

Oregon State Treasury
Records Retention Schedule 2016-0011
Edition: July 2021

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Oregon State Archives Records Retention Schedule

Edition: July 2021

Organizational Placement:

Agency: State Treasury
Division: Executive
Program: State Treasurer

Schedule Number: 2016-0011

Program Description:

The State Treasurer serves as a constitutional officer, is a statewide elected official, and is the chief financial officer for the state with responsibility for the sound management of the state's financial resources. The Treasurer receives, and is responsible for, all moneys paid into the State Treasury, as well as providing investment, banking, and debt services to local governments. The monies received are managed and protected through prudent investment and cash management practices.

The Deputy State Treasurer, along with the Treasurer's Chief of Staff, takes responsibility for developing and implementing Agency: policy. The Deputy State Treasurer is responsible for administrative oversight of Treasury programs located in the Labor & Industries Building. Treasury division directors, including the Directors of Debt, Finance, Investments, Shared Services, and Information Services report to the Deputy State Treasurer who reports directly to the State Treasurer.

Program Records:

001 Coin Records

- (a) Retain Oregon Trail Commemorative Coin Program Records permanently, transfer to State Archives at end of administration
- (b) Retain State Quarter Records permanently, transfer to State Archives at end of administration

002 Deputy Treasurer's Correspondence

Retain permanently, transfer to State Archives at end of administration

003 State Treasurer's Calendar Records

Retain permanently, transfer to State Archives at end of administration

004 State Treasurer's Correspondence

Retain permanently, transfer to State Archives at end of administration

005 State Treasurer's Invitations

Retain permanently, transfer to State Archives at end of administration

006 State Treasurer's Press Releases

Retain permanently, transfer to State Archives at end of administration

007 State Treasurer's Speeches

Retain permanently, transfer to State Archives at end of administration

008 State Treasurer's Subject Files

Retain permanently, transfer to State Archives at end of administration

Oregon State Archives
Records Retention Schedule

Edition: July 2021

State Agency General Records Retention Schedule Records:

Administrative Records (OAR 166-300-0015)

Correspondence

Public Records Disclosure Request Records

Staff Meeting Records

Work Orders

Year 2000 (Y2K) Planning Records

Databases Used:

None

Oregon State Archives Records Retention Schedule

Edition: July 2021

Organizational Placement:

Agency: State Treasury
Division: Executive
Program: Boards, Commissions, and Committees

Schedule Number: 2016-0011

Program Description:

The Treasurer or the Treasurer's designee serves on a number of State Boards and Commissions, including the Municipal Debt Advisory Commission, Oregon Investment Council, Oregon 529 Network Savings Board, Private Activity Bond Committee, State Land Board, Oregon Council for Knowledge and Economic Development, Oregon Short Term Fund Board, Oregon Retirement Savings Board, Oregon Investment Fund, and State Debt Policy Advisory Commission.

Program Records:

009 Audio and Video Recordings of Board and Commission Meetings

Retain until transcribed, summarized or indexed, reuse or destroy

010 Municipal Debt Advisory Commission Meeting Records

(a) Retain minutes and agendas 10 years, transfer to State Archives

(b) Retain all other records 6 years, destroy

011 Oregon 529 Savings Network Board Meeting Records

(a) Retain minutes and agendas 10 years, transfer to State Archives

(b) Retain all other records 6 years, destroy

012 Oregon Facilities Authority Board Meeting Records

(a) Retain minutes and agendas 10 years, transfer to State Archives

(b) Retain all other records 6 years, destroy

013 Oregon Investment Council Meeting Records

(a) Retain minutes and agendas 10 years, transfer to State Archives

(b) Retain all other records 6 years, destroy

014 Oregon Retirement Savings Board Meeting Records

(a) Retain minutes and agendas 10 years, transfer to State Archives

(b) Retain all other records for 6 years, destroy

015 Oregon Short Term Fund Board Meeting Records

(a) Retain minutes and agendas 10 years, transfer to State Archives

(b) Retain all other records 6 years, destroy

016 Private Activity Bond Committee Meeting Records

(a) Retain minutes and agendas 10 years, transfer to State Archives

(b) Retain all other records 6 years, destroy

017 State Debt Policy Advisory Commission Meeting Records

(a) Retain minutes and agendas 10 years, transfer to State Archives

(b) Retain all other records 6 years, destroy

018 State Land Board Meeting Records

Retain permanently, transfer to State Archives at end of administration

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

Oregon State Archives Records Retention Schedule

Edition: July 2021

Administrative Rules
Contracts and Agreements
Correspondence

Databases Used:

None

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Organizational Placement:

Schedule Number: 2016-0011

Agency: State Treasury

Division: Executive

Program: Human Resources

Program Description:

The Human Resources program is responsible for screening and hiring qualified candidates for positions at Treasury, and for ensuring compliance with personnel administration laws. Its functions include recruiting and selection, fingerprinting and background checks, training, and compliance with federal and state regulations such as the Americans with Disabilities Act, ethics filings, and the Equal Employment Opportunity Act.

