time Records

Federal and State Tax Records

Family Medical Leave Records

Oregon State Payroll System (OSPS) Reports

Organizational Placement:

Schedule number: 2001-0039

Agency: Secretary of State
Division: Business Services
Unit: Administration

Program Description:

The Business Services Division operates under the authority of ORS 177.050, ORS 177.120, and OAR 167 and provides centralized business and administrative support for the Secretary of State agency. The Administration unit sets the strategic direction and oversees the operations of the Business Services Division. The unit works with the rest of the Secretary of State agency to develop consistent financial policies and programs in accordance with generally accepted financial rules, regulations, policies, and best practices. The Division Director is also the Secretary of State agency safety officer and the Administration program coordinates health and safety initiatives, including Division development of emergency response plans and procedures, incident reporting, risk assessment and management, and insurance claims.

Program Records:

079 Lobbyist Expenditure Reports

Retain 4 years, destroy

Databases

None

State Agency General Records Retention Schedule Records

Administrative Records (OAR 166-300-0015)

Administrative Rule Preparation Records

Correspondence

Legislative Tracking Records

Policy and Procedure Guidelines and Manuals

Staff Meeting Records

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

Damaged/Stolen Property Records

Equipment/Property Disposition Records

Risk Management Records (OAR 166-300-0045)

Emergency Response Plans and Procedures

Hazard Exposure Records

Incident Reports

Insurance Fund Claim Records

Occupational Injury and Illness Records

Risk Factor Evaluation Records

Safety Compliance and Inspection Records

Safety Program Records

State Accident Insurance Fund (SAIF) Claim Records

Vehicle Accident Records

Organizational Placement:

Schedule number: 2001-0039

Agency: Secretary of State

Division: Business Services

Unit: Budget

Program Description:

The Budget unit compiles the Secretary of State agency budget. Responsibilities include coordinating budget preparation activities between the Department of Administrative Services, Legislative Fiscal Office, and the Secretary of State Divisions. After budget approval, the program provides the Divisions with expenditure patterns and forecasts, advises on budget adjustments, and prepares Emergency Board Requests.

Program Records

None

Databases

None

State Agency General Records Retention Schedule Records

Administrative Records (OAR 166-300-0015)

Budget Preparation Records

Correspondence

Financial Records (OAR 166-300-0025)

Budget Allotment Reports (Budget Monitoring Forms)

Emergency Board Requests

Organizational Placement:

Schedule number: 2001-0039

Agency: Secretary of State

Division: Business Services

Unit: Deposit Interface

Program Description:

The Deposit Interface unit receives and processes all cash and cash equivalents received. The unit verifies deposit, lockbox, and credit card transactions to reconcile the Treasury, bank, and agency records. The unit also reconciles fixed asset accounting records, maintains inventory levels, and handles all associated accounting to ensure payment of invoices through the Cash Receipts and Disbursements program.

Program Records:

080 Supply Inventory Records

Retain 4 years, destroy

Databases

DIS

Fixed Assets

Inventory

State Agency General Records Retention Schedule Records

Administrative Records (OAR 166-300-0015)

Correspondence

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

Fixed Asset Inventory Reports

Financial Records (OAR 166-300-0025)

Cash Receipt Records (including Credit Card Transaction Records)

Organizational Placement:

Schedule number: 2001-0039

Agency: Secretary of State
Division: Business Services
Unit: Procurement

Program Description:

The Procurement unit handles contract administration for the Secretary of State agency. Contracts cover goods and services, maintenance, and agreements with other governmental entities. Unit responsibilities include executing contracts; monitoring contract compliance and adherence to timelines and budgets; and resolving contract problems. The unit also develops contract documents, including the invitation to bid (ITB), and requests for proposal or quote (RFP and RFQ).

Program Records:

None

Databases

None

State Agency General Records Retention Schedule Records

Administrative Records (OAR 166-300-0015)

Contracts and Agreements

Correspondence

Personal Service Contracts

Financial Records (OAR 166-300-0025)

Competitive Bid Records

Organizational Placement:

Schedule number: 2001-0039

Agency: Secretary of State

Division: Corporation

Unit: Administration

Program Description:

The Administrative unit of the Corporation Division includes the Division Director, who is responsible for strategic planning and direction of the Division's activities. The Administrative unit works with the Business Services Division to formulate the Division's biennial budget and then tracks the budget throughout the biennium. The Director collaborates with other state agencies on business registration issues and initiatives. In particular, the Director works with the Business Law section of the Oregon State Bar on potential legislative changes to the statutes governing business entities in Oregon.

