



Record Retention

**Douglas County Assessor's
Office
Record Retention Project
June 28, 2004**



Introduction

This document is a general overview of the states rules, regulations, procedures, and retention schedules. These are topics that will lead into the specifics for Douglas County’s scanning process.

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Disclaimer All information in this document was researched using internal reviews, the Oregon State Archive website, and the Secretary of State homepage. This document serves as the State of Oregon and the Douglas County Assessor’s office retention history and policy to date, July 1, 2004. The first half of this document will be directed towards the State and the later half will be focused directly on Douglas County.

Introduction of Oregon's Record Retention Information

Definition

A record is defined as any document, book, paper, photograph, map, sound, recording or other material, regardless of physical form or characteristics, made or received pursuant to law or in connection with the transaction of official business. Record retention includes any record created, used and maintained in electronic form through the act of retaining or the condition of being retained during the time period in which records are maintained to fill legal and business period requirements.

Purpose

The purpose of record retention is to keep and use records that have been either stored on a paper format or electronically stored for better security and efficiency purposes. Another necessary reason for this retention method is to obtain a longer record storage life. Records of importance that will be used again and again over for several years need to be protected the least costly and space consuming way, which is through scanning documents for electronic storage. These records if stored correctly can help answer any future questions about the file if they arise. This form of retention also eliminates files that are no longer deemed necessary to keep according to the county's retention schedule. In office use is the main concern for the scanning method, but allowing users and the public to access these files is a new and readily available feature.

Users

Over the course of several years, many people may use, access, and reference to these electronic files for reporting, informational, research, evidence, or updating purposes. These records may also be used in order to set new standards or to compare the previous records with the standings and statistics of new records and policies. The government is trying to ensure continuation of an open, efficient conduct of the public's records by keeping up with applying record retention, it's policies, and the required minimum years for retention from the General Schedule. During the life of these records, it is permitted by law that all public records except those marked confidential, are accessible to those who inquire about them. Other records and files associated with the government and other private institutions are not required to be open for the public's use and are therefore, noted as confidential and cannot be read or used by the general public. Some of these records will be media style formatted and others may be physical hard copy documents. Because there is a different retention period for each kind of file, some documents are still kept in a physical form in a cabinet or in file folders in a vault until the retention period is finished, while others will only be located on an electronic media source.

Oregon State Archive Rule

Access

166-017-0070

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](#):

(1) 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 a digital imaging system owned, leased or otherwise used by an agency in the course of its governmental functions.

(2) Digital imaging systems shall use non-proprietary header labels if they are intended to store long-term information. If a digital imaging system uses proprietary header labels, the system must be able to read images with non-proprietary header labels and produce images with non-proprietary header labels.

Stat. Auth.: ORS 192.050, [ORS 192.060](#) & [ORS 192.105](#)

Stats. Implemented: [ORS 357.825\(2\)](#), [ORS 357.855](#) & [ORS 357.895](#)

Hist.: OSA 2-1994, f. 1-28-94, cert. ef. 4-1-94

Being able to access records from a government agency is a helpful and useful implement. That is why it is important for users to understand what the limitations and rules about accessing are. Once a person can distinguish which records they are able to access, they can go into an agency where they can gather the needed records. The County Clerk's office or the State Archives are usually the two most common agencies used to obtain specified documentation.

Disadvantages

Problems that may affect transferring records from a hard copy form to an electronic form can be serious because the data files are automatically deleted after printing. When files are deleted this means that they no longer are needed to be held for retention. These are usually records that have completed their scheduled retention period and are no longer needed in a paper form. Records like these are still available, but access to them is only attainable on a computer connected to the server holding them. A backup tape is a form of storage where files that are held within a server, are backed up on a tape each night for reinforcement. Backup records means that if a crash happens to the server, then files will not be permanently lost because the backup tape can be used to re-enter files that were lost in the crash. Some backup tapes are not always verified and may present problems when the backup tape is needed for use. Backup tapes may not work properly if they were not verified before the deletion of the original data file. Occasionally, there may be an issue with generating copies of the electronically saved records, due to human error when first transferring the files. As in most software programs there is no definite guaranty that the program itself will retain the files for as long as their scheduled retention period requires. Because computer and electronic software can be overwritten, problems may occur because the original record has already been disposed of and in some cases there is no method of back-up to help retrieve the lost or overwritten document. Other less active problems include security breaches and lost files that are completely unaccounted for.

General Information

Photographs (analog photos, negatives, slides)

Sound & Video Recordings (audio tapes and cassettes, video tapes and cassettes, CDs, DVDs)

Formats: Generally Archives accept photographs and sound and video recordings in a variety of formats:

- Traditional (analog) photographs and negatives
- Digital photographs
- Slides
 - Microfiche
- Video and audio tapes, cassettes, and compact disks
- Films
 - Microfilm
 - Mercury

Criteria for selecting photographs and sound/video recordings

- Good-quality in terms of content and composition and production values.
- Depict activities, persons, buildings, objects, or scenes that have historical, administrative or legal value.
- Record events, interviews, speeches, or other activities that have historical, administrative or legal value.

Procedures for sending photographs and sound/video recordings to the Archives

- Consult the Archivist about whether the Archives can accept a specific format.
- AV materials should be packed separately from paper records when transferred to the Archives.
- AV materials must be listed on the Transmittal Form / Contents List with the following information:
 - o Descriptive title/name
 - o Subject of photo or recording (name of person, place, department, activity)
 - o Date of activity

- o Technical data if in electronic format
- o Creator (photographer, videographer, recorder)

Digital Photographs

Digital Images – Scanned: The Archives will also accept digital photographs that have been scanned from an existing photograph. The original analog photograph and its negative are the preferred format. However, the Archives may choose to preserve digital / scanned images, along with the analog master/original copy, for exhibit, research and access purposes.

Criteria and Guidelines for Selecting, Capturing and Preserving Digital Photographs

- Digital photographs should be captured in JPEG or TIFF format.
- Images should be captured in a medium to high resolution.
- Digital photographs should be stored in a non-proprietary format. (Non-proprietary meaning not made or owned by one having the exclusive legal rights or copyrights to the photographs.)
- Digital photographs are subject to archival evaluation standards and selection procedures. Digital photographs should be of good quality in terms of content and composition.
- CDs or disks must be labeled and consecutively numbered.
- Digital photographs should be accompanied by an inventory listing the following information for each image:
 - o Descriptive file or photograph title/name
 - o Subject of photo (name of person, place, department, or activity)
 - o Date of activity / when the photo was taken (not the date copied, stored, or last opened)
 - o Format (JPEG or TIFF)

Electronic Records

Public records laws and records management practices apply to all public records, regardless of format. Oregon law includes electronic information and record formats in its definition of public records - [ORS 192.005 \(5\)](#). Therefore, records retention guidelines and access to information contained in electronic formats are subject to the same provisions as paper-based records. The goal of electronic preservation is to preserve born digital materials in a usable, cost-effective manner.

Electronic Formats: The Archives will accept records in electronic formats, such as:

- text documents (word processing and desktop publishing files)
- graphics (digital photographs and images)
- electronic publications
- web-based records

Retention & Accessibility: Electronic records must be retained and accessible for as long as the records retention schedule mandates. They require routine system backup and periodic copying or migration to new hardware and software systems and storage media and formats.

Criteria for Selecting Electronic Records:

- The records should have a permanent or long-term retention period as specified by the Records Retention Schedule.
- The electronic format should be the official copy of the records.
- The electronic format should provide ease of access and search capabilities.
- A paper copy of the records is not available.
- The records are in a format acceptable and usable by the Archives.

Procedures for Transferring Electronic Records to the Archives

- Consult with the Archivist to make sure the electronic records meet the necessary criteria and are acceptable by the Archives.
- Electronic records may be transferred to the Archives on disks, CDs, or as attachments to email.

- Disks or CDs should be properly labeled and consecutively numbered.
- Electronic records must be accompanied by a Transmittal Form / Contents List that includes:
 - o State file information
 - Type (eg. MS Word 2002)
 - Dates
 - Size (in KB)
 - Author or Creator
 - Number and type of media (CDs, floppy disks)
 - o Content information
 - Department Name
 - Series Title
 - Dates
 - Complete list of file names

Administrative Systems and Databases

The records retention schedule and public records laws apply to information and records stored on large administrative and instructional systems and databases (including a Banner, a headline spanning the width of a documents pages). These systems are not managed by the Archives. Contact Computer Services for assistance in storing, preserving, and accessing information and records stored on these large systems.

Destruction of Confidential Electronic Records

- Electronic records that contain confidential information must be disposed of or destroyed in ways that protect confidentiality.
- Diskettes should be destroyed. Reformatting, deleting, or erasing files stored on disks does not ensure complete destruction of the information.
- Hard drives should be reformatted or destroyed so that confidential information is totally obliterated.
- Contact Computer Services for advice concerning destruction of confidential electronic records.

Document Imaging / Digital Imaging

Document or digital imaging systems that store digitized public records can be an excellent solution for managing information, for storing and preserving records and for providing access to records. The nature of digital imaging technology and the rapid technological changes pose records management challenges.

