



For Records Management Program Use Only	
KC DAD Number	12DAD-004
Submission Date	12/12/2012

## 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:

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: 206-477-0289  
 Email: [gail.snow@kingcounty.gov](mailto:gail.snow@kingcounty.gov)

### Section A – Department Information

1. Name of Department: Department of Permitting and Environmental Review
2. Name of Division / Section / Office: \_\_\_\_\_
3. Name of Office's Appointed Disposition Authority: Erika Sullivan
4. Who is the main office contact person regarding this application?  
 Name: Erika Sullivan  
 Phone: 206-477-0328  
 Email: Erika.Sullivan@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 by Year (YYYY-YYYY)	Disposition Authority Number (DAN) / Retention Period
Building Construction and Modification Permit Files (Valid)	1980-2012 (present)	LU50-11-05/6 years after building removed
Approved Construction Drawings, Plans, and Specifications	1980-2012 (present)	LU50-11-03 (Archival)/90 days after project completed
Lot Line Adjustments/Boundary Line Adjustments	1980-2012 (present)	AS01-05-05/Dispose of when no longer needed for reference purposes – County Recorder's Office is primary record holder
Code Complaint and Violation Case Files	1980-2012 (present)	GS2012-026/6 years after matter resolved
Critical (Sensitive) Area Designation	2005-present	LU50-11-25 (Archival)/6 years after termination of designation

6. 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.

No

Continue to Section C

## Section C – Digitization Process

### Responsibilities

7. Who is scanning the documents?

Office (In-house)

Washington State Archives (Imaging Services)

Third party vendor (*please specify*): ImageNet

(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

8. What types of source documents are being digitized?

Black and White Text Documents

Grayscale Text Documents

- Color Text Documents (TIFF Group 5)
- Maps, Plans, Engineering Drawings
- Photographs (Black & White and/or Color)

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

- Greater than 300 ppi     300 ppi     200 ppi     Less than 200 ppi

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

- TIFF (Group 5) color     PNG     PDF/A     PDF  
 TIFF (Group 4) B/W     Other (please specify): \_\_\_\_\_

**Quality Control Processes**

11. 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)

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

12. 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
- Other (please specify): \_\_\_\_\_

**Documented Digitization Procedures**

13. Does the office, or selected vendor, have written documentation for the process used to scan records that includes the following:

- |   |                             |  |
|---|-----------------------------|--|
| <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | Instructions for the use of scanning hardware, including scanning settings |
| <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | Standards and instructions for indexing, naming, and labeling files        |
| <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | Instructions for performing quality assurance checks for image quality     |
| <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | How to enhance or manipulate images to make them more readable             |

- Yes     No    Step by step instructions for correcting scans that are incomplete or difficult to read
- Yes     No    How to dispose of images past their retention period (**SEE Appendix A**)

## **Section D – Management of Digitized Records**

14. Will the images be imported into the KC ERMS?

- Yes    KC ERMS is fully compliant with WAC 434-663 for the storage and management of digitized records. Skip ahead to Section E
- No    Continue onto question 15

15. Where are the digitized images located?

- County network server     Other (*please specify*): \_\_\_\_\_

### **Storage and Organization**

16. How are the digitized records stored and organized?

- Within a software application for storing images (*please specify*):

Accela Automation

\_\_\_\_\_  
(Name of Application)

Is this software:

- Commercially available and implemented "out of the box" with little to no customization
- Commercially available and implemented with significant customization
- Developed in-house
- As separate files on a network server
- Other (*please specify*): \_\_\_\_\_

### **Retention**

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

- 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
- Other (*please specify*): \_\_\_\_\_

### **Protection Against Alteration/Deletion**

18. 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
- Other (please specify): \_\_\_\_\_

19. 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.
- Other (please specify): \_\_\_\_\_

**Disaster Preparedness and Backups**

20. Are the digitized records (and their associated metadata) backed up as part of the office's routine backup of electronic records and other data?

- Yes                       No

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

- Yes – Office is utilizing Washington State Archives' Disaster Recovery Storage Service (DRSS) at Cheney, WA
- Yes – 50 miles or more away at: Salt Lake City, Utah  
*(specify city and state)*
- Yes – Fewer than 50 miles away at: \_\_\_\_\_  
*(specify city and state)*
- No

21. Does the office have a disaster preparedness and response plan that addresses the restoration of the office's electronic records and other data?

- 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**

22. Additional migration and preservation measures must be taken for records with a retention period of 10 years or longer. Once the records are imaged per approved DAD authorization, which of the following practices will the office use to meet these requirements? (mark all that apply)

- Original paper records will also be stored entire retention period
- Original documents will also be 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

23. 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**

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

- Yes (Archival)     No     Not Applicable – Digitization performed by office in-house

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

- Office (In-house)
- Vendor performing digitization
- Other vendor (*please specify*): \_\_\_\_\_

(Name of Vendor)

### **Section F – Disposition of Digitized Records**

26. Will the office be dispositioning the digitized records at the expiration of their retention period? N/A for Archival records.

- Yes     No     Not Applicable – Archival Records

27. 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?

- 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.



(Records Officer/Manager Signature)

11/19/13

(Date)



(IT Manager Signature)

11/19/13

(Date)

**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	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
<b>Approved Construction Drawings, Plans, and Specifications</b>	Transfer to Archives after images verified.			Transfer images for completed projects at the end of the calendar year.
<b>Critical (Sensitive) Area Designations</b>	Transfer to Archives after images verified.			Transfer images for completed projects at the end of the calendar year.

Approved *Carol Shenk* 11/15/2013  
*Carol Shenk, King County Archivist* Date

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

Approved for a period of five (5) years

*Deborah Kennedy*  
 King County Public Records Committee Chair  
 or representative Date

Approved *Gail Snow* 3/21/2013  
 KC Records Management Date

Additional Conditions:

Please attach any existing index to the records or other descriptive information with the archival transfer agreement.

Not Approved (reasons attached)

## Appendix A

### DPER POLICY AND PROCEDURE

#### **-Disposition of Electronic Originals-**

When DPER records are imaged in accordance with the County's Destruction After Digitization Approval, the State's Retention Schedule will govern the maintenance and disposition of the newly-created electronic-original.

At the time of disposition, the Records Management Specialist will provide a list of permits eligible for disposition along with the disposition authorization number to the IT leader for the department. The records will be deleted off the network by the IT specialist and the back-ups will be deleted as part of the regular cycle back-up.

The Records Management Specialist will also work with the Accela Automation team at DPER to coordinate with Accela CCR, Customer Resource Center, to the delete the document[s] from the Accela Automation System.