Program Records:

019 Professional Conduct Statements

Retain 6 years, destroy

020 Gift Reports

Retain 6 years, destroy

021 Financial Disclosure Statements

Retain 6 years, destroy

State Agency General Records Retention Schedule Records:

Administrative Records (OAR 166-300-0015)

Conference, Seminar, and Training Program Records

Personnel Records

Employee Personnel Records Recruitment and Selection Records

Databases Used:

Training System

Personnel System

Payroll System

Oregon State Archives
Records Retention Schedule

Edition: July 2021

Organizational Placement:

Agency: State Treasury
Division: Executive
Program: Internal Audit

Schedule Number: 2016-0011

Program Description:

Internal Audit assists management in strengthening controls and mitigating risk within the Agency. An annual risk assessment evaluates Agency: risks and helps the Agency: select audit topics for its one- and three-year audit plans.

Program Records:

022 Risk Assessment Work Papers
Retain 5 years, destroy

State Agency General Records Retention Schedule Records:

Financial Records (OAR 166-300-0025)

Internal Audit Reports

Databases Used:

None

Oregon State Archives Records Retention Schedule

Edition: July 2021

Organizational Placement:

Agency: State Treasury
Division: Executive Services
Section: Administrative Services

Schedule Number: 2016-0011

Program Description:

The Shared Services program provides reception, payroll, budget, purchasing, contracting, facilities coordination, and policy planning and development to Treasury.

Program Records:

None

State Agency General Records Retention Schedule Records:

Administrative Records (OAR 166-300-0015)

Administrative Rule Preparation Records
Agency: Organization Records
Business Plan Records
Contracts and Agreements
Key Assignment Records
Policy and Procedure Guidelines and Manuals
Policy Development and Planning Records
Security Records
Visitor Logs
Work Orders
Facilities/Property Records
Asset Inventory Reports
Building Records
Damaged/Stolen Property Records
Equipment Maintenance Records
Equipment/Property Disposition Records
Facility Work Orders

Financial Records (OAR 166-300-0025)

Competitive Bid Records-Requests for Proposals
Travel Expense Records
Bank Statements
Accounting System Input Documents and Listings

Databases Used:

ORPICS
SMFA
ORPIN

Oregon State Archives Records Retention Schedule

Edition: July 2021

Organizational Placement:

Schedule Number: 2016-0011

Agency: State Treasury

Program: 529 Savings Network

Program Description:

The Oregon 529 Savings Network, formerly known as the Oregon Qualified Tuition Savings Program, is a set of qualified college savings investment plans administered by the State of Oregon to help families and individuals save for higher education expenses. It offers the Oregon College Savings Plan and the Oregon ABLE Savings Plan directly to consumers and other plans sold through financial intermediaries. Families may use the assets at any eligible institution of higher education in the United States – including technical, vocational, and graduate schools – for a wide range of educational expenses, including tuition, fees, books, and room and board expenses. Under the ABLE Savings Plan, families can save for qualified disability expenses without losing their federal and state benefits.

The Network is staff to the Oregon 529 Network Savings Board, which is composed of the State Treasurer, three members appointed by the Treasurer, and one member appointed by the Board of Higher Education.

Program Records:

023 529 Network Savings Investment Performance and Sales Reports

Retain 1 year, destroy

024 529 Savings Network Reports to Legislature

Retain 6 years, destroy

State Agency General Records Retention Schedule Records:

Administrative Records (OAR 166-300-0015)

Administrative Rules

Contracts and Agreements

Correspondence

Oregon State Archives Records Retention Schedule

Edition: July 2021

Organizational Placement:

Schedule Number: 2016-0011

Agency: State Treasury

Division: Debt Management

Program: Advance Refunding Plan Review/Approval

Program Description:

Advance Refunding Plan Review/Approval program oversees the process local government use when bonds are executed to achieve debt service savings when new bonds are sold at interest rates significantly below those of the original issue. Advance refunding may also be undertaken to affect a permanent reorganization of debt or to remove restrictive covenants. Treasury is responsible for assessing the merit of proposed advance refunding issues and authorizing those having a significant beneficial impact.

Program Records:

025 Advance Refunding Records (Plan, Review, Approval)

Retain 1 year after maturity, destroy

State Agency General Records Retention Schedule Records:

Administrative Records (OAR 166-300-0015)

Correspondence

Policy and Procedure Guidelines and Manuals

Databases Used:

None

Oregon State Archives
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Organizational Placement:

Schedule Number: 2016-0011

Agency: State Treasury
Division: Debt Management
Program: Debt Obligations Issuance

Program Description:

The Debt Management division provides central coordination and approval for the issuance of all state Agency: and authority bonds and Appropriation Credits for the State of Oregon.

