TITLE:	**Public Records Management**	**PROCEDURE #:**	**202-A**
DEPT:	**County Clerk's Office**	**DIVISION:**	**n/a**
EFFECTIVE DATE: **4/84**	**REVIEWED:** **2/09**	**REVISED:**	**10/09**

OBJECTIVE: To establish a procedure for implementation of Division 17 Oregon Administrative Rule (OAR) Digital Imaging systems and accessing County Archive services. The Clerk, as necessary and consistent with the policies may revise these procedures.

REFERENCE: Policy # 202.

POLICY STATEMENT: Establish an integrated approach by Marion County for managing public records from their creation to their ultimate disposition.

APPLICABILITY: All officers, employees and agents for Marion County.

PROCEDURES:

DIGITAL IMAGING SYSTEMS

1. System Documentation: All digital imaging systems that store digitized public records with a retention period of ten years or more shall have system documentation on file with the Marion County Clerk, no later than **30 days** of the install of new system. This documentation shall include a narrative description of the digital imaging system, the retention period of the original records, the header label used in the system, and an estimate of the life expectancy of the digital imaging system. If the life expectancy of the system is less than the retention period of the records it stores, system documentation shall also include a description of how access to digital images of records will be maintained.

2. Image Quality: Digitized document shall be verified after digitization. Documentation describing each inspection shall be maintained for each digital imaging system and shall include the date of inspection, name of inspector(s), group of documents inspected, and sample size (if applicable). Scanner Quality control procedure shall conform to ANSI/AIIM MS44-1988. Recommended Practice for Quality Control of Image Scanners, which is incorporated by reference and is available from the Association for Information and Image Management, 1100 Wayne Avenue, Suite 1100 Silver Spring, MD 20910. In addition, the following standards apply to digital images:

    a. Office documents containing fonts no smaller than six-point shall be scanned at a minimum density of 200 dpi. Documents containing fonts smaller than six-point, architectural and engineering drawing, maps, and line art shall be scanned at a minimum density of 300 dpi.

b. If documents are digitized using fax technology, the fax mechanism must be capable of transmitting and receiving both 200 and 300 dpi images.

c. Digitized documents shall support CCIT group 3 or 4 compression techniques. Digitized photographs and halftone images shall also support or provide a gateway to JPEG compression techniques.

3. Indexing: All documents in a digital imaging system shall be indexed and retrievable. Document image indexes shall be preserved as long as the document images are maintained in the system.

4. Storage Requirements:

a. The following standards apply to the storage of digital disks containing public records:

1) Environmental conditions for the operation, maintenance, and storage of digital imaging system equipment and storage media shall meet or exceed manufacturer's specifications.

2) Digital imaging system equipment shall be maintained in proper working condition. Manufacturer's guidelines for preventive maintenance shall be followed and defective equipment shall not be used.

b. In addition to the standards in section (1) of this rule the following standards apply to the long–term storage of information on digital disks:

1) Digital images shall be recorded and stored by means of a technology that does not allow their subsequent revision or replacement.

2) The digital disk substrate shall be either polycarbonate or tempered glass.

3) Only Digital disks with a 20-year life expectancy, based on accelerated aging tests linked to a specific disk location, may be used.

4) Digital imaging system storage media shall be inspected annually. This inspection should include visual examination of the medium and its housing, followed by the retrieval or play-back of recorded information. Documentation describing each inspection shall be maintained for each digital imaging system and shall include the date of inspection, name of inspector(s), and storage media inspected. Link to form (will be set up as link at time of release).

5. Expungement of information stored on WORM Media: Expungement of digital images stored on WORM digital disks shall conform to the Expungement of Information Recorded on Digital Write-Once-Read-Many (WORM) Systems (TR28-1991) which is incorporated by reference and is available from Association of Information and Image Management, 1100 Wayne Avenue, Suite 1100, Silver Spring, MD 20910.