The Oregon State Archives has issued rules governing digital imaging ([OAR 166-017](#)):

- The life expectancy of the digital imaging system must be as long as, or longer than, the retention period of the records it stores.
- Access to digitized records must be maintained for the length of the retention period.
- All documents in a digital imaging system must be indexed and retrievable.
- Any digital imaging system, equipment or software used to store or retrieve public records must adequately provide for the rights of the public to access and copy public records.
- Public records with a scheduled retention period of less than 100 years may be stored on optical disks and the original record may be disposed of as long as the images are copied onto new optical disks after no more than ten years; images stored on optical disks must be recopied until the retention period of the original public record has been satisfied.
- Public records with a scheduled retention period of more than 100 years may be stored on optical disk devices providing that the original records are retained in hard copy or on microfilm for the entire scheduled retention period.

E-mail

Electronic mail is a public record. E-mail is subject to retention guidelines based upon the information contained in the message (not on their electronic format).

- E-mail messages may be deleted when they no longer have administrative value according to the provisions of the Records Retention Schedule.
- E-mail messages that communicate policy or other information with a longer retention must be kept for the stated retention period.
- The Archives does not preserve e-mail in electronic format. E-mail messages that require long-term or permanent retention should be printed onto paper and filed with regular office correspondence or administrative files.

Link to the [E-Mail FAQ](#) on the Oregon State Archives website for answers to frequently asked questions concerning e-mail.

Web Sites / Web-based Records & Publications

The Archives maintains a Web Archives for preservation of web sites that contain official college records and publications.

Criteria for Selecting Web Sites for Preservation

- Web sites contain records with administrative, legal, financial, or historical value.
- Web-based records have long-term retentions as specified by the Records Retention Schedule.
- Web sites contain records or publications that are official copies of those records.
- Web sites contain records or publications that are not captured or preserved by traditional record-keeping systems.
- The records and publications on a web site may be useful in serving the current or future informational needs of the college.
- The records and publications on a web site may be the best source or preferred format for those records because they are searchable and provide efficient access to that information.
- If the record or official copy of records or publications is available and accessible in paper format, the paper format becomes the official copy for preservation purposes and the web-based version is not preserved.

Procedures for Preserving Web Sites

- When web sites are developed, web designers should take into consideration the preservation implications of their web sites.
- Web content managers, the college webmasters, and the archivist consult to select web sites for preservation.
- Capture the web sites on a CD-R (gold reflective surface, not compressed) and transfer to the Archives.
- Management of web sites selected for preservation is transferred to the Web Archives and into the custody of the Archives.
- Transfer to the Archives is documented with a log that contains management history, content, and technical data about the web sites. Contact the Archivist for details about the log.

Maps, Posters, Architectural Drawings, and Other Oversize Records

- The Archives accepts records in large paper formats such as maps, blue prints, architectural drawings, and posters.
- Contact the Archivist for details and advice in preserving these types of records and transferring them to the Archives.

Micrographics

- Micrographics is an effective medium for the long-term preservation of public records.
- Micrographics provides a number of benefits including storage security; easy recovery and retrieval in case of loss, theft, or damage; file integrity eliminating misfiling or alteration of information; economy and savings regarding storage costs; inexpensive duplication and distribution; and quick and accurate retrieval of information.
- The Oregon State Archives has issued rules and standards ([OAR 166-025](#)) concerning micrographics that "insure the informational content of public records is protected for the life of the record."
- Contact the Archivist for advice concerning whether records should be microfilmed.
- Contact the Micrographics specialist concerning the microfilming of records.

Current Oregon Policy

Policy

166-005-0000 It is the policy of the State of Oregon to assure the preservation of records essential to meet the needs of the state, its political subdivisions, and its citizens, and to assure the prompt destruction of records without continuing value. Unlawful destruction of any public record, regardless of medium or physical format, is a crime punishable under the provisions of ORS 162.305. Public records may be created and retained in a variety of media and physical formats, including but not limited to paper, microfilm, sound recordings, video recordings, magnetic tape and disk, and optical disk.

Procedures

- Consult with the Archivist for assistance in applying the schedule and implementing the retention and disposition options.
- Contact the Archivist if certain records are not included in the schedule or if the specified retention period seems inappropriate.

Transferring Records to the Archives Records Center: The Archives maintains a Records Center for the temporary storage of non-permanent, inactive records and for the permanent storage of records with long-term, historical value.

Legal custody: For temporary records, legal custody of the records remains with the department or office that created the records. For permanent records, legal custody of the records is transferred to the Archives.

Access: For temporary records, access to the information in the records is limited to the staff of the originating department and the Archives staff. For permanent records, once they are processed, records are open to the public patrons for research.

Criteria for transfer to the Archives: In order to qualify for storage by the Archives, the records:

- must be inactive (no longer required by the creating department to carry on its current activities and business);
- must be the official copy of the record;,,

Procedures:

Record storage boxes: All records must be transferred in standard record storage boxes. This provides for maximum efficiency and makes the best use of available shelf space. Each box holds one cubic foot of material; that is, approximately 15” of records in letter file folders or 12” of records in legal file folders. One file drawer of letter-sized files fill up about two record boxes. Record storage boxes are furnished by the Archives. Boxes may be picked up from the Archives or the archivist will deliver boxes to the requesting office. Records storage boxes provided by the Archives may only be used for storing records in the Archives and may not be used for office or personal storage.

Preparing records for storage: For preparation of records for storage, make sure that all records are prepared correctly by contacting the Archivist or the Archives office itself.

Labels: Temporarily mark the boxes on the upper left corner of the front of the box with an abbreviation for the department and the box number. The Archives staff will prepare permanent labels once the boxes arrive in the Archives.

Forms: All records transferred to the Archives must be accompanied by a Transmittal Form and Contents List.

- Transmittal Form: A Transmittal Form documents the accession or transfer of records from the creating department to the Archives.

- Contents List: A Contents List is a complete and accurate inventory of the contents of each box of records. The inventory must be detailed enough to enable the Archivist to find a file when you ask to retrieve it later.

How to Send Records to the Archives for Temporary or Permanent Storage:

- Refer to the Records Retention Schedule and consult with the Archivist to make sure records meet the necessary standards for storage.
- Contact the Archivist to request records boxes.
- Put the records into records boxes.
- Mark the boxes on the upper left corner of the front of the box with an abbreviation for the department and the box number.
- Fill out the Transmittal form.
 - o Open the TF document in MS Word. Save the document onto a desktop computer.
 - o Complete the first two sections (with the exception of the Accession # which will be assigned later).
 - o Fill-in brief descriptions of each box, including the box #, description, and dates of the records.
- Complete the contents list with detailed descriptions of the box contents.
- Email the completed Transmittal Form / Contents List as an attachment to the archives office.
- Contact the Archivist to make arrangements for the boxes to be picked up and taken to the Archives.
- The Archives will assign an Accession # and complete the Transmittal Form.
- Two copies of the Transmittal Form will be sent to the department for a signature. Return one signed copy to the Archives. The other copy is kept by the department to refer to when requesting records from the Archives in the future.

Storage Requirements and Methods

166-017-0020

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 agency records officer. 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.

Stat. Auth.: ORS 192.050, [ORS 192.060](#) & [ORS 192.105](#)

Stats. Implemented: [ORS 357.825\(2\)](#), [ORS 357.855](#) & [ORS 357.895](#)

Hist.: OSA 2-1994, f. 1-28-94, cert. ef. 4-1-94

166-017-0030

Image Quality

Digitized documents 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 procedures shall conform to **ANSI/AIIM MS44-1988, Recommended Practice for Quality Control of Image Scanners**, which is incorporated by reference and is available from Association for Information and Image Management, 1100 Wayne Avenue, Suite 1100, Silver Spring, MD 20910. In addition, the following standards apply to digital images:

- (1) 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 drawings, maps, and line art shall be scanned at a minimum density of 300 dpi.
- (2) If documents are digitized using fax technology, the fax mechanism must be capable of transmitting and receiving both 200 and 300 dpi images.
- (3) Digitized documents shall support CCITT Group 3 or 4 compression techniques. Digitized photographs and halftone images shall also support or provide a gateway to JPEG compression techniques.

[ED. NOTE: The publication referenced in this rule is available from the agency.]

Stat. Auth.: ORS 192.050, [ORS 192.060](#) & [ORS 192.105](#)

Stats. Implemented: [ORS 357.825\(2\)](#), [ORS 357.855](#) & [ORS 357.895](#)

Hist.: OSA 2-1994, f. 1-28-94, cert. ef. 4-1-94

166-017-0040

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 in the system are maintained.

Stat. Auth.: ORS 192.050, [ORS 192.060](#) & [ORS 192.105](#)

Stats. Implemented: [ORS 357.825\(2\)](#), [ORS 357.855](#) & [ORS 357.895](#)

Hist.: OSA 2-1994, f. 1-28-94, cert. ef. 4-1-94

166-017-0050

Storage Requirements

(1) The following standards apply to the storage of optical disks containing public records:

(a) Environmental conditions for the operation, maintenance, and storage of digital imaging system equipment and storage media shall meet or exceed manufacturers' specifications;

(b) Digital imaging system equipment shall be maintained in proper working condition. Manufacturers' guidelines for preventive maintenance shall be followed and defective equipment shall not be used.

(2) In addition to the standards in section (1) of this rule, the following standards apply to the long-term storage of information on optical disks:

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

(b) The optical disk substrate shall be either polycarbonate or tempered glass;

(c) Only optical disks with a 20 year life expectancy based on accelerated aging tests linked to specific disk locations may be used;

(d) 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 playback 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), storage media inspected, and sample size (if applicable).

