King County

Request for Early Disposition of Source Documents After Digitization (DAD)

To ensure compliance with Washington Administrative Code (WAC) 434-663, *Imaging Systems, Standards for Accuracy and Durability,* County offices wishing to dispose of hard copy source records that have been scanned, **must** complete this application and submit it to the King County Archives, Records Management and Mail Services Section for approval.

For advice and assistance in completing this application, please contact:

<div align="center">

Department of Executive Services
Records and Licensing Services Division
Archives, Records Management and Mail Services Section
Records Management Program
416 Occidental Avenue South, Suite 210, Mail Stop GBB-ES-0210
Seattle, WA 98104
Phone: 206-477-6889
Email: records.management@kingcounty.gov

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Section A – Agency Information

1. Name of Department:

   Department of Transportation

2. Name of Division / Section / Office:

   Metro Transit / Employee Services / Human Resources

3. Name of Agency's Appointed Disposition Authority:

   Catherine (Cathy) Jimenez – Metro Senior Administrator

4. Who is the main office contact person regarding this application?

   Name: Jessica (Jessie) Carter – HRIM Supervisor

   Phone: 206-477-3218

   Email: Jessica.Carter@kingcounty.gov

Section B – Description of Records Being Scanned

5. Please describe the records to be scanned and disposed of (add additional lines if needed)

Records Series Title and Description of Records	Date Range of records to be scanned (YYYY-YYYY)	Disposition Authority Number (DAN) / Cutoff and Retention Period
Personnel Files Records relating to an individual's employment history with the agency.	1970 and going forward	GS50-04B-06R4 Cutoff: termination of employment Retention: 6 years
Employment Eligibility Verification – U.S. Citizenship and Immigration Services (USCIS) Documents used to verify identity and employment authorization of individuals hired for employment in the United States in accordance with 8 CFR § 274a.2.	1970 and going forward	GS50-05A-26R2 Cutoff: termination of employment Retention: 3 years
Employee Medical Records Records relating to the health status of employees where not related to occupational illness or injury.	1970 and going forward	GS2017-015 Cutoff: termination of employment Retention: 6 years
Authorizations/Certifications – Human Resources (General) Records relating to licenses, permits, accreditations, certifications and other authorizations acquired by local government agency employees in certain positions (includes contractors and volunteers) that are either required by or received from regulating authorities (such as local, state or federal agencies and/or court order/rule), where not covered by a more specific record series. Includes applications/confirmations, correspondence, reports, violations/corrections, etc.	1970 and going forward	GS2011-190R2 Cutoff: Termination of employment Retention: 6 years
Requests for Leave/Overtime Records requesting, granting, or monitoring of leave or overtime.	2011 and going forward	Combo Rule PER-09-002 GS2017-010 (Leave – Non-Routine) GS50-04B-09R2 (Leave – Routine) Cutoff: year end Retention: 6 years
Recruitment Files Records relating to the process of recruiting, interviewing, selecting, and hiring of employees.	2014 and going forward	GS50-04B-22R1 Cutoff: end of year in position is filled or termination of recruitment process. Retention: 3 years
Employment Requisitions and Staff Planning Records relating to requests for workforce changes that require formal approval and that result in the beginning of recruitment processes or changes to the employment or payroll status of existing employees.	2014 and going forward	GS50-04B-17R1 Cutoff: year end Retention: 3 years

6. Please describe the context/purpose for the scanning project:

This is an ongoing project to store Transit employee files/records/documents into our ECM product, Laserfiche. This continues to provide Transit HR and other Transit Dept.'s access to files, reduces the turnaround time on requests, and reduces our need for physical storage space.

7. Do the records to be scanned include **active** records (records that have NOT met their cutoff date)?

[X] Yes [ ] No

8. Is early disposition after digitization requested for records series designated in the records retention schedules as **Archival** or **Potentially Archival?**

[ ] Yes **STOP!!** Records designated as archival on the County's records retention schedules must not be destroyed. Contact the Records Management Program for assistance.

[X] No Continue to Section C

Section C – Digitization Process

Responsibilities

9. Who is scanning the documents?

[X] Office (In-house)

[ ] Washington State Archives (Imaging Services)

[ ] Third party vendor *(please specify)*: _____

(Name of Vendor)

If using a vendor, does your office's service contract with the vendor ensure that legal custody of the records (both the source documents and the digital images) remains with the office?

[ ] Yes [ ] No

Formats and Scanning Densities

10. What types of source documents are being digitized?

[X] Black and White Text Documents

[X] Grayscale Text Documents

[X] Color Text Documents

[X] Maps, Plans, Engineering Drawings - May include maps of routes/reroutes for training purposes. May include photographs of identification – Driver's licenses or badges.