Program Records

081 Central Business Registry Project Records

Retain 5 years after project ends, destroy

082 Reinstatement Litigation Records

Retain 10 years after final case closure, destroy

Databases

None

State Agency General Records Retention Schedule Records

Administrative Records (OAR 166-300-0015)

Administrative Rule Preparation Records

Correspondence

Legislative Tracking Records

Policy Development and Planning Records

Organizational Placement:

Schedule number: 2001-0039

Agency: Secretary of State
Division: Corporation
Unit: Business Information Center

Program Description:

The Business Information Center, operating under ORS 56.180, provides information on federal, state, and local licensing and registration to individuals starting new businesses in Oregon. The Center is a consortium of six agencies with interests in business registration. In addition to the Corporation Division, participating agencies include the Oregon Departments of Revenue, Employment, Consumer & Business Affairs, Economic Development, and the Construction Contractors Board.

Inmates at the Oregon State Correctional Institution are trained to use the Business Information Center (BIC) System to provide information to potential entrepreneurs over the phone. Interested parties may also solicit and receive information from the Business Information Center through the US mail and e-mail.

Program Records:

083 Oregon Business Guide Publication

Retain until superseded or obsolete, destroy

Databases

BIC System (consisting of the following six databases: BIC Agency Referral P3, BIC Call Log P3, BIC CityCo License P3, BIC Health LicPerm P3, BIC InfoRequests P3, and BIC SBDC Lists P3)

State Agency General Records Retention Schedule Records

Administrative Records (OAR 166-300-0015)

Correspondence
Training Records

Organizational Placement:

Schedule number: 2001-0039

Agency: Secretary of State
Division: Corporation
Unit: Business Registry

Program Description:

The Business Registry unit operates under the ORS chapters 56, 58, 60, 62, 63, 65, 68, 70, 128, and 554, which govern the creation, conduct, and dissolution of businesses in Oregon. The unit is a non-regulatory agency, responsible for maintaining and providing a public record of businesses, large and small, operating in Oregon. This information is available to the public, legal professionals, other businesses, and other agencies through the Corporation Division's web site, or by verbal or written request. The above statutes direct businesses operating in Oregon to file organizational documents with the Business Registry, including articles of incorporation or organization; applications for business trust; certificates of limited partnership; amendments to their organizational documents; and documents of dissolution. Legal corporations, limited partnerships, business trusts, limited liability companies, and limited liability partnerships must annually certify their filing information and must also file amendments updating the information whenever changes occur.

In accordance with ORS 648, the unit also provides a public record of assumed business names, and any amendments, renewals, or dissolutions. An assumed business name filing provides the name and contact information of the registered party or individual responsible for a business. Generally, smaller businesses file these documents instead of filing as business entities.

The Business Registry unit logs notifications (i.e. summonses and complaints) of legal action against business entities that cannot be located. The unit also registers trade and service marks and a small number of union labels and fraternal insignias under ORS 647, 649, and 661.

The Business Services Division receives and processes payments required to file business registration documents with the Business Registry unit. The unit has the authority to "unfile" the documents of any business that does not submit payment.

Program Records

084 Assumed Business Name Filing Records

Retain 5 years after inactive, destroy

085 Business Entity Annual Filing Update Records

Retain until superseded or obsolete, destroy

086 Business Entity Filing Records, 1850 – [ongoing] cu .ft. (see explanation)

Retain permanently, transfer to State Archives after reinstatement period expires

087 Legal Services Log Records

Retain 15 years, destroy

088 Non-Sufficient Fund Payment Records

Retain 1 year, destroy

089 Trade and Service Mark Registration Records

Retain 5 years after reinstatement period expires, destroy

Databases

BERI (DP05)

BR Trademarks P3

Corp Central Filing P1

State Agency General Records Retention Schedule Records

Administrative Records (OAR 166-300-0015)

Correspondence

Guidelines

Policy and Procedure Manuals and

Organizational Placement:

Schedule number: 2001-0039

Agency: Secretary of State

Division: Corporation

Unit: Notary Public

Program Description:

The Notary Public unit of the Corporation Division appoints and commissions individuals as notaries public of the State of Oregon under the authority of OAR 160 and ORS 194. The unit administers application examinations, investigates complaints of notarial misconduct, and enforces administrative sanctions. As keeper of the public record of Oregon's notarial commissions, it authenticates Oregon notaries and certifies their status. Under the Hague Convention laws, the unit has the power to affix apostille certificates to documents notarized in Oregon to certify the document to a foreign country. The unit also develops educational activities for Oregon notaries, including publishing a Notary Public Guide and other materials, maintaining a web site, and conducting notary seminars statewide. The Business Services Division processes any fees associated with notary filing.