Program Records:

- 026 Securities and Exchange Commission Disclosure Filings**
Retain 3 years after maturity, destroy
- 027 State Agency Bond Transcript Records**
 - (a) Retain non-refunded bonds, 3 years after maturity, destroy
 - (b) Retain refunded bonds, 3 years after maturity of refunding bonds, destroy
- 028 State Agency Working Records**
Retain 6 years, destroy

State Agency General Records Retention Schedule Records:

Administrative Records (OAR 166-300-0015)

Correspondence
Policy and Procedure Guidelines and Manuals

Databases Used:

None

Oregon State Archives Records Retention Schedule

Edition: July 2021

Organizational Placement:

Schedule Number: 2016-0011

Agency: State Treasury
Division: Debt Management
Program: Oregon Facilities Authority

Program Description:

The Oregon Facilities Authority (OFA) is empowered to assist with the assembling and financing of lands for health care, housing, educational, and cultural uses and for the construction and financing of facilities for such uses. The State Treasurer, upon recommendation of the Authority, issues all bonds. The State Treasurer appoints the five members of the Authority for staggered four-year terms.

Program Records:

- 029 Oregon Facilities Authority Annual Reports**
Retain 20 years, destroy
- 030 Oregon Facilities Authority Bond Transcripts**
Retain 3 years after maturity, destroy
- 031 Oregon Facilities Authority Securities and Exchange Commission Disclosure Filings**
Retain until 3 years after maturity, destroy

State Agency General Records Retention Schedule Records:

Administrative Records (OAR 166-300-0015)

Correspondence
Policy and Procedure Guidelines and Manuals

Databases Used:

None

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Edition: July 2021

Organizational Placement:

Schedule Number: 2016-0011

Agency: State Treasury

Division: Debt Management

Program: Oregon School Bond Guaranty

Program Description:

Under the Oregon School Bond Guaranty Program, the Office of the State Treasury may guarantee the general obligation bonds of school districts, education service districts or community colleges for the purpose of providing interest cost savings to state taxpayers

Oregon voters approved Ballot Measure 54, in 1998, which amended the constitution allowing the state to guaranty qualified bonds of eligible school districts, education service districts, and community colleges throughout Oregon. As a result, the program allows qualified districts to have their bonds rated based on the State's current credit rating. The program saves districts thousands of dollars in interest costs over the life of the district's bonds.

Program Records

032 Oregon School Bond Guaranty Applications

Retain 3 years after maturity, destroy

State Agency General Records Retention Schedule Records:

Administrative Records

Correspondence

Policy and Procedure Guidelines and Manuals

Databases

None

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Organizational Placement:

Schedule Number: 2016-0011

Agency: State Treasury

Division: Debt Management

Program: Private Activity Bond Committee

Program Description:

The Debt Management division serves as staff to the Private Activity Bond Committee. The Committee is responsible for allocating to local governments a portion of the state private activity bond limit. The federal government limits the number of tax-exempt bonds states may issue for such purposes. The Committee is composed of one representative each from the Oregon Department of Administrative Services and the State Treasurer, and one public representative appointed to serve at the pleasure of the Governor.

Program Records:

033 IRS Form 8038 (Information Return for Tax-Exempt Private Activity Bond Issues)

Retain until 1 year after bond maturity, destroy

034 IRS Form 8328 (Carryforward Election of Unused Private Activity Bond Volume Cap)

Retain until 1 year after bond maturity, destroy

State Agency General Records Retention Schedule Records:

Administrative Records (OAR 166-300-0015)

Correspondence

Policy and Procedure Guidelines and Manuals

Databases Used:

None

Oregon State Archives Records Retention Schedule

Edition: July 2021

Organizational Placement:

Agency: State Treasury
Division: Finance
Section: Banking
Program: Banking

Schedule Number: 2016-0011

Program Description:

This program provides central banking services to state agencies, handling virtually all funds passing in or out of state government. Incoming payment types include: cash and checks deposited into a variety of banking institutions throughout the state, credit and debit card transactions and electronic funds transfers (including ACH and wires). Disbursement types include warrants, checks, credit/debit cards, and electronic funds transfers (ACH and wires).

Program Records:

- 035 Account Analysis Reports**
Retain 4 years, destroy
- 036 Account Transfer Requests**
Retain 4 years, destroy
- 037 Agency: Redeemed Check Listings**
Retain 6 years, destroy
- 038 Automated Clearing House (ACH) Enrollment Forms**
Retain until account is closed, destroy
- 039 Automated Clearing House (ACH) and Wire Requests, Notices of Change (NOCs), and Cash Concentration**
Retain 6 years, destroy
- 040 Bank Deposit Listings**
Retain 4 years, destroy
- 041 Bank Reconciliations/Adjustment Documentation**
Retain 4 years, destroy
- 042 Bank Transactions (including Bank to Bank)**
Retain 4 years, destroy
- 043 Check Forgery Records (Forgery Letters)**
Retain 6 years, destroy
- 044 Deposit Slip Orders**
Retain 4 years, destroy
- 045 Deposit Slips**
Retain 4 years, destroy
- 046 Ladd & Bush Redeemed/Cancelled Checks**
Retain 6 years, destroy
- 047 Phoenix Online Adjustments**
Retain 4 years, destroy
- 048 Treasury Accounts Balance Sheets**
Retain 4 years, destroy
- 049 Treasury Bank Account Records**
Retain 6 years, destroy

