

OREGON STATE ARCHIVES

Records Retention Schedule

Edition: August 2012

Expires: August 2017

Organizational Placement

Schedule number: 2012-0008

Agency: Public Utility Commission

Program: Administration

Program Description

Administration provides support to the Director, policy and procedure creation and integration, legislative tracking and testimony, and assistance with special projects. In addition, Administration supports the Commission Office, Human Resources and Administrative Hearings.

Program Records

001 Miscellaneous Project Records

Retain 10 years, destroy

State Agency General Records Retention Schedule Records

Includes but not limited to

Administrative Records – OAR 166-300-0015

Calendar and Scheduling Records

Correspondence

Legislative Development Advisory Committee Records

Legislative Tracking Records

Policy Development and Planning Records

Staff Meeting Records

Visitor Logs

Financial Records – OAR 166-300-0025

Budget Preparation Records

Legislatively Adopted Budget

Databases

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KEY PERFORMANCE MEASURES

LIST SMART

TIME CAPTURE

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OREGON STATE ARCHIVES

Records Retention Schedule

Edition: August 2012

Expires: August 2017

Organizational Placement

Schedule number: 2012-0008

Agency: Public Utility Commission
Program: Administration
Division: Commission Services

Program Description

The Public Utility Commission is charged with regulating investor owned electric, natural gas, telephone, wastewater and water utilities operating within Oregon. The Commission is responsible for setting policy and providing guidance to agency personnel and programs in fulfillment of the regulatory mandate set by ORS's 756 through 772.

Commission Services staff provide direct support to the Commissioners ensuring compliance with Oregon's public meetings statute, administrative rule and all applicable regulations, policies and procedures. In addition, Commission Services is responsible for conducting PUC's community affairs efforts to increase citizen involvement in PUC activities.

Program Records

- 002 Oregon Broadband Advisory Council Chair Records**
Retain until chair passes from PUC, transfer records to new chair
- 003 Public Utility Commission Executive Session Records**
Retain 10 years, destroy
- 004 Public Utility Commission Meeting Records includes minutes and staff reports 1911 – [ongoing] 5 c.f.**
Retain permanently, transfer to State Archives after 10 years
- 005 Public Utility Commission Administrative Correspondence 1911 – [ongoing] 2 c.f.**
Retain permanently, transfer to State Archives after 10 years
- 006 Public Utility Commission Member Records 1911 – [ongoing] 2 c.f.**
Retain permanently, transfer to State Archives after commissioner term ends

State Agency General Records Retention Schedule Records

Includes but not limited to

Administrative Records – OAR 166-300-0015

Calendar and Scheduling Records

Contracts and Agreements

Correspondence

Press Release

Financial Records – OAR 166-300-0025

Travel Expense Records

Databases

BIZAPPS

OREGON STATE ARCHIVES

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Edition: August 2012

Expires: August 2017

Organizational Placement

Schedule number: 2012-0008

Agency: Public Utility Commission
Program: Policy and Administration
Division: Administrative Hearings

Program Description

The Administrative Hearings Division is responsible for making recommendations about legal issues to the Public Utility Commission. The Administrative Law Judges preside over cases involving utilities, industrial customers, and consumer groups. Subjects of the cases include rates and services, safety, and consumer complaints about telecommunications, electric, natural gas, and water utilities. The judges also mediate disputes between utilities or between utilities and consumers, and they arbitrate telecommunication interconnection agreement terms and conditions. The binding decisions issued by the Commission through the Hearings Division can have long-term legal and fiscal ramifications for the state, public utilities and citizens of Oregon. The Hearings Division also conducts hearings on administrative rulemakings for PUC and by contract for the Oregon Utility Notification Center, the Board of Maritime Pilots and occasionally other state agencies, boards, or commissions. The docketed case files document the legal proceedings and contain the legal and evidentiary records considered by the Commission in its decisions.

Program Records

- 007 AHD Work Files**
Retain 90 days after case closed, destroy
- 008 AHD Administrative Correspondence**
Retain 5 years, destroy
- 009 Competitive Application Dockets, Final (EA/ES/CP)**
Retain 20 years, destroy
- 010 Commission Delegations (CD)**
Retain 20 years, destroy
- 011 Complaint/Assessment Dockets, Final (FA/AP/TT/Uc/UCR/UCB/NC/SA)**
Retain 10 years, destroy
- 012 Declaratory Ruling Records (DR) 1987 – [ongoing] 6 c.f.**
Retain permanently, transfer to State Archives after 10 years
- 013 Federal Telecom Dockets, Final (ARB/IC)**
Retain 20 years, destroy
- 014 Finance Class Dockets, Final (UI, UF, UP)**
Retain 20 years, destroy
- 015 Formal Order Journals 1887 (Railroad Commission) – [ongoing] 45 c.f.**
Retain permanently, transfer to State Archives after 50 years
- 016 Investigation Dockets, Final (UD/LC/UX/UM/WJ)**
Retain 30 years, destroy
- 017 Non-Docket Actions, Final (Order Sheets/Utility Docket Sheets)**
Retain 10 years, destroy
- 018 Rate Case Dockets, Final (UW/UE/UG/UT)**
Retain 30 years, destroy

