Disposition after Digitization Form

For Records Management Program Use Only	
KCDAD#	**21DAD-001**

To ensure compliance with (WAC) 434-663, *Imaging Systems, Standards for Accuracy and Durability*, King County staff must submit this form for approval, in order to destroy physical records after they have been digitized.

See [preapproved DAD link] for directions on scanning records that have been preapproved for disposition after digitization.

Email this form to Records.management@kingcounty.gov

SECTION A – AGENCY INFORMATION	
Department/Division	Assessments/Accounting
Section	Abstract/Mapping
Section Disposition Authority	Rich Watson
Office contact for this form	Christie Most

SECTION B – DESCRIPTION OF RECORDS BEING SCANNED
Are any records to be scanned designated as **ARCHIVAL** in the records retention schedule?   ☒Yes - **STOP!** These records cannot be destroyed. Contact the Records Management program for assistance.   ☐No – Continue
Do any of the records to be scanned have sensitive information, such as PII?   ☐Yes _____   ☒No

Record Series and description	Date range	Disposition Authority #
Separate Lot Reviews (SLRs)	1974-Current	Combo Rule ASR-01-018:
- Short Plat Drawings		AS01-05-11
- Minor Lot Lines Adjustments/Revisions		AS01-05-05

Attach a list if additional lines are needed

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SECTION C – DIGITIZATION PROCESS

Does the agency have an established digitization process that includes directions for scanning, standards, and quality?

☒Yes. Please share this process with the form submission.

☐No. Contact the Records Management Program for additional guidance.

Who is scanning the documents?

☐King County staff, in house

☐Washington State Archives

☒A third party vendor: Modus Technologies

Describe the physical format of the records. Include any information relevant to the digitization process. Select all that apply.

☒Text based documents	☒Paper
☐Photographs	☐Unsubstantial paper (carbon copies)
☒Large or oversized records	☒Black and white documents
☒Maps	☒Color documents
☒Drawings	☐Glossy photos
☐Other_____	☐Ephemera _____
	☐Other _____

What DPI (dots per inch) are the records being scanned at?	☐300 dpi	☐500 dpi
	☐350 dpi	☐550 dpi
	☐400 dpi	☒600 dpi or higher
	☒450 dpi	☐Other ___

What file formats will the records be saved as? (select all that apply) Contact the Records Management Program for guidance on acceptable records formats.	TIFF (preferred)
	☐JPEG
	☐PDF
	☒PDF/A (preferred)
	☐Other: _____

Quality Control Process

Select which of the following will be used to ensure the quality and accuracy of the source documents? (select all that apply)

☒The entire document can be seen, including the edges and borders

☒Scanned images are clear and legible

☒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

☐Other: _____

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Select which of the following will be done if the best possible scan is not good quality?

☐ The hardware and software being used will be troubleshooted

☒ Hard copy versions are kept

☒ The phrase "best possible scan" is added to the image metadata

☐ Other: _____

SECTION D – MANAGEMENT AND STORAGE OF THE DIGITIZED RECORDS

Will the scanned images be kept and managed in Content Manager? Content Manager is fully compliant with storage and management requirements under WAC 434-663 and DOD 5015.2.

☐ Yes – skip to section E

☒ No – SharePoint

☒ No – Other: Initially will be loaded into CIFS for QA/QC

Describe the software you are using if it is not Content Manager or SharePoint.

Name: EDMS (iLinx)

☒ Commercially available "out of the box" software with minimal customized

☐ Commercially available software with significant customization

☐ Developed in-house

☐ Other _____

How will the digitized records retention be managed? (select all that apply)

☒ The digitized records will 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

☒ The record series or DAN will be part of the record storage metadata (folder titles)

☒ The records retention and location is managed as part of the office's regular inventory and disposition process

☐ Other: _____

How will the digitized records' security and protection be ensured? (select all that apply)

☒ The file format prevents alteration

☒ The files are saved in a way that prevents alteration ("read-as")

☒ SharePoint version history and permissions are managed and monitored to prevent alteration

☒ The software system used manages and controls changes to the documents

☒ The software prevents unauthorized deletion of records, in accordance with the DAN.

☐ Other: _____

Does the agency have an Essential Records Plan, or emergency plan, that includes electronic records?

☒ Yes

☐ No

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Are the digitized records and all associated metadata routinely backed up?
☐Yes – at Washington State Archives Disaster Recovery Storage Service (DRSS)
☒Yes – on SharePoint
☐Yes – _____miles away from the office at _____
☒Yes – Other: <u>EDMS & CM</u>
☐No

Which of the following procedures are in place to ensure the records are migrated and preserved for the duration of their retention? (select all that apply)
☒Digitized records are migrated to new operating systems and software as updates are implemented, including SharePoint.
☐The original documents have been microfilmed.
☒Digitized records are not managed or stored on external media storage, such as CDs or thumb drives.
☒The software used migrates and manages records
☐Other _____

SECTION E – DESTRUCTION OF SOURCE DOCUMENTS

- Source documents needed in support of an audit, investigation, Public Records Act Request, or litigation discovery cannot be destroyed until the 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.
- The source documents cannot be destroyed until the completion of scanning, quality assurance, and filing.

This form is the approval and authorization to destroy the physical documents after they have been scanned, under GS50-09-14R3 and the conditions listed above have been satisfied. No additional documentation or approval is required.

Who is performing the destruction of the source documents?
☐In house
☐King County Records Center
☒The third party digitizing vendor: <u>Modus with KC approval</u>
☐A third party vendor who did not digitize the records _____

Describe the timeline of how the source records will be destroyed.
After 60 days from delivery of scanned images the original files will be destroyed by Modus. Note: Assumed time frames. After scanned images have been returned to ASR and QA/QC'ed, usually within 21 to 30 working days, stored and filed, usually within 31 to 45 days, ASR must notify the vendor in writing which physical records are now eligible for destruction. They will be shredded

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Authorization and Approval

Section Disposition Authority _____ Approve   Reject

Public Records Committee _____ Approve   Reject

Rejection Reason
☐Records are   ☐Records are   ☐Inappropriate   ☐Inaccurate Form
Under Hold   archival   Digitization Plan   Information
☐Other:

Notes

Based upon Archival review 3/5/2021
"Maps, Drawings and Plans (books) - Reference" covered by DOA-21DAD001 is made up of non-archival reference documents and not suitable for inclusion in the Archival collection. As a non-archival series, I have no objection to the Dept. of Assessments digitizing this set of files using less restrictive file density and file type settings that still meet all applicable requirements under WAC 434-663." - KC Archives
Scanning records at a density of 300dpi is acceptable for these records.

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