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- 050 US Bank State Warrant and Check Encoding Errors and Checks Paid Twice Adjustments**
Retain 4 years, destroy

State Agency General Records Retention Schedule Records:

Administrative Records (OAR 166-300-0015)

Correspondence

Databases Used:

None

Oregon State Archives Records Retention Schedule

Edition: July 2021

Organizational Placement:

Agency: State Treasury
Division: Finance
Section: Banking
Program: Bond and Coupon

Schedule Number: 2016-0011

Program Description:

The Bond and Coupon program coordinates the payments of state general obligation bonds. Oregon residents may redeem bonds by mail or in-person at the Treasury office. If a bond or coupon goes unredeemed/unclaimed for five years after the maturity or call date, the related funds are transferred from the state's fiscal agent through the Oregon State Treasury to the Division of State Lands. Bond and Coupon serves as liaison between the general public and the Division of State Lands, by verifying the ownership of bonds and coupons. The Bond and Coupon program also serves as liaison between the general public and the state's fiscal agent.

Program Records:

- 051 Bond and Coupon Destruction Certificates**
Retain 4 years, destroy
- 052 Bond and Coupon Mail Logs**
Retain 2 years, destroy
- 053 Bond and Coupon Reconciliations**
Retain 4 years, destroy
- 054 Bondholder Payment Slips**
Retain 4 years, destroy
- 055 Debt Service Spreadsheets/Maturity Bills/DMD System Report #DMR080-03**
Retain 4 years, destroy
- 056 Fiscal Agent Fee Invoices**
Retain 4 years, destroy
- 057 Lost Bonds and Coupons Stop Payment Records**
Retain 25 years, destroy
- 058 Unclaimed Property Claims**
Retain permanently, transfer to State Archives after 10 years

State Agency General Records Retention Schedule Records:

Administrative Records (OAR 166-300-0015)

Correspondence

Databases Used:

Banking systems
Finance systems

Oregon State Archives Records Retention Schedule

Edition: July 2021

Organizational Placement:

Agency: State Treasury
Division: Finance
Section: Banking
Program: Collateral Pool

Schedule Number: 2016-0011

Program Description:

Treasury acts as a pool manager responsible for overseeing the collateralization of all public funds on deposit with qualified financial institutions. The Collateral Pool program also oversees depository banks and banks authorized to act as pool managers ensuring that banks accepting deposits of public funds comply with statutory collateralization requirements. Certificates of participation are instruments issued by a pool manager to a public official for deposits higher than the amount insured by the federal government.

Program Records:

- 059 Certificates of Participation**
Retain 4 years after canceled or superseded, destroy
- 060 Collateral Pool Billings**
Retain 4 years, destroy
- 061 Monthly Reports to Custodian Banks**
Retain 4 years, destroy
- 062 Monthly Reports from Custodian Banks**
Retain 4 years, destroy
- 063 Pledges of Security**
Retain 4 years after security is released, destroy
- 064 Securities Substitution or Release Requests**
Retain 4 years, destroy

State Agency General Records Retention Schedule Records:

Administrative Records (OAR 166-300-0015)

Correspondence

Databases Used:

Certificates of Participation Tracking System (Sybase)

Oregon State Archives Records Retention Schedule

Edition: July 2021

Organizational Placement:

Agency: State Treasury
Division: Finance
Section: Banking
Program: Local Government Services

Schedule Number: 2016-0011

Program Description:

The Finance Division is responsible for the administration of the Local Government Investment Pool. The State Treasurer invests funds tendered by local governments participating in the pool. The LGIP is commingled with the State's short-term funds, as part of the Oregon Short-Term Fund (OSTF). The pool transactions are initiated by the participating local governments through a voice response system.

Program Records:

- 065 Automated Clearing House (ACH) and Wire Requests**
Retain 6 years, destroy
- 066 Local Government Pool Account Enrollments Records**
Retain until account is closed, destroy
- 067 Local Government Pool to Pool Transfer Requests**
Retain 4 years, destroy
- 068 Monthly Statements for Local Governments**
Retain 4 years, destroy
- 069 Voice Response System Reports**
Retain 4 years, destroy

State Agency General Records Retention Schedule Records:

Administrative Records (OAR 166-300-0015)

Correspondence

Databases Used:

Banking databases

Oregon State Archives Records Retention Schedule

Edition: July 2021

Organizational Placement:

Schedule Number: 2016-0011

Agency: State Treasury

Division: Finance

Section: Banking

Program: Safekeeping

Program Description:

The Safekeeping program holds items of value on behalf of state agencies. These items are usually securities being held to ensure performance, cover a liability, or provide some other means of financial protection. Quarterly, agencies are provided with a listing of their items held in safekeeping. Treasury acts as custodian for the securities on deposit and runs reconciliations.