Stat. Auth.: ORS 192.050, [ORS 192.060](#) & [ORS 192.105](#)

Stats. Implemented: [ORS 357.825\(2\)](#), [ORS 357.855](#) & [ORS 357.895](#)

Hist.: OSA 2-1994, f. 1-28-94, cert. ef. 4-1-94

166-017-0060

Expungement of Information Stored on WORM Media

Expungement of digital images stored on WORM optical disks shall conform to the **Expungement of Information Recorded on Optical 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.

166-020-0005

Purpose

This Division defines storage and conditions which are acceptable for the use, storage, and protection of public records in Oregon.

Stat. Auth.: ORS 357

Stats. Implemented: [ORS 357.825\(2\)](#), [ORS 357.855](#) & [ORS 357.895](#)

Hist.: OSA 2, f. & ef. 11-21-75; OSA 5, f. 12-30-77, ef. 1-1-78

166-020-0010

Terms of Official Custody

The term "public records" as used in statutes and rules pertaining to disposition of public records means records which are the property of the public. Alienation of public records is prohibited by public policy and

statute. Custodians of public records are specifically charged by statute with the responsibility of protecting them, and, except as expressly provided by statute, furnishing reasonable opportunities for inspection and examination of them by any person:

(1) State and local agencies are responsible for public records in their official custody, wherever deposited, until the public records have been transferred to the official custody of the State Archivist or otherwise disposed of as authorized by law, and applicable General Schedule published in these rules, or a Special Schedule.

(2) When a state agency is abolished or ceases to operate, its public records shall be deposited in the official custody of the State Archivist, except as otherwise provided by [ORS 357.835\(2\)](#).

(3) Public records deposited in the State Records Center or Security Copy Depository remain in the official custody of the agency which deposited them.

Stat. Auth.: ORS 357

Stats. Implemented: [ORS 357.825\(2\)](#), [ORS 357.835](#), [ORS 357.855](#) & ORS 357.895

Hist.: OSA 2, f. & ef. 11-21-75; OSA 5, f. 12-30-77, ef. 1-1-78; OSA 3-1988, f. & cert. ef. 10-20-88

166-020-0015

Storage Area Standards

Safe storage of records requires compliance with the following standards:

(1) Public records should be stored in fire-resistant structures and in areas in which the temperature and humidity are maintained at the levels required to insure optimum longevity of the paper, film, or tape on which they are recorded. Adequate light and access should be provided to permit retrieval of public records. Adequate ventilation and protection against insect or mold invasion should be provided. Steam, water, and sewer pipes, other than fire-control sprinkler systems, pose extreme hazard to records. No public records of enduring value should be stored where heat, breaks, drips, or condensation from pipes could damage them; where windows, doors, walls, or roofs are likely to admit moisture; or where they will be exposed to sunlight or extreme temperature variations.

(2) Aisle space in public records storage areas should be kept free of obstruction, and no public records should be stacked or piled directly on the floor of any storage area. All public records should be shelved above initial flood level of any bursting pipe, leaky roof, sprinkler system, or other source of water.

Stat. Auth.: ORS 192 & [ORS 357](#)

Stats. Implemented: [ORS 357.825\(2\)](#), [ORS 357.855](#) & [ORS 357.895](#)

Hist.: OSA 2, f. & ef. 11-21-75; OSA 5, f. 12-30-77, ef. 1-1-78; OSA 3-1988, f. & cert. ef. 10-20-88

166-020-0030

Return of Active Records (State Record Center)

When public records deposited in the State Records Center become administratively active to the extent that it is impracticable to retain them in the State Records Center, the public records may be returned to the state agency which holds official custody of the public records.

Stat. Auth.: ORS 357

Stats. Implemented: [ORS 357.855](#) & [ORS 357.895](#)

Hist.: OSA 2, f. & ef. 11-21-75; OSA 5, f. 12-30-77, ef. 1-1-78; OSA 3-1988, f. & cert. ef. 10-20-88

166-020-0035

Requisition of Records

When the State Archivist has determined that public records, no longer required for the discharge of duties by the official custodian, are stored where they are no longer available for use or in conditions which endanger the public records, he shall requisition them for transfer to his custody if they are of value for legal, administrative, or research purposes.

Stat. Auth.: ORS 357

Stats. Implemented: [ORS 357.825\(2\)](#), [ORS 357.855](#) & [ORS 357.895](#)

Hist.: OSA 2, f. & ef. 11-21-75; OSA 5, f. 12-30-77, ef. 1-1-78; OSA 3-1988, f. & cert. ef. 10-20-88

166-020-0045

Essential Records Systems

(1) Agencies shall, with the advice and assistance of the State Archivist, identify their essential records, regardless of medium or physical format.

(2) Agencies shall store security copies of essential electronic records systems off the premises where the system is used, along with any system documentation necessary to enable recovery of the system in the event of an emergency.

(3) Agencies shall comply with the following storage requirements for security copies of essential electronic records systems:

(a) Off-site storage conditions shall have temperatures no less than 60 degrees or greater than 80 degrees Fahrenheit, and shall have a relative humidity no greater than 50 percent.

(b) Off-site storage shall be in fire-resistant structures, with adequate ventilation and protection against insect and mold infestation. No essential records systems shall be stored where heat or moisture can damage them.

Stat. Auth.: ORS 192 & 357

Stats. Implemented: [ORS 192](#), [ORS 357.855](#) & [ORS 357.895](#)

Hist.: OSA 2-1996, f. 4-9-96, cert

Glossary

Access

The availability of or permission to use records. ORS 192.420 states that “every person has a right to inspect any public record of a public body in this state, except as otherwise expressly provided by ORS 192.501 to 192.505.”

Active Records

A record that is referenced (used) on a regular basis. Records maintained in an area where they are actively referred to during everyday operations.

Appraisal

The process of determining the value and disposition of records based on their current administrative, legal, and fiscal use; their evidential and informational or research value; and their relationship to other records.

Administrative Value

The value of a record series to the creating office in the performance of its assigned operations within the organization.

Audit

A regular examination and verification of a specific activity.

AV Materials

Audio visual materials are any audible sound and or any material seen or able to be seen by the eye; visible.

Capital Improvement

A government acquisition of real property, major construction project, or acquisition of long- lasting, expensive equipment.

Case File

Groupings of documents that pertain to a particular person, place or thing. A case or project file may consist of correspondence, form records, memoranda, and other records as long as they all relate to the same person, place or thing.

Central File

The files or records of one or several offices or organizational units physically and/or functionally centralized and supervised in one location.

CFR (Code of Federal Regulations)

United States federal government regulations, which may contain direction regarding records retention.

Civil Case

A court proceeding, other than a criminal case, to determine and enforce rights between parties, prevent future violation of rights, and provide appropriate redress or compensation.

Closed Files

A group of records for which action has been completed and no further action is anticipated.

Computer Output Microfilm (COM)

An original record in microfilm format produced directly from computer data without an intermediate visible record.

Computer Record

A form of record generated by data stored in electronic form on computer storage media or a record which has been produced in its visible form from the computer data.

Confidential Records

Records or information protected from public disclosure by statute.

Copy

A duplicate of the original record.

Correspondence

Letters, memoranda, notes, telecommunications, and any other form of addressed, written communication, sent and received.

Correspondence, Ephemeral

Documents received or sent which do not contain significant information about a city's programs, fiscal status, or routine agency operations. Records include, but are not limited to, advertising circulars, drafts and worksheets, desk notes, memoranda, and other records of a preliminary or informational nature.

Criminal Case

A type of court case relating to the defendant's alleged violation of the law. Conviction could result in fines, loss of rights, or imprisonment.

Cross-reference

An additional notation that directs the user to another location where the record or information may be found.

Date of Last Action

The date at which all reasonable contingent actions related to a case have occurred. For example, this could be the date after which no appeals are possible.

Digitized Record

A record produced from an original by electronic scanning techniques, stored on optical disk or other high-density storage media, and then displayed on a high-resolution terminal or printed onto paper. SEE ALSO Electronic Imaging System.

Directive

An instruction from management, usually addressing policy and/or procedure.

Disaster

A sudden and unexpected event that results in the loss of records and information essential to an organization's continued operation.

Discovery

The legal process, generally conducted near the beginning of litigation, which enables parties to the litigation to obtain relevant records and information from each other.

Disposition

The action taken with regard to non-current records following their appraisal. Potential actions include: transfer to a records center for temporary storage, transfer to an archival agency, donation to an eligible repository, reproduction on microfilm, and destruction.

Doing Business

The acts of an organization, which place it under the jurisdiction or control of government, courts, or law.

Electronic Imaging System

A computer-based technology for scanning, storing, and retrieving scanned images of records in which the image is maintained in an electronic form.

Electronic Storage

The deposition of information in an on-line computer database or in the memory of a word processor.

Electronic Records

Information in digital form, which requires a computer to read and use.

Employee

One who performs services for another under the condition that the other person has a right to control and direct the employee not only as to the results to be accomplished by the work but also as to the details and means by which the result is accomplished.

Essential Records Schedule

Detailed instructions identifying types of essential (vital) records, locations, and retention requirements.