Program Records

090 Apostille Index

Retain 5 years, destroy

091 Notary Public and Other Commission Registrations

Retain 7 years after notarial commission expires, destroy

092 Notary Public Commission Index

Retain 10 years after notarial commission expires, destroy

093 Notary Public Complaint and Revocation Records

Retain 7 years after notarial commission expires, destroy

094 Notary Public Guide Publication

Retain until superseded or obsolete, destroy

095 Notary Public Journals of Terminated Commission

Retain 7 years after notarial commission expired, destroy

Databases

NotProd

State Agency General Records Retention Schedule Records

Financial Records (OAR 166-300-0025)

Correspondence, Fiscal

Organizational Placement:

Schedule number: 2001-0039

Agency: Secretary of State

Division: Corporation

Unit: Program Services

Program Description:

Information on businesses collected by the Corporation Division is freely and publicly available through the Corporation Division web site, however, individuals desiring sophisticated searches and specialized extracts of the Division's information systems may purchase these services through the Program Services unit. These services may be purchased once, several times, or routinely by subscription. The Program Services unit performs the requested searches and provides this information to the customer. Common customers include service companies, law firms, legislators, and law enforcement agencies. The unit also works on internal projects and assembles statistics on all types of Division transactions, such as filings, amendments, and information requests. The Business Services Division processes fees received for information services.

Program Records:

096 Statistical Business Reports

Retain 1 month, destroy

097 Subscription Services Records

Retain 1 year, destroy

Databases

PS Report Customers P1

PS Subscriptions P4

State Agency General Records Retention Schedule Records

Administrative Records (OAR 166-300-0015)

Correspondence

Financial Records (OAR 166-300-0025)

Budget Preparation Records

Organizational Placement:

Schedule number: 2001-0039

Agency: Secretary of State
Division: Corporation
Unit: Uniform Commercial Code

Program Description:

The Uniform Commercial Code unit is responsible for providing a public record of secure transactions for personal property. Its purpose is to record, retain, and retrieve information concerning Uniform Commercial Code (UCC) filings. These filings are renewable and amendable. This service exists to reduce the risk of creditors by establishing a security interest incurred by a debtor, so that priority of claim may be proved in case of bankruptcy or default; and by providing information on financing statements and liens to interested parties. The UCC is a set of laws adopted into statute (ORS 79) by the 50 states to develop common standards for dealing with business law questions about secured transactions. The unit also files some non-UCC liens for agricultural produce, manufactured homes, and public finance projects. The Business Services Division collects and deposits all filing fees.

Program Records

098 Agricultural Produce Liens

Retain 1 year after claim is satisfied or expires, destroy

099 Agricultural Services Lien

Retain 2 years after claim is satisfied or expires, destroy

100 Farm Product Filings and Registrations

Retain 1 year after notice expires, destroy

101 Federal Tax Liens

Retain 10 years or until security agreement expires, destroy

102 Grain Liens

Retain 2 years after claim is satisfied or expires, destroy

103 Lien Search Request Records

Retain 90 days, destroy

104 Security Agreement Financing Statements

Retain 1 year after security agreement expires, destroy

Databases

UCC System

State Agency General Records Retention Schedule Records

Administrative Records (OAR 166-300-0015)

Correspondence

Organizational Placement:

Schedule number: 2001-0039

Agency: Secretary of State

Division: Elections

Program: Campaign Finance Reporting

Program Description:

Campaign Finance Reporting is governed by the Oregon Constitution, Article II, ORS 260, and OAR 165, Division 12. The Campaign Finance Reporting program receives and examines contribution and expenditure statements filed by state candidates and political committees. ORS 260 requires committees to file three reports for each election, either in hardcopy or electronically, with the Campaign Finance Reporting program. Hardcopy filers use contribution and expenditure forms supplied by the unit pursuant to ORS 260.200. Any other form types must be unit approved by the program. After each election, the program must publish summary contribution and expenditure data according to ORS 260.255. Campaign Finance Reporting also answers written and oral inquiries about contribution and expenditure reporting requirements.