Program Records:

070 Quarterly Reports Sent to Agencies

Retain 1 year, destroy

071 Release of Security Notification

Retain 1 year, destroy

072 Safekeeping Securities on Deposit Reports

Retain 4 years, destroy

073 Securities

Retain until released by agency, then return to that agency

State Agency General Records Retention Schedule Records:

Administrative Records (OAR 166-300-0015)

Correspondence

Databases Used:

None

Oregon State Archives Records Retention Schedule

Edition: July 2021

Organizational Placement:

Agency: State Treasury
Division: Investment
Program: Investment Accounting

Schedule Number: 2016-0011

Program Description:

The Investment Accounting program performs accounting functions for the investments of many state agencies, including the Oregon Public Employees Retirement System. The program is responsible for recording the purchases, sales, expenses, and income for investments managed by Treasury's Investment Division and over 50 external investment managers and providing state agencies information regarding their investment holdings and income. In addition, Investment Accounting is responsible for ensuring that generally accepted accounting principles are applied to all investments and external investment managers are also accounting properly for the investments under their control. Investment Accounting works closely with the State Controller's Division in setting accounting policies relative to investments and in the preparation of the Cash and Investments section of the Oregon Comprehensive Annual Financial Report (CAFR).

Program Records:

- 074 Administrative Charges for Investment Activities Reports**
Retain 4 years, destroy
- 075 Corporate Ownership Files (aka Corporate Filings Files)**
Retain 6 years, destroy
- 076 Custodial Agent Monthly Reports**
Retain 4 years, destroy
- 077 Equity Investment Reports (aka Third Party Equity Monthly Reports)**
Retain 10 years, destroy
- 078 Excess Earnings Reports**
Retain 10 years, destroy
- 079 Investment Fund Earnings Reports**
Retain 10 years, destroy
- 080 Investment Fund Income Reports**
Retain 1 year, destroy
- 081 Investment Inventory Reconciliation Reports**
Retain 4 years, destroy
- 082 Investments Financial Statements (aka Financial Statements Related to Investments)**
Retain 4 years, destroy
- 083 Long-Term Investment Purchase Records**
Retain 10 years, destroy
- 084 Monthly Investment Reports**
Retain 4 years, destroy
- 085 Monthly Mortgage Performance Summaries**
Retain 4 years, destroy
- 086 Mortgage Records**
Retain until 4 years after final mortgage payment, destroy

- 087 Portfolio Pricing Reports**
Retain 4 years, destroy
- 088 Receivables and Payables Daily Reports**
Retain 4 years, destroy
- 089 Securities Lending Income Reports**
Retain 4 years, destroy
- 090 Short-Term Fund General Ledger Reconciliations**
Retain 5 years, destroy
- 091 Short-Term Fund Investment Sales Records**
Retain 4 years, destroy
- 092 Short-Term Fund Position Reconciliations**
Retain 4 years, destroy
- 093 Short-Term Investment Purchase Records**
Retain 4 years, destroy

State Agency General Records Retention Schedule Records:

Administrative Records (OAR 166-300-0015)

Correspondence

Databases Used:

Banking and Investment system

Oregon State Archives Records Retention Schedule

Edition: July 2021

Organizational Placement:

Agency: State Treasury
Division: Investment
Program: Alternative Investments

Schedule Number: 2016-0011

Program Description:

The Alternative Investments program is responsible for monitoring the activities and performance of investments, which includes the Private Equity, Real Estate, Alternatives, and Opportunity portfolios. Generally, investments are privately traded, which is part of the overall investments for the Oregon Public Employee Retirement Fund. The Oregon Investment Council provides oversight and direction on investments related to the fund. The investments are placed with managers, and then by specific funds or strategies. The records are structured accordingly.

Program Records:

- 094 Alternative Investments Annual Meeting Records**
Retain permanently, transfer to State Archives after 10 years
- 095 Alternative Investments Consultants Reports**
 - (a) Retain annual reports permanently, transfer to State Archives after 10 years
 - (b) Retain quarterly reports until superseded or obsolete, destroy
- 096 Alternative Investments Financial Reports**
Retain 6 years after partnership terminates, destroy
- 097 Alternative Investments Transmittals**
Retain 4 years after partnership terminates, destroy
- 098 External Audit Records**
Retain 4 years, destroy
- 099 Performance Reports**
 - (a) Retain fund performance annual reports 4 years, destroy
 - (b) Retain quarterly performance reports until superseded or obsolete

State Agency General Records Retention Schedule Records:

Administrative Records (OAR 166-300-0015)

Correspondence

Databases Used:

None

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Edition: July 2021

Organizational Placement:

Agency: State Treasury
Division: Investment
Program: Public Equity

Schedule Number: 2016-0011

Program Description:

The Public Equity program is responsible for monitoring the activities and performance of managers investing in public equities, or publicly traded companies. The Oregon Investment Council conducts a search, and signs contracts with each manager. Once selected, managers have the authority to buy and sell equities for the state. The program also manages the Commission Recapture Fund which charges fees for transactions and returns them to Treasury.