Evidential Value

The administrative, fiscal, and legal value of a record to its creating agency. Evidential values are based on the functions of the record for the creator or for any succeeding individual or agency that uses them.

Exempt Records

Records which may be destroyed under ORS 192.170 without the authorization of the State Archivist when no longer needed for administrative purposes.

Expiration

The termination of a period fixed by law, contract, or agreement.

Expungement

The process of removing information from courts or law enforcement agencies and obliterating it by any method to make the information unreadable or unusable under any circumstances.

Feasibility Study

An examination of the practicality of implementing new or modified procedures, methods, or technologies.

File

A collection of records arranged according to a predetermined system.

Filing

The action of storing a record.

Financial Value

The value which records have related to their role in documenting fiscal accountability and providing an audit trail. Records with financial value demonstrate how the agency conducted its business by documenting the financial obligations, authorizations, and transactions of the agency.

Forms

Carefully designed documents used to gather and transmit information necessary for operational functions and for historical records.

Freedom of Information and Privacy Acts

Two acts that combine to protect personal information collected by a governmental agency.

Historical Value

Records of permanent value that document company policy, operations, organization, development, or social contributions; illustrates major economic, political, religious, legal, or social trends; portrays significant individual achievements; or sheds light on significant events of our times.

Inactive Record

Records still needed by an organization but not for current operations. Records that are referenced fewer than ten times annually.

Intergovernmental Agreement(s)

Contracts between two or more public agencies for the joint exercise of powers common to the agencies.

Legal Value

The value which records have related to their role in documenting the legal, civic, citizenship, property, and other rights and obligations of individuals. Records with legal value explain judicial opinions or legal interpretations, document activities or events with legal significance, prove property ownership, or establish legal obligations or delegations of authority.

Life Cycle

Creation, distribution, use, maintenance, and disposition of a record.

Life of Structure

Until the structure no longer stands or exists.

Litigation

The proceeding in a court of law to enforce a right. Same as lawsuit.

Local Improvement

A public improvement provided to a specific area which benefits that area, usually paid for by special assessment of benefiting property owners.

Machine-readable Records

Records which require equipment to read the information that they contain. Machine-readable records may include audio tape, videotape, and computer media.

Microfiche

A microform, approximately 4x6 inches, on which documents are photographed in a reduced size for convenience in storage.

Microfilm

Film, in roll format, on which documents are photographed in a reduced size for convenience in storage. The images on film can be enlarged for viewing or printing onto paper.

Non-record Copy

A copy of a record maintained in addition to the record (official) copy, such as materials not identified in the retention schedule; documents not required to be retained; materials available from public sources. Information that is excluded from the legal definition of public records. Includes extra copies of documents kept for

convenience of reference, stocks of publications, library or museum materials intended solely for reference or exhibition.

OAR

Acronym for Oregon Administrative Rules; rules promulgated by state agencies in order to implement statutes.

Obsolete

In the context of retention schedule, obsolete means no longer relevant to current program or primary functional responsibilities of a department or office.

Office of Record

The group, department, or office in an organization responsible for maintaining the official records for the total records retention period.

Optical Disk

Technology used to store large quantities of information on a special disk that can be encoded by a laser beam. SEE ALSO Digitized Record and Electronic Imaging System.

Ordinance

A law prepared by a local governing body.

Original Date of Hire

The date at which an employee was first officially employed by the city.

ORS

Acronym for Oregon Revised Statutes.

Permanent

The continued preservation of information or other matter forever, without any time limit in time. A term sometimes used in laws to mean durable rather than forever.

Permanently Removed from Service

The date at which equipment, structures such as bridges, etc., are disposed of in such a way that they no longer will be used by the city.

Policy

Guideline for decision making.

Policy Manual

Contains written general guidelines used for consistent decision making.

Political Subdivision

Cities, counties, districts, or any other public corporation of this state.

Private Records

Records belonging to an individual that have no content relevant to the organization or were not produced using resources of the organization.

Procedure

Statements of how to implement a policy.

Project Plan

A list of tasks with individual responsibility and target dates assigned.

Public Record

All the records generated by government agencies, regardless of form or media, open to the public for inspection, as defined by ORS 192.005.

Purge

The act of selectively destroying one or more documents from a file.

Quasi-judicial Authority

Authority granted to some regulatory agencies to conduct hearings like the judicial branch.

Record Copy

A record that serves the documentation needs of the organization.

Record Series

A group of identical or related records that are normally used and filed as a unit and can be evaluated as a unit for retention scheduling purposes. A group of records filed together in a unified arrangement, which results from, or relates to, the same function or activity.

Recordkeeping Requirements

The obligations of law related to the creation, maintenance and disposition of records.

Records

Recorded information (books, papers, photographs, maps or other documentary materials) regardless of form or characteristics made or received for legal or operational purposes in connection with the transaction of business.

Records Destruction

The disposal of records no longer needed by the organization.

Records Inventory

A detailed listing of the volume, scope, and complexity of an organization's records in order to evaluate, appraise, and organize the collection.

Records Management

The systematic control of all records from creation or receipt through processing, distribution, maintenance and retrieval, to their ultimate disposition.

Records Manager

An individual, knowledgeable in records management, designated by an organization to control the records management program.

Regular Course of Business

The transacting of business activities in a regular, recurring, ordered, customary, or habitual manner.

Retain as Needed

A phrase granting authority to cities to use individual discretion in deciding a retention period of certain records which generally do not add significant information to a particular program or functional responsibility of the city.

Retention Period

The minimum period of time the state requires cities to keep particular records. Retention periods begin with the date of creation, unless otherwise stated, some begin with an event (ex. closing of a case, expiration of a permit, suppression of a rule).

Retention Schedule

A document governing the retention and disposition of the recurring record series of an organization.

Statute

A law prepared by the United States Congress or a state legislature.

Web-based Records

These are records that have traditionally been created and preserved in paper format and that are listed in record retention schedules with permanent or long-term retentions. These types of records are now often posted on web sites and the web-based record may be considered the official copy of that record. Examples of these records are audits, budgets, committee minutes and reports, and policy and procedure statements.

Web-based Publications

Electronic versions of published information are now posted on web sites. Examples of these types of publications are annual reports, directories, brochures, newsletters, college catalogs, class schedules, and syllabi.

Introduction

The following is an overview of the procedures for record retention and scanning, which will be focused mainly on how the Douglas County Assessor's office retains and scans its records. It will include:

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Douglas County Record Retention Information

Purpose

The main objective behind record retention and scanning is to make records and files accessible to all of the county departments as well as, the general public. In order for the county's record system to become more efficient and less time consuming, the process of scanning has been introduced. The scanning form of record retention began in the Assessor's office since October of 2000. This process and method greatly reduces the time and costs spent on locating and retrieving documents. These records can now be viewed in the Assessor's office and from the Internet by the general public. The Assessor's office documents are viewed through an Intranet or storage file that is accessible from any county assessor employee's desk.

Users

Internal

There are several different types of users, with many reasons for why these documents are needed and used. These documents are accessible and used by county employees daily. Internal users would include all of the various departments in the Douglas County Courthouse. The uses of these files are varied depending on the individual users needs. County appraisers and fee appraisers use these records to help determine market value by comparable sales, gain access to addresses, names, house specifications, and account numbers or property identification numbers. Other uses include usage for correspondence and returns from within the assessor's office to external parties and also usage for updating files. County employees working within the Assessor's office can gain access to these files by using TSG, a mainframe storage warehouse for the files. Every computer equipped with TSG has a Macro button that takes the employee straight to the TSG main page; TSG has only been available in this office since June of 2000. Logging on to the county website homepage is another option for looking up needed files. Logging onto the county website with the JPEG format is simplest because all inner-office computers are equipped with the county's homepage, which links to all the records that have been scanned into the system through a system called Docuware. In Docuware, the format used to search by is through the Internet Explorer and it is viewed through ACD See. County employees have access to property accounts, improvements, scanned images, aerials shots (TIFF & JPEG formats), Plat maps, overlays (JPEG format), docuware files, and situs or physical address. Within the Assessor's office these files are used as proof or evidence for any questions or disputes that may arise between the taxpayer and the county.

External

Access to these scanned documents is limited when the general public wants the ability to read them. When the public accesses the county website, they are limited to only the appraisal or market value of a home, the roll value of a home and or its property, and Plat maps which are maps of a piece of property and its boundaries, or property lines. Organizations such as title companies and real estate companies have the ability to see more details on these reports than the public because they are using them to value or choose homes that their clients are interested in. They can access the name of the owner, the appraised or market value of the home, the PLAT maps associated with the property, and the property and homes specifications. To read these files a person must log onto the county's website where the records are electronically stored. External users may include property owners, sheriff's office, DINT team, title companies, real estate companies, CPA firms, lawyers, and the general public. Taxpayers may use these records to appeal an appraisal, in which a home and its land are already valued, when the owner thinks it is inappropriate, or to help in buying or selling a piece of land. Real estate companies may use them to decide whether a home and its land are compatible with a buyer by accessing information about the home and its specifications inside and outside of the structure.