Program Records

105 Contribution and Expenditure Reporting Form Approvals

Retain 2 years, destroy

106 Contribution and Expenditure Reports Received Log (Hand Log)

Retain until entered into database and verified, destroy

107 Contribution and Expenditure Statements

Retain 6 years after election per ORS 260.255, destroy

108 Contribution and Expenditure Summary Book, 1958 – [ongoing] 3 cu. ft.

Retain permanently, transfer to State Archives after book is published

109 Statements of Organization

Retain 6 years after organization dissolved, destroy

Databases

DP01

State Agency General Records Retention Schedule Records

Administrative Records (OAR 166-300-0015)

Administrative Rule Preparation Records

Attorney General Opinions

Correspondence

Policy and Procedure Guidelines and Manuals

Organizational Placement:

Schedule number: 2001-0039

Agency: Secretary of State

Division: Elections

Program: Candidate Filing and Political Party Formation

Program Description:

The Candidate Filing and Political Party Formation program files all documents required for political party formation and candidacy for state office. ORS 248 governs political party formation and ORS 249 governs candidate filing. The processes for forming a political party or declaring candidacy are very similar. Generally, prospective parties and candidates must gather a set number of signatures to declare. Candidates may opt to pay a fee instead of gathering signatures to declare. The program verifies the prospective candidate is a resident of the claimed county and a registered voter and authorizes the parties and candidates to collect signatures. Prospective candidates must submit signatures verified by the appropriate county election officials to the program. For political party formation, the program forwards a random sample of signatures to the county election officials for verification.

When vacancies in state offices occur, either through an official's resignation or death, the program files documents relating to the appointment of officials to fill the vacancy. The program also documents and monitors activities relating to presidential elections, and publicizes the list of open offices during each election cycle.

Program Records:

110 Candidate Filing Records

Retain 2 years according to ORS 249.012, destroy

111 Open Office Lists

Retain 2 years, destroy

112 Political Party Formation Records

Retain 6 years, destroy

113 Presidential Election Records

Retain 4 years, destroy

114 Vacancies in Office Records

Retain 4 years, destroy

Databases

DP01

State Agency General Records Retention Schedule Records

Administrative Records (OAR 166-300-0015)

Administrative Rule Preparation Records

Attorney General Opinions

Correspondence

Press Releases

Organizational Placement:

Schedule number: 2001-0039

Agency: Secretary of State

Division: Elections

Program: Elected Official Recall

Program Description:

ORS 249 and the Oregon Constitution, Article 2, Section 18, govern the process of elected official recall. The Elected Official Recall program only oversees the petitioning process for the recall of state-level elected officials. Local government officials are responsible for the petitioning process for recall of local officials. A registered voter of the district from which the official is elected or appointed may file a recall petition. The petitioner must submit their signature sheets to the Elected Official Recall program for approval before collecting the signatures. Once collected, county election officials verify the signatures. The program must notify the elected official if the petition is deemed valid. The counties conduct the recall election and deliver their results to the program, which determines the election outcome (see the State and Local Election Administration program in the Election Division schedule).

Program Records

115 Elected Official Recall Petition Records

Retain 2 years, destroy

Databases

DP01

State Agency General Records Retention Schedule Records

Administrative Records (OAR 166-300-0015)

Administrative Rule Preparation Records

Attorney General Opinions

Correspondence

Organizational Placement:

Schedule number: 2001-0039

Agency: Secretary of State
Division: Elections
Program: Election Law Enforcement

Program Description:

Under ORS 260, election complaints may be filed with any elections filing officer at the state or local levels. However, the Election Law Enforcement program is the only entity with investigative and enforcement authority. The program is responsible for investigating reports of misconduct, except when the complaint involves the current Secretary of State or a candidate for the office of Secretary of State. In these instances, investigation and enforcement authority is transferred to the Attorney General.

The program notifies candidates and political committees of non-filed, late, or insufficient reports and other violations of campaign finance laws and regulations (ORS 260.232, ORS 260.995, and OAR 165, Division 13). It also arranges contested case hearings for election law violations (OAR 165, Division 1). Alleged criminal election law violations are referred to the State Attorney General.

