



For Records Management Program Use Only	
KC DAD Number	16DAD-006
Submission Date	5/27/2016

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

Section A – Department Information

1. Name of Department: ASSESSMENTS
2. Name of Division / Section / Office: ADMINISTRATION
3. Name of Office's Appointed Disposition Authority: ADMINISTRATION
4. Who is the main office contact person regarding this application?
 Name: Kelsey Hatch
 Phone: 206-263-2310
 Email: kelsey.hatch@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
2.1.8 Destroyed Property – Adjustment Records	1/1/2011 – present	AS01-03A-08/6 years after year end
2.1.18 Valuation change orders	1/1/2011 – present	AS01-03A-18/6 years after year end
2.2.3 Personal Property Affidavits	1/1/2012 – present	AS01-03C-02/6 years after year end
4.5 Remodeling Assessment Deferral – 30% Includes Applications	1/1/2009 – present	AS01-04-01 / 6 years after year end
4.6 Senior Citizens Exemptions – includes applications	1/1/2009 – present	AS01-04-07/6 years from first tax year
4.8 Senior Citizen Deferrals – includes applications	1/1/2009 – present	AS01-04-08/6 years after termination of deferral
5.9 Segregation and Merger Orders if Assessor has primary copy	1/1/2011 – present	AS01-05-09/6 years after year end

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 imaged 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:

- 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 images past their retention period

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):

Our images are stored in **Oracle IPM.**

Storage and Organization

16. How are the digitized records stored and organized?

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

Oracle IPM

Is this software:

- Commercially available and implemented "out of the box" with little to no customization
- Commercially available and implemented with significant customization (customized to link to real property application and to operate with iLink scanning software)
- 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: **Iron Mountain – Spokane, WA**
(specify city and state)

- Yes – Fewer than 50 miles away at: **Iron Mountain – Tukwila, WA**
(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. 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
- 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

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*):

SEA-DRU-NAR RECYCLING

(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.

Kelsey Holt

(Agency Records Officer)

6/3/16

(Date)

Henry A. Lee

(IT Manager Signature)

6/3/16

(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
<input checked="" type="checkbox"/> Approved <i>Carol Shank</i> 06/07/2016				
King County Archivist			Date	

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

Approved for a period of five (5) years

Debra Kennedy 6/23/16
 King County Public Records Committee Chair or representative Date

Approved

Gail Snow 6/9/2016
 KC Records Management Date

Approved

Scott Landwehr 6/9/16
 KC Records Center Date

Approved

[Signature]
 KC Records Management Date

Additional Conditions:

Not Approved (reasons attached)