History of Records

Before the scanning process was introduced into our computer systems here at Douglas County, the records were maintained and stored on Microfilm, Microfiche, or paper. In the past, appraisers that worked for the county would retain their documents on their desks in a basket until the end of each year. At the end of each year, the county appraiser would gather all of the files that had accumulated for the period and send them to the I.T. or Data Department who would then send them off to a company who would place the records on Microfilm and then return the film along with the original copy of the records. Once the records were returned to the courthouse, they would be accounted for in a log book, which would give the year it was put on Microfilm and the account number for that record. The original copy form of the records would then be sent to sit in a vault or cabinet for permanent keeping. In order to retrieve these records from the storage cabinets or the vault, a person would have to look in the logbook and find the appropriate year in which it was converted to the Microfilm and then find the account number in which it was located under. Once the account number was located, then the person was able to search in the storage cabinets by account number to find the specified file in mind. Once the file was found the person could then use a Microfilm reader to examine the records and print the section that was needed. At this point in time the records that were kept on Microfilm in the 1950's, were not accessible by the open public, only county employees.

During the late 1970's, approximately in 1976, all of the records that were kept on Microfilm were started into the conversion process to the Microfiche type storage medium. This type of storage was much easier than before to deal with because it was much smaller and had a much more readable clarity. At this point in time, the records were still not very detailed and were a little vague to understand at times. Meaning that not all of the necessary information was on record. This was true of the Microfilm as well. The Microfiche was readable under a machine much like the one that was used for the Microfilm, but this machine was a little more user friendly and a little bit smaller. Both machines worked and operated pretty close to the same way, only a few differences in the film feeding process and the different operational tasks and procedures needed for usage. After all records were transferred to the Microfilm, a waiting period of one year was used again for all new files that would enter the appraiser's office before being converted to the Microfiche storage medium. During the waiting year, the appraisers were once again left to stack their records in baskets or boxes and wait until the year-end came. At year-end these records would be sent off to a company who would convert the records over to the new Microfiche media storage.

The paths for locating files for a Microfiche transfer are as follows:

- 1.) dcland:/u/drmathen> cd ..
- 2.) dcland:/u/ cd
- 3.) dcland:/u/drmathen> cd ..
- 4.) dcland:/u> cd..
- 5.) dcland:/> /var/spool/ur
- 6.) ksh: /var/spool/ur: not found.
- 7.) dcland:/> cd /var/spool/ur
- 8.) ksh: /var/spool/ur: not found.
- 9.) dcland:/> cd /var/spool/ur
- 10.) ksh: cd/var/spool/ur: not found.
- 11.) dcland:/> cd /var/spool/uv
- 12.) dcland:/var/spool/uv> eng -PFICHE -oASRRALPHA /var/spool/uv0160106554aa

Abbreviations for job names (for the Microfiche Submittal Form):

- ASRRALPH - ALPHA - Alpha - Green - No soar - No separate TSG number
- ASRRNUMB - NUMB - uv0163406554aa
- ASRRMAP - MAP - uv0007901574aa
- ASRMALPH - MH ALPH - uv0013301574aa
- ASRMNUMB - MH NUMB - uv0104501574aa
- ASRPNUMB - PP NUMB - uv0123801574aa

- ASRPALPH - PP ALPH - uv0125701574aa
- ASRUNUMB - U NUMB - uv0147145862aa
- ASRUALPH - U ALPH - uv0149645862aa

After locating the exact job name by the abbreviations listed above, the Microfiche Submittal Form can be completed. On this form there are several sections that need to be filled out accurately. It will ask to circle which department that is requested the transfer, it will also ask for the job name, the number of originals, and the number of copies requested. On this form there are sections for special instructions, the date, and a return date. Accuracy on this form is very important because once a year the records that have accumulated for a Microfiche transfer are sent to Delaware, where the Delaware Micrographics Company converts the files to a Microfiche readable format.

Once the records were stored on the Microfiche format, a Microfiche program was used for record retrieval. The following is the method for accessing the Microfiche records through the Microfiche program.

- Open Microsoft Access (must be "Office '97" version)
- Go to the 'File' option at the top of the screen, and click for dropdown menu options then select 'Open Database'.
- Open the database located in your CD Drive (ex: D or E drive) named 'FISHE.MBD'
- When you open this file a Douglas County form should appear. There are two button options in the center of the screen: "Open Real Prop Form" and "Open Mobile Home Form"
- Click the 'Open Real Prop Form' (note: it may take several seconds to load the file the first time.
- When it opens you should be viewing a grey inquiry form.
- Click on the button labeled 'SEARCH TOOLS' located near the bottom of the screen (this will insert a floating tool bar.)
- You may wish to click in this tool bar and drag it to a more convenient area of the screen for viewing purposes. The options in this tool bar will aid in searching for and sorting requested information.
- Click on the 'Filter By Form' option in the tool bar to input your search criteria into the form (always make sure you delete any data from the white boxes before entering your search criteria to avoid distorting your query.)
- To begin a search go to the white box that corresponds to the information you wish to find, for For an example we will try a name search for SMITH.
- Go to the 'Name 1' box and type in "Smith*" (all search criteria must be enclosed in quotations), the * is a wildcard that prompts the search to look for all last names of Smith with any first name.
- Click on the 'Apply Filter' button of your tool bar. Shortly, over 700 accounts will be found (at the bottom of your screen it says 743 filtered). You can use your Page Down button to scroll through the accounts that were found or use the arrow buttons with your mouse.
- To refine your research click the 'Filter By Form' button again on the tool bar and go to the 'Name 1' box and type in "SMITH, DAVID*". (Remember to type in the quotations), this find 10 accounts.
- All fields (white boxes) can be searched in this manner or you may wish to use other search Criteria such as <(less than) or >(greater than).
- For amore complex search click on the 'Filter By Form' button and go to the box in the upper upper right hand corner labeled 'AV', notice for those search you will leave in your last name search criteria.
- In the box labeled 'AV' enter <1000 (note: that this search criteria does not require quotations to be entered and would not perform if you had.)
- This combo search finds one account of SMITH,DAVID* with an assessed value less than \$1,000 or \$672 to be exact.
- When searching for information, make sure the criteria you ask for is in the same format as what is was stored in the database. For example, comma's behind the last name must be entered and when doing a map search the "RNG" must be entered as a two digit number

- such as 08 or the search will not find anything.
- Also, use the HELP button at the top of the screen and select “Contents and Index” to search for information.
- The PRINT button located in the lower left portion of the screen will only print one page at a time.
- For more advanced use, with the ability to print information in a spreadsheet format, you may wish to click on ‘View’ at the top of the screen and select “DATASHEET VIEW”.
- Click on the RETURN HOME button to return to the main Douglas County Form Page where you also have the ability to go to the Mobile Home Prop Form (the search criteria is the same in this form).
- Use the CLOSE FORM buttons to close active windows.

Another type of storage media that has been used daily since 2001, is one that is available on the Assessors front counter computers. This storage and retrieval system is updated yearly with the changes that have occurred during the previous year and that year only. Currently there are files for the years 2001, 2002, 2003, and will eventually contain a file for 2004. This storage media is found on the Douglas County Assessors main menu for accessing internal and external informational purposes. This system takes approximately 77 gigabytes of storage in a digital format. In this program, all of the County’s tax and assessment information is stored in this central location replacing large quantities of Microfiche. To access this system the file location on the Douglas County’s main menu will have a file location under the address of oaa.ext2001.

Hardware and Software Used for Scanning

Docuware Hardware

Docuware 4 version 4.6 is the main software used to scan and retain the county’s records that have not been previously entered into the system. In the past there has been no previous hardware for this because Docuware has only been in the office since July of 2003. Before that time there was no other way besides the older method of scanning which took anywhere from a minute to a minute and a each time to complete the process of scanning the Tax Map Lot, Personal Property, and Property Sale records. Now the Docuware method of retention is done almost instantly and has eliminated a lot of wasted work time. The computer used for Docuware scanning is a Dell with a Pentium 4 processor and a Canon DR 5080 C scanner.

OAAImages Hardware

OAAImages is a directory used for scanning and retaining scanned images and digital pictures that were stored in bags with the rest of the information about that particular account. Scanning to OAAImages is done on a flatbed scanner. In the past, OAAImages had no real file structure and was rather time consuming when looking for a certain record. The Computer being used for this process with OAAImages is a Dell with a Pentium 4 processor. The scanner used is the Hewlett Packard ScanJet model number 8200.

Docuware Software

The softwares used to scan records which are then stored in the Docuware server for storage are the Canon Scanning software, the ACD See version 6, Docuware software, and WinZip.

OAAImages Software

When digital pictures and scanned images are transferred onto the OAAImages hard-drive the software used is Hewlett Packard scanning software version 2.2, ACD See version 6, Photo Canvas version 3, and Adobe version 6.

Hardware and SoftwareUpgrades

Maintenance for the Docuware hardware and software is important. In order to maintain and use the software for accessing the Docuware records, upgrading is necessary for quick referencing purposes. The Docuware hardware and software is upgraded and maintained by the vender of the product twice a year. All other hardware and software used with the OAAImages programs are used until a better or newer version comes along.

Storage Format and Retrieval Methods

Docuware

The Docuware programs are stored on the Docuware server. Now any record that has been scanned can be located easily by the first two digits of the account or property identification number. The format for the Docuware is located under the digits .000 in the county assessor's assess on 'Thor' (T:) drive. This program uses and stores its records in its own format for quick and easy retrieval. Internal users can go to the Docuware server login site and search in the Map Tax Lot Book where an index with options to search by property identification number, the actual map tax lot number, the code area, or the alternate account number. This is a search capability that is not available to the general public. Another search method in Docuware is done by property sale. This search can be performed by an index including options for property identification number, map tax lot number, property class, or the date of a sale or the sale price. The last method of searching by index through the Docuware system it to explore the perform or personal property section and search in an index by property identification numbers, alternate account number, and company property classification.