Program Records

116 Contribution and Expenditure Penalty Records

Retain 10 years after case closed, destroy

117 Election Law Complaint and Violation Cases

Retain 10 years after case closed, destroy

Databases

DP01

State Agency General Records Retention Schedule Records

Administrative Records (OAR 166-300-0015)

Administrative Rule Preparation Records

Attorney General Opinions

Correspondence

Information Management Records (OAR 166-300-0030)

Elections Law Complaint and Violation Log (see Records Management Records, Destruction Records)

Organizational Placement:

Schedule number: 2001-0039

Agency: Secretary of State

Division: Elections

Program: Election Recount

Program Description:

ORS 258 and the Oregon Constitution govern contested elections and election recounts. In the event of an automatic recount, the Election Recount program coordinates the recount process, which is conducted at the county level. The program notifies county election precincts to conduct recounts, collects fees from individuals requesting the recount, and coordinates the reimbursement of election precincts for expenses incurred in the recount. The Business Services Division processes fees and reimbursements.

Program Records:

118 Election Recount Records

Retain 2 years after recount completed, destroy

Databases

DP01

State Agency General Records Retention Schedule Records

Administrative Records (OAR 166-300-0015)

Attorney General Opinions

Correspondence

Organizational Placement:

Schedule number: 2001-0039

Agency: Secretary of State
Division: Elections
Program: Initiative and Referendum

Program Description:

The Oregon Constitution, Articles II and IV, ORS 250, and OAR 165, Division 14 govern the initiative and referendum process. The Initiative and Referendum program receives and processes prospective statewide initiative and referendum petitions and signature sheets. County, city, and district petitions are filed with local officials. The Initiative and Referendum program reviews petitions for procedural, statutory, and constitutional compliance. Approved petitions are sent to the Attorney General, who drafts and eventually certifies the ballot title. The program publicizes the draft and certified ballot titles to public, determines timelines, prepares press releases, and tracks petitions through the process. The program also receives petition signatures and coordinates the county-level verification of a random sample of signatures. Verification results determine whether petitions qualify as ballot measures.

Records Description:

Approved Changes September 16, 2003:

Secretary of State Signature	Date
Roy C. Turnbaugh, State Archivist	Date

Program Records

- 119 Initiative and Referendum Petition Files, 1992 – [ongoing] 4-5 cu. ft.**
 - (a) Petitions qualified to ballot: Retain permanently, transfer to State Archives after 4 years
 - (b) Petitions not qualified to ballot: Retain 6 years, destroy
- 120 Initiative and Referendum Signature Sheets**
 - (a) Adopted measures: Retain 6 years after election, destroy
 - (b) Rejected measures and measures never qualified to ballot: Retain **6 years**, destroy
- 121 Initiative and Referendum Verification Records**
Retain 6 years, destroy

Databases

DP01

**State Agency General Records Retention Schedule Records
Administrative Records (OAR 166-300-0015)**

Administrative Rule Preparation Records

Attorney General Opinions

Correspondence

Mailing Lists

Policy and Procedure Guidelines and Manuals

Press Releases

Organizational Placement:

Schedule number: 2001-0039

Agency: Secretary of State

Division: Elections

Program: State and Local Election Administration

Program Description:

The Oregon Constitution, Article II, OAR 165, Division 7, and other statutes direct the Secretary of State to maintain uniformity in the application, operation and interpretation of the election laws. The State and Local Election Administration program oversees the conduct of local elections. Program functions include: certifying voting machines and vote tally systems to ensure elector secrecy and the integrity of votes cast using voting machines in Oregon (ORS 246.520-246.610); issuing directives to local officials on conduct of elections (ORS 246.120); reporting on election cost and voter participation for general and primary elections and special elections; filing the official copies of statements and proclamations of the results of statewide elections; and publishing abstracts of state election results (ORS 254).

In addition to assisting local election officials, the program provides guidance and advice on application of election laws to candidates and voters; maintains a host of manuals for candidates on campaigning for local and state offices and on campaign finance reporting procedures and requirements; and publishes manuals on the candidate recall, initiative and referendum, and vote-by-mail processes.

