



KC DAD Number	15DAD-006
Submission Date	12/3/2015

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 – Agency Information

1. Name of Department: King County Sheriff’s Office
2. Name of Division / Section / Office: Technical Services/AFIS Section
3. Name of Agency’s Appointed Disposition Authority: Leesha Wilson & Carol Gillespie
4. Who is the main office contact person regarding this application?
 Name: Laurie Ordonia & Jennifer Ingram
 Phone: 206-263-2789 and 206-263-2715
 Email: laurie.ordonia@kingcounty.gov and jennifer.ingram@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
Fingerprint Cards – Criminal History	11/10/1979 – Forward	LE07-01-05 R2 LE2010-067 R1 Retain until transmitted to WSP and until no longer needed for agency business
Fingerprint Cards - Other	05/01/2014 – Forward	LE2013-001 Retain originals for 3 years after request fulfilled then destroy or until transmitted to WSP, whichever is longer

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

The AFIS Section receives hard copies (paper) of fingerprint cards that it scans into the AFIS database and submits to Washington State Patrol (WSP). The paper cards include Question of Identity and Deceased Unknowns received by fax, Livescan transactions such as sequence errors that need the submitted images corrected, and printed Livescan or inked cards received in the mail. The AFIS Section would like to destroy the hard copies of the fingerprint cards once they are scanned into the AFIS database and the electronic copies would then become the originals.

Previously these hard copy fingerprint cards were scanned into the AFIS database, submitted to WSP, and then shredded once verified as being processed and if it they were not new master cards. This procedure was stopped July 2015 when it was realized that an approved disposition after digitization application was required to continue this process.

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

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.

No Continue to Section C

Section C – Digitization Process

Responsibilities

9. 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

10. What types of source documents are being digitized?

- Black and White Text Documents (*Fingerprint Cards*)
 Grayscale Text Documents
 Color Text Documents
 Maps, Plans, Engineering Drawings
 Photographs (Black & White and/or Color)

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

- Greater than 300 ppi
 Standard scanned format for fingerprint cards is 1,000 ppi 300 ppi 200 ppi Less than 200 ppi

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

- TIFF (Group 5) PNG PDF/A PDF
 TIFF (Group 4) Other (*please specify*): _____
NIST (National Institute of Standards & Technology) Format

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*)

- 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): _____

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

Other (please specify): Everything is scanned and any errors in the source record are corrected by an examiner when the card is scanned in on the booking station.

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.)

- Yes No Instructions for the use of scanning hardware, including scanning settings – See the *Cardscan Operator's Guide*
- Yes No Standards and instructions for indexing, naming, and labeling files – See the *Tenprint Examiner Unit SOP Section 7.1 E-H*
- Yes No Instructions for performing quality assurance checks for image quality – See the *Tenprint Examiner Unit SOP Section 7.3*
- Yes No How to enhance or manipulate images to make them more readable – See the *Tenprint Examiner Unit SOP Section 7.3*
- Yes No Step by step instructions for correcting scans that are incomplete or difficult to read – See the *Tenprint Examiner Unit SOP Section 7.3*
- Yes No How to dispose of source records – See *Tenprint Examiner Unit SOP Section 7.4*
- Yes No How to dispose of images past their retention period – See notes on question 19

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.

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:

County network server Other (please specify): _____

INACTIVE Record Images:

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.)

- Active Inactive Within a software application for storing images (*please specify*): 1) Metamorpho 2) Archive Retrieval System (MARS)

(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

- 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*)

- 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*): Once scanned into the AFIS database these records may be kept indefinitely; secondary copies pass through the system for investigative purposes. There is no purge schedule in place for digital records in the AFIS database; however, records will be purged when court ordered, deceased, or when no longer needed for business purposes.
-

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): _____

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 schedule 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 – Office is utilizing Washington State Archives' Disaster Recovery Storage Service (DRSS) at Cheney, WA

- Yes – 50 miles or more away at: Spokane, WA (company used is Iron Mountain)
(specify city and state)

- Yes – Fewer than 50 miles away at: Seattle, WA (company used is Iron Mountain)
(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
- Not applicable

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*): _____

(Name of Vendor)

28. How will the destruction of the source records be documented?

- Agency Destruction Form (destroyed by vendor or by office)
- Records Center Destruction Form (destroyed by the King County Records Center)
- Other: _____

29. 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.

Once the source records are scanned they will be placed in a storage bin in the Tenprint Examiner area. The bin is labeled “Scanned Cards Here”. The source records will then be destroyed on an annual basis on or around March 1. Cards from the previous year (January-December) will be destroyed, thus allowing for a two month waiting period before destruction.

An agency destruction form for the source records will be completed by the supervisor or designated person and submitted to King County Records Management. The form will reference the DAD number in the description field, include the cut-off date, and will list the DAN for source records (GS50-09-14R3).

Upon approval of the agency destruction form, the records will be shredded by a private shredding company. The shredding date will be documented and the original agency destruction form will be sent back to King County Records Management for retention.

Section F – Disposition of Digitized Records

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

Yes No

31. 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?

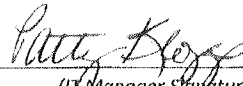
Yes No

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.


(Agency Records Officer Signature)

12/18/2015
(Date)


(IT Manager Signature)
If applicable

12-18-2015
(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 Shenk 12-21-2015
 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 1/4/16
 King County Public Records Committee Chair or representative Date

Approved N/A
 KC Records Center Date

Approved Gail Shaw 12/23/2015
 KC Records Management Date

Additional Conditions:

Not Approved (reasons attached)