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- 019 Less Than Statutory Notice Log**
Retain 20 years, destroy
- 020 Price Schedule Filing Records**
Retain 20 years, destroy
- 021 Special Utility Contract Filing Records**
Retain 20 years, destroy
- 022 Tariff Filing Records**
Retain 20 years, destroy
- 023 Utility Company Territory Service Area Allocation Records (UA, WA), 1921 – [ongoing] 20 c.f. = PUC need**
Retain permanently, transfer to state Archives after 50 years
- 024 Utility Tariff Books**
Retain Tariff sheets 20 years after cancellation, destroy

State Agency General Records Retention Schedule Records

Includes but not limited to

Administrative Records – OAR 166-300-0015

Administrative Rule Preparation Records

AG Opinions

Calendar and Scheduling Records

Correspondence

Policy and Procedure Guidelines and Manuals

Public Records Disclosure Request Records

Staff Meeting Records

Databases Used

BIZAPPS

OREGON STATE ARCHIVES

Records Retention Schedule

Edition: August 2012

Expires: August 2017

Organizational Placement

Agency: Public Utility Commission
Program: Policy and Administration
Division: Central Services

Schedule number: 2012-0008

Program Description

The Central Services Division provides budget, accounting, and support services to agency programs and staff as well as staffing for consumer protection services to respond to customer concerns regarding regulated utilities.

Program Records

025 Utility Annual Fee Statement Records
Retain 10 years, destroy

State Agency General Records Retention Schedule Records

Includes but not limited to

Administrative Records – OAR 166-300-0015

Calendar and Scheduling Records

Correspondence

Staff Meeting Records

Databases

BIZ APPS

OREGON STATE ARCHIVES

Records Retention Schedule

Edition: August 2012

Expires: August 2017

Organizational Placement

Schedule number: 2012-0008

Agency: Public Utility Commission
Program: Policy and Administration
Division: Central Services
Section: Business Services

Program Description

The Business Services Section provides detailed budget, accounting, procurement and payroll services to the Public Utility Commission, Land Use Board of Appeals and Board of Maritime Pilots. In addition, the section operates the PUC mailroom and support functions. The section accounts for agency revenues, accounts receivable, and disbursements. It maintains agency financial reports with respect to statewide financial reporting, agency revenue and expenditure, balance sheet, agency budget preparation and budget related reports. The section is responsible for the centralized processing of agency-wide payroll information. The section also updates and maintains agency employee payroll files and provides technical assistance and training to staff concerning timesheet preparation, payroll rules and procedures, and deduction information in compliance with appropriate statutes, administrative rules, and policies/procedures.

Program Records

None

State Agency General Records Retention Schedule Records

Includes but not limited to

Administrative Records – OAR 166-300-0015

Contracts and Agreements
Correspondence
Postal Records

Financial Records – OAR 166-300-0025

Accounts Payable Reports
Accounts Receivable Reports
Budget Preparation Records
Competitive Bid Records
Credit Card Records
Deposit Slips
Financial Reports
Purchasing Records
Travel Expense Records

Payroll Records OAR 166-300-0035

Employee Payroll Records
Employee Time Records
Oregon State Payroll Application Reports
Unemployment Reports

OREGON STATE ARCHIVES
Records Retention Schedule

Edition: August 2012

Expires: August 2017

Risk Management Records – OAR 166-300-0045

Safety Program Records

Databases

BIZ APPS

ORPIN

OSPS

PCS

SFMS

ORSTRS

WASP

OREGON STATE ARCHIVES

Records Retention Schedule

Edition: August 2012

Expires: August 2017

Organizational Placement

Agency: Public Utility Commission
Program: Policy and Administration
Division: Human Resources

Schedule number: 2012-0008

Program Description

The Human Resources Division is responsible for the centralized management of personnel within the PUC. The Division processes all personnel transactions including hires, terminations, promotions, training and development, and workers compensation cost control. The Division provides advice and assistance to agency staff about personnel policies and procedures, including Affirmative Action and Equal Employment Opportunities. Human Resource staff responds to issues, actions, complaints involving HR resources and their impact on agency staff and work place.

Program Records

026 Ergonomic Assessments
Retain 3 years, destroy

State Agency General Records Retention Schedule Records

Includes but not limited to

Administrative Records (OAR 166-300-0015)

Correspondence

Personnel Records (OAR 166-300-0040)

Employee Medical Records

Employee Personnel Records – includes ergonomic assessments

Recruitment and Selection Records

Risk Management Records (OAR 166-300-0045)

Safety Program Records

Databases

PPDB

OREGON STATE ARCHIVES

Records Retention Schedule

Edition: August 2012

Expires: August 2017

Organizational Placement

Schedule number: 2012-0008

Agency: Public Utility Commission
Division: Policy and Administration
Program: Information Systems

Program Description

The Information Systems program provides technical expertise and services to PUC programs and staff involving computer hardware and software configuration, installation and support, voice and data communications infrastructure support, Web and email service and support and internet access. Staff supports computer hardware, software, peripherals and servers. In addition, section staff assists in disaster recovery planning provides network security services and user/help desk support. Staff ensures access, service and provides support to PUC staff, commissioners, the Land Use Board of Appeals and the Board of Maritime Pilots.