Program Records

122 Abstracts of Votes

(a) Official abstracts, 1902 – [ongoing], 4 cu. ft.: Retain permanently, transfer to State Archives after 4 years

(b) County statistics, 1992 – [ongoing], 4 cu. ft.: Retain permanently, transfer to State Archives after 4 years

123 Election Ballot Statements and Proclamations, 1970 – [ongoing] 2 cu. ft.

Retain permanently, transfer to State Archives after 20 years

124 Election Cost and Participation Reports

(a) Final reports: Retain 20 years, destroy

(b) County source documents: Retain 2 years, destroy

125 Election Directives

Retain 6 years after repeal of entire directive, destroy

126 Election Law Advisory Memoranda

Retain until superseded or obsolete, destroy

127 Election Manuals

Retain 10 years, destroy

128 Special Election Reports

(a) Final reports: Retain 20 years, destroy

(b) County source documents: Retain 2 years, destroy

129 Vote-by-Mail Publications

Retain until superseded or obsolete, destroy

130 Voting Machines and Vote Tally System Certification Records

(a) Certificates of approval: Retain 2 years after system decertified or removed from service, destroy

(b) All other records: Retain 2 years, destroy

Databases

DP01

State Agency General Records Retention Schedule Records

Administrative Records (OAR 166-300-0015)

Administrative Rule Preparation Records

Attorney General Opinions

Correspondence

Policy and Procedure Guidelines and Press Releases

Manuals

Publication Preparation Records

Organizational Placement:

Schedule number: 2001-0039

Agency: Secretary of State
Division: Elections
Program: State Voters' Pamphlet

Program Description:

The State Voters' Pamphlet program is responsible for compiling, publishing, and distributing the State Voters' Pamphlet for the primary, general, and statewide special elections (OAR 165, Division 16 and ORS 251). The State Voters' Pamphlet contains candidate statements, candidate photographs, ballot measure arguments, explanatory and fiscal impact statements of ballot measures, and other information to assist voters. The program formats this information into the State Voters' Pamphlet. ORS 250.125-250.131 directs the Secretary of State, State Treasurer, and the Directors of the Departments of Administrative Services and Revenue to prepare statements of fiscal impact for all ballot measures that will expend public funds. ORS 251 directs the appointment of a committee for each measure to draft an explanatory statement for inclusion in the State Voters' Pamphlet. The program coordinates hearings for fiscal impact and explanatory statements. Printing of the pamphlet is contracted out to a printer. The Business Services Division is responsible for payment of printing costs.

Program Records:

131 Explanatory Statement Committee and Hearing Records

Retain 4 years after election, destroy

132 Fiscal Impact Statement Committee and Hearing Records, 1994 – [ongoing] 2 cu. ft.

(a) Adopted measures: Retain permanently, transfer to State Archives after 4 years

(b) Rejected measures: Retain 4 years after election, destroy

133 State Voters' Pamphlet, 1902 – [ongoing] 8 cu. ft.

Retain measure summaries permanently, transfer 1 copy to State Archives after pamphlet printed

134 State Voters' Pamphlet Preparation Records

Retain 4 years after election, destroy

Databases

DP01

State Agency General Records Retention Schedule Records

Administrative Records (OAR 166-300-0015)

Administrative Rule Preparation Records

Attorney General Opinions

Correspondence

Press Releases

Organizational Placement:

Schedule number: 2001-0039

Agency: Secretary of State
Division: Elections
Program: Voter Registration

Program Description:

The Voter Registration program oversees state and local government compliance with the National Voter Registration Act (NVRA), ORS 247, and OAR 165, Division 5. The primary function of the program is to produce several reports on the number of registered voters in Oregon. County clerks provide monthly reports to the program on the number of registered voters in their counties. The Voter Registration program compiles this information into a breakdown of Oregon voters by party, county, senate and house districts. In odd-numbered years, the program also prepares a report to the Federal Election Commission in accordance with NVRA (11 CFR 8). This report identifies the number of new valid voter registrations, the total number of voter registrations received statewide, whether valid or invalid, since the last federal general election, number and type of agencies registering voters, and other voter information.

Voter Registration enforces ORS 247.176, which states that a person may not request more than 5,000 voter registration cards in two years. The program publishes a newsletter, which is distributed to Oregon voter registration agencies, such as post offices and DMV offices. The program also updates and publishes Oregon Voter Registration Form.

