



<b>KC DAD Number</b>	16DAD-001
<b>Submission Date</b>	02/02/2016

## 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](mailto:records.management@kingcounty.gov)

### Section A – Agency Information

1. Name of Department: Department of Natural Resources
2. Name of Division / Section / Office: Wastewater Treatment Division
3. Name of Agency’s Appointed Disposition Authority: Donald L. Jewett
4. Who is the main office contact person regarding this application?  
 Name: Don Jewett  
 Phone: (206) 477-5428  
 Email: Don.jewett@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
<p><b>Water and Sewer System Capital Improvement Project Records</b>                      Records documenting capital improvement construction projects for water and sewer systems, from pre-design to construction completion. Includes records that are needed for the long-term management of the sewer/water systems.</p> <p>Including, but are not limited to:                      Final record drawings (Pre-Design, Final Design, Construction Red Lines and As-Builts); construction permits; contracts; SEPA review records; work orders; change orders; operating manuals; inspection records, final acceptance records, engineering design calculations, inspector books, construction transmittals, etc. construction standards and specifications, etc.</p>	01/01/2016 – going forward	UT55-06A-19 / 6 years after disposition of the asset or decommission of the system
<p><b>Water and Sewer System Capital Improvement Project Records – Project Administration</b>                      Records documenting capital improvement construction projects for water and sewer systems, from pre-design to construction completion. Includes project administration records that are <b>not</b> needed for the long-term management of the sewer/water systems.</p> <p>Including, but are not limited to:                      Invoices; unsuccessful RFP responses; successful bids and proposals; meeting records; press releases; miscellaneous communications; project schedules; preliminary drawings, cost analysis reports, progress reports from consultants and contractors.</p>	01/01/2016 – going forward	GS50-18-10 R1 / 10 years after completion of project
<p>Note: both of the above series will be filed into the same KC ERMS category, but retention will be applied at the folder level using correct folder types.</p>		

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

Desire of the Construction Management Team of WTD to operate in a fully electronic environment.

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*): 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

10. 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)

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

- Greater than 300 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*):

PDF for CM offices convenience copies, TIFF as official record for KC ERMS storage – see 28

### 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, or

The phrase "best possible scan" is added to the document name

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

### 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

Yes  No Standards and instructions for indexing, naming, and labeling files

Yes  No Instructions for performing quality assurance checks for image quality

Yes  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 source records

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.

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): N/A

#### INACTIVE Record Images:

County network server  Other (please specify): N/A

### 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*):

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(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*):      N/A

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**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*): \_\_\_\_\_

**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*):      ERMS
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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)*: ERMS

**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: \_\_\_\_\_  
*(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)*:

ImageNet to return hard copies to be used for internal QA/QC then in-house staff will destroy source documents

*(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: \_\_\_\_\_

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 will be destroyed by recycling non-confidential paper and shredding confidential paper. Records received initially in electronic format will be saved to CM server. Physical records will be scanned as PDF and TIFF. TIFF images will be stored in ERMS right away. The PDF version will be marked as “physical scan” as an index field. At time of project close, the electronic records will be moved to ERMS. The PDF’s marked as “physical scan” will be queried and deleted since they were placed into ERMS initially.

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

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

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?

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.



*Arnold J. Powell* 4-12-16  
 (Agency Records Officer Signature) (Date)

(IT Manager Signature) (Date)  
 if applicable

**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
UT55-06A-19	X			

Approved *Carol Shank* 04/20/2016  
 King County Archivist Date

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

- Approved for a period of five (5) years
- Approved
- Approved

*Deborah Kennedy* 5/2/16  
 King County Public Records Committee Chair Date  
 of representative  
*Scott Sandwick* 4/21/16  
 KC Records Center Date  
*Gail Snow* 4-20-2016  
 KC Records Management Date

Additional Conditions:

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Not Approved (reasons attached)