[X] Photographs (Black & White and/or Color)

11. What scanning density (pixels per inch) is being used?

[X] Greater than 300 ppi [X] 300 ppi [ ] 200 ppi [ ] Less than 200 ppi

12. What file format is being used for the digitized records?

[X] TIFF (Group 5) [ ] PNG [ ] PDF/A [ ] PDF

| X | TIFF (Group 4) | X | Other (please specify): | Any items found in Laserfiche that are in another format are converted to TIFF. |

Quality Control Processes

13. Which of the following quality control procedures are being followed by the office or selected vendor to ensure the complete capture of all source documents and the quality of the digitized records? (*mark all that apply*)

- [X] Images with speckles or spots are rescanned after the scanner glass is cleaned
- [X] Skewed images are rescanned so that the image appears straight and centered
- [X] Incomplete document pages are realigned and rescanned to capture the entire page
- [X] Unclear images are rescanned at a higher ppi until the image is as readable as possible
- [X] Each scanned imaged is reviewed to verify that the image is complete, clear, and legible
- [X] The number of pages in the scanned document is compared to the number of pages in the original to make certain each page was captured
- [X] Images will be quality checked via sampling process in which every tenth document is reviewed for completeness and accuracy
- [ ] Other (please specify): _____

14. Which of the following procedures is the office or selected vendor following in cases where a good quality digitized record cannot be produced due to the poor quality of the source document? (*mark all that apply*)

- [ ] Hard copy versions of the records that did not scan well are kept
- [ ] The phrase "best possible scan" is added to a metadata field
- [ ] The phrase "best possible scan" is added to the document name
- [X] Other (please specify): Notation is made on the source document prior to scanning that states "Best copy available."

Documented Procedures

15. Does the office have written documentation for the digitization process that includes all of the following: (*Include a copy of your procedures with this application.*)

[X] Yes	[ ] No	Instructions for the use of scanning hardware, including scanning settings
[X] Yes	[ ] No	Standards and instructions for indexing, naming, and labeling files
[X] Yes	[ ] No	Instructions for performing quality assurance checks for image quality
[ ] Yes	[X] No	How to enhance or manipulate images to make them more readable
[X] Yes	[ ] No	Step by step instructions for correcting scans that are incomplete or difficult to read
[X] Yes	[ ] No	How to dispose of source records
[X] Yes	[ ] No	How to dispose of images past their retention period

Section D – Management and Storage of Digitized Records

16. Will all of the scanned images be imported into KC ERMS upon completion of scanning and quality control?
    If yes, skip to question 26 (Section E).
    If no, proceed to question 17.

☐ Yes   KC ERMS is fully compliant with WAC 434-663 for the storage and management of digitized records.

[X] No

17. If any of the records will not be imported into KC ERMS at the completion of the scanning process, or if they will be stored elsewhere for the duration of their retention period, please describe where they will be stored:

ACTIVE Record Images:

[X] County network server   ☐ Other *(please specify)*: _____

INACTIVE Record Images:

[X] County network server   ☐ Other *(please specify)*: _____

Storage and Organization

18. How are the digitized records stored and organized? (Indicate for both when records are Active and Inactive- if not being stored in KC ERMS.)

[X] Active   [X] Inactive   Within a software application for storing images *(please specify)*: Laserfiche

_____

(Name of Application)

Is this software:

[X] Commercially available and implemented "out of the box" with little to no customization

☐ Commercially available and implemented with significant customization

☐ Developed in-house

☐ Active   ☐ Inactive   As separate files on a network server

☐ Active   ☐ Inactive   Other *(please specify)*: _____

Retention

19. How are the digitized records associated with the appropriate records retention schedule? *(mark all that apply)*

[X] Disposition Authority Number (DAN) is stored as part of the digitized records' metadata

☐ Disposition Authority Number (DAN) is incorporated into the folder structure in which the digitized records are stored

☐ Location and Disposition Authority Number (DAN) of the digitized records are documented as part of the office's regular inventory of its records *(Please include the most recent inventory as an appendix)*

☐ Inactive Records Stored in KC ERMS (filed by Records Series/DAN)

☐ Other *(please specify)*: _____

Protection Against Alteration/Deletion

20. How are the digitized records protected against alteration/modification to ensure their authenticity? *(mark all that apply)*

☐ File format prevents alteration of image

☐ An error-checking utility ensures the integrity of the data when written to storage media

☐ Software system used to manage the images controls and logs changes to the records

☐ Inactive Records Stored in KC ERMS (protected from alteration/modification)

☒ Other *(please specify)*:   User security profile _____

21. How are the digitized records protected against unauthorized deletion? *(mark all that apply)*

☐ Software system prevents deletion of records except in accordance with approved records retention schedules. All authorized deletions of digitized records (including by system administrator) are recorded in the audit log.