Program Records:

135 NVRA Connection Newsletter

Retain 5 years, destroy

136 NVRA Sweeps Week Voter Registration Records

(a) Federal Election Commission report: Retain 10 years, destroy

(b) County source documents: Retain 2 years, destroy

137 Voter Registration Card Request Forms

Retain 2 years, destroy

138 Monthly Voter Registration Report Records

(a) Monthly compilation: Retain 10 years, destroy

(b) County source documents: Retain 2 years, destroy

Databases

NVRA

State Agency General Records Retention Schedule Records

Administrative Records (OAR 166-300-0015)

Administrative Rule Preparation Records

Attorney General Opinions

Correspondence

Policy and Procedure Guidelines and Manuals

Organizational Placement:

Agency: Secretary of State

Division: Executive Office

Schedule number: 2001-0039

Program Description:

The Secretary of State is an elected, constitutional office. The Secretary serves as auditor of public accounts, custodian of Legislative and Executive public records, and Chief Elections Officer. The Secretary of State oversees the functions of seven Divisions and operates under the authority of the Oregon Constitution, ORS 177, and ORS 240. Every ten years, the Oregon Constitution requires the Secretary of State to redistrict State Senate and State Representative districts if the Legislative Assembly fails to do so by July 1. The Secretary is also a member of the State Land Board with the Governor and the State Treasurer. The Deputy Secretary of State generally oversees the Archives, Audits, Corporations, and Elections Divisions. The Chief of Staff generally oversees the Business Services, Information Systems, and Personnel Divisions.

Program Records

139 Deputy Secretary of State's Correspondence, 1999 – [ongoing] 1 cu. ft.

Retain permanently, transfer to State Archives at end of administration, Archives staff will appraise records for permanency

140 Land Board Issues Records, 1991 – [ongoing] 9 cu. ft.

Retain permanently, transfer to State Archives at end of administration, Archives staff will appraise records for permanency

141 Management Council Records, 1999 – [ongoing] .5 cu. ft.

Retain permanently, transfer to State Archives at end of administration, Archives staff will appraise records for permanency

142 Original Enrolled Legislative Bills, 1999 – [ongoing] 4 cu. ft.

Retain permanently, transfer to State Archives after each legislative session

143 Redistricting Records, 2001 - [ongoing] 10 cu. ft.

Retain permanently, transfer to State Archives at end of administration, Archives staff will appraise records for permanency

144 Secretary of State's Correspondence, 1999 – [ongoing] 1-2 cu. ft.

Retain permanently, transfer to State Archives at end of administration, Archives staff will appraise records for permanency

145 Secretary of State's Press Releases, 1999 – [ongoing] .1 cu. ft.

Retain permanently, transfer to State Archives at end of administration, Archives staff will appraise records for permanency

146 Secretary of State's Official Calendar Records, 1999 – [ongoing] .1 cu. ft.

Retain permanently, transfer to State Archives at end of administration, Archives staff will appraise records for permanency

147 Secretary of State's Scheduling Records, 1999 – [ongoing] 1-2 cu. ft.

Retain permanently, transfer to State Archives at end of administration, Archives staff will appraise records for permanency

148 Secretary of State's Speeches, 1999 - [ongoing] .5 cu. ft.

Retain permanently, transfer to State Archives at end of administration, Archives staff will appraise records for permanency

149 Secretary of State's Subject Files, 1999 – [ongoing] 2 cu. ft.

Retain permanently, transfer to State Archives at end of administration, Archives staff will appraise records for permanency

150 Secretary of State's Trip Files, 1999 – [ongoing] .5 cu. ft.

Retain permanently, transfer to State Archives at end of administration, Archives staff will appraise records for permanency

Databases

SOS

State Agency General Records Retention Schedule Records

Administrative Records (OAR 166-300-0015)

Administrative Rule Preparation Records

Legislative Tracking Records

Mailing Lists

Policy and Procedure Guidelines and Manuals

Postal Records

Organizational Placement:

Schedule number: 2001-0039

Agency: Secretary of State

Division: Information Systems

Unit: Administration

Program Description:

The Information Systems Division Director oversees and directs the Division's activities. Broadly stated, these activities include providing the Secretary of State agency with centralized hardware, software, telephony, and network services and trouble-shooting services, application development, and maintenance. The Director also represents the Secretary of State agency's technology interests on various advisory groups and panels, such as the Governor's IT Roundtable. The Director reviews and approves contracts for information systems projects within the Secretary of State and with other state agencies, and works on electronic government planning initiatives for the Secretary of State agency. The Director also works with the Business Services Division to prepare and track the Division's budget.

