

Policy Title:	Records Retention and Destruction – Policy		
Policy Number:	III-F.2.3		Effective Date: 12-05-12

Approved By: *on file*

Date Approved: 12-05-12

Policy

Forms, etc.

Definitions

References

Contact

Reference(s):

- “DHS Warehouse”
http://www.dhs.state.or.us/policy/childwelfare/manual_3/iii-f23g.pdf
- “Guidelines for Case Record Retention”
http://www.dhs.state.or.us/policy/childwelfare/manual_3/iii-f23a.pdf
- “Guidelines for Storage of Closed Records at the Records Center”
http://www.dhs.state.or.us/policy/childwelfare/manual_3/iii-f23b.pdf
- OAR 166-300-0015 through 166-300-0030
- OAR 107-004-100, Transporting Information Assets
<http://www.oregon.gov/DAS/OP/docs/policy/state/107-004-100.pdf>
- Oregon State Archives Records Retention Schedules, May 2008-13
http://www.dhs.state.or.us/policy/childwelfare/manual_3/iii-f23h.pdf
- OR-Kids Archive Number Documentation – Business Process Guide
<https://inside.dhsoha.state.or.us/images/stories/dhs/orkids/docs/archive-number-business-process-guide.pdf>
- ORS 192.005 - 192.170
- “Records File Transfer Instructions – *Condensed version*”
http://www.dhs.state.or.us/policy/childwelfare/manual_3/iii-f23f.pdf
- “Records Storage Guidelines – *Condensed version*”
http://www.dhs.state.or.us/policy/childwelfare/manual_3/iii-f23e.pdf
- “Records Storage Guidelines – SOS Records Storage Center”
http://www.dhs.state.or.us/policy/childwelfare/manual_3/iii-f23c.pdf

Form(s) that apply:

- DE 6625, Department of Human Services Records Storage Label
http://dhsresources.hr.state.or.us/WORD_DOCS/DE6625.doc
- DE 6628, DHS Records Archive Document Request Form
http://dhsresources.hr.state.or.us/WORD_DOCS/DE6628.doc
- State Records Center Request Fax
http://www.dhs.state.or.us/policy/childwelfare/manual_3/iii-f23_RSC_fax_form.doc

Policy:

Purpose

This policy provides the framework for the manager of each Child Welfare location to establish and maintain record retention and destruction processes.

Definitions

1. "**Department**" means the Department of Human Services, Child Welfare.
2. "**Record**" is a document, book, paper, photograph, file, sound recording, machine-readable electronic record, or other material regardless of physical form or characteristics, made, received, filed or recorded in pursuance of law or in connection with the transaction of business, whether or not restricted or confidential in use.
3. "**Record Copy**" is the official, original or authorized copy.
4. "**Record Series**" is a group of documents or files kept as a unit with a common filing system, function and/or subject.
5. "**Reference Copy**" means additional copies of records. Generally these are not retained as long as the record copy. Technically "reference copy" is not considered the public record, but rather a document preserved for the convenience of reference or ease of access.
6. "**Retention Period**" is the length of time prescribed by the agency and approved by the Archives Division to keep a particular record. It usually begins when the record becomes closed or inactive. The retention period is based on how long the record is determined to be useful by the agency and other government bodies for research value. The retention period attempts to minimize retention of duplicate copies of information. The retention period must be approved by the appropriate CAF manager, the CAF administrator, the State Archivist and the State Audits Division.
7. "**Retention Schedule**" is the official document describing how long records are kept.

Policy

The Department is responsible for managing its records so they are accessible for administrative purposes, preserved for historical or research purposes and destroyed when they are no longer necessary. (See related policies "Confidentiality of Client Information," I-A.3.2, and "Service Reporting," I-I.1.) Records management practices must comply with state and federal statutes and requirements of the Secretary of State, Archives Division and Audits Division.

Child Welfare records must be retained according to the Records Retention Schedule adopted May 13, 2008. Each local office must follow the [Oregon State Archives Records Retention Schedule](#).

The Department is protected legally when its records are maintained and destroyed according to retention schedules approved by the Secretary of State. Legally, records may not be destroyed until the retention period has expired. If the Department retains records longer than

required, the Department continues to be legally liable for information in the records. Records may not be destroyed prior to the end of a retention period. Records must be destroyed at the end of the retention period. If records are related to an active tort claim or lawsuit, the records must be kept until the litigation is concluded.

This policy is directed toward paper records. Electronic records retention policy will be added to this document in the future.

Roles and Responsibilities

1. Manager. The manager for each Child Welfare office location shall establish/maintain a records management system in accordance with this policy that will achieve these results:
 - a. Appropriate access to records;
 - b. Regular destruction of records according to retention schedules;
 - c. Cost effectiveness;
 - d. Procedure for storage and destruction of records that safeguards confidentiality of materials and does not allow access by unauthorized persons;
2. Child Welfare Records Manager (Central Office).
 - a. Develop and maintain record retention schedules;
 - b. Provide information and consultation to Department staff concerning records retention, storage and destruction.

Contact(s):

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