Program Records:

- 100 Appendix A Update**
Retain 4 years, destroy
- 101 Consultant Quarterly Payments**
Retain 4 years, destroy
- 102 Domestic and International Stock Investment Reports**
Retain 6 years after partnership terminates, destroy
- 103 Investment Manager Search Records**
Retain 4 years, destroy
- 104 Market Surveys**
Retain 4 years, destroy
- 105 Money Manager Quarterly Payments**
Retain 4 years, destroy
- 106 Monthly Performance Reports**
Retain 4 years, destroy
- 107 Prospective Money Manager Records**
Retain 2 years, destroy
- 108 Proxy Voting Records**
Retain 2 years, destroy
- 109 Securities Lending Bank Reports**
Retain 4 years, destroy
- 110 Security Litigation File**
Retain 6 years after case closure, destroy
- 111 Stockbroker Commission Recapture Reports**
 - (a) Retain monthly reports until superseded or obsolete, destroy
 - (b) Retain quarterly reports 4 years, destroy

State Agency General Records Retention Schedule Records:

Administrative Records (OAR 166-300-0015)

Correspondence

Databases Used:

None

Oregon State Archives

Records Retention Schedule

Edition: July 2021

Organizational Placement:

Agency: State Treasury
Division: Investment
Section: Real Estate
Program: Direct Properties

Schedule Number: 2016-0011

Program Description:

The Direct Properties program is responsible for overseeing the managers of real estate assets where the state is the sole owner or the majority owner of the property. Property managed by this program is located only in the United States. Each manager is approved by the Oregon Investment Council and has the authority to buy and sell properties for the state. Funds used for investment purposes come from the state pension fund. Regional managers report to the senior manager for investments who enforces mandates and policies established by the Oregon Investment Council. Although regional managers can make transactions at their own discretion, they are ultimately accountable to the Oregon Investment Council.

Program Records:

- 112 Asset Management Reports**
 - (a) Retain annual reports 4 years after manager is terminated, destroy
 - (b) Retain all other reports 1 year after manager is terminated, destroy
- 113 External Audits by Fund Managers**
Retain 4 years, destroy
- 114 Funding and Distribution Transmittals**
Retain 4 years after partnership terminates, destroy
- 115 Independent Consultant Reports**
 - (a) Retain annual reports permanently, transfer to State Archives after 10 years
 - (b) Retain all others 6 years, destroy
- 116 Mortgage Loan Securitization Program Development Records**
Retain 4 years, destroy
- 117 Property Annual Business Plans**
Retain 6 years after property sold, destroy
- 118 Property/Asset Appraisals**
Retain until superseded or obsolete, destroy
- 119 Prospective Real Estate Manager Records**
Retain 2 years, destroy
- 120 Purchases and Sales of Property**
Retain 6 years after property sold, destroy
- 121 Special Mortgage Loan Collection Records**
Retain 4 years, destroy

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State Agency General Records Retention Schedule Records:

Administrative Records (OAR 166-300-0015)

Contracts and Agreements

Purchase and Sale Agreements

Databases Used:

Investment systems

Banking systems

Oregon State Archives
Records Retention Schedule

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Organizational Placement:

Schedule Number: 2016-0011

Agency: State Treasury
Division: Investment
Section: Real Estate
Program: Independent Consultant

Program Description:

The Independent Consultant program makes investment recommendations to the Senior Investment Officer and negotiates contracts with fund managers. Independent Consultants are ultimately accountable to the Oregon Investment Council.

Program Records:

122 Real Estate Independent Consultant Reports

- (a) Retain annual reports permanently, transfer to State Archives after 10 years
- (b) Retain quarterly reports 4 years, destroy

State Agency General Records Retention Schedule Records:

Administrative Records (OAR 166-300-0015)

Correspondence
Contracts and Agreements

Databases Used:

None

Oregon State Archives Records Retention Schedule

Edition: July 2021

Organizational Placement:

Agency: State Treasury
Division: Investment
Section: Real Estate
Program: Opportunistic

Schedule Number: 2016-0011

Program Description:

The Opportunistic program is responsible for overseeing the managers of real estate assets where the state is a partial owner of the fund. Property managed by this program can be located inside or outside of the United States. Each manager is approved by the Oregon Investment Council and has the authority to buy and sell properties for the state. Although regional managers can make transactions at their own discretion, they are responsible to the Oregon Investment Council.