Program Records:

151 Information Systems Policy Committee Records

Retain 2 years, destroy

Databases

Archived Information

Oracle

Purchase Order

State Agency General Records Retention Schedule Records

Administrative Records (OAR 166-300-0015)

Correspondence

Policy Development and Planning Records

Information Management Records (OAR 166-300-0030)

Information Systems Planning and Development Records

Organizational Placement:

Schedule number: 2001-0039

Agency: Secretary of State
Division: Information Systems
Unit: Application Development

Program Description:

The Application Development unit collaborates with Secretary of State Divisions to improve business processes through information systems development and implementation. The unit develops Division business plans and aids in identifying Division business processes for potential improvement. Once areas for improvement are identified, the Application Development unit works with the Division to chart the project plan, and design and build the system. The unit also assists Divisions in managing their organizational transition to the new workflow systems, procedures, and processes resulting from the business process improvements and new information systems.

The Application Development unit is also responsible for database administration to ensure the design integrity and security of the Secretary of State agency databases. The unit is responsible for configuration management. This process ensures that Information Systems developers and Division staff build and maintain the Secretary of State agency's information systems in accordance with professionally accepted standards and processes.

Program Records:

152 Completed Systems Project Records

Retain 1 year after life of current system, destroy

Databases

None

State Agency General Records Retention Schedule Records

Administrative Records (OAR 166-300-0015)

Correspondence

Policy and Procedure Guidelines and Manuals

Information Management Records (OAR 166-300-0030)

Computer System Program Documentation

Information System Planning and Development Records

Organizational Placement:

Schedule number: 2001-0039

Agency: Secretary of State
Division: Information Systems
Unit: Technical Services

Program Description:

The Technical Services unit is responsible for the information technology infrastructure for all Secretary of State Divisions. Depending on the level of the Information Systems involvement, Technical Services generally provides the following support to Divisions: connectivity to the statewide wide area network (WAN) maintained by the Department of Administrative Services (DAS); connectivity to the Secretary of State local area network (LAN); e-mail services; backup and recovery for network and database servers; procurement, installation, and maintenance of hardware, including PCs, peripherals, servers and wiring; software procurement, maintenance, and license renewal; and system security. The unit also operates the agency helpdesk, which provides onsite technical support to Secretary of State employees. The unit may also provide network access and security; draft technology policies and procedures; and analysis and recommendations to Divisions undertaking information systems projects.

The Technical Services unit is also responsible for maintenance of the telephone systems for Secretary of State Divisions located in the Public Services Building.

Program Records:

153 Website and Helpdesk Technical Services Statistical Reports

- (a) Annual: Retain 2 years, destroy
- (b) Monthly: Retain until annual report published, destroy

Databases

hws
Optivity
Software
SOS Phone #s

**State Agency General Records Retention Schedule Records
Administrative Records (OAR 166-300-0015)**

Correspondence

Personal Service Contracts

Policy and Procedure Guidelines and Manuals

Information Management Records (OAR 166-300-0030)

Computer System Maintenance Records

Computer System Program Documentation

Computer System Security Records

Computer System Wiring Records

Forms Development Records

Software Management Records

Telecommunications System Management Records

User Support Records

Organizational Placement:

Schedule number: 2001-0039

Agency: Secretary of State

Division: Personnel Resources

Program Description:

The Personnel Resources Division provides human resource services consisting of advice and assistance in the interpretation and application of state and federal personnel laws and policies and Oregon Secretary of State policies and procedures. Personnel Resources maintains the Secretary of State agency's personnel record system, and is responsible for monitoring human resource management activities in the agency. The Division is also responsible for personnel policy development, implementation, and compliance, development of the agency alternative dispute resolution policy, recruitment and selection, employee discipline and grievance, performance management, compensation and classification, union organization relations, affirmative action planning and monitoring, employee orientation, and employee layoff and out-placement assistance. Personnel Resources also offers agency-wide training and development.

Program Records

None

Databases

Affirmative Action

State Agency General Records Retention Schedule Records

Administrative Records (OAR 166-300-0015)

Correspondence

Mailing Lists

Policy and Procedure Guidelines and Manuals

Publication Preparation Records

Training Program Records

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

Forms Development Records

Public Records Disclosure Request Records

Payroll Records (OAR 166-300-0035)

Family Medical Leave Records

Personnel Records (OAR 166-300-0040)

Affirmative Action Records

Collective Bargaining Records

Comparable Worth Study Records

Conference and Workshop Records

Employee Personnel Records

Employee Suggestion Award Records

Employment Eligibility Verification Forms (I-9)

Equal Employment Opportunity Commission Compliance Records

Equal Employment Opportunity Complaint Records

Human Resource Services Division Statistical Reports

Layoff Records

Position Description and Reclassification Records

Position Inventory Control System (PICS) Reports

Recruitment and Selection Records