OAAImages

For the OAAImages scanned images and digital pictures, the server is located on the H: drive under the file name oaaimages on 'dcnas. Under this program the records are saved under their account number or by their property identification number, which must be found first before proceeding with the actual file retrieval. Once in the system, go to the file heading with that matches the first digit of the account number. Example being an account number starting with a 5. On the next screen locate the second number of the account and enter that file. Maybe the second number within an account would be a 2 enter the file with a heading for the number 2. Once the first two digits are entered the screen will show all accounts with those first two numbers that were entered. Now a person can search through these accounts to find the proper one. After the correct account is found, it is time to enter into TSG and locate the file in this program. In TSG, the account number can be used to locate and use all of the scanned images and digital pictures through the OAAImages software to view the image and picture files that pertain to and that are stored for that particular account.

Preparation

Docuware

The records that are scanned through the Docuware process are stacked in designated baskets, before scanning the materials are prepared by a checklist of items:

- No staples.
- No tape.
- No sticky notes.
- Must have straight edges.
- No torn edges.
- Photo copy all envelopes and reduce size to 78%, also write the Property Identification and Alternate Account numbers on them.
- Any miscellaneous paper smaller than 8.5 X 11 needs to be photo copied
- Any article of paper that is not perfect needs to be photo copied.

- Any colored paper or news clippings need to be photo copied.

OAAImages

The preparation for scanning through OAAImages is done through steps:

- Retain files from the room specifically for storage of the images and pictures. The record bags will be organized and classified by the Tax Map Lot number for each account.
- Make sure that all accounts that are retrieved are in the proper order by account number so that the files are put onto the system in numerical order.
- Once the desired files are retrieved from the Map Tax Lot room, the contents of each bag must be taken out to ensure that the records are in the proper order and that all items are in the proper scanning condition.
- If any items in the bag are damaged, photo copying needs to be done to ensure that the records will be scanned correctly, readably, and efficiently.

Procedure

Docuware

Map Tax Lot Books

Procedure:

Click on Start Menu

Scanning Utility 5000

Click on File

Scanner Setting (Be sure settings are as below)

- Brightness 86
- Contrast 10
- Page Size Letter- 8.5 x 11 in.

Click on Detail

Detail Settings must have options clicked below.

- High Speed Scanning
- Detect Page Size
- Control Sheet: Scan, Continue Scanning
- Feeding Option – Remote

Click Ok

Click Ok

Go to File

Click Scan Batch to file

Save in the Scanned Doc folder under the C: drive

Give file a generic file name when saving: Such as Part 01

Choose file type TIFF FILES (*.TIF)

Click Save

Click Start Scanning

- Feeder - Duplex

After Documents are scanned click the Stop Scanning button

Click on Docuware Button (in the bottom toolbar)

Next type in your Username and Password.

Click Ok

Next double click on the MTLBOOKS Basket (on the Left of the screen)

Right-Click inside the basket and then Left-Click on Import.

Click on Convert and Click Select

Go to C:Drive – Scanned Document Folder

Click on the file you just scanned

Click open

Click copy
Click on document that was just imported
Click on Staple Puller Icon
Hold down the Ctrl Key, and left click once on all of the blank documents. Hit the delete key.
Once blank sheets are deleted click on Home Key once
Next press Ctrl-M. (Selects all documents)
Click the Staple Icon
Next press Ctrl-R
Next press Ctrl-M
Click Store Button
Make sure all fields are properly filled in

- Property Id
- Map Tax Lot
- Code Area
- Alt Acct Num

Click Ok
Finished

Personal Property

Procedure:

Click on Start Menu
Scanning Utility 5000
Click on File
Scanner Setting (Be sure settings are as below)

- Brightness 86
- Contrast 10
- Page Size Letter- 8.5 x 11 in.

Click on Detail
Detail Settings must have options clicked below.

- High Speed Scanning
- Detect Page Size
- Control Sheet: Scan, Continue Scanning
- Feeding Option – Remote

Click Ok
Click Ok
Go to File
Scan Batch to file
Save as Scanned Document
Give file a generic file name when saving: Such as Part 01
Choose file type TIFF FILES (*.TIF)
Click Save
Click Start Scanning

- Feeder - Duplex

After Documents are scanned click the Stop Scanning button
Click on Docuware Button (in the bottom toolbar)
Next type in your Username and Password.
Click Ok
Next double click on the PPBASKET Basket (on the Left of the screen)
Right-Click inside the basket and then Left-Click on Import.
Click on Convert and Click Select
Go to C:Drive – Scanned Document Folder
Click on the file you just scanned
Click open
Click copy
Click on document that was just imported

Click on Staple Puller Icon
 Hold down the Ctrl Key, and left click once on all of the blank documents. Hit the delete key.
 Once blank sheets are deleted click on Home Key once
 Next press Ctrl-M. (Selects all documents)
 Click the Staple Icon
 Next press Ctrl-R
 Next press Ctrl-M
 Click Store Button
 Make sure all fields are properly filled in

- Property Id
- Map Tax Lot
- Code Area
- Alt Acct Num

 Click Ok
 Finished

Personal Property Scanning Steps:

- Step 1. Received by mail. (Beginning yearly in February)
- Step 2. Logged in to TSG by Personal Property Technician (with the “Wand” scanner).
Could go to “Baskets”
- Step 3. Worked by Personal Property Technicians – in upcoming months
- Step 4. Goes into a “Needs Control Sheet” Basket. - static
- Step 5. Matt updates the Barcode program first thing the next morning.
- Step 6. Karen prints and inserts control sheets the next day.
- Step 7. Documents are scanned and entered into Docuware the same day.
- Step 8. Give back to PP department the same day.

Control sheets must be printed the day after PP Returns and Correspondence are worked by Karen and Ali. Otherwise there will not be any control sheets available. All PP Returns and Correspondence are top PRIORITY! After PP Returns and Correspondence is scanned and moved (by the Docuware user), return to the PP department IMMEDIATELY!

Control Sheets are sheets pertaining to the map tax lot books and contain property identification , alternate account numbers, code area, and map tax lot numbers in the form of barcodes on a single sheet of paper.

Control Sheet Printing Steps:

- Click on the Start Menu
- Click on the Access 2000 shortcut
- Click on Assessor
- Click on either the Mass Barcode button or the “Returns” Single Barcodes button or the “Corres” Single Barcodes button.
- If you click on the Mass Barcodes button you will need to enter a first acct number and a last acct number. This will let you print more than 1 control sheet at a time.
- If you click on the “Returns” Single Barcodes button you will need to enter the alt acct number.
- If you click on the “Single” Barcode Button you will need to enter the year and the alt acct number.

Sales Letters

Procedure:

Start Menu
 Scanning Utility 5000
 File

Scanner Setting (Be sure settings are as below)

- Brightness 86
- Contrast 10
- Page Size Letter- 8.5 x 11 in.

Click on Detail

Detail Settings must have options clicked below.

- High Speed Scanning
- Detect Page Size
- Control Sheet: Scan, Continue Scanning
- Feeding Option – Remote

Click Ok

Click Ok

Go to File

Scan Batch to file

Save as Scanned Document

Give file a generic file name when saving: Such as Part 01

Choose file type TIFF FILES (*.TIF)

Click Save

Click Start Scanning

- Feeder - Duplex

After Documents are scanned click the Stop Scanning button

Click on Docuware Button (in the bottom toolbar)

Next type in your Username and Password.

Click Ok

Next double click on the Salesletter Basket (on the Left of the screen)

Right-Click inside the basket and then Left-Click on Import.

Click on Convert And Click Select

Go to C:Drive – Scanned Document Folder

Click on the file you just scanned

Click open

Click copy

Click on document that was just imported

Click on Staple Puller Icon

Hold down the Ctrl Key, and left click once on all of the blank documents. Hit the delete key.

