

Administrative Records

Section 6.1—*Internal Control Records*

Concepts Behind the Schedule for Internal Control Records

- The records in this section document compliance with procedures designed to protect the assets and resources of the OJD and provide for the safety and security of employees, customers, facilities and equipment.
- Records listed in this section may apply to state courts and the Office of the State Court Administrator.
- Many of the records in this section need to be retained only long enough to satisfy auditing needs.

6.100

Rules Regarding Internal Control Records

- The following general rules apply:
 - 1.100 (Implementation responsibility)
 - 1.101 (Rules, procedures, schedules apply to Oregon Judicial Department records)
 - 1.102 (State Court Administrator's authority to suspend or revise)
 - 1.103 (Retention periods are **minimum** requirements)
 - 1.104 (Records that fit in multiple categories or no category)
 - 1.105 (Retention periods apply to “record copy” only, unless otherwise specified)
 - 1.106 (Description does not dictate custody, name, or medium, or how maintained)
 - 1.107 (Descriptions do not imply paper records)
 - 1.108 (Descriptions do not indicate whether record is subject to disclosure)
 - 1.109 (Reproduction of records and their evidentiary effect)
 - 1.110 (Recreatable electronic record printouts)
 - 1.111 (Records destruction methods)
 - 1.112 (Suspending disposal of records)
 - 1.113 (Records created in 1920 or earlier)
 - 1.114 (Documentation required when records relinquished to another repository)
 - 1.115 (Discard orders)
 - 1.116 (Working drafts, notes, queries, data files)
- If notified that the Secretary of State’s Audit Division is going to conduct an audit, do not destroy any records listed in this section until after the audit is complete and all audit deficiencies, if any, are satisfied.
- This schedule sets out retention requirements only. It does not dictate which records you must retain for auditing purposes or limit the records necessary to document internal controls.

6.101

6.102

Audit Records

6.110

Audit Reports (Secretary of State)

Description	Secretary of State's report following an audit of accounts and financial affairs of the OJD. Includes audit-exception reports and responses related to the Secretary of State's report.
Related Laws	ORS 297.210
Retention	OSCA Records: Retention requirement runs until 10 years after date of audit report. Court/Division Records: Retention requirement runs until 6 years after date of audit-exception report.

6.111

Audit Reports (Internal)

Description	OJD Internal Auditing Division's report following their audit of internal controls, processes, and financial affairs of a court or division. Includes audit-exception reports and responses related to Internal Auditing Division's report.
Related Laws	None identified
Retention	OSCA Records: Retention requirement runs until 10 years after date of audit report. Court/Division Records: Retention requirement runs until 4 years after date of exception report.

6.112

Till Audit

Description	Record of a random audit of a cashier's till.
Related Laws	None identified
Retention	Retention requirement runs until 4 years after date of audit.

Record Destruction and Transmittal Documentation

NOTE: The word “key” in this section applies to traditional keys, electronic key cards, and other devices used to control access to facilities and equipment.

6.120

Employee Key Record

Description	Log that identifies what keys an employee should possess.
Related Laws	OJD Policy and Procedure Statement Volume 3, Chapter 6, Section 9
Retention	Retention requirement runs until 4 years after the employee terminates or moves to another OJD court or division.

6.121

Temporary Key Check-Out Log

Description	Composite record used to track the temporary issuance of a key that controls access to a restricted area but is not assigned to an individual employee, e.g., exhibit room key, confidential records cabinet key, conference room key.
Related Laws	None identified
Retention	Retention requirement runs until 4 years after last date on log.

6.122

Key Control Code Chart

Description	A chart used to determine who should receive specific keys and what code to use on the employee key record.
Related Laws	OJD Policy and Procedure Statement Volume 3, Chapter 6, Section 9
Retention	Retention requirement runs until 4 years after superseded by a new key control code chart.

6.123

Key Inventory Logs

Description	A periodic accounting of issued, unissued, and missing keys. Includes “key inventory log” and “consolidated summary sheet,” used to record inventory when there is more than one location for key storage, required by policy.
Related Laws	OJD Policy and Procedure Statement Volume 3, Chapter 6, Section 9
Retention	Retention requirement runs until 4 years after superseded by a new inventory.

6.140

Record Destruction Form (Checks/Receipts)

Description	Record of destruction of unissued checks and manual receipts. Includes sequence numbers, method of destruction, names and signatures of persons involved in destruction.
Related Laws	FIAS Accounting User's Manual
Retention	Retention requirement runs until 4 years after date signed.