Program Records

- 027 Business Continuity Final Plan Records**
Retain 6 years after superseded or obsolete, destroy
- 028 Business Continuity Plan Development Records**
Retain 1 year after plan approved, destroy
- 029 Disaster Recovery Plan**
Retain 6 years after superseded or obsolete, destroy
- 030 Disaster Recovery Plan Development Records**
Retain 1 year after plan approved, destroy
- 031 Annual Utility Statistics Records**
Retain 10 years, destroy

State Agency General Records Retention Schedule Records

Includes but not limited to

Administrative Records – OAR 166-300-0015

Calendar and Scheduling Records
Correspondence

Information and Records Management Records – OAR 166-300-0030

Computer System Program Documentation
Computer System Security Records
Information System Planning and Development Records
Records Management Records
User Support Records

Databases

Section staff access and use all PUC, LUBA and BOMP data base applications

OREGON STATE ARCHIVES

Records Retention Schedule

Edition: August 2012

Expires: August 2017

Organizational Placement

Schedule number: 2012-0008

Agency: Public Utility Commission
Program: Policy and Administration
Division: Central Services
Program: Residential Service Protection Fund (RSPF)

Program Description

In 1987, the Oregon Legislature passed a law that supports the state's public policy that adequate and affordable residential telephone service be available to all Oregonians. Based on that legislation, the Oregon Public Utility Commission (PUC) implemented three telephone assistance programs: Oregon Telephone Assistance Program (OTAP), Telecommunication Devices Access Program (TDAP), and Oregon Telecommunications Relay Service (OTRS).

Program Records

032 RSPF Surcharge Accounting and Collection Records
Retain 6 years, destroy

State Agency General Records Retention Schedule Records

Includes but not limited to

Administrative Records – OAR 166-300-0015

Contracts and Agreements
Correspondence
Legislative Tracking Records
Policy and Procedure Guidelines and Manuals
Staff Meeting Records

Financial Records – OAR 166-300-0025

Account Reconciliation
Budget Allocation Records
Budget Preparation Records
Invoices
Receipts

Databases

BIZAPPS
RSPF

OREGON STATE ARCHIVES

Records Retention Schedule

Edition: August 2012

Expires: August 2017

Organizational Placement

Schedule number: 2012-0008

Agency: Public Utility Commission
Program: Policy and Administration
Division: Central Services
Program: Residential Service Protection Fund (RSPF)
Sub-Program: Oregon Telephone Assistance Program (OTAP)

Program Description

The Oregon Telephone Assistance Program (OTAP) provides a subsidy to help qualified low-income recipients pay their phone bill. PUC receives money for the subsidy from a surcharge placed on the bills of telecommunications customers. The Federal Communications Commission and the state pay for the subsidy. The program verifies applicant qualifications based upon receipt of public assistance from the Department of Human Services. Applicant qualifications are verified monthly and telecommunication providers submit reimbursement reports which reconcile monetary output.

Program Records

- 033 Automatic Call Distribution Reports**
Retain 1 year, destroy
- 034 Oregon Telephone Assistance Approved Application Records**
Retain 6 years after rendered ineligible, destroy
- 035 Oregon Telephone Assistance Denied/Incomplete/Pending Application Records**
Retain 3 years, destroy

State Agency General Records Retention Schedule Records

Includes but not limited to

Administrative Records – OAR 166-300-0015

Correspondence

Financial Records – OAR 166-300-0025

Account Reconciliation Records (Reimbursement Reports)

Invoices

Databases

BIZAPPS

View only to Department of Human Services DB

OREGON STATE ARCHIVES

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Edition: August 2012

Expires: August 2017

Organizational Placement

Schedule number: 2012-0008

Agency: Public Utility Commission

Program: Policy and Administration

Division: Central Services

Program: Residential Service Protection Fund (RSPF)

Sub-Program: Oregon Telecommunications Relay Service (OTRS)

Program Description

Oregon Telecommunications Relay Service, which is required by the ADA, is a telephone service available to all Oregonians and provides telecommunications access to the disabled that is functionally equivalent to standard phone service. It operates 24/7, 365 days a year. OTRS offers a variety of services that promote equal access to telecommunications (i.e. captioned telephone relay, hearing carry over, Spanish relay, and Speech to Speech) for these diverse populations.

Program Records

036 OTRS Advisory Committee Records

Retain 3 years, destroy

037 OTRS Newsletter

Retain 3 years, destroy

038 OTRS Reports

Retain 3 years, destroy

State Agency General Records Retention Schedule Records

Includes but not limited to

Administrative Records – OAR 166-300-0015

Correspondence

Financial Records – OAR 166-300-0025

Invoices (Billing Records)

Databases

None

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Organizational Placement

Schedule number: 2012-0008

Agency: Public Utility Commission

Program: Policy and Administration

Division: Central Services

Program: Residential Service Protection Fund (RSPF)

Sub-Program: Telecommunication Devices Access Program (TDAP)

Program Description

The Telecommunication Devices Access Program (TDAP) purchases and lends specialized telecommunications equipment to people with physical challenges to using standard telephone equipment. Physician verification of applicant need is submitted as part of the application. Program staff further verifies applicant qualifications of handicap or residency through DMV records. Applicants sign a contract with TDAP. Participants are not charged unless equipment issued to them is broken or lost. The TDAP committee consists of agency staff, disabled members of the community, telecommunications representatives, and professionals from the deaf community and deals with problems relating to access and equipment for disabled Oregonians. Costs for damaged or stolen equipment are collected by the Department of Revenue.