Once blank sheets are deleted click on Home Key once

Next press Ctrl-M. (Selects all documents)

Click the Staple Icon

Next press Ctrl-R

Next press Ctrl-M

Click Store Button

Make sure all fields are properly filled in

- Property Id
- Map Tax Lot
- Code Area
- Alt Acct Num

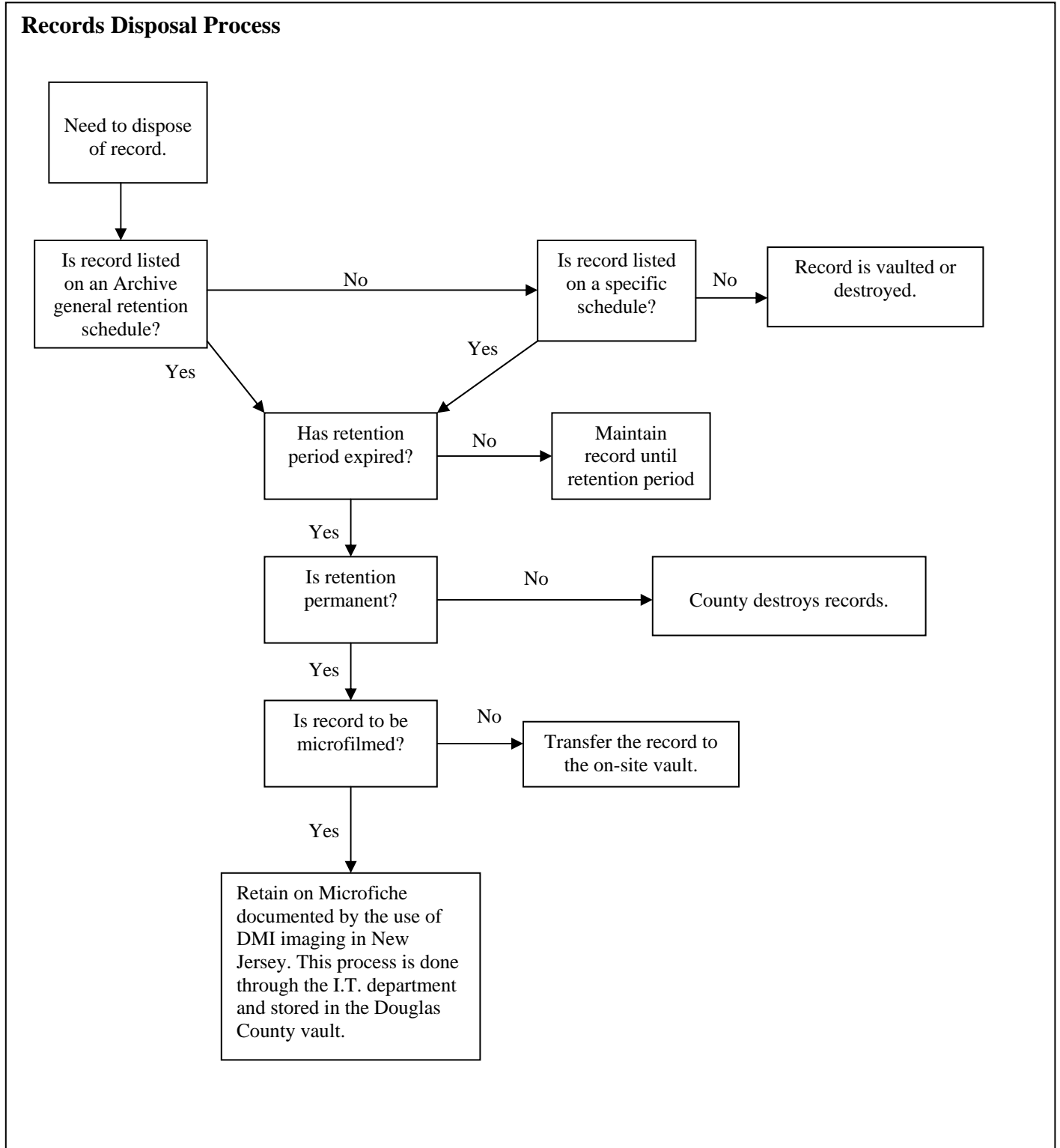
Click Ok

Finished

OAAImages

The last step in the process for scanning the OAAImages is the simplest. After all of the items in the preparation section have been done and checked, then the last part of the process is placing the documents on the machine to simply scan them. The preparation for scanning in the OAAImages server is the easier of the two in this office and the preparation part of the job is the lengthiest, not the actual scanning, which takes only about forty second per image.

Records Disposal Process



Policies **(Scanning, Storage, and Maintenance)**

Docuware

Scanning

See procedure

Storage

See procedure

Maintenance

The maintenance for Docuware is done mostly by Matt Yates. He fixes any problems that occur after scanning and storing the documents. When he encounters a problem, he enters into Docuware and extracts the record and makes the appropriate changes, then re-enters the entire document back into storage.

OAAImages

Scanning

See procedure

Storage

- Image is scanned, named, and saved into a temporary folder on the OAAImages server.
- Image is moved into designated folder, which is classified by the first two digits in the account or property identification number. This procedure is done only when an account needs to be updated or new images are added.

Maintenance

- Make sure that all images are in correct designated folders.
- Make sure that all images are neither too small nor too large.
- Make sure that all images have correct file name matching up to the property identification number or the image description.
- Make sure that there are no duplicate images or pictures.

Disadvantages with Scanning Documents **(Before, During, and After)**

Docuware

Before

- Document needs to be the right size.
- Document cannot be light or too dark.
- Cannot have staples or post-it notes attached to it.
- Document cannot have any torn or bent edges.
- Cannot have any folds anywhere on document.
- Glass on the scanner must be clean for clarity.
- Scanner settings need to be at the appropriate specifications.

During

- Make sure that the document feeds in straight.
- Make sure that the document feeds correctly all the way through.
- Make sure that the scanner doesn't tear the document. If so it must be photo copied.

After

- Make sure that the document didn't scan too dark or too light.
- Make sure that the documents are not scanned upside down.
- Make sure documents are stored with the proper index.

OAAImages

Before

- Check for missing or misfiled bags.
- Check for diagrams and images that may be missing.
- Poor quality of diagrams or images.
- Deciding what to and what not to scan.
- Make sure that the scanner glass is clean for clarity.

During

- Scanning an image that has already been scanned.
- Scanning too small.
- Scanning too large.
- Deciding what to name a scanned file.

After

- Storing images with the same file name.
- Storing images in the wrong location.
- Storing images with the wrong file name.

Production Guidelines and Numbers

Docuware

Completely Scanned	84,392 -approximately
Map Tax Lot Records	69,273 - approximately
Sales Letters	6,444 - approximately
Personal Property	8,675 - approximately
Left to Scan	Through Docuware it is never ending. As the documents come in to the office they are scanned.
Map Tax Lot Records	750 - scanned per day
Sales Letters	70 - scanned per hour
Personal Property	100 - scanned per hour

OAAImages

Completely Scanned	118,000 - approximately
Left to Scan	385,000 - approximately
Bags with all Contents	50 – 100 - scanned per day
Digital Images (from appraisers)	0 – 50 - scanned per day

Assessor's Office Retention Schedule

**166-100-0005
County Assessment and Taxation Records**

This General Schedule is applicable to the records of County Assessors, County Tax Collectors or other county officers or county agencies charged with assessment and taxation responsibilities. They apply to the record copy of all public records, regardless of medium or physical format, created or stored by the above-specified agencies. Please note the exceptions to this General Schedule listed in OAR 166-030-0027 before disposing of records.

Stat. Auth.: ORS 192 & [ORS 357](#)

Stats. Implemented: [ORS 192.005](#) – [ORS 192.170](#) & [ORS 357.805](#) – [ORS 357.895](#)

Hist.: OSA 2, f. & ef. 11-21-75; OSA 5, f. 12-30-77, ef. 1-1-78; OSA 2-1980, f. & ef. 9-2-80; OSA 1-1993, f. & cert. ef. 7-1-93; renumbered from 166-040-0500 & 166-040-0600; OSA 3-1996, f. 4-9-96, cert. ef. 4-15-96; OSA 4-1998, f. & cert. ef. 10-29-98, Renumbered from 166-040-1300

166-100-0010

County Assessment and Taxation Records

(1) **Additional Tax Due and Valuation Notices.** Used to notify property owners of disqualification of specially assessed property or errors made in the valuation process. Types of disqualifications include farm, forest, historical, residential or commercial zone, and others. Types of valuation changes include omitted property, clerical error, and others. Records notifying property owners of adjudicated notices may include name, address, value, tax assessed, tax year, and reason for disqualification or change. (Minimum retention: 3 years after entered on tax roll.)

(2) **Annual Tax Certification Records.** Record of certified levies to be collected for each taxing district, which was placed on the tax roll and is filed with the County Clerk. Summarizes taxes levied by property type and levy type. May include the following information by district: levies, value, offsets, tax rates, tax losses, add taxes, and percentage of distribution. (Minimum retention: 6 years.)

(3) **Appraisal Records.** Record of land and building appraisals including all elements used to determine the value of the property. May include property identification number and legal description, owner name and address, diagram cards, appraisal activity log, current value, remarks, sales and building permit history, roll value history, sketch notes, appeal history, construction detail, improvement valuation, land valuation, and special use valuation. Also may include records documenting valuation by year. (Minimum retention: 12 years.)

(4) **Assessment and Tax Roll.** Official record of assessments, tax levied, and changes to the tax roll on all properties. May include name, address, assessed value, real market value, taxes levied, legal description, situs address, code area, property class, and any changes made since previous tax roll. May also include additional tax rolls previously maintained for deferred homesteads, yield tax, reforestation, additional tax on timber, and others. (Minimum retention: (a) Years through 1905: Permanent; (b) Years ending in 0 and 5 after 1905: Permanent; (c) Years 1906 and later [except years ending in 0 and 5]: 50 years.)

(5) **Assessment Appeal Records.** Notification to the Assessor that a property owner disagrees with the assessed value of the property. May include Board of Property Tax Appeals, Department of Revenue, or tax magistrate petitions and orders. May also include correspondence relating to the appeal. Original petition, evidence, and order are filed with the County Clerk or the Department of Revenue. (Minimum retention: 2 years.)

