



For Records Management Program Use Only	
KC DAD Number	15DAD-002
Submission Date	7/15/2015

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: 206-477-6889
 Email: records.management@kingcounty.gov

Section A – Department Information

1. Name of Department: DES
2. Name of Division / Section / Office: Office of Risk Management
3. Name of Office's Appointed Disposition Authority: Jennifer Hills
4. Who is the main office contact person regarding this application?
 Name: Joan Kelly
 Phone: 206-263-2239
 Email: joan.kelly@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
Claims for Damages All types of claims files processed by the Office of Risk Management. Note: records are scanned as they are received, as of the dates listed at right. If a claim is opened prior to those dates, its file may contain records in different formats.	Records received 10/28/2015 to present (Recovery claims) Records received 3/2/2016 to present (all other claim types)	GS50-01-10 R1 / 6 years after claim closed

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*): _____

(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

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) PNG PDF/A PDF
 TIFF (Group 4) 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 have written documentation for the process used to scan records that includes the following: (If yes, please attach a copy to this application as an appendix)

- | | | |
|---|--|---|
| <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 |
| <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | Step by step instructions for correcting scans that are incomplete or difficult to read |
| <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | How to dispose of images past their retention period* |

*This is part of KCORM's current division-wide KC ERMS work plan.

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
(kcitrskprpweb01)

Other (please specify):

Housed in claims management software system, currently stored on network server.

Storage and Organization

16. How are the digitized records stored and organized?

Within a software application for storing images (please specify): RISKMASTER ACCELERATOR is our claims file information system. Information is stored on a server.

Riskmaster Accelerator

(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 (Please include the most recent inventory as an appendix)

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):

We have internal controls in place for deleted documents. Only specific authorized users have the permissions and ability to remove a document from the claims system and documents must be reviewed to verify they were attached by mistake prior to deleting. Additionally, documents can be recovered within 30 days of deleting. So if something is deleted by mistake, it can be recovered.

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: AWS Oregon Region
(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 KCORM's important services do not meet the definition of "essential services" and there are no legal mandates or vital record access required.

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. Which of the following procedure is the office following in cases where the source records have a retention period of 10 years or longer? (mark all that apply)

- Original paper records are stored for the entire retention period (currently followed by ORM)
- 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 (preferred method with digitized records as a standard)
- 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 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 destroying the digitized records at the expiration of their retention period?

- Yes No

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.

Jane Alfieri 9/29/15 Maquell Brown 9/29/15
(Agency Records Officer Signature) (Date) (IT Manager Signature) (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	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

Approved

Carol She

10/05/2015

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 *10/28/2015*
 King County Public Records Committee Chair
 or representative Date

Approved

Scott Sandwick *10/15/15*
 KC Records Center Date

Approved

Gail Snow *10/8/2015*
 KC Records Management Date

Additional Conditions:

Not Approved (reasons attached)