Program Records

039 Telecommunication Devices Access Program (TDAP) Advisory Committee Records

Retain 3 years, destroy

040 TDAP Approved Applicant Records

Retain 6 years after rendered inactive, destroy

041 TDAP Denied/Incomplete/Pending Applicant Records

Retain 3 years, destroy

042 TDAP Equipment Distribution Records

Retain 3 years, destroy

State Agency General Records Retention Schedule Records

Includes but not limited to

Administrative Records – OAR 166-300-0015

Contracts and Agreements

Correspondence

Postal Records

Facilities and Property Records – OAR 166-300-0020

Asset Inventory Reports

Equipment Maintenance Records

Equipment/Property Disposition Records

Financial Records OAR 166-300-0025

Account Reconciliation Records

Invoices

OREGON STATE ARCHIVES
Records Retention Schedule

Edition: August 2012

Expires: August 2017

Databases

BIZAPPS

View only access to Division of Motor Vehicles DB

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OREGON STATE ARCHIVES

Records Retention Schedule

Edition: August 2012

Expires: August 2017

Organizational Placement

Schedule number: 2012-0008

Agency: Public Utility Commission
Program: Utility

Program Description

The Utility Program conducts research, analysis and is the technical arm of the agency. It supports the Commission in carrying out its responsibilities to ensure that private electricity, natural gas, telecommunications, and water utilities provide safe, reliable and high-quality service at reasonable rates, and promote effective competition in those industries.

The program's five divisions are – Electric and Natural Gas; Telecommunications; Economic Research and Financial Analysis (ERFA); Utility Safety, Reliability and Security; and Regulatory Operations.

Program Records

- 043 Company Meter Testing Practices Reports**
Retain 6 years, destroy
- 044 Cost and Revenue Interstate Allocation Records**
Retain 10 years, destroy
- 045 Depreciation and Amortization Reports**
Retain 10 years, destroy
- 046 Gross Revenue Fee Statements**
Retain 10 years, destroy
- 047 Oregon Load Curtailment Final Plan Records**
Retain 30 years, destroy
- 048 Oregon Load Curtailment Final Plan Work Records**
Retain 1 year after final plan accepted, destroy

State Agency General Records Retention Schedule Records

Includes but not limited to

Administrative Records – OAR 166-300-0015

Contracts and Agreements
Correspondence

Databases

BizApps

OREGON STATE ARCHIVES

Records Retention Schedule

Edition: August 2012

Expires: August 2017

Organizational Placement

Schedule number: 2012-0008

Agency: Public Utility Commission
Program: Utility
Program: Consumer Services

Program Description

The Consumer Services program is responsible for investigating and informally resolving consumer complaints concerning most utility types; natural gas, electricity, telecommunications, water, etc. Staff works with consumers and utility companies to facilitate a resolution to a consumer's complaint without going to a formal proceeding with the Administrative Hearings Division (see separate description). Staff gathers information from the consumer and the utility company, determines if a complaint is valid, and then work with the involved parties to come to a resolution. In the event a resolution cannot be reached the complaint may then be sent to the Administrative Hearings Division to be filed as a docketed case.

Program Records

- 049 Automatic Call Distribution Reports**
Retain 1 year, destroy
- 050 Call Content Tallies**
Retain 10 years, destroy
- 051 Consumer Complaint Informal Case Records**
Retain 10 years after closure, destroy
- 052 Consumer Complaint Advisory Records**
Retain 10 years, destroy
- 053 Medical Certificates**
Retain 3 years, destroy
- 054 Utility Shut Off Notifications**
Retain 1 year, destroy
- 055 Utility Advisory Notifications**
Retain 1 year, destroy

State Agency General Records Retention Schedule Records

Includes but not limited to

Administrative Records – OAR 166-300-0015

Correspondence
Mailing List

Databases

BIZAPPS

OREGON STATE ARCHIVES

Records Retention Schedule

Edition: August 2012

Expires: August 2017

Organizational Placement

Schedule number: 2012-0008

Agency: Public Utility Commission
Program: Utility
Division: Economic Research and Financial Analysis

Program Description

Economic Research and Financial Analysis provides research and analysis expertise and services to all PUC regulatory programs. Staff review and evaluate proposed mergers, evaluates utility to unregulated affiliate transactions, conducts analysis of utility capital costs, and reports on the state of competition within Oregon's telecommunications industry. The Division audits the performance and financial transactions of all utilities. In addition, Division staff addresses regional power issues involving other states and the federal agencies.