(6) **Assessment Rolls.** Compilation of real and personal property values as established by May 1 of each calendar year. Used to generate taxes in the following tax year. These records were created prior to the legislative change combining the assessment and tax rolls. May include name, address, location, account numbers, legal description, and valuation. (Minimum retention: If Tax Rolls do not exist for the below-specified time periods, or if the tax and appraisal function is documented in one record for a particular time period, use the following: (a) Years through 1905: Permanent; (b) Years ending in 0 and 5 after 1905: Permanent; (c) Years 1906 and later [except years ending in 0 and 5]: 50 years; If separate Tax Rolls exist for the above specified time periods, use the following: 6 years.)

- (7) **Assessor's Maps.** Cartographic records produced and maintained by the Assessor outlining the boundaries of each land parcel subject to separate assessment within the county, with the parcel's tax lot or account number shown on the parcel. May include code area boundaries and the assigned code area numbers. (Retention: Retain as needed.)
- (8) **Bankruptcy Records.** Monitors the actions of U.S. Bankruptcy Courts as it pertains to the assessing and collecting of property taxes. May include notification from the court, request for relief of automatic stay, reorganization and payment plans, discharges, and related correspondence. (Minimum retention: 2 years after case closed.)
- (9) **Exemption Claims.** Applications by war veterans or veteran's widows and qualifying exempt organizations for total or partial property tax exemption. May include applications, marriage licenses, death certificates, military service discharge records, by-laws, rental agreements, and other records. (Minimum retention: 2 years after superseded or exemption disqualified.)
- (10) **Foreclosure Records.** Documents the actions of the Tax Collector during foreclosure and redemption of real property. May include declarations of delinquency, notifications to property owner and lien holders, official publication lists, applications for final judgment and decree, final judgment and decree, record of lienholders, redemption certificates, deeds of foreclosed property, and related correspondence. (Minimum retention: 6 years after property deeded to county or redeemed by recorded interest holder.)
- (11) **Homeowner's Property Tax Relief Records.** Applications for property tax reduction based on legislatively mandated amounts distributed through the Department of Revenue. May include applications, adjustment, fund transfer, denial, and disqualification records. (Retention: 2 years.)
- (12) **Journal Vouchers-Roll Changes.** Assessor's copy of request to Tax Collector to change or correct the tax roll in counties where separate records are maintained. May indicate value, tax code, exemptions and other changes. May include vouchers, opinion and order from Department of Revenue, Board of Property Tax Appeals orders, and tax court and supreme court orders. (Minimum retention: 6 years, or until real property tax rolls of the year affected by the voucher have been foreclosed and the foreclosed property deeded to the county.)
- (13) **Personal Property Delinquent Tax Records.** Notification by individual correspondence or official publication to property owner of intent to issue a judgment lien on personal property for non-payment of taxes. Also used to record or release lien against owner of property on tax roll. Lien is recorded and retained by the County Clerk. Includes owner name, type of personal property, account number, years and amounts delinquent, and authorizing signature. (Minimum retention: 2 years after lien release.)
- (14) **Personal Property Returns.** Documents the value all business machinery and equipment within the county to determine the valuation of personal property for taxing purposes. May include name of taxpayer/business, address, location, signatures, and purchase price and date purchased of business machinery. (Minimum retention: 6 years.)
- (15) **Ratio Studies.** Used to update appraisal values between reappraisals of property. May include sales data cards, sales verifications, sales ratio report, and supporting documents. Information on report may include property sales by neighborhood or reappraisal areas, ratio of sales to property values, previous study statistics, and individual sales listings. (Minimum retention: 6 years.)
- (16) **Revenue (Department of) Reports.** Reports sent to the Department of Revenue summarizing information placed on the tax roll and providing detail of expenditures supporting reimbursement for operational expenses. Reports may include Summary of Assessments and Levies (SAL) Report, Property Tax Program Grant Document Detail Report, and Tax Collection Year-End Report. (Minimum retention: 6 years.)
- (17) **Senior Citizens Tax Deferral Applications.** Applications by senior citizens to defer property taxes or special assessments. Disqualification occurs with death of applicant, property sale, or exceeding income

limit. Taxes are paid by the state with lien attached to property. Applications may include name, address, location, account number, legal description, deed references, and authorizing signatures. This series may also include applications for delay of foreclosure. (Minimum retention: 2 years after disqualified or lien satisfied.)

(18) **Special Valuation Applications.** Requests for special assessment of properties on the basis of special use. Uses include forest land, farmland, historic properties, enterprise zones, and single family residence in commercial zones. Applications and worksheets may include name, address, account number, number of acres in use, farm income documentation, historic designation, year assessed, and real market value (RMV) of property. (Minimum retention: 6 years after disqualified.)

(19) **Tax Collection and Distribution Records.** Records summary of taxes collected and distributed. May include date of collection and distribution, amount distributed, percentage of collection and distribution, year of tax, and adjustments. (Minimum retention: (a) Percentage Distribution Schedule: 25 years; (b) All other records: 2 years.)

(20) **Tax Lot Cards.** Records contain official descriptions of real property and are used to track land ownership and lot size and also may serve as a deed reference. Records include tax lot number; the location of the land in reference to township, range, and section; and a description and record of changes to the property, acreage, and land owner. (Minimum retention: Permanent.)

(21) **Tax Payment Records.** Records individual payments made by taxpayers on an account. May include county name, fiscal year for which taxes entered, address, code area, date paid, amount, and property for which taxes paid. (Minimum retention: 7 years.)

(22) **Tax Statement Requests.** Authorization for lender to pay property taxes on individual properties. Provides lender information on assessed values and levied taxes on individual properties. May include account number, lender name and loan number. (Minimum retention: 2 years.)

(23) **Taxing District Records.** Notification to the Assessor from city, fire, school, and other special districts to levy taxes. Includes records received from districts such as notifications to levy taxes, categorizations of levies, resolutions from governing body to levy taxes, detail budgets, and public notices. Also may include tax rate computation sheets and other records used or created by the Assessor in calculating the tax rates. (Minimum retention: (a) Notice of Property Tax Levy and Certification of Categorization: 6 years; (b) All other records: 2 years.)

Stat. Auth.: ORS 192 & [ORS 357](#)

Stats. Implemented: [ORS 192.005](#) – [ORS 192.170](#) & [ORS 357.805](#) – [ORS 357.895](#)

Hist.: OSA 2, f. & ef. 11-21-75; OSA 5, f. 12-30-77, ef. 1-1-78; OSA 2-1980, f. & ef. 9-2-80; OSA 1-1993, f. & cert. ef. 7-1-93; renumbered from 166-040-0500 & 166-040-0600; OSA 3-1996, f. 4-9-96, cert. ef. 4-15-96; OSA 4-1998, f. & cert. ef. 10-29-98, Renumbered from 166-040-1300

Summation

Now that the County has a quicker, more efficient way of storing and retaining its documents, the costs and time involved will greatly reduce. In the past it would take a person several hours to locate a specific record and it may take another few hours just to retrieve it from its previously stored position in a filing cabinet or in a stack on someone's desk. Now costs are reduced because there is no legwork to be done other than to get the record to begin it into the scanning process. This way of retention will help to store records more securely and ensure that they will be more accurate and correct, than they previously may have been. Another advantage of scanning is that the scanned records will be at the fingertips of the employees who need them. Answers can be answered faster because the look-up process is not nearly as difficult or time consuming, allowing customer service representatives to serve much more efficiently.

Glossary

Docuware – Software used to store, organize, and manage thousands of different electronically stored records and documents. This software is used to easily retrieve, view, and edit the stored documents.

Docuware Index – Index used to search and locate specific documents or records by property identification numbers or map tax lot numbers.

OAAImages – Server that houses the entire County’s scanned images and directory folders that separate the images by name.

Map Tax Lot – A public land surveying unit of 36 sections or 36 square miles, this is also a north-south strip of townships, each six miles square, numbered east and west from a specified meridian in a U.S. public land survey. This can also be a land unit equal to one square mile, 640 acres, or 1/36 of a township. Also known as a plot of land, usually a division of a larger area.

Scanned Images – Various paper copies of diagrams and other miscellaneous correspondence letters that pertain to a certain piece of property. These images are scanned into a digital format by using a flat bed scanner, which are then stored in the JPEG format.

Digital Pictures – Images that are taken by using a digital camera and are then downloaded onto the OAAImages server.

Plat Map – An Assessor Plat map is a map displaying ownership parcel boundaries.

ACD See Software – Software used to view scanned images and digital pictures that are in JPEG and TIFF formats.

JPEG – Joint Photographic Experts Group. A digital image stored as a compressed file.

TIFF – Tagged Image Format File.

TSG – The Software Group. A type of software used to retrieve and read the county’s electronically stored records.

Microfilm – Microfilm is a film bearing a photographic record on a reduced scale of printed or other graphic matter.

Microfiche – Microfiche is a type of media that retains records on a sheet of Microfilm containing rows of microimages of pages of printed matter.

Scanning – To move a finely focused beam of light or electrons in a systematic pattern over (a surface) in order to reproduce or sense and subsequently transmit an image.

Retention Schedule – Means either a General Schedule published by the State Archivist in the OAR in which certain common public records are described or listed by title and a minimum retention period is established for each: or a Special Schedule approved by the State Archivist for the public records of a specific agency.

Bag – A 9 x 12, three sided paper file folder that contains documents such as diagrams, pictures, and other correspondence information that describes the characteristics of an individual parcel or property.