6.141

Inventory of Discarded or Transmitted Records

Description	Documentation required by Records Retention Rules 1.114 and 2.205 related to the destruction or relinquishment of case files and other records. This includes any similar documentation created before 1999, the year rules 1.114 and 2.205 were adopted.
Related Laws	None identified
Retention	Permanent

Risk Management

6.150

Computer System Backup

Description	Copies of computer system data created for retrieving or reconstructing a record copy of the data in the event of unforeseen data loss or corruption, i.e. calamitous visitation.
Related Laws	None identified
Retention	<p>AS/400 Site Weekly Backup: Retention requirement runs until 6 weeks after creation date.</p> <p>Server Weekly Backup: Retention requirement runs until 4 weeks after creation date.</p> <p>Individual User Personal Computer Backup: This record has no retention requirement. May be discarded when it no longer serves the purpose for which it was created.</p> <p>All Other Backups: Retention requirement runs until superseded.</p> <p>NOTE: This rule establishes retention requirements only. Per rule 1.106, this schedule does not dictate whether a court/division creates a backup copy of a particular system.</p>

6.151

Computer System Security Records

Description	<p>Records documenting the security of OJD computer systems. Records may include but are not limited to:</p> <ul style="list-style-type: none">• System access and usage logs• Computer/application security settings• Computer system security checks/reviews• Related correspondence and documentation
Related Laws	ORS 192.501(23)(c); OAR 166-300-0030(3)
Retention	<p>Records Related to System Access and Usage: Retention requirement runs until 5 years after creation date or in the event of criminal activity, until 5 years after final disposition of the issue (which may include appeal period in a court case).</p> <p>All Other Records: Retention requirement runs until 5 years after superseded or authorization expired.</p>

6.152

Facility Inspection and Compliance Records for OJD Owned Buildings

Description	Records related to building inspections and documentation of agency compliance with state and local building regulations. Records may include but are not limited to: <ul style="list-style-type: none"> • Reports on building fire-alarm system, elevator(s), security system and boiler inspections performed by state and local agencies • Citations • Documentation of any follow-up actions • Related correspondence and documentation
Related Laws	OAR 166-300-0045
Retention	Retention requirement runs until 10 years after creation.

6.153

Incident Reports

Description	Records of all incidents reported involving safety, security and hazardous materials (whether perceived or actual). NOTE: Does not include ADA or occupational injury and illness incident reports (see Rule 6.154 & Rule 6.170).
Related Laws	CJO 92-006; OAR 166-300-0045(3)
Retention	Official Record Copy Maintained by OSCA: Retention requirement runs 7 years after year in which report was created. All Other Records: Retention runs 3 years after date of incident.

6.154

Occupational Injury and Illness Records

Description	Records used to provide the Oregon Occupational Safety and Health Administration (OR-OSHA), our insurer, and Department of Administrative Services Risk Management with injury and illness information. Records may include but are not limited to: <ul style="list-style-type: none"> • Logs, summaries and related incident reports regarding occupational injuries and illnesses that occur in the assigned workplace • Serious injury reports • Injury costs reports • Annual occupational injury and illness surveys
Related Laws	ORS 654.120(2) and (5); OAR 437-001-0700 to 437-001-0742; OAR 166-300-0045
Retention	OSCA and State Court Copy: Retention requirement runs until 5 years after creation or close of claim, whichever is later.

6.155

Insurance Fund Claims

Description	Records documenting requests for payment of insurance claims from the Department of Administrative Services Risk Management Division. Records may include but are not limited to: <ul style="list-style-type: none"> • Auto/property claim reports • Estimates of repairs • Accident reports • Police reports • Related correspondence and documentation <p>NOTE: Does not include personal vehicles or liability tort claims. Department of Administrative Services Risk Management Division maintains statewide record copy.</p>
Related Laws	ORS 278.405 to 278.415; ORS 278.435; OAR 166-300-0045(4)
Retention	OJD Record Copy: Retention requirement runs until 4 years after claim is paid or denied.

6.156

Risk Factor Evaluation Records

Description	Records used to assess various risk factors and determine insurance needs. Records may include but are not limited to: <ul style="list-style-type: none"> • Worksheets • Yearly risk reports • Restoration fund inventory reports • Policy manuals • Property transfer reports • Self-insurance manuals • Real property reports • Money and negotiable securities reports • General risk surveys • Related correspondence and documentation
Related Laws	ORS chapter 278; OJD Policy Statement Volume 3, Chapter 8, Sections 1, 2 & 3; OAR 166-300-0045(6)
Retention	Retention requirement runs until 4 years after creation.

6.157

Security Profiles

Description	Printout of users' security access to computer systems. Systems may include but are not limited to: <ul style="list-style-type: none"> • OJIN • FIAS • Document imaging systems
Related Laws	None identified
Retention	Retention requirement runs until 4 years after date of printout.

Internal Control Logs (Revenue & Trust Accounting)

Description	Check log, signature patch log, mail log, manual receipt log, or any other revenue and trust accounting logs required in the internal control policies of the OJD or state courts.
Related Laws	FIAS Accounting User's Manual
Retention	Retention requirement runs until 4 years after last date on log.