☒ Ability to delete files from the network server containing the digitized records is restricted to authorized users only.

☐ Inactive Records Stored in KC ERMS (protected from deletion)

☐ Other *(please specify)*: _____

Disaster Preparedness and Backups

22. Are the digitized records (and their associated metadata) backed up as part of the office's routine backup of electronic records and other data? *(mark all that apply)*

☒ Yes   ☐ No   ☐ Records Filed into KC ERMS (part of regular system back-up)

If yes, are backups of the digitized records stored offsite? *(mark all that apply)*

☒ Yes –

☒ Yes – 50 miles or more away at: KCIT Cloud Services Vendor (Amazon Web Services, OR)
(specify city and state)

☐ Yes – Fewer than 50 miles away at: _____
(specify city and state)

☐ No

23. Does the office have a disaster preparedness and response plan that addresses the restoration of the office's electronic records and other data if not filed into KC ERMS?

☒ Yes   ☐ No

If yes, is the restoration of the digitized records included in plan and is the recovery timeline based on the office's need to access the records?

☒ Yes   ☐ No

Migration and Preservation Strategies

24. Which of the following procedure is the office following in cases where the source records have a retention period of 10 years or longer and records are not immediately filed into KC ERMS? (*mark all that apply*)

    ☐ Original paper records are stored for the entire retention period

    ☐ Original documents are microfilmed

    ☐ Digitized records stored on optical or magnetic media are migrated at least every 10 years

    ☒ Digitized records stored in a networked storage location are migrated to a new operating system as new versions of Windows are implemented

    ☒ Software system used to store and manage digitized records is upgraded as new versions become available

25. If the digitized records are stored in a system, can the records and their associated metadata be exported from the application for migration to another application?

    ☒ Yes – As part of the standard functionality of the existing software application

    ☐ Yes – But only with assistance from the software's vendor and/or development of specific additional software [global export can be performed with activated software license from vendor]

    ☐ No

    ☐ Not Applicable

Section E – Destruction of Source Documents

26. If a vendor is performing the digitization, are the source records returned to the office following completion of the digitization?

    ☐ Yes   ☐ No   ☒ Not Applicable – Digitization performed by Office (In-house)

27. Who is performing the destruction of the source documents?

    ☒ Office (In-house)

    ☐ Vendor performing digitization

    ☒ Other (*please specify*):   Seadrunar Recycling
                                                        (Name of Vendor)

28. When will the source records be destroyed? Please describe the timeline for when source records will be destroyed *after* completion of scanning, QC and filing/storage of scanned images.

    > Source records are audited at least 5 business days after the initial scan. After quality control check of the scanned images against the source documents, the physical records will be shredded to ensure confidentiality.

    Please note that this approved DAD application is the approval and authorization to destroy the imaged source documents under GS50-09-14R3; no additional documentation or approval is required. It is the agency's responsibility to ensure that the source documents are protected

from destruction in the event of an audit, investigation, Public Records Act Request, or litigation discovery involving the imaged records.

Section F – Disposition of Digitized Records

29. Will the digitized records be destroyed at the expiration of their retention period?

[X] Yes   [ ] No

30. Are the office's procedures for destruction of digitized records at the end of their retention period(s) consistent with its procedures for destruction of paper records?

[X] Yes   [ ] No

Department Certification

We hereby certify that the responses documented in this Request for the Early Destruction of Source Documents after Digitization are a true and accurate reflection of the office's procedures for the digitization and subsequent retention and disposition of the County's public records.

Cathy Jimenez

_____   _____   _____   _____
(Agency Records Officer Signature)   *(Date)*   *(IT Manager Signature)*   *(Date)*
Recoverable Signature   *if applicable*

X Cathy Jimenez   *Cathy Jimenez*
_____
Cathy Jimenez
Senior Administrator
Signed by: cathy.jimenez@kingcounty.gov

Archival Records – For King County Archives Use Only

What should happen to these archival records after they have been scanned?

Records series title and description	Transfer to the Archives after records are scanned and verified	Transfer to the Records Center for the records retention period and then transfer to the Archives	Per appraisal, records are not archival and can be disposed of in accordance with approved DAD	Electronic version of the record is designated as the Archival record. Source records can be disposed of per approved DAD

X Approved *Carol Shenk* 07/19/2018

King County Archivist   *Date*

Approval – For King County Archives, Records Management, and Mail Services Use Only

☑ Approved for a period of five (5) years   _April_   8/14/2018

King County Public Records Committee Chair   *Date*
~~or~~ representative

☑ Approved   *Scott Landwehr*   7/19/18

KC Records Center   *Date*

☑ Approved   *Gail Snow*   7/23/18

KC Records Management   *Date*

Additional Conditions:

_____
_____
_____
_____

☐ Not Approved (reasons attached)