Program Records:

- 123 Funding and Distribution Transmittals**
Retain 4 years, destroy
- 124 Fund Performance Reports**
 - (a) Retain fund performance annual reports 6 years after fund is liquidated, destroy
 - (b) Retain all other fund performance reports 1 year, destroy
- 125 Opportunistic Meeting Records**
Retain permanently, transfer to State Archives after 10 years

State Agency General Records Retention Schedule Records:

Administrative Records (OAR 166-300-0015)

Contracts and Agreements Correspondence

Databases Used:

None

Oregon State Archives Records Retention Schedule

Edition: July 2021

Organizational Placement:

Agency: State Treasury
Division: Investment
Section: Real Estate
Program: Portland Aircraft Maintenance Company

Schedule Number: 2016-0011

Program Description:

The Portland Aircraft Maintenance Company (Pamcorp) went bankrupt in 1992. Treasury's Pamcorp program took responsibility for paying off the company's bonds and overseeing its operations. Treasury holds the ground lease of Pamcorp's former building, while the Port of Portland owns the land. The Pamcorp program will collaborate in this effort with the Port of Portland until the bonds are paid off or the land is sold.

Program Records:

- 126 Pamcorp Annual Business Plans**
Retain 6 years, destroy
- 127 Pamcorp Funding and Distribution Transmittals**
Retain 6 years, destroy
- 128 Pamcorp Monthly Reports**
Retain until superseded or obsolete, destroy
- 129 Pamcorp Property Records**
Retain 6 years after property sold, destroy

State Agency General Records Retention Schedule Records:

Administrative Records (OAR 166-300-0015)

Litigation Records

Financial Records (OAR 166-300-0025)

Budget Preparation Records Contracts and Agreements Correspondence

Databases Used:

None

Oregon State Archives Records Retention Schedule

Edition: July 2021

Organizational Placement:

Schedule Number: 2016-0011

Agency: State Treasury
Division: Investment
Section: Real Estate
Program: Stock Real Estate Investment Trusts

Program Description:

The Stock REITs (Real Estate Investment Trusts) program is responsible for overseeing managers investing in publicly traded real estate investment trusts in the United States. The State contracts with a manager who is accountable to the Oregon Investment Council.

Program Records:

130 Performance Reports

- (a) Retain annual performance reports 4 years after fund is liquidated, destroy
- (b) Retain quarterly performance and independent consultant reports 4 years, destroy

State Agency General Records Retention Schedule Records:

Administrative Records (OAR 166-300-0015)

Contracts and Agreements
Correspondence

Databases Used:

None

Oregon State Archives
Records Retention Schedule

Edition: July 2021

Organizational Placement:

Agency: State Treasury
Division: Investment
Program: Deferred Compensation

Schedule Number: 2016-0011

Program Description:

The Deferred Compensation program is responsible for monitoring the investment of Deferred Compensation funds. The program is managed by an Investment Officer in the Public Equity Section of the Investment Division, but is physically located in the Public Employees Retirement System office.

Program Records:

- 131 Quarterly Performance Reports**
Retain until superseded or obsolete, destroy
- 132 Requests for Proposal**
Retain 4 years, destroy

State Agency General Records Retention Schedule Records:

Administrative Records (OAR 166-300-0015)

Contracts and Agreements Correspondence

Databases Used:

None

Oregon State Archives Records Retention Schedule

Edition: July 2021

Organizational Placement:

Agency: State Treasury

Division: Investment

Section: Fixed Income

Schedule Number: 2016-0011

Program Description:

The Fixed Income section is responsible for overseeing external fund managers investing in a range of corporate, government, and international instruments. By law, small funds managers can purchase bonds but not stocks. The section contracts with a private bank, which holds the bonds on behalf of the State.

Program Records:

133 Fixed Income Analytical Tracking Records

Retain until superseded or obsolete, destroy

134 Fund Performance Annual Reports

Retain 1 year, destroy

135 Investment Portfolio Reports

(a) Retain year-end reports 5 years, destroy

(b) Retain monthly reports until superseded, destroy

136 Lottery Payment Requests

Retain 6 years, destroy

137 Money Manager Reports

(a) Retain quarterly reports 5 years, destroy

(b) Retain monthly reports until superseded, destroy

138 Monthly Activities Records

Retain until superseded or obsolete, destroy

139 Monthly Performance Reports

Retain until superseded or obsolete, destroy

140 Quarterly Money Manager Fee Payments

Retain 6 years, destroy

141 Trades for Trust Accounts, Transactions Tickets entered into Bloomberg

Retain 2 years, destroy

State Agency General Records Retention Schedule Records:

Administrative Records (OAR 166-300-0015)

Correspondence

Databases Used:

None

Oregon State Archives Records Retention Schedule

Edition: July 2021

Organizational Placement:

Agency: State Treasury
Division: Investment
Program: Oregon Short Term Fund

Schedule Number: 2016-0011

Program Description:

The Oregon Short Term Fund (OSTF) makes short-term investments on behalf of state and local governments in order to cover their immediate cash needs. Agencies' idle cash is pooled into a portfolio, which is invested in a way that minimizes risk and maximizes liquidity. Costs are recovered through investment administrative fees.

