

Disposition After Digitization

Tracking #
For RMP use only

21DAD-003

1 Instructions for the Agency

Submit the completed agreement to
Records.Management@kingcounty.gov

- Digitization plans must meet minimum requirements per [\(WAC\) 434-663](#)
- The Agency Records Officer's signature indicates your agency's commitment to follow the approved plan for the management of records.
- Any changes to the approved plan must be documented with King County Records Management.
- Agreements expire and must be re-submitted every five (5) years.



2 About the Agency

Local Services/Permitting

Department/Division/Section

Cheryl Binetti

Agency Records Officer Name

Anna Heinrichs

Contact Name

anna.heinrichs@kingcounty.gov

Contact Email Address

www.kingcounty.gov/recordsmanagement

3 Agency Digitization Plan

Digitization may be done in-house or by a third party so long as the minimum requirements are met. The Agency must ensure that any contract or work order includes specific instructions to comply with minimum output requirements, quality control processes.

*King County must retain **legal ownership** of the records during the entire digitization process.*

Digitization Output Requirements

	Minimum Image Density	Source Format/Size
Non-Archival Retention less than 6 years	300 dpi or higher*	PDF, PDF/A, JPEG, or TIFF
Non-Archival Retention 6 years or more	300 dpi or higher	TIFF or PDF/A
*Oversized documents	400 dpi or higher	TIFF
Potentially or Permanent Archival	600 dpi or higher	TIFF or PDF/A

Agencies must consider any regulatory or statutory restrictions on record digitization.

Describe which image density and formats your agency will produce in compliance with the image output requirements. (If different record series will be digitized differently, please specify.)

Paper documents (all sizes) will be scanned in-house and/or by a third party vendor (Modus Technologies is current KC contracted vendor). Following discussion with Archives and RALS, permanent files will be saved as TIFF, at 300 or 400dpi and managed by Permitting or RALS. Archival records will be scanned at 600dpi if significant handwritten or hard to read content exists, otherwise 300dpi for ease of opening very large files.

Microfilm will be imaged by third party vendor at 600dpi

Quality Control Process Requirements

Your agency must implement a quality control process that ensures the quality and accuracy of the digitized record.

- The entire document can be seen, including the edges and borders
- The scanner glass is kept clean to prevent spots on the document
- The scans are reviewed to ensure they are complete, clear, and legible
- Images are straight and centered
- If a scan cannot meet the above criteria...
 - Troubleshoot hardware and software used
 - Retain the Hard copy version
 - Image Metadata includes “best possible scan”

Are the quality control requirements above included in either the instructions to the vendor or your Agency’s standard work for digitization to ensure compliance?

☒ Yes, I certify the above quality control processes will be followed

Digitized Record Storage Requirements

Your agency must implement procedures to ensure the digitized records are migrated and preserved for the duration of their retention.

- The files are saved in a way that prevents alteration (“read-as”)
- The storage system used manages and controls changes to the documents
 - External Media storage is NOT allowed (Do NOT use CDs, thumb drives, etc.)
- The software prevents unauthorized deletion of records, in accordance with the DAN
- Digitized records and all associated metadata must be routinely backed-up 50 miles away

Does your DAD include Essential Records? Update your agency’s essential records plan and emergency plans to account for the records change in format to ensure preservation.

Describe where your agency will store digitized records for the remainder of their records retention.

If records are still considered ‘active’ per the Retention Schedule, describe storage plans for both their immediate storage and storage once they become ‘inactive.’

Note: Content Manager is fully compliant with storage and management requirements under WAC 434-663 and DOD 5015.2.

Active personnel records will be scanned and saved in Laserfiche (launching agency-wide in 2021).

Active and inactive permit records will be stored on network drives for ease of reference access and/or stored in CM. Records with potential archival value will be assessed by Archives as time permits.

Active and inactive permit records may also be stored in SharePoint and Accela, a cloud-based third party software.

Other active agency records will be stored on network drives, and inactive records in CM.

☒ Yes, I certify this system is compliant with the above record storage requirements

Digitized Record Retention & Disposition Requirements

Digitized records must be retained and dispositioned in compliance with Disposition of Public Records in King County (INF 15-3-3-EP).

- The record series or DAN will be part of the records metadata or folder titles
- Source records will not be destroyed until
 - Image quality verified per the quality control requirements
 - Any related audit, investigation, Public Records Act request or litigation has been closed, legal holds have been lifted, and destruction has been approved by the appropriate parties
- Use confidential shredding to destroy source records containing confidential or personally identifiable information
- The digitized records storage location is routinely monitored to apply retention and disposition rules
- Inactive records are filed into Content Managed when they become inactive per the Retention Schedule (if not before)

Describe who will perform the disposition of the source records once the above requirements are met and what methodology will be used. (In house, King County Records Center, third-party vendor [name], etc.)

Disposition will be performed by division records manager or designee, however, if scanning is performed by third party vendors they will perform destruction of paper source media. Film source media will be sent to Archives for achival assessment.

Boxes of paper records currently stored at KC Records Center will either be destroyed by division records manager or returned to KCRC for destruction.

Describe how your agency will apply the retention requirement to the digitized records and ensure appropriate disposition per the King County Retention Schedule.

Note: Content Manager is a fully compliant solution to meet storage and management requirements under WAC 434-663 and DOD 5015.2.

Retention schedules will be appropriately chosen at the time of upload to CM, Laserfiche, or other records manangement software capable of securing records for entire life cycle. Records with permanent retention will be uploaded to CM or transferred to KC Archives for archival assessment, while a working/reference copy may be retained on Permitting's network drives for easy reference.



Yes, I certify the source and digitized records will be retained and dispositioned in accordance with the above requirements and associated King County Retention Schedule.

**Destruction of source records does NOT require documentation*

4 Record Series Information

Describe the records series to be digitized. For ongoing scanning projects date ranges may include future dates within the five-year expiration period of the DAD agreement (YYYY-expiration year).

Record Series Title	Date Range	Disposition Authority # and Archival Designation
<i>Example: Project Files</i>	<i>12/31/2018 – 12/31/2020</i>	<i>GS50-01-39R1 Potentially Archival</i>
Permits with permanent retention; permits without permanent retention	1970s (possibly prior if we locate records) - DAD expiration	LU50-11, -05, -25, -15, -24, -21, LU50-16B-04, -05, LU2012-076 archival; LU50-11-11, -18, -23 potentially archival
Code enforcement records	1/1/2015 - DAD expiration	GS2012-026R1 non-archival
Personnel files & related medical/accommodation files	1/1/2015 - DAD expiration	GS50-04B-06R4 non-archival
Employee misconduct files (founded and unfounded) and grievances	1/1/2015 - DAD expiration	Founded GS50-04B-46R3; unfounded GS50-04B-47R; GS50-04E-03R2; all non-archival;
Recruitment records	1/1/2018 - DAD expiration	GS50-04-17R1 non-archival

5 Agency Signature

Our agency will comply with these minimum requirements.

Cheryl Binetti

Agency Records Officer



6 Records Management Signature

The King County Records Management Program verifies this plan meets minimum requirements.

Ryan Wadleigh

Records Management Reviewer