6. Access: Before any agency acquires or makes a major modification to any digital imaging system, equipment or software to store or retrieve public records, it shall assure that such proposed system, equipment or software adequately provides for the rights of the public to access and copy public records under ORS 192.410 to 192.505:

    a. Agencies shall not enter into contracts with any person or entity if the contract will impair the right of the public under state law to inspect or copy the agency's nonexempt public records existing online in, or stored on a device or media in connection with digital imaging system owned, leased or otherwise used by an agency in the course of its governmental functions.

    b. Digital imaging systems shall use non-proprietary header labels, the system must be able to read images with non-proprietary header labels and produce images with nonproprietary header labels.

7. Retention:

    a. Public records with a scheduled retention period of less than 100 years may be stored on digital disks. The original record may be disposed of following verification of acceptable digital image quality. Images stored on digital disks shall be copied onto new digital disks after no more than ten years. Images must be recopied until the retention period of the original public records has been satisfied.

    b. Public records with a scheduled retention period of 100 years or more may be stored on digital disk devices provided that the original records are retained in hard copy or on microfilm for the entire scheduled retention period.

ARCHIVES

1. Sending physical records:

    a. It is the requestor's responsibility to insure proper packing of the physical records.

        1) Files are in alphabetical, numerical or chronological order.

        2) Numbering in sequential order of multiple boxes.

        3) Inventory list should be made for each box sent to Archives.

        4) Files are facing in the same direction as the front of the box, seam to the back.

5) Files are packed with a minimum of 2 inches of empty space. Two fingers should fit between files and box.

6) There will be no additions to an archived box. Once a box is sent to archives it is considered complete in its inventory.

7) Absolutely no hanging files are to be used as file holders for archiving in boxes.

b. Obtain an official Marion County archive box that will carry a charge (current market value 2009-2010 2.89 per box). The agency is also charged per lb of box when a box is burned.

c. Obtain an official Marion County sticker for the archive box; follow directions on Exhibit # 1 for sticker placement.

d. Supplies: contact Archives 503.588.5490 OR Office Max P512513 to request boxes and lids.

e. Transmittal will be available online or by e-mail: archive@co.marion.or.us.

f. Directions for placement of archive sticker (Exhibit #1):

1) Facing the box with handles on the side with the seam of box to the back, label shall be placed on the left side toward the middle.

2) Front of the box is for the Archives information only.

3) Handles shall be punched to the inside of the box.

4) No staples shall be put on lids.

5) Weight may not exceed 35 lbs per box.

g. Directions to fill out Archive sticker (Exhibit #2):

1) Description of label (no fill).

2) Department or agency.

2a) Division if different.

3) Type of documents.

4) From: alpha, chronological or numeric.

4a) Same as 4.

5) Must be the date range of records.

5a) Must be box numbers in sequential order if in a grouping.

6) Inventory: Optional (your option).

6a) Restricted: Optional mark yes or no.

7) Date of Receipt: Option of Archives.

8) Destruction date. (Departments option or Archives option).

h. Sender will need to fax transmittal (Exhibit #3 and #4).

1) Agency (must be agency name) example: Business Services, District Attorney, Sheriff's office etc.

2) Division or office example: Payroll, Support Enforcement, and Corrections etc.

3) Accession number is reserved for Archives. This is the number that will be assigned by archives to correctly identify the group of boxes going to Archives.

4) Item Number: This section identifies specific groups. Example:

i. Different types of documents.
ii. Different range of years.
iii. Different age groups with different retentions adult versus juvenile.

5) Total number of boxes. Boxes for item number.

6) Title of Record Series. Use the OAR's Retention Schedules for this, and insert the current OAR #. Example: Employee time records (title) 166.150.0155(3)(number).

7) Retention period: Time of retention required by OAR - Employee time records retention is 4 yrs.

8) Covering Dates. Beginning date of files example 1/1/2007.

9) Covering Dates. Ending Date of files examples 12/31/2007.

10) Signature of person archiving for the agency or division.

11) Date of signature for the person from the agency or division.

12) Signature of person picking up the boxes for archives.

13) Date Archives person signed when picking up.

2. Requesting Physical records from Archives:

   a. The person working for the agency must call Archives @ 503.588.5490 and have the following available for archive to retrieve the file:

      1) Callers name.