Program Records

- 056 Docketed Case Work Paper Records (UM, UI, UF, UT, UE, UP, UX, DR, LC, UG, UA)**
Retain 5 years after Commission decision or final order, destroy
- 057 Economic and Financial Depreciation and Amortization Models and Records**
Retain 30 years, destroy
- 058 Economic and Financial Models**
Retain 15 years, destroy
- 059 Gas Rate Case Work Paper Records**
Retain 15 years after Commission decision or final order, destroy
- 060 Rate Case Supporting Records**
Retain 5 years, destroy
- 061 Rate Case Work Paper Records**
Retain 5 years after Commission decision or final order, destroy
- 062 Utility Annual Reports**
Retain 10 years, destroy

State Agency General Records Retention Schedule Records

Includes but not limited to

Administrative Records (OAR 166-300-0015)
Correspondence
Financial Records (OAR 166-300-0025)
Audit Reports

Databases

BIZAPPS

OREGON STATE ARCHIVES

Records Retention Schedule

Edition: August 2012

Expires: August 2017

Organizational Placement

Schedule number: 2012-0008

Agency: Public Utility Commission
Program: Utility
Division: Economic Research and Financial Analysis
Program: Corporate Analysis and Water Regulation

Program Description

The Corporate Analysis and Water Regulation program assist PUC decision makers by providing analysis in the context of PUC related projects, programs and hearings. Staff analyzes economic and public policies relating to corporations and utilities providing water which operate in Oregon. In addition, staff assists in the development of recommendations and written testimony on relevant issues. Staff negotiates with utilities and write/review briefs and stipulations.

Program Records

- 063 Ad Hoc Committee Final Reports**
Retain 5 years, destroy
- 064 Ad Hoc Committee All Other Records**
Retain 1 year after issuance of final report, destroy
- 065 Survey Records**
Retain 5 years, destroy
- 066 Rate Case Supporting Records**
Retain 5 years, destroy
- 067 Water Rate Case Work Paper Records (UW)**
Retain 15 years after Commission decision or final order, destroy
- 068 Quality of Service Survey Records**
Retain 5 years, destroy
- 069 Water Task Force Final Reports**
Retain 5 years, destroy
- 070 Water Task Force All Other Records**
Retain 1 year after final report issued, destroy
- 071 Utility Annual Reports**
Retain 10 years, destroy

State Agency General Records Retention Schedule Records

Includes but not limited to

Administrative Records (OAR 166-300-0015)
Attorney General Opinions
Calendar and scheduling Records
Correspondence
Staff Meeting Records
Financial Records (OAR 166-300-0025)
Audit Reports
Budget Preparation Materials
Emergency Board Request Records

OREGON STATE ARCHIVES
Records Retention Schedule

Edition: August 2012

Expires: August 2017

Databases
BIZAPPS

OREGON STATE ARCHIVES

Records Retention Schedule

Edition: August 2012

Expires: August 2017

Organizational Placement

Schedule number: 2012-0008

Agency: Public Utility Commission
Program: Utility
Division: Economic Research and Financial Analysis
Program: Economic and Policy Analysis

Program Description

The Economic and Policy Analysis program assist PUC decision makers by providing economic, statistical and financial analysis in the context of PUC related projects, programs and hearings. Staff analyzes economic and public policies as related to investor owned utilities which operate in Oregon. In addition, staff assists in the development of recommendations and written testimony on relevant economic and policy issues involving investor owned utilities. Staff negotiates with utilities and writes/reviews briefs and stipulations.

Program Records

072 Analysis Result Records

Transfer to requesting program/unit

073 Analysis Source Records

Retain 10 years after Transfer of findings to requesting program/unit, destroy

074 Rate Case Supporting Records

Retain 5 years, destroy

State Agency General Records Retention Schedule Records

Includes but not limited to

Administrative Records (OAR 166-300-0015)

Correspondence

Legislative Tracking Records (Testimony)

Financial Records (OAR 166-300-0025)

Audit Reports

Databases

BIZAPPS

OREGON STATE ARCHIVES

Records Retention Schedule

Edition: August 2012

Expires: August 2017

Organizational Placement

Schedule number: 2012-0008

Agency: Public Utility Commission
Program: Utility
Division: Electric and Natural Gas

Program Description

The Electric and Natural Gas Division is responsible for analysis of rate actions involving electric and natural gas utilities to ensure rates are fair, just and reasonable and to foster the use of competitive markets for utility services. In addition, the division prepares price regulations, proposes policies to induce utilities to secure low-cost energy supplies, and ensures that electric and natural gas utility infrastructures are safe and reliable. The division prepares analysis and argument for cases as a party in hearings conducted by the Administrative Hearings division.

Program Records

075 Public Meeting Supporting Records

Retain 5 years, destroy

076 Rate Case Supporting Records

Retain 5 years after Commission decision or final order, destroy

077 Territorial Allocation Records

Retain 25 years, destroy

078 Territorial Allocation Filing Work Paper Records

Retain 5 years after Commission decision or final order, destroy

079 Tariff Work Paper Records

Retain 5 years, destroy

080 Territorial Allocation GIS Records

Retain 15 years after superseded, destroy

State Agency General Records Retention Schedule Records

Includes but not limited to

Administrative Records – OAR 166-300-0015

Correspondence

Scheduling Records

Databases

BIZAPPS

OREGON STATE ARCHIVES

Records Retention Schedule

Edition: August 2012

Expires: August 2017

Organizational Placement

Schedule number: 2012-0008

Agency: Public Utility Commission
Program: Utility
Division: Electric and Natural Gas
Program: Electric Rates and Planning

Program Description

The Electric Rates and Planning program is responsible for reviewing rates and rate change requests submitted by electric utilities. Staff reviews filings to ensure their reasonableness and compliance with statute and PUC rulings.