Systems Management

Computer System, Program and Software Documentation

Description	<p>Records documenting the structure of computer systems, as well as the addition, modification, <u>or</u> removal of computer programs and software. Records usually fall into the following categories:</p> <ul style="list-style-type: none"> (a) Records documenting operating systems (b) Records documenting the in-house creation of computer programs and modifications to application software (c) Records documenting the structure and form of data sets (d) Records documenting the use of commercial software packages (e) Records documenting the structure of the system (f) Records documenting system-to-system communication <p>Records may include but are not limited to:</p> <ul style="list-style-type: none"> • System overviews • Operations logs • System job listings, development logs, and specifications and changes (including narratives and flowcharts) • Conversion notes • Data set logs, inventories, and record layouts • Hard copies of tables • Data dictionaries • Programming logs, specifications and changes, and record layouts • User view • Control program table documentation • Program listings • Operation instructions, hardware, and software manuals • Software evaluations and licenses • Computer system migration documentation • Related correspondence and documentation <p>NOTE: Does not include records identified as User Support Records in Rule 6.163.</p>
Related Laws	OAR 166-300-0030(2) and (12)
Retention	Retention requirement runs until 1 year after system, program, or software no longer in use.

6.161

Computer System Wiring Records

Description	Records documenting the physical connections between components of the OJD computer network. Records may include but are not limited to: <ul style="list-style-type: none">• Blueprints or drawings of a building's computer wiring system, cables or computer equipment connections• Related correspondence and documentation
Related Laws	OAR 166-300-0030(4)
Retention	Retention requirement runs until superseded or obsolete.

6.162

Equipment Maintenance

Description	Records documenting routine and extraordinary maintenance of computer hardware, telecommunications equipment, and all other equipment. Records may include but are not limited to: <ul style="list-style-type: none">• Warranty documents• Maintenance logs and reports• Hardware performance reports• Maintenance related correspondence
Related Laws	OAR 166-300-0030(1) and 166-300-0020(4)
Retention	Retention requirement runs until 2 years after equipment is discarded.

6.163

User Support Records

Description	Records documenting assistance and support provided to authorized users of OJD systems (computer, telecommunication, etc.) by the OJD help desk or any other information system personnel. Records may include but are not limited to: <ul style="list-style-type: none">• System access and password authorization requests• Registration of authorized user requests/incidents• Trouble shooting and problem solving assistance records• Incident /request escalation records• Incident resolution monitoring records• Trending/analysis reports
Related Laws	OAR 166-300-0030(14)
Retention	Retention requirement runs until 3 years after resolution of the incident ticket/record or , in the event of criminal activity, until 3 years after final disposition of the issue (which may include appeal period in a court case).

Media Quality Control

Description	Records documenting the certification, testing, and inspection of equipment and associated products in accordance with Oregon Administrative Rules or other policies to ensure the quality of records created through microfilm, digital imaging, sound and video recording, or other systems. (Does not include retention of the product itself.) Records may include but are not limited to: <ul style="list-style-type: none"> • Digital imaging inspection reports (on image quality and media) • Equipment exception report • Equipment and operator logs • Environmental conditions • Film inspection reports • Methylene blue certifications (microfilm) • Camera/processor/duplicator inspection reports • Related correspondence and documentation
Related Laws	Digital imaging: ORS 192.050; OAR 166-017-0010 to 166-017-0080 Microfilm: ORS 192.060; OAR 166-025-0005 to 166-025-0030; OAR 166-300-0030(9); OJD Policy Statement Volume 2, Chapter 6, Section 7
Retention	Retention requirement same as records stored on related medium.

Index to Media

Description	Records documenting the inventory of specific information stored on microfilm, digital imaging or other document storage media.
Related Laws	ORS 192.060; OAR 166-017-0040 and 166-300-0030(9)
Retention	Retention requirement same as records indexed.

Miscellaneous

6.170

Americans with Disabilities Act (ADA) Compliance Records

Description	<p>Records documenting requests for accommodation or complaints, action taken and responses concerning compliance with the federal ADA and state laws. Records may include but are not limited to:</p> <ul style="list-style-type: none">• Data collection forms• Lists of ADA Coordinators• Inventories of ADA equipment purchases• ADA resource materials• State court and OSCA survey responses on ADA compliance• Notice of Compliance with the Americans with Disabilities Act poster• Complaints, responses, actions and other related documentation• Requests for accommodations and responses
Related Laws	28 CFR 35.105 to 35.107; UTCR 7.060
Retention	<p>Notice of Compliance with the Americans with Disabilities Act poster: Retention requirement runs until superseded.</p> <p>All Other Records: Retention requirement runs until 3 years after creation or resolution whichever is later.</p> <hr/>