      2) Department.

      3) Phone number of requestor.

      4) Accession number.

      5) Item number if needed.

      6) Box number.

      7) File identified as: name, date or alpha letter.

      8) If needed: birth date of client.

      9) If needed: identifying number on file.

      10) If needed: number of files for this request.

   b. The person requesting files must work for the agency that owns the file. Example: The DA's office cannot request files owned by Sheriff's office. The DA's office must go through the Sheriff's office & the Sheriff's office will need to make the request for the file.

   c. Some agencies give Archives a list of people who may request (confidential files) from their agency. Archives will check with contact from agency if somebody who is not on that list but is requesting a file from that agency's files.

   d. Archives will retrieve requested files within 24 hrs of request.

   e. Archives send files through the inter-office mail to outlining offices, which will delay delivery of requested files.

3. How destruction of physical records from archival storage happens: Destruction transmittal must be completed. Either Marion County Archives or agency can complete but only when retentions on the documents are met (Exhibit #5).

   a) Completed with Agency name and with division of agency if applicable.

   b) Date of request.

c) Record series and title. Follow OAR's titles.

d) Inclusive dates of the records up for destruction.

e) Cubic feet (issued archive boxes are considered to measure 1 cubic foot).

f) Retention is the amount of years required under OAR for this record series.

g) Retention authorization is the OAR number 166.150.---- ( ).

h) Department manager will need to sign two originals destruction transmittals and send to Archives.

i) Archives will check and sign off authorization for destruction.

j) Once a truck capacity is met for burning, archives will arrange for a large enough truck to take. (Agency will be charged per box at this time).

k) Once destruction authorizations have been signed for recycle destruction, Garten Services will be called for pick up at Archives.

l) Once the destruction happens Archives will sign off as to when and how the records were destroyed.

m) One original will be sent to the agency for their records and one original will be kept by archives. These are permanent records that must be kept to document destruction of public records.

E-MAIL:

To be entered at a later date.

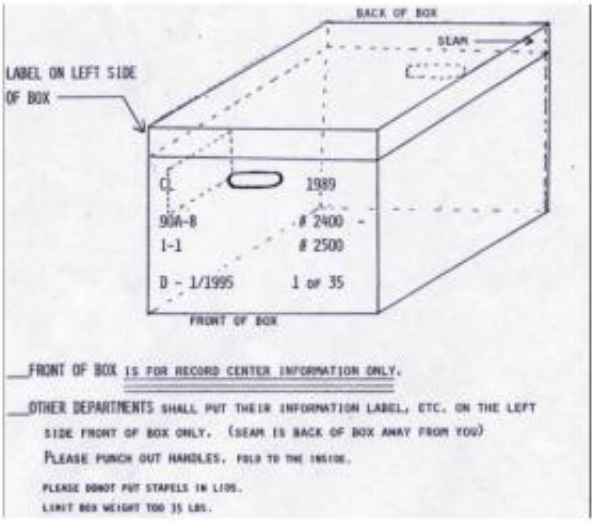
Exhibit 1

Marion County
OREGON
COUNTY CLERK / Archiving

Sending Physical Records

Requestor must:

▪Obtain an official Marion County sticker for the Archive Box, follow directions below for box sticker placement.



Supplies:
Contact Archives @ 503.588-5490 to request boxes ,lids and Archive stickers.

Transmittal will be available online
Or by e-mail:
archives@co.marion.or.us

Exhibit 2

Marion County
OREGON
COUNTY CLERK / Archiving

- Sending Physical Records

Requestor must then fill in the label as follows:
example

1	Marion County Record Storage Label		
Dept. Clerk	2	Division. Recording	2a
Name of Record Series: Marriage Records OAR 166.150.0040(13)	3		
From: 00001	4	To: 00999	4a
Date of Records: 1/1/2005-12/31/2005	5	Box Number 1	5a
Inventory Number	6	Restricted Yes	6a
Date of Receipt:1/1/2006	7		
Destruction Date: N/A Perm	8		