Program Records

- 081 Rate Case Work/Source Records**
Retain 5 years after commission decision, destroy
- 082 Public Meeting Supporting Records**
Retain 5 years, destroy
- 083 Staff Report Work Papers**
Retain 1 year after superseded or obsolete, destroy

State Agency General Records Retention Schedule Records

Includes but not limited to

Administrative Records – OAR 166-300-0015

Correspondence
Scheduling Records

Databases

BIZAPPS

OREGON STATE ARCHIVES

Records Retention Schedule

Edition: August 2012

Expires: August 2017

Organizational Placement

Schedule number: 2012-0008

Agency: Public Utility Commission
Program: Utility
Division: Electric and Natural Gas
Program: Natural Gas Rates and Planning

Program Description

The Natural Gas Rates and Planning program is responsible for reviewing rates and rate change requests submitted by natural gas utilities. Staff reviews company policy and strategy to assess if costs and fees should be charged or refunded to customers. Staff reviews tariff filings to ensure their reasonableness and their compliance with statute and PUC rulings.

Program Records

- 084 Rate Case Work/Source Records**
Retain 5 years after Commission decision or final order, destroy
- 085 Public Meeting Supporting Records**
Retain 5 years, destroy
- 086 Staff Report Work Papers**
Retain 5 years, destroy

State Agency General Records Retention Schedule Records

Includes but not limited to

Administrative Records – OAR 166-300-0015

Calendar and Scheduling Records
Correspondence

Databases Used

BIZAPPS

OREGON STATE ARCHIVES

Records Retention Schedule

Edition: August 2012

Expires: August 2017

Organizational Placement

Schedule number: 2012-0008

Agency: Public Utility Commission
Program: Utility
Division: Electric and Natural Gas
Section: Revenue Requirements

Program Description

The Revenue Requirements section provides expertise and assistance on rate cases, deferred accounting, mapping of allocated territories and renewable resource adjustment clause cases. Staff reviews applications and prepares memorandums for the Commission on deferred accounting by utilities; analyzes, reviews and prepares documentation on rate cases and works on utility settlement filings in preparation for a ruling by the Administrative Hearings Division.

Program Records

- 087 Testimony/Docket Supporting Records (UM, UG, UE)**
Retain 5 years after Commission decision or final order, destroy
- 088 Testimony/Docket Supporting Records (UA)**
Retain 5 years after Commission decision or final order, destroy
- 089 Renewable Resource Adjustment Clause Work Paper Records**
Retain 5 years after Commission decision or final order, destroy
- 090 Testimony/Docket Work Paper Records**
Retain 5 years after Commission decision or final order, destroy
- 091 Renewable Resource Adjustment Clause Supporting Records**
Retain 5 years after Commission decision or final order, destroy

State Agency General Records Retention Schedule Records

Includes but not limited to

Administrative Records – OAR 166-300-0015

Calendar and Scheduling Records
Correspondence

Databases Used

BIZAPPS

OREGON STATE ARCHIVES
Records Retention Schedule

Edition: August 2012

Expires: August 2017

Organizational Placement

Schedule number: 2012-0008

Agency: Public Utility Commission

Program: Utility

Section: Regulatory Operations

Program Description

Regulatory Operations ceased to exist 4/1/2012. Its staff and information resources were dispersed to other PUC programs.

Program Records

None

OREGON STATE ARCHIVES

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Organizational Placement

Schedule number: 2012-0008

Agency: Public Utility Commission

Program: Utility

Section: Support Services

Program Description

Support Services staff provides support and assistance to Utility Program units and staff. Staff provides clerical services including drafting and proofing documents, updating and maintaining financial documentation, employee time sheets and maintaining Utilities central files.

Program Records

092 Travel Log

Retain 4 years, destroy

State Agency General Records Retention Schedule Records

Includes but not limited to

Administrative Records - OAR 166-300-0015

Calendar and Scheduling Records

Correspondence

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

Legislative Tracking Records

Mailing Lists – Employee Phone Number and Address List

Policy and Procedure Guidelines and Manuals – Desk Reference Guides

Financial Records – OAR 166-300-0025

Travel Records

Information and Records Management Records – OAR 166-300-0030

Forms Development Records (Boiler Plates)

Personnel Records – OAR 166-300-0040

Employee Personnel Records

Databases

BIZ APPS

OREGON STATE ARCHIVES

Records Retention Schedule

Edition: August 2012

Expires: August 2017

Organizational Placement

Schedule number: 2012-0008

Agency: Public Utility Commission
Program: Utility
Division: Utility Safety, Reliability and Security

Program Description

The Utility Safety, Reliability and Security Division staff provide technical expertise, oversight, response and mitigation on safety, reliability and security issues and responses involving utilities. Staff provides support to PUC programs and other State agencies on matters involving utility technical matters. Staff conducts incident monitoring, investigations, audits, disaster response and education and outreach. Division staff conducts inspections and audits of operators of electric, communication and gas lines, performs incident investigations, supports the Oregon Utility Notification Center call before you dig program and reviews gas pipeline and facility operators' emergency and operational plans. In addition, the Division provides training to operators through the Pipeline and Hazardous Materials Safety Administration. Division staff participates in and work with a number of organizations including NAPSAR, OUCC and OUSC. Pipeline operators are required to self certify their compliance with federal/state pipeline safety standards. Finally, the Division acts as liaison between private sector operators and State government during emergency situations by participating in operations at the emergency Coordinating Center.

Program Records

- 093 Contact/Phone List**
Retain until superseded or obsolete, destroy
- 094 Emergency Preparedness Records**
Retain 20 years after superseded or obsolete
- 095 Facility Operator/Policy and Procedure Records**
Retain for life of facility, destroy
- 096 Facility Inspection Records**
Retain for life of facility, destroy
- 097 Incident Records**
Retain for life of facility, destroy
- 098 Oregon Utility Notification Center Enforcement Records**
Retain 5 years, destroy
- 099 Oregon Utility Notification Center Records**
Retain 5 years, destroy
- 100 Oregon Utility Safety Committee Records**
Retain 5 years, destroy
- 101 Safety Reports**
Retain 10 years, destroy
- 102 Utility Audit Records**
Retain 20 years, destroy

OREGON STATE ARCHIVES

Records Retention Schedule

Edition: August 2012

Expires: August 2017

103 Accident Reports

Retain 15 years, destroy

104 Data Requests/Responses

Retain 1 year after case closed, destroy

State Agency General Records Retention Schedule Records

Includes but not limited to

Administrative Records - OAR 166-300-0015

Conference, Seminar and Training Program Records

Correspondence

Policy and Procedure Guidelines and Manuals

Financial Records – OAR 166-300-0025

Grant Records

Databases

BIZ APPS

OREGON STATE ARCHIVES

Records Retention Schedule

Edition: August 2012

Expires: August 2017

Organizational Placement

Schedule number: 2012-0008

Agency: Public Utility Commission

Program: Utility

Division: Telecommunications – Policy, Plans, Legislation

Program Description

The Telecommunications Division is charged with promoting competition in local telecommunications markets while maintaining strong regulatory oversight where necessary to achieve the state goals for telecommunications service: high-quality service, universal access to basic service at reasonable rates, and continuing innovation in the services offered. The Division conducts cost analysis, rates and service quality monitoring, and investigates competitive market issues. In addition, the Division reviews carrier interconnection agreements, oversees service territory allocations and carrier certifications, and manages Federal Universal Service Fund eligibility. The Division coordinates the activities of the Oregon Universal Service Fund (OUSF) and collects quarterly contribution reports and payments as well as monthly access line counts for distributions from the OUSF. All sections within the division provide policy, legislation and plan support and documentation as necessary.

Program Records

105 Staff Reports on Public Policy

Retain 10 years, destroy

State Agency General Records Retention Schedule Records

Includes but not limited to

Administrative Records - OAR 166-300-0015

Calendar and Scheduling Records

Conference, Seminar, and Training Records

Contracts and Agreements (Memorandums of Understanding)

Correspondence

Legislative Review, Concepts, Testimony and Plans

Policies and Procedures Guidelines and Manuals

Financial Records - OAR 166-300-0025

Budget Preparation Records

Databases

BIZAPPS

OUSF Database

Revenue Fee DB

OREGON STATE ARCHIVES

Records Retention Schedule

Edition: August 2012

Expires: August 2017

Organizational Placement

Schedule number: 2012-0008

Agency: Public Utility Commission
Program: Utility
Division: Telecommunications
Program: Competitive Issues

Program Description

The Competitive Issues program provides technical expertise and services overseeing telecommunications acquisitions and mergers in Oregon including acquisitions of territory by telecommunication providers already operating in Oregon. Staff researches companies and relevant issues and prepares documentation and makes recommendations for commission action. Staff reviews and makes recommendations on certifications of authority for providers which are ultimately accepted/denied by the Commission and reviews interconnection agreements between competitors. In addition, program staff reviews telecom provider eligibility for federal funds allocation. Per federal law states are empowered to make decisions allocating federal funds. Designated providers provide annual reports to the PUC which are reviewed as part of a recertification process.

Program Records

106 Negotiated Interconnection Agreement Records

Retain until superseded, destroy

107 Territory Allocation Records

Retain 5 years after Commission decision or final order, destroy

State Agency General Records Retention Schedule Records

Includes but not limited to

Administrative Records - OAR 166-300-0015

Correspondence

Databases Used

BIZAPPS

OREGON STATE ARCHIVES

Records Retention Schedule

Edition: August 2012

Expires: August 2017

Organizational Placement

Schedule number: 2012-0008

Agency: Public Utility Commission
Program: Utility
Division: Telecommunications
Program: Cost Analysis

Program Description

The Cost Analysis program provides fiscal analysis regarding telecommunication providers to PUC programs. Staff review costs and compensation of telecommunication providers, does fee auditing, assists in tariff filings. In addition the program oversees the Oregon Universal Service Fund, funded by an assessment on all telecommunications providers used to promote affordable phone service throughout Oregon.