Program Records:

- 142 Agency: Directed Trade and Investment Records**
Retain 6 years, destroy
- 143 Oregon Short Term Fund Analytical Tracking Records**
Retain until superseded or obsolete, destroy
- 144 Commercial Paper List**
Retain until superseded, destroy
- 145 Commercial Paper Ratings and Guide**
Retain 2 years, destroy
- 146 Electronic Fund Transaction Records**
Retain 6 years, destroy
- 147 Local Government Rate Graph**
Retain 6 years, destroy
- 148 Reports from Bloomberg Portfolio Tracking System**
Retain until superseded, destroy
- 149 Securities Ledger Reports**
Retain 6 years, destroy
- 150 Short Term Fund Portfolio Status Reports**
Retain 6 years, destroy
- 151 Time Certificate of Deposit Records**
Retain 10 years, destroy
- 152 Trade Activity Reports**
Retain 6 years, destroy

State Agency General Records Retention Schedule Records:

Administrative Records (OAR 166-300-0015)

Correspondence

Databases Used:

Investment systems
Financial systems
Banking systems

Oregon State Archives Records Retention Schedule

Edition: July 2021

Organizational Placement:

Agency: State Treasury
Division: Trust Property
Program: Estate Administration

Schedule Number: 2016-0011

Program Description:

In accordance with Estate Property laws in Oregon (ORS 111-116), the Estate Administration Program of the Office of the State Treasurer administers estates of persons who have died without a will and without known heirs. By law, Treasury is appointed estate administrator in these instances. Estate Administration secures, inventories, and protects the assets of estates; processes and pays claims against the estate; and files the appropriate records with the court to close out the affairs of the estate. Any assets from estates escheat to the Common School Fund, after being held in a trust for heirs.

Program Records:

153 Estate Personal Papers

Retain 10 years after estate closure, destroy

154 Estate Probate and Administration Records

(a) Retain probate records for estates returned to heirs 10 years after date of death, or 8 years after final judgment signed by court, whichever is longer, destroy

(b) Retain probate records for estates that permanently escheat to the state 2 years after escheat date, destroy

(c) Retain records for estates that do not go through probate 10 years after date of death, destroy

155 Internal Estate Reports

Retain until superseded or obsolete, destroy

State Agency General Records Retention Schedule Records:

Administrative Records (OAR 166-300-0015)

Correspondence

Databases Used:

TIMEMATTERS

Oregon State Archives Records Retention Schedule

Edition: July 2021

Organizational Placement:

Agency: State Treasury
Division: Trust Property
Program: Unclaimed Property

Schedule Number: 2016-0011

Program Description:

Under the Uniform Disposition of Unclaimed Property Act (ORS 98), the Unclaimed Property Program of the Office of the State Treasurer administers unclaimed property funds and safekeeping items and processes owner claims against the property. Annually, holders report unclaimed property to the Treasurer if they are unable to locate the owner or return the property. The Treasurer holds the reported property and sale proceeds in trust for owners or heirs until they submit a verified claim for refund. The funds reported include bank accounts, safe deposit boxes, unpaid wages, stocks and bonds, refunds, and uncashed checks. Funds are invested within the Common School Fund and the interest earned from these funds remains in the Fund. The principal is available for refund to the owners or their heirs forever.

Under the Probate and Escheat Law in Oregon (ORS 116), the Escheated Property Program receives and records escheat assets that are reported and reviews claim petitions against the property. Decedent assets are held following the death of a person whose heirs or devisees are not located during probate.

Program Records:

156 Escheat Claims Records

- (a) Retain approved claim records 10 years, destroy
- (b) Retain all other records 2 years after escheat date, destroy

157 Escheats Records

- (a) Retain probate records 2 years after the date of permanent escheat, destroy
- (b) Retain non-probate records 10 years after verified in database, destroy

158 Finder Verification Records

Retain until superseded or obsolete, destroy

159 Securities Records

- (a) Retain account transaction history statements from financial brokers and mutual fund companies 10 years after verified in database, destroy
- (b) Retain all other records 2 years, destroy

160 Unclaimed Property Auction Records

Retain 10 years after auction, destroy

161 Unclaimed Property Claims Approval Records

- (a) Retain approved and denied claims records for 10 years, destroy
- (b) Retain contested-case records 10 years, destroy
- (c) Retain dropped claims 2 year, destroy

162 Unclaimed Property Holder Audit Reports

Retain 5 years after audit closed, destroy

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163 Unclaimed Property Records

- (a) Retain Holder Reports received prior to RY 2016 for 10 years, destroy
- (b) Retain Holder Reports received on or after RY 2016 for 10 years after verified in database, destroy
- (c) Retain Owner Account Listing until superseded or obsolete, destroy
- (c) Retain all other records 2 years, destroy

State Agency General Records Retention Schedule Records:

Administrative Records (OAR 166-300-0015)

Conference, Seminar, and Training Program Records

Correspondence

Policy and Procedure Guidelines and Manuals

Publication Preparation Records

Financial Records (OAR 166-300-0025)

Audit Reports

Databases Used:

KAPS

ONBASE