



For Records Management Program Use Only	
KC DAD Number	16DAD-008
Submission Date	

## 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:	Judicial Administration
2. Name of Division / Section / Office:	<b>Drug Diversion Court</b>
3. Name of Agency’s Appointed Disposition Authority:	Mary Taylor
4. Who is the main office contact person regarding this application?	
Name:	Ronda Bliey
Phone:	206-477-0791
Email:	<a href="mailto:Ronda.Bliey@kingcounty.gov">Ronda.Bliey@kingcounty.gov</a>

**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>Drug Diversion Court Case Files</b></p> <p>Records document the management of participants in the King County Drug Diversion Court program, which provides eligible defendants charged with felony drug and property crimes the opportunity for drug treatment and access to other ancillary services such as mental health treatment, housing, transportation and job skills training. King County Drug Diversion Court Services (DDCS) acts as the liaison between participants, treatment agencies and the court. The DDCS makes referrals to treatment agencies, reports on progress of participants, makes recommendations to the court, and also provides other services including referrals to housing, employment, job training, transportation and other resources. When the case is closed, the participant is either graduated (charges dismissed), terminated (sentenced on original charges or plead guilty) or become mainstream (resolved elsewhere) from the program.</p> <p>Case files, include, but are not limited to:</p> <ul style="list-style-type: none"> <li>- records received from courts (booking photos, incident reports, appendix b's, information updates)</li> <li>- records received from treatment agencies (evaluations/assessments, progress reports, incident reports, discharge summaries, urinalyses)</li> <li>- records received from participants (letters, sober support slips, promotion documents, medical documents)</li> <li>- records created by DDCS (releases of information, assessments, treatment referrals, orientation and intake records, notes, letters and other correspondence)</li> </ul>	<p>All cases active as of 12/01/2016, which may contain records before that date, and all future case files.</p>	<p>SS50-25-08</p> <p><b>Cutoff:</b> Case Closed*  <b>Retention:</b> 6 years                  Not Archival – Destroy</p> <p>*Note: cases are open between one year and three years after the date the participant enters the program. However, if there is a bench warrant issued for the participant, the case remains open indefinitely until the warrant is lifted or the participant is deceased.</p>

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

Space consolidation, increased access from users not on-site, consistency with organization trends

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

### 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): "Best Available Image"

**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    (Only the inactive files will be moved to KC ERMS)

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): KC EDMS

INACTIVE Record Images:

- County network server
- Other (please specify): KC ERMS

**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):

ILINX CONTENT STORE

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

**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 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.
- Inactive Records Stored in KC ERMS (protected from deletion)
- Other (please specify): Access to edit/delete records restricted to admin Staff and record contributors

**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 (Active)       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 (Records stored on KCIT repositories – relying on their disaster recovery plan)

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*):

SeaDruNar

(Name of Vendor)

28. 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 after the verification of the below and when SeaDruNar is available for pick-up:

- The records are quality control checked and uploaded in KC EDMS
- The prescribed KCIT back-up of KC EDMS ILINX Content Store; 30 days in Amazon S3 and 52 weekly backups in the Amazon Cloud Web Services (Glacier)

**Please note that this approved DAD application is the approval and authorization to destroy the imaged source documents under GS50-09-14R3; no additional documentation or approval is required. It is the agency’s responsibility to ensure that the source documents are protected from destruction in the event of an audit, investigation, Public Records Act Request, or litigation discovery involving the imaged records.**

### 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    (Destruction completed through KC ERMS standard disposition process.)

## **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.

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*(Agency Records Officer Signature)*

*(Date)*

*(IT Manager Signature)*  
*if applicable*

*(Date)*

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**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

\_\_\_\_\_  
*King County Archivist*

\_\_\_\_\_  
*Date*

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

Approved for a period of five (5) years

\_\_\_\_\_  
*King County Public Records Committee Chair  
or representative*

\_\_\_\_\_  
*Date*

Approved

\_\_\_\_\_  
*KC Records Center*

\_\_\_\_\_  
*Date*

Approved

\_\_\_\_\_  
*KC Records Management*

\_\_\_\_\_  
*Date*

Additional Conditions:

\_\_\_\_\_

\_\_\_\_\_

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\_\_\_\_\_

Not Approved (reasons attached)