



For Records Management Program Use Only	
KC DAD Number	16DAD-009
Submission Date	11/30/2016

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 – Agency Information

1. Name of Department:	King County Sheriff's Office
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2. Name of Division / Section / Office:	Technical Services/AFIS Section
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3. Name of Agency's Appointed Disposition Authority:	Leesha Wilson & Carol Gillespie
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4. Who is the main office contact person regarding this application?	
Name:	Laurie Ordonia & Jennifer Ingram
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Phone:	206-263-2789/206-263-2715
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Email:	laurie.ordonia@kingcounty.gov / jennifer.ingram@kingcounty.gov
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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	1948 - 2011 <i>approximate dates</i> Scanned by vendor and electronic record created 2/2010 - 1/2011	LE07-01-05 R2 LE2010-067 R1 Retain until transmitted to WSP and until no longer needed for agency business
Fingerprint Cards - Other	1948 - 2011 <i>approximate dates</i> Scanned by vendor and electronic record created 2/2010 - 1/2011	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 cards scanned are the master card files, meaning the one primary hard card from each individual. In 2011, a new AFIS database went live. The vendor for the new system scanned/digitized a portion of the master card files. These individual images are now stored in the system and there is a full image of the front of the hard card stored as well. The AFIS Section would like to destroy the hard copy master card files already scanned into the AFIS database. Any hard copy master cards submitted now are handled under KC DAD Number 15DAD-006.

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) – *only if a card was missed when the vendor did the scanning*
- Washington State Archives (Imaging Services)

Third party vendor (*please specify*): MorphoTrak

(*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, this format is open architecture and can be exchanged with any other organization that uses this type of record.

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*): Please see the vendor's Hard Card Conversion Plan for King County for more specifics on the quality control process used while scanning cards.

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 was scanned and any errors in the source record that the vendor couldn't resolve were researched and resolved by AFIS staff.

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 *Vendor Hard Card Conversion Plan and Card Preparation Plan*
- Yes No Standards and instructions for indexing, naming, and labeling files – see *Card Preparation Plan*
- Yes No Instructions for performing quality assurance checks for image quality – see *Hard Card Conversion Plan*
- Yes No How to enhance or manipulate images to make them more readable – see *Hard Card Conversion Plan*
- Yes No Step by step instructions for correcting scans that are incomplete or difficult to read – see *Hard Card Conversion plan*
- Yes No How to dispose of source records – *as this is a one-time destruction as new hard copy cards will fall under 15DAD-006, there is not specific written documentation. Procedures for using the KC Records Center for destruction will be followed and more detail is provided in question 28.*
- 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.)

- | | | |
|-------------------------------------|-------------------------------------|---|
| <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | Within a software application for storing images (please specify): |
| Active | Inactive | 1) Metamorpho 2) Morpho Archive and Retrieval System (MARS). Records are processed through Metamorpho which is the matching database. MARS is the permanent NIST archive database of all records submitted, with all information relating to the record stored there. |

(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

- | | | |
|--------------------------|--------------------------|---------------------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | As separate files on a network server |
| Active | Inactive | |

- | | | |
|--------------------------|--------------------------|-------------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | Other (please specify): _____ |
| Active | Inactive | |

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 records may be kept indefinitely; secondary copies pass through the system for the business need of searching, investigating and identifying. King County Regional AFIS is a pass through from the local agency to WSP, and once a record is transmitted to WSP, then WSP becomes the primary record holder. 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 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)*: _____

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

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*):

King County Records Center

(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.

All of the source records have already been scanned into the AFIS database by the vendor and have a marking to designate this so staff know exactly which cards to pull for destruction.

Once the DAD is approved, the hard copy master cards files will be pulled from the lektrievers, boxed and a destruction form will be completed and submitted by the supervisor or

designated person for the records. A records center destruction form will be used as there are approximately 290,000 cards to be destroyed.

The records center destruction form will reference the DAD number in the description field such as Source Records – Imaged (Non-Archival) DAD # with a brief description of what the source records were, include the cut-off date, list the retention period of until verification of successful conversion, include date eligible for disposition, and will list the DAN for source records (GS50-09-14 R3).

Upon approval of the records destruction form, coordination for pick-up between AFIS and the records center will occur.

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 unless the agency plans to have the records picked up and destroyed by the King County Records Center. 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

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)

(Date)

*(IT Manager Signature)
if applicable*

(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

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

N/A

KC Records Center *Date*

Approved

KC Records Management *Date*

Additional Conditions:

Not Approved (reasons attached)