Program Records

- 108 Annual Report (Form O and Form I) Records**
Retain 10 years, destroy
- 109 Cost Studies**
Retain until obsolete, destroy
- 110 Oregon Universal Service Fund Advisory Board Records**
Retain 6 years, destroy
- 111 Oregon Universal Service Fund Records**
Retain 6 years, destroy
- 112 PUC Fee Statement (Audit) Records**
Retain 6 years, destroy
- 113 Tariff Work Papers**
Retain 5 years, destroy
- 114 Telecommunications Reports**
Retain 10 years, destroy

State Agency General Records Retention Schedule Records

Includes but not limited to

Administrative Records - OAR 166-300-0015

Calendar and Scheduling Records
Correspondence
Legislative Tracking Records
Financial Records – OAR 166-300-0025
Audit Records

Databases Used

BIZAPPS

OREGON STATE ARCHIVES

Records Retention Schedule

Edition: August 2012

Expires: August 2017

Organizational Placement

Schedule number: 2012-0008

Agency: Public Utility Commission
Program: Utility
Division: Telecommunications
Section: Rates and Service Quality

Program Description

The Rates and Service Quality Section is responsible for ensuring telecommunications service quality meets established standards. Staff monitors service quality of telecommunication service providers conducting audits and doing comparative analysis and trending of service level and quality over time. In addition to audits conducted by section staff, information provided by telecommunication providers regarding service and facilities is used by section staff to ensure service quality.

Program Records

- 115 CLEC and Small ILECs (Less than 50,000 Lines) Service Quality Reports**
Retain 5 years, destroy
- 116 Extended Area Service Records**
Retain until superseded or obsolete, destroy
- 117 Large ILEC (Over 50,000 Lines) Service Quality Reports**
Retain 20 years, destroy
- 118 Telecommunication Rate and Service Quality Audit Records**
Retain 20 years, destroy
- 119 Network Configuration Records**
Retain until superseded or obsolete, destroy

State Agency General Records Retention Schedule Records

Includes but not limited to

Administrative Records - OAR 166-300-0015

Calendar and Scheduling Records
Correspondence

Databases Used

BIZ APPS

OREGON STATE ARCHIVES

Records Retention Schedule

Edition: August 2012

Expires: August 2017

Organizational Placement

Schedule number: 2012-0008

Agency: Public Utility Commission

Board: Oregon Board of Maritime Pilots

Program Description

The Oregon Board of Maritime Pilots is responsible for promoting safety by ensuring competent ship pilotage service exists on the Columbia and Willamette Rivers, the Columbia River bar, and Coos and Yaquina bays. All foreign flagged vessels and vessels exceeding 100 feet and/or 250 gross tons are required to have pilot on board. The Board established and maintains the requirements for maritime pilots, administers pilot examinations, issues licenses, and provides industry regulation and disciplinary measures. In addition, the Board of Maritime Pilots sets pilotage fees through rate hearings. The Board of Maritime Pilots is organized under the Oregon Public Utility Commission and operates per ORS 776 and OAR 856. The Board is part/party to investigations involving ship damage, collisions, grounding when ships are under the control of a pilot. The Board of Maritime Pilots relocated from the Department of Transportation, where it had been attached since 1987, to the Public Utility Commission in 2007. The PUC provides administrative services; fiscal, payroll, HR. PUC Administrative Law Judges conduct all rate hearings for the Board of Maritime Pilots per ORS 776.129.

Program Records

120 Board Member Records

Retain 4 years, destroy

121 Board Meeting Minutes, 1849 – [ongoing] 10 c.f.

Retain permanently, transfer to State Archives after 10 years

122 Complaint and Disciplinary Records, Individuals

Retain 25 years, destroy

123 Complaint and Disciplinary Records, Establishments

Retain 10 years after case closed, destroy

124 Examination and Administration Exam Roster Records

Retain 75 years, destroy

125 Examination and Administration All Other Records

Retain 10 years, destroy

126 Licensee Rosters

Retain 5 years after superseded or obsolete, destroy

127 Serious/Historic Accident/Incident Records 1902 – [ongoing] 4 c.f.

Retain permanently, transfer to State Archives after 50 years

128 All Other Accident/Incident Records

Retain 20 years, destroy

129 Rate Hearing and Appeal Case File Records

Retain 50 Years, destroy

130 Rate Hearing and Appeal Case File Draft/Working Records

Retain until case closed, destroy

OREGON STATE ARCHIVES

Records Retention Schedule

Edition: August 2012

Expires: August 2017

State Agency General Records Retention Schedule Records

Includes but not limited to

Administrative Records - OAR 166-300-0015

Administrative Rule Preparation Records

Calendar and scheduling Records

Contracts and Agreements

Correspondence

Mailing Lists

Policy and Procedure Guidelines and Manuals

Issue Papers (see Policy Development and Planning Records)

Scheduling Records

Databases

Active/Inactive Pilots

Incidents