1. Description of label (no fill)
2. Department or agency 2a Division if different
3. Type of Documents
4. From: alpha, chron, numberic 4a. Same as 4
5. Must be the date range of records: 5a. Must be box number in sequential order if in a grouping
6. Inventory. Optional (your option) 6a.restricted Optional mark yes or no
7. Date of Receipt: Option of Archives

Exhibit 3

Marion County
OREGON
COUNTY CLERK / Archiving

- Sending Physical Records

  ➢ Requestor will need to fax a transmittal to the Marion County Archives: fax number 503.373.4408

Marion County OREGON COUNTY CLERK

DO NOT DESTROY

RECORDS TRANSMITTAL LIST

Page ___ of ___

				ACCESSION NUMBER		
Agency	1			3		
Subdivision or Office	2	Title of Record Series				
Item Number	Total # of Boxes		Retention Period	Covering Dates from	to	
4	5	6	7	8	9	
Transmitted by Agen	Signature:	10		Date:	11	
Received into the Ar	Signature:	12		Date:	13	

See attached for how to:

Exhibit 4

Marion County

OREGON

COUNTY CLERK / Archiving

•Sending Physical Records

Example of form filled in :

Marion County
OREGON

DO NOT DESTROY
RECORDS TRANSMITTAL LIST

Page ____ of ____

ACCESSION NUMBER

Agency: AS

Subdivision or Office:

Title of Record Series

Box Number	Total # of Boxes		Retention Period	Covering Date	Date to
1	15	Department of Motor vehicles form 113.166.150.00.15(9)(a)	1 yr	1/1/2007	12/31/2007
2	10	Department of Motor vehicles form 113.166.150.00.15(9)(a)	1 yr	1/1/2006	12/31/2006
3	1	Work schedules and assignments 166-150.0005(46)	5 yrs	6/31/2005	12/31/2007
4	2	Employee Time records 166.150.0155 (2)	4 yrs	1/1/2006	12/31/2006
		Use OAR Titles, OAR ID numbers and OAR retention schedules			
	28	Total is optional			

Transmitted by Agency Signature: Date:

Received into the Archives Signature: Date:

Boxes numbers are used for different date ranges or different retention periods

Exhibit 5

Marion County

OREGON

COUNTY CLERK / Archiving

Example of Record destruction Form:

RECORD DESTRUCTION REQUEST

County Department: 1 Date: 2

The following records have reached the prescribed retention periods pursuant to the provisions of Oregon Revised Statutes 192 and 357, and Oregon Administrative Rule Chapter 166.

Record Series Title	Inclusive Dates	Cubic Feet	Retention	Retention Authorization
3	4	5	6	7

Department authorization to destroy the above described records.

8 two originals Date: _____

Destruction authorized by Records Manager.

9 Date: _____

The above listed records were destroyed by _____ in accordance with County requirements on _____.

12

Deputy County Clerk

DIGITAL IMAGING SYSTEM DOCUMENTATION FORM

To be sent to the Marion County Clerks Office.

NEW SYSTEM

System Documentation

NAME: Department:

DATE: Phone number:

Narrative description of imaging system: ☐

This is documentation that comes with the system, by manufacturer.

Date of install:

Using the Oregon Administrative Rules **Chapter 166** Retention Schedule list of **original** records being stored:

Header label to be used:

Tiff: ☐ Jpeg: ☐ Other:

Describe how access to digital images of records will be maintained if the life expectancy of the system is less than the retention of the records it stores:

EXISTING SYSTEM

Annual inspections: ☐

Name of inspector:

Date of inspection:

Visual examination of housing:

Good: ☐
Bad: ☐
Remedy:

Retrieval and/or playback:

Good: ☐
Bad: ☐
Remedy:

Public records with a scheduled retention period of less than 100 years:

Disks copied every 10 years until retention period has been satisfied. ☐

Public records with a scheduled retention period of more than 100 years:

Disks copied every 10 years until retention period has been satisfied. Plus original records retained in hard copy or on microfilm for